



## Statement from General Counsel

This handbook describes various Cornell University policies and procedures of interest to the University Faculty.

The handbook, however, is not intended to create a contract between the university and its employees or to set forth terms or conditions of employment.

NOTE: In many cases, policies governing the Joan and Sanford I. Weill Medical College and Graduate School of Medical Sciences of Cornell University differ from policies governing Cornell's Ithaca campus. Faculty at the Medical College and Graduate School of Medical Sciences should consult the Office of the Provost for Medical Affairs for the relevant policies.

### **Cornell Policy Statement on Academic Freedom and Freedom of Speech and Expression**

Cornell University respects and is committed to fundamental principles of academic freedom and rights of freedom of speech and expression as set forth in the following Statement and in other Cornell policies. Freedoms to engage in research and scholarship, to teach and to learn, to express oneself and to be heard, and to assemble and to protest peacefully and lawfully, are essential to the function of the University as an educational institution.

The University's [Statement of Core Values](#) affirms the fundamental nature of ***Free and Open Inquiry and Expression***:

We are a community whose very purpose is the pursuit of knowledge. We value free and open inquiry and expression—tenets that underlie academic freedom—even of ideas some may consider wrong or offensive. Inherent in this commitment is the corollary freedom to engage in reasoned opposition to messages to which one objects.

The University affirms the importance of extending to all students and employees the core values of free and open inquiry and expression and recognizes employees' right to communicate freely outside of the scope of their Cornell employment in their capacity as private citizens. As stated in the American Association of University Professors (AAUP) 1940 Statement of Principles of Academic Freedom and Tenure, "Institutions of higher education are conducted for the common good and not to further the interest of either the individual teacher or the institution as a whole. The common good depends upon the free search for truth and its free exposition."

The University endorses the ***Faculty Statement on Academic Freedom and Responsibility*** adopted by the University Faculty on May 11, 1960, which provides:

Academic Freedom for the Faculty means: Freedom of expression in the classroom on matters relevant to the subject and the purpose of the course and of choice of methods in classroom teaching; from direction and restraint in scholarship, research, and creative expression and in the discussion and publication of the results thereof; to speak and write as a citizen without institutional censorship or discipline. . . .

Academic freedom is valued very highly at Cornell, and the University Faculty defends it tenaciously; nevertheless, the same University Faculty is disinclined to see the concept abused. Academic freedom does not imply immunity from prosecution for illegal acts of wrongdoing, nor does it provide license for faculty members to do whatever they choose.

The University recognizes that academic freedom also encompasses the freedom to address any matter of institutional policy or action whether or not as a member of any institutional governance body. The University further affirms that “a faculty member’s expression of opinion as a citizen cannot constitute grounds for dismissal unless it clearly demonstrates the faculty member’s unfitness to serve. Extramural utterances rarely bear upon the faculty member’s fitness for continuing service. Moreover, a final decision should take into account the faculty member’s entire record as a teacher and scholar.” See [AAUP 1940 Statement of Principles of Academic Freedom and Tenure, with 1970 Interpretive Comments, note 6](#).

## **Responsibilities**

The Cornell community, including the University Assembly and other elected governance bodies, have a responsibility for protecting freedom of speech and academic freedom. Towards that end, the President or the President’s designee shall consult with the University Assembly, Faculty Senate, Student Assembly, Graduate and Professional Student Assembly, Employee Assembly, and other elected campus governance bodies on a regular basis to ensure that the community’s fundamental commitments to free expression, academic freedom, and respect for others are safeguarded.

Responsible enjoyment and exercise of these rights includes respect for the rights of all. Infringement upon the rights of others, including the rights to speak and to be heard, or interference with the peaceful and lawful use and enjoyment of University premises, facilities, and programs, violate this principle. Though the necessity is rare, the University has long affirmed the President’s authority and duty to protect the community and maintain public order where imminent threats to health and safety require it. However, any intervention by the President or the President’s designee in campus rights of expression and assembly shall be reported promptly to the Cornell community, including the elected campus governance bodies, with an explanation of the bases for the actions taken and the plan for restoring, as expeditiously as possible, any rights of expression and assembly that may have been restricted. See [Policy 6.4](#), Prohibited Bias, Discrimination, Harassment, and Sexual and Related Misconduct and Procedures.

The University is committed to protecting academic freedom and to creating a learning, living, and working environment free of discrimination, harassment, and sexual and related misconduct. Based on the protections afforded by academic freedom, speech and other expression in the context of instruction or research will not be considered prohibited conduct unless this speech or expression meets the definition of discrimination or protected-status harassment under Cornell policies and procedures, and also meets one or both of the following criteria: a reasonable person in the setting would find it to be abusive or humiliating toward a specific individual or specific individuals, or it persists despite the reasonable objection of the specific individual or individuals targeted by the speech.

## Change is Continual at Cornell

Each year, new faculty and trustee legislation is enacted; policies, procedures, and fringe benefits are modified; new facilities, centers, institutes, and programs come into being; and the administrative organization is altered.

Please contact [deanoffaculty@cornell.edu](mailto:deanoffaculty@cornell.edu) if you are aware of any Faculty Handbook content that is missing or not reachable via a link to a webpage that is maintained by some other Cornell office.

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## 1. Organization of the University

### 1.1 Departments, Colleges, and Campuses

Cornell has [campuses, colleges, and schools](#). Within those are numerous [departments](#). Cornell also has [fields of study](#), and numerous [labs, institutes and centers](#).

As a private university, Cornell operates four state-assisted “contract” colleges pursuant to the authority set forth in Article 115 of the New York Education Law: the College of Agriculture and Life Sciences, the College of Human Ecology, the School of Industrial and Labor Relations, and the College of Veterinary Medicine. The remaining units on campus are endowed: the College of Architecture, Art and Planning, the College of Arts and Sciences, the College of Engineering, the Graduate School, Cornell Law School and the S. C. Johnson College of Business. New York City is the location of two additional endowed units, Weill Cornell Medical College, situated in the Upper East Side of Manhattan, and Cornell Tech, located on Roosevelt Island. The statutory charter of the university delegates the administration of all schools and colleges – “contract” as well as “endowed” – to the Board of Trustees.

The Agricultural Experiment Station in Geneva, New York, the Cornell University Agricultural Experiment Station in Ithaca, and Cornell Cooperative Extension, administered from Ithaca but with a network of agents and offices throughout the state, are associated primarily with the Colleges of Agriculture and Life Sciences and Human Ecology. The School of Industrial and Labor Relations Extension Division has offices and training facilities in the major metropolitan areas of the state where instruction is offered in human resource management, labor relations, and related subjects to practitioners in the field. Finally, the university maintains regional field offices in some of the major metropolitan areas of the country to assist in activities related to recruiting and admission of students, alumni affairs, fund-raising, and development efforts.

### 1.2 Central Administration

Senior Leadership [Directory](#) highlights the domains of the Vice Presidents and Vice Provosts and their respective units.

[Organizational charts](#) give a more detailed look at the reporting structure.

### 1.3 Assemblies

Faculty, students, and staff are represented through assemblies. Undergraduate students, graduate students, and employees contribute to campus governance through these assemblies:

- [Student Assembly \(SA\)](#)

- [Graduate and Professional Student Assembly \(GPSA\)](#)
- [Employee Assembly \(EA\)](#)
- [Faculty Senate](#)

In addition, there is a [University Assembly \(UA\)](#) with overarching responsibilities. The [Office of the Assemblies](#) provides support for the SA, GPSA, EA, and UA.

## 1.4 University and RTE Faculties

University Faculty is established by Article XIII of the [University Bylaws \(in the footer of Office of the Board of Trustees website\)](#) and includes those with the following titles:

- Professor
- Associate Professor
- Assistant Professor
- University Professor
- Professor-at-Large

Research-Teaching-Extension (RTE) Faculty include those with the following titles:

- Professor-of-the-Practice (all ranks)
- Clinical Professor (all ranks)
- Research Professor (all ranks)
- Librarian (all ranks)
- Archivist (all ranks)
- Lecturer and Senior Lecturer
- Research Associate and Senior Research Associate
- Extension Associate and Senior Extension Associate
- Instructor and Teaching Associate
- Visiting Critic, Visiting Scientist, Visiting Scholar, Visiting Fellow
- Senior Scholar and Senior Scientist
- Research Scientist and Principal Research Scientist

## 2. Faculty and the Senate

This section has been previously known as “The Organization and Procedures of the University Faculty(OPUF).” Its structure has been preserved, e.g., the use of articles and subsections.

### Article I. Faculties and University Voting Rights

The greatness of a university grows out of the talent, diversity and dedication of its faculty and student body. A wise administration will nurture that growth by providing leadership that will forge a sense of community, create the free and stimulating environment suited to intellectual growth, and make the difficult choices that will focus our efforts and prudently allocate our resources.

University leadership functions best when it is derived from the consent of the governed and is able to strike the delicate balance between the twin needs for broad consultation and decisive, timely decision making. By long tradition the faculty believe that their views should profoundly influence the course Cornell will follow, but the size and diversity of today’s faculty make it difficult to ascertain those views. The appropriate role of faculty governance is to facilitate communication between the faculty and the administration, ensuring a full consideration of faculty views, thereby building a faculty-administration partnership that will serve as a firm foundation for effective leadership.

For this partnership to succeed, the Senate, its committees, and members of the administration must all contribute to the common goals. Members of the Senate must establish an ongoing dialogue with faculty in their departments. The University Faculty Committee must maintain communication with the Senate while fostering a working relationship with the administration. The administration must listen to the aspirations and concerns of the faculty, share theirs with the University Faculty Committee, and bring the Senate into the wider consultative process by sharing the responsibility of naming faculty to key committee assignments. If all faithfully carry out these responsibilities, the faculty-administration partnership will create a broadly based consensus of choices and goals that will enable Cornell to fulfill its widest potential.

As used herein, the following words and phrases shall have the meanings set forth below:

- A. “University” shall mean “Cornell University” and “President” shall mean the “President of Cornell University.”
- B. “UVR” means “University Voting Rights”. A titleholder with UVR is eligible to vote in elections that determine the Faculty Trustees, the Dean of Faculty, the Associate Dean of Faculty, members of the University Faculty Committee, members of the Nominations and Elections Committee, and Senators-at-Large.
- C. The “University Faculty” (sometimes referred to herein as the “UF”) shall mean the body defined as such in the Bylaws of Cornell University, as now in effect or as amended from time to time hereafter. University Faculty with UVR are the President, emeritus/a professors, emeritus/a associate professors, University professors, professors-at-large in residence, professors, associate professors, assistant professors, and all courtesy professorial ranks of the several colleges, schools and separate academic departments, divisions and centers at Ithaca and Geneva. Research-Teaching-Extension (RTE) faculty with UVR are those who have the title research professor (all ranks), clinical professor (all ranks), professor-of-the-practice (all ranks), senior lecturer, senior research associate, senior extension associate, senior scientist, senior scholar, research scientist, principal research scientist, librarian, associate librarian, archivist, and associate archivist. University Faculty without UVR are (a) the professors, associate professors and assistant professors in the Medical College, (b) those whose title is modified by “adjunct”, “visiting” or “acting”, and (c) such other persons as may have been, or may hereafter be, elected by the Board of Trustees, upon the recommendation of the University Faculty, to voting or non-voting membership therein (Bylaws of Cornell University, Article XII, Section 1). RTE faculty without UVR include those who have the title research

associate, lecturer, extension associate, visiting scientist, visiting critic, visiting scholar, visiting fellow, instructor, teaching associate, senior assistant librarian, assistant librarian, senior assistant archivist, and assistant archivist, as well as any RTE title that is modified by “visiting”, “acting”, or “courtesy”.

- D. The “Faculty Senate” (sometimes referred to herein as the “Senate”) is the body established pursuant to Article IX of this document.
- E. The “University Assemblies” is the body established by vote of the Board of Trustees on January 23-24, 1981 and whose original charter is inserted as an appendix to the Board of Trustees minutes of that date. The current charter document is available in the office of the Assemblies.
- F. The “Dean of the University Faculty” (sometimes referred to herein as the “Dean of the Faculty” or the “Dean”) is the chief administrative officer of the University Faculty, as provided for in Article XII, Section 4 of the Bylaws of Cornell University.
- G. “Secretary” shall mean the Associate Dean and Secretary of the University Faculty.
- H. “Speaker” shall mean the presiding officer of the University Faculty and of the Senate.
- I. “Constituency” shall mean the schools of Hotel Administration, Industrial and Labor Relations, Johnson Graduate School of Management, and Law, and the academic departments within the other colleges in Ithaca or Geneva.
- J. “This document” shall refer to the organization and procedures set forth herein, or established hereby.

## **Article II. Functions and Responsibilities of the University Faculty**

Under the Bylaws of Cornell University (Article XII, Sec. 3), the functions of the University Faculty are to consider questions of educational policy which concern more than one college, school or separate academic unit, or are general in nature, and to recommend to the Board of Trustees, with the approval of the appropriate college or school faculty, the establishment, modification, or discontinuance of degrees.

The Bethe Committee Report, adopted by the Faculty on September 12, 1969, clarifies the academic responsibilities of the University Faculty as a whole and with respect to the separate faculties of the various units of the University, the Administration, and the student body.

It is not the function of the present document to change in any way the functions or responsibilities of the University Faculty, but to provide for its organization and procedures.

## **Article III. Organization of the University Faculty**

The University Faculty shall consist of the following elements

- A. The University Faculty (See Article I-C for definition and membership.)
- B. The President (See Article VII for powers and duties with respect to the University Faculty.)
- C. The Dean of the University Faculty (See Article V for functions, duties, and method of selection.)
- D. The Associate Dean and Secretary of the University Faculty (See Article VI for functions, duties, and method of selection.)
- E. Other Officers (See Article VII for functions, duties, and method of selection.) The other officers of the Faculty shall be:

1. The Speaker
  2. One or more Parliamentarians
  3. Such other officers as may be provided for from time to time
- F. Committees of the University Faculty (See Article VIII.)
- G. The Faculty Senate (See Article IX for establishment and organization.)

## **Article IV. Powers and Meetings of the University Faculty**

### **A. Powers**

1. Its present power to determine its own membership, subject to Article XII, Sec. 1 of the Bylaws of Cornell University (summarized in Article I-C hereof).
2. Its present power to elect Faculty Trustees for seating by the Board of Trustees pursuant to Article II, Sec. 2a, (4) (c) of the Bylaws of Cornell University. Faculty Trustees must be tenured members of the University Faculty and are elected by members of the University and RTE Faculties who have university voting rights.
3. The power to participate in the selection of the Dean of the Faculty, in the manner set forth in Article V.
4. The power to select its officers, other than the President and the Dean, in the manner set forth in Articles VI and VII.
5. The power to postpone or nullify any action of the Senate, as set forth in Article XII.
6. The power to require or request reports from its officers and committees, from the Senate, and from others in the University community or elsewhere, as may be authorized or appropriate.
7. The power to express its views concerning any matter within its responsibilities or reasonably related thereto, either at a meeting of the Faculty or in such other manner as may be appropriate.
8. The power to amend this document in accordance with the procedures set forth in Article XIV.

### **B. Meetings**

1. Meetings of the University Faculty shall be called by the Dean:
  - a. Upon the request of the Board of Trustees, the Executive Committee of the Board of Trustees, or the President;
  - b. Upon the request of the Senate;
  - c. Upon the request of the University Faculty Committee;
  - d. Upon the written petition to the Dean of voting members of the Faculty, equal in number to one-half of the required quorum for such a meeting;
  - e. Upon call of the Dean, to consider a proposal to postpone or nullify an action of the Senate in accordance with the procedures set forth in Article XII.
  - f. Upon call of the Dean, to act in an emergency.
2. Agenda at a meeting of the Faculty, any matter may be brought forward which is properly the concern of the Faculty, but priority shall be given to the matters specified in the call of the meeting.

### 3. Quorum

- a. Except as provided in the next item, a quorum for meetings of the Faculty shall be ten percent of the voting members of the Faculty.
  - b. If a meeting is called to consider postponing or nullifying an action of the Senate under Article XII, or if it is proposed to take such action at any regular meeting, a quorum shall be twenty percent of the voting members of the University Faculty.
  - c. In the absence of a quorum, those present may receive reports, may discuss matters without voting on them, and may set the date and time for an adjourned meeting, but shall transact no other business.
4. Rules of Procedure, except as otherwise provided herein, or in special rules adopted by the Faculty, the rules set forth in the then current edition of *Robert's Rules of Order*, to the extent applicable, shall govern the debates, votes, and other actions at all meetings of the Faculty. Nonvoting members of the Faculty may attend and participate in debates, but may not vote.
  5. Visitors may be admitted to meetings of the Faculty. A decision to open or close meetings to visitors will be made by majority vote of the University Faculty Committee when it establishes the agenda for each meeting, either to admit accredited members of the press or other public media, without discrimination, or a limited number of other visitors, or both, for all or a portion of a meeting. The decision of the University Faculty Committee concerning a particular meeting may be appealed by a motion properly made and seconded at the meeting in question. A majority vote of the voting members present constituting the quorum shall be sufficient to amend, modify, or reverse the decision of the University Faculty Committee concerning the status of visitors at the meeting. If visitors are admitted, they shall sit in the gallery, or otherwise apart from the main body of the meeting, and shall not be permitted to participate in the debates but, if it is so authorized by the decision admitting them to the meeting, they may be permitted by the presiding officer to address the meeting.
  6. Records of Meetings. The official record of each University Faculty meeting shall be kept by the Secretary who may use whatever means he or she finds appropriate to prepare an accurate record of the proceedings. All other participants (members, visitors, etc.) are prohibited from photographing, sound recording, video taping, or using any other electronic means to record the proceedings.

## **Article V. Dean of Faculty**

### A. General

The Office of the Dean of Faculty is one of outstanding importance for the proper conduct of University affairs, and in the formulation of policy and the maintenance of flexible communication and mutual understanding between the Faculty and the rest of the University community. Accordingly, special qualifications are required for the office, including an acknowledged position of leadership on the Faculty and wide experience in University affairs.

### B. Liaison Responsibilities

The Dean is the Faculty's chief administrative officer and its liaison on all matters in which the concerns of the Faculty relate to the President, the Trustees, or other segments of the University community. The Dean, however, is not a member of the University administration.

### C. Personal Opinion



While the Dean is primarily the representative of and spokesman for the Faculty, the Dean retains the right to express his or her own personal views, when described as such.

#### D. Duties

Without limitation of the foregoing, the Dean shall have the following specific duties:

1. He or she shall represent and advocate the interests, concerns, and needs of the Faculty to the President, the Trustees, and other segments of the University community, and to the public.
2. The Dean, in consultation with the University Faculty Committee, shall advise the President and other senior members of the central administration on matters of University policy and shall seek the President's advice on matters of concern to the Faculty.
3. The Dean shall assist the Faculty and the Senate in formulating judgements on questions of concerns to the Faculty.
4. He or she shall be available for consultation and advice to members of the Faculty, to students, and to other members of the University community on matters within the jurisdiction of the Faculty.
5. The Dean shall use his or her good offices in helping to resolve problems which may arise for individual members of the Faculty in their relationships with other members of the Faculty, with academic or administrative officers of the University, with committees of the Faculty or University, with students, or with other segments of the University community.
6. The Dean shall oversee and expedite the work of all committees of the University Faculty or the Senate and shall keep them informed of problems to which they should attend. He or she shall obtain annual or other periodic reports from such committees and shall be responsible for seeing that the reports, recommendations, and decisions of such committees are brought to the attention of all persons concerned therewith. Where necessary and appropriate, the Dean will arrange for the timely publication of information meriting the attention of the Faculty, and of information concerning the Faculty meriting the attention of other segments of the University community or of the public.
7. The Dean shall be an ex officio member of each committee of the University Faculty and each committee of the Senate.
8. The Dean shall be responsible for the calling of meetings of the University Faculty and the Senate and for the preparation and distribution of the agenda for such meetings.
9. The Dean shall be responsible for maintaining a file of (i) records of actions of the University Faculty and of the Senate, (ii) reports of committees of the University Faculty and of the Senate, and (iii) such other files and records as may be necessary or appropriate.
10. The Dean shall prepare such reports as he or she or the University Faculty or the Senate, shall deem appropriate.
11. The Dean shall be available to sit with the Board of Trustees and its Executive Committee in discussions of questions of educational policy.
12. He or she shall perform such other functions as are provided for herein, or as the University Faculty or the Senate shall determine.

#### E. Assistants to the Dean; Acting Dean

As may be necessary to assist or represent the Dean, he or she may delegate any portion of the foregoing functions and duties to the Associate Dean and Secretary of the Faculty, to members of his/her staff, or to other members of

the Faculty. In the absence or inability to act of the Dean, the Associate Dean and Secretary of the Faculty shall function as Acting Dean. In the absence or inability to act of both the Dean and the Secretary, the University Faculty Committee, in consultation with the President, shall designate an Acting Dean.

#### F. Selection

The selection procedures for Dean of the Faculty shall be as follows:

1. The Dean must be selected from among those members of the University Faculty who have university voting rights and must maintain that status.
2. At least three months before the deanship becomes vacant, or as promptly as possible if the office should become vacant without three months' notice, the Nominations and Elections Committee shall solicit nominations and canvass Faculty opinion, and shall prepare a slate of two or more candidates. The Nominations and Elections Committee should consult the President in this regard.
3. The Committee on Nominations and Elections shall conduct a mail ballot of the members of the University and RTE Faculties who have university voting rights, using the Hare System, and shall promptly report the results to the President and the Faculty.
4. Subject to confirmation by the Board of Trustees, the candidate receiving a majority of the votes cast shall be appointed Dean.

#### G. Term

The term of office for the Dean shall be three years. The Dean may be reappointed by the Senate for a further period of not more than two years. So far as possible, the terms of office of the Dean and the Secretary shall be staggered so that not more than one of these officers shall be elected in any one year.

### **Article VI. Associate Dean and Secretary of the Faculty**

#### A. Duties

The duties of the Associate Dean and Secretary shall include:

1. Assisting the Dean of the Faculty, carrying out such duties as are assigned by the Dean and serving as Acting Dean on appropriate occasions;
2. Chairing the Nominations and Elections Committee;
3. Ex officio membership on each committee of the University Faculty and each committee of the Senate;
4. Supervising the maintenance of minutes of meetings and all records of the University Faculty and Senate;
5. Supervising publications made in the name of the University Faculty subject to guidelines mutually agreed upon with the Senate.

#### B. Election

The Associate Dean and Secretary of the Faculty shall be selected from among the tenured members of the University Faculty. The Committee on Nominations and Elections shall conduct a mail ballot of the members of the University and RTE Faculties who have [university voting rights](#). The Hare System is to be used with results promptly reported to the President and all members of the electorate.

#### C. Term

The Associate Dean and Secretary shall serve for a term of three years, with the possibility of reappointment by the Senate, for a further period of not more than three years.

#### D. Senate Responsibilities

The Associate Dean and Secretary shall also serve as secretary and as an ex officio voting member of the Senate.

### **Article VII. President and Other Officers of the University Faculty**

The functions and duties of the other officers of the University Faculty shall be as follows:

#### A. The President

The Bylaws of Cornell University (Article V, Sec. 1; Article XIII, Sec. 1) provide that:

1. The President shall be the chief executive and educational officer of the University
2. Except as the President may otherwise designate, he or she shall be the chairperson and presiding officer of every faculty of the University; and
3. The President shall be a voting member and presiding officer of the University Faculty.

#### B. The Speaker

The Speaker of the Senate or his or her alternate (see Art. XI-A-2) shall serve as Speaker of the University Faculty. By designation of the President the Speaker may, and normally will, moderate meetings of the University Faculty.

#### C. Parliamentarians

The Speaker may select one or more Parliamentarians to advise him or her on questions of parliamentary law and procedure arising in the course of faculty meetings.

#### D. Other Officers

There shall be such other officers of the Faculty, with such functions and duties, as may be provided for from time to time by the University Faculty.

### **Article VIII. Committees of the University Faculty**

#### A. Standing and Ad Hoc Committees

The University Faculty shall have the following committees:

1. University Faculty Committee

There shall be a standing University Faculty Committee. The University Faculty Committee shall provide liaison between the Faculty Senate and the President, Provost, and other senior University administrators. Whenever either the Provost or the President wishes to consult with the University Faculty on major policy issues, she or he will look to the University Faculty Committee to provide that consultation. Additionally, the University Faculty Committee will act as an executive committee for the Senate and the University Faculty, and perform any other duties assigned to it either by the Senate, the University Faculty, or elsewhere in this document. The University Faculty Committee has the responsibility to inform and consult the Senate on a regular and frequent basis.

2. Committee on Nominations and Elections

- a. There shall be a Committee on Nominations and Elections.

- b. The Committee on Nominations and Elections shall nominate candidates for election by the University Faculty for Faculty Trustees, for Dean of the Faculty, for Associate Dean and Secretary of the Faculty, for members at large of the Senate, and for elected committees and offices of the Faculty and of the Senate. The Committee shall propose to the Senate members and chairs of appointed Faculty and Senate committees and members of administration and faculty-administration committees when the administration makes such requests to the Senate. When proposing members and chairs of committees, the Nominations and Elections Committee shall give preference to members of the Senate where appropriate. In preparing slates of candidates for the University Faculty Committee and the Nominations and Elections Committee, the committee will be mindful of the importance of spanning all parts of the campus, the ethnic and gender diversity of the faculty, and the major scholarly disciplines of Biological Sciences, Creative Arts, Humanities, Physical Sciences, Professional Schools, and Social Sciences.
- c. The Committee on Nominations and Elections shall prescribe procedures for, and shall supervise, all elections by the University Faculty, all elections by or to the Senate, and all elections to elected committees and elective offices of the University Faculty and the Senate; shall decide disputed questions concerning such elections; and shall perform such other functions as are assigned to it in this document or by the University Faculty or the Senate. In connection with elections to the Senate, the Committee on Nominations and Elections shall prescribe or approve guidelines and procedures to govern the nomination of candidates and the conduct of elections.

### 3. Other

There shall be such other elected or appointed standing committees of the University Faculty as may be created by the Faculty and ad hoc committees as may be created by the Faculty or the University Faculty Committee.

#### B. Membership of Committees

1. The University Faculty Committee shall consist of the Dean and the Secretary, ex officio, and nine members of the University Faculty. Five members of the UFC shall be current Senate members at the time of their election; four need not be current members of the Senate at the time of their election. Members elected from the Senate shall serve a complete term on the University Faculty Committee even if their Senate term expires prior to the end of their University Faculty Committee term. No person shall serve more than two complete consecutive terms on the University Faculty Committee. The Dean shall serve as chair of the committee. All members of the University and RTE Faculties with university voting rights are eligible to vote in elections that determine membership of the University Faculty Committee.
2. The Nominations and Elections Committee shall consist of the Dean and the Secretary, ex officio, and nine members of the University Faculty. Six members will be elected at large by the Faculty. The Nominations and Elections Committee will nominate and the Senate will appoint three members in order to achieve a balance among the schools/colleges and disciplines, as well as the diversity of the Faculty. The Secretary shall serve as chair of the committee. All members of the University and RTE Faculties with university voting rights are eligible to vote in elections that determine membership of the Nominations and Elections Committee.
3. With the exception of the Dean and the Secretary, no person may serve on the University Faculty Committee and the Nominations and Elections Committee at the same time.
4. Any member of the University Faculty, whether or not a voting member, shall be eligible to serve as a voting member of a University Faculty committee.

5. With the concurrence of the Senate, the Nominations and Elections Committee may designate one or more seats on specific committees other than the University Faculty Committee and the Nominations and Elections Committee for non-faculty members.
6. Ex officio members of committees shall not be counted in determining the number that constitutes a quorum nor are they to be counted when establishing the existence of that quorum.

#### C. Terms of Membership

1. Except as otherwise provided in the legislation or resolution creating a committee, the term of each elected member of a standing committee shall be three years, provided that, so far as feasible, the Committee on Nominations and Elections shall arrange staggered terms for the initial election to each such committee so as to provide continuity.
2. Except as otherwise provided in the legislation or resolution creating the same, or except as reappointed by the University Faculty or the University Faculty Committee, each ad hoc committee shall automatically expire at the end of the academic year.

### **Article IX. Establishment and Organization of the Faculty Senate**

#### A. Establishment

There is hereby established a Faculty Senate (sometimes referred to herein as the “Senate”) consisting of not less than 75 voting members.

#### B. Eligibility for Membership

Any member of the University or RTE Faculty with [university voting rights](#) shall be eligible for membership in the Faculty Senate.

#### C. Membership

1. The Senate shall consist of the following as voting members:

- a. The President of the University (or the Provost when attending as the Chief Educational Officer), ex officio,
- b. The Dean, ex officio,
- c. The Secretary, ex officio,
- d. The Ithaca-based Faculty Trustees, ex officio,
- e. One emeritus faculty member selected by the Cornell Academics and Professors Emeriti and one RTE\* faculty member from Cornell University Libraries.
- f. Nine at-large members with three seats for the tenured faculty, three seats for assistant professors, and three seats for members of the RTE Faculty with [university voting rights](#).
- g. Constituency members and College RTE members as described in Sections D, E, and F below.
- h. The Student Assembly, the Graduate and Professional Student Assembly, the Employee Assembly, the Postdoctoral Association, and ROTC shall each have one non-voting ex officio seat.

2. Within the limits specified in Section A above, and subject to the approval of the University Faculty, the Senate may designate its own future size.

#### D. Apportionment of Seats

1. All membership seats on the Senate (other than memberships at large and ex officio memberships) shall be apportioned among the various constituencies as defined in Article I., Section I. at Ithaca and Geneva (hereafter called “constituencies”). Each constituency will have at least one seat on the Senate, except that constituencies with fewer than five voting faculty members may combine with another constituency (with the agreement of both constituencies) to establish a joint seat. Constituencies in which the total number of tenured, tenure track, and RTE\* faculty is greater than 25 will have a second Senate seat. In addition, constituencies may elect an alternate senator to serve if the regularly elected senator is unable to do so. The alternate has voting rights and will count towards the quorum only when the regular senator is absent.

Each college shall have at least one College RTE seat in the Senate. Colleges that have more than 25 RTE\* faculty will have a second College RTE seat.

In this context the colleges are (1) Agriculture and Life Science, (2) Architecture, Art, and Planning, (3) Arts and Sciences, (4) S.C. Johnson College of Business, (5) Computing and Information Science, (6) Engineering, (7) Human Ecology, (8) Industrial and Labor Relations, (9) Law, and (10) Veterinary Medicine.

2. There shall be a reapportionment of seats at least every three years.
3. All decisions on apportionment shall be made, and all questions and disputes concerning the same shall be resolved, by the Committee on Nominations and Elections.

#### E. Elections

1. Members at large shall be elected by members of the UF\* and RTE\* faculty by mail ballot, in accordance with procedures established by the Committee on Nominations and Elections, from among candidates nominated by the Committee on Nominations and Elections.

Individual colleges are responsible for the election of at-large RTE senators. Any member of the college RTE\* faculty is free to place their name on the slate. The electorate must include all tenured, tenure track, and RTE\* faculty in the college.

2. Other elected members shall be elected by each constituency to fill the number of seats assigned to that constituency. Elections shall be by secret ballot. All members of the UF\* and RTE\* faculty shall be eligible to vote in a constituency election. The voting faculty members of a constituency may allow other members of that constituency to take part in the Senate election.

Each constituency must have at least one senator who is a member of the UF\*. A constituency with two seats can elect to the Senate a member of the RTE\* faculty.

3. General elections to the Senate shall be held in the spring and shall be conducted in accordance with procedures established or approved by the Committee on Nominations and Elections. (See Article VIII, Section A-2-c).
4. Special elections shall be held to fill vacancies, or for other sufficient reason as determined by the Committee on Nominations and Elections.
5. Any question or dispute concerning general or special elections, eligibility to vote, assignment to a constituency, or other election procedures, shall be resolved by the Committee on Nominations and Elections.

#### F. Terms of Office

1. Elected members shall serve for a three-year term. A term of office shall begin on July 1.

2. Terms of membership shall be staggered, in the manner determined by the Committee on Nominations and Elections, so that approximately one-third of the total membership of the Senate (exclusive of the ex officio members) shall be elected each year.

#### G. Vacancies and Leaves of Absence

1. Any vacancy of a constituency-elected seat, arising from death, resignation, incapacity, or other reason, shall be filled by a special election within the constituency, except that if the vacancy is for an unexpired term of ninety days or less, it shall be optional with the constituency concerned to leave the vacancy unfilled for the balance of such term. In the event of a vacancy of an at-large seat, the Committee on Nominations shall appoint a temporary replacement for the remainder of the unexpired term.
2. If a member is granted leave for one or two semesters an alternate shall be appointed by the officer of the appropriate constituency as defined in Article I., Section I. to take the absent member's seat for the period of the leave. If a member is granted leave for more than one year, his or her seat shall be declared vacant, beginning with the commencement of the leave.
3. If any member (other than a member on leave) fails to attend any meeting of the Senate for a period of 120 days or more (exclusive of summer vacation) that member's seat may be declared vacant, either by the constituency concerned, or by the Senate as a whole.

#### H. Recall of Members

The Senate may, in its discretion, provide for recall procedures, which shall authorize a constituency to remove a member for reasons specified in such procedures and to declare the seat vacant, provided that any such removal must be initiated upon the petition of at least 10 percent of the voting members of the constituency and must, to take effect, have the approval of at least 50 percent of such membership.

#### I. Review

At least every three years the University Faculty Committee with broad consultation will assess the quality of Faculty representation as realized through the various allocation formulae. Concerns would be discussed in the Faculty Senate. Proposed modifications would be brought before the University Faculty in accordance with the procedures specified in this document. The Dean of Faculty Office will maintain on its website a table that reports the current academic titleholder populations for every college and department together with the total number of UF\*and RTE\* Senators.

### **Article X. Powers, Duties, and Meetings of the Faculty Senate**

#### A. Powers in General

Except for the powers reserved to the University Faculty under Article IV-A, and subject to the power of the University Faculty to postpone or nullify any action of the Senate pursuant to Article XII, all the powers and functions of the University Faculty are hereby delegated to the Senate.

#### B. Specific Powers.

Without limiting paragraph A above, or the other powers set forth in this document, the Senate shall have the following specific powers and responsibilities:

1. To select its officers.
2. To approve or reject the nominees presented by the Nominations and Elections Committee for election by the University Faculty.

3. To approve or reject the list of members and chairs presented by the Nominations and Elections Committee for appointed University Faculty committees, Senate committees, and administration or administration-faculty committees.
4. To adopt, amend, or repeal bylaws or other procedures relating to the conduct of its business and the duties and functions of its officers and committees.

#### C. Exercise of Powers.

In exercising the powers of the Senate it is anticipated that its members will take all reasonable measures to ascertain faculty opinion by means of regular consultations with their constituency and other appropriate means, and that the Senate will keep the University Faculty fully informed of the reasons for its decisions.

#### D. Meetings of the Senate

1. Regular Meetings. An organization meeting of the Senate shall be called by the Dean promptly after the election of its members. Thereafter, regular meetings of the Senate shall be held once a month during the academic year.
2. Special Meetings. Special meetings of the Senate shall be called by the Dean.
  - a. On the request of the President, the Board of Trustees, or the Executive Committee of the Board of Trustees.
  - b. On the request of the University Faculty committee
  - c. On the request in writing by members of the University Faculty equal in number to, or more than, the authorized membership of the Senate
  - d. On the written request of a majority of the members of the Senate
  - e. On the Dean's own motion, whenever it appears to the Dean that such a meeting is necessary or appropriate.
3. Agenda at Meetings
  - a. Regular Meetings. At a regular meeting of the Senate, any matter may be brought forward which is properly the concern of the Senate, but priority shall be given to the matters specified in the call of the meeting.
  - b. Special Meetings. At a special meeting of the Senate only those matters shall be considered which are specified in the call of the meeting, except as this rule may be waived by unanimous consent of the members present.
  - c. The Dean shall make the necessary arrangement to distribute the agenda of regular and special meetings of the Senate to the members of the University Faculty in advance of such meetings.
4. Quorum and E-Voting

Except as otherwise provided herein, or in the bylaws or other procedures adopted pursuant to Section B above, the quorum for the transaction of business of the Senate shall be one-half of its non-ex officio members; vacant senate seats are not counted. In the absence of a quorum, the Senate may receive reports, may discuss matters without voting on them, and may set the date for an adjourned meeting, but shall transact no other business.

At the discretion of the Dean of Faculty, a Senate roll call vote can be initiated at any time during a meeting with ballots submitted physically and/or electronically over a period of one week. For the legislation or action to take effect, the number of votes cast must be at or above the level of quorum.



## 5. Procedure at Meetings

The rules contained in the then current edition of Robert's Rules of Order shall govern the deliberations and actions of the Senate in all cases in which they are applicable, to the extent they are not inconsistent with the provisions hereof.

## 6. Visitors at Meetings

The provision of Article IV, Section B-5, as amended, relating to the presence of visitors at meetings of the University Faculty, shall apply to meetings of the Senate, except that the University Faculty Committee, when establishing the Senate agenda for each meeting shall make the determination as to whether the meeting is to be "open" or "closed" to visitors and with the further exception that all members of the University and RTE Faculties who are not members of the Senate shall be entitled and encouraged to attend any meeting of the Senate and to participate in debate, but not to make motions or vote.

## 7. Records of Meetings

The official record of each Senate meeting shall be kept by the Secretary who may use whatever means he or she finds appropriate to prepare an accurate record of the proceedings. All other participants (members, visitors, etc.) are prohibited from photographing, sound recording, video taping, or using any other electronic means to record the proceedings.

# **Article XI. Officers and Committees of the Faculty Senate**

## A. Officers

The Officers of the Senate shall consist of the following:

1. The President of the University, who will serve as ex officio President of the Senate.
2. The Speaker, who will serve as an impartial moderator of Senate meetings. The Speaker shall be selected by the Senate, which may also select an alternate Speaker to serve in the absence of the Speaker.
3. One or more Parliamentarians to be appointed by the Speaker at his or her discretion.
4. Such other officers as may be provided for from time to time by the Senate, to be selected in such manner as it may determine.

## B. Committees

The committees of the Senate shall be as follows:

1. A University Faculty Committee, which shall be the same committee, with the members, functions, and duties, as provided above in Article VIII-A-1. In addition to the duties there provided, the University Faculty Committee shall act for the Senate in emergencies, shall act for the Senate in considering nominations of the Nominations and Elections Committee for administration or administration-faculty committees when required by the need for timely action, shall assist the Dean in preparing the agenda for regular and special meetings of the Senate, and shall perform such other functions as may be prescribed by the Senate.
2. A Committee on Nominations and Elections which shall be the same committee, with the same members, functions, and duties, as provided above in Article VIII-A-2.
3. Such other standing and ad hoc committees and subcommittees, elective or appointive, as may be established by the Senate. The University Faculty Committee may also establish ad hoc committees and subcommittees.

4. Except in the case of the University Faculty Committee, any member of the University Faculty, whether or not a voting member, and whether or not a member of the Senate, shall be eligible to serve on any committee or subcommittee provided for in paragraph 3 above, or in section XIII.B. below.
5. The terms of office of members of the aforesaid committees shall be as prescribed by the Senate. In the case of standing committees the terms of office shall normally be staggered to permit a reasonable degree of continuity. In the case of ad hoc committees the duration of such committees shall be as prescribed by the Senate, subject to extension if necessary. Any standing or ad hoc committee which fails to meet, and does not otherwise act or file a report, for a period of one academic year, shall be automatically discontinued.

## **Article XII. Relationship Between the University Faculty and Faculty Senate**

### **A. In General**

As stated above in Article X, Sec. A, the Senate is hereby delegated all the powers and functions of the University Faculty not reserved to the Faculty under Article IV, Sec. A, subject to the power of the Faculty, reserved in Article IV, Sec. A-5, to postpone or nullify any action of the Senate.

### **B. Effect of Postponement or Nullification**

1. A postponement shall be for a specified period not to exceed ninety days.
2. A nullification may be in whole or in part with respect to any particular action of the Senate.

### **C. Initiation of Proposals**

A proposal to suspend or nullify an action of the Senate must be initiated within twenty days of the date of such action. It may be initiated:

1. By the President, the Board of Trustees, or the Executive Committee of the Board; or
2. By written petition of members of the University Faculty who are not members of the Senate equal in number to, or greater than, the quorum of the authorized membership of the Senate; or
3. By two-thirds of the members of the University Faculty Committee.

### **D. Review and Presentation of Proposals**

The University Faculty Committee shall review any such proposal made under Section C-1 or C-2 above. Prior to the meeting of the Faculty at which such proposal is submitted, said Committee shall make its views thereon known by communication to the University Faculty, in the call of the meeting or otherwise, and shall, whatever its views may be, assist the Secretary and the proposers in presenting the proposal to the meeting.

### **E. Action on Proposal**

Any such proposal shall be promptly submitted to a special meeting of the Faculty or, if the timing permits, a regular meeting, provided notice of such proposal is set forth in the call of the meeting. Provided the necessary quorum is present (see Article IV, Sec. B-3-b above) adoption of such proposal shall require the affirmative vote of a majority of the voting members present. If the proposal is not adopted, the action of the Senate shall stand, subject to Section F below. If two successive meetings (including an adjourned meeting) have been called or set to consider any such proposal, and there is an absence of a quorum at each, the action of the Senate shall stand, subject to Section F below.

### **F. Referendum by University Faculty**

A referendum by mail ballot of the University Faculty may be had on any action of the Senate which has been duly submitted to the University Faculty for proposed nullification under Sections A through E above, whether or not such proposal to nullify has been approved under Section E above. Such a referendum may also be had on any action of the University Faculty taken in the exercise of its reserved powers (Article IV-A) without any prior action of the Senate. The following procedures shall govern:

1. Any such referendum shall require a petition in writing from the President, the Trustees, or voting members of the Faculty equal to or greater in number than the authorized membership of the Senate, filed within twenty days of the last action, or failure to act, on the matter on which the referendum is sought.
2. The Dean shall, in cooperation with the University Faculty Committee, distribute suitable information concerning the issue to the Faculty.
3. Only voting members of the Faculty shall be eligible to vote in such referendum.
4. The mailing, balloting, and counting procedures shall be prescribed and supervised by the Committee on Nominations and Elections, which shall decide any disputed questions in connection therewith.
5. Provided at least 25 percent of the voting members of the Faculty cast valid ballots in such referendum, the majority of the votes cast, whether such majority is in favor of the original action or in favor of its nullification, shall decide the issue. If the vote is less than 25 percent, the referendum shall be without effect.

#### G. Subsequent Action

Once a proposal to postpone or nullify an action of the Senate has been initiated, and has been finally approved or defeated by the University Faculty under the above procedures, or final action has been taken on a matter within the reserved powers of the University Faculty, the matter (or substantially the same matter as determined by the University Faculty Committee) shall not be brought up again before the University Faculty or the Senate until at least one year has passed from the date of such final approval, defeat, or other action.

### **Article XIII. Relationship Between Administration and Faculty Governance**

#### A. University Faculty Committee

The central administration, and in particular, the Provost and the President, will look to the University Faculty Committee for advice and consultation on all major policy issues that are of interest to the faculty. To facilitate that advisory and consultative relationship, the Provost and/or the President will meet on a regular basis with the University Faculty Committee.

#### B. Central Administration Committees

If members of the central administration constitute a committee to make or advise on policy issues, or carry out searches, and decide to appoint faculty members to that committee who are not members of the central administration, college deans or associate deans, or division directors or associate directors, the expectation is that they will ask the Senate to nominate some faculty members to serve on the committee. The central administration will be expected to select about one-half of the faculty membership on each such committee from names presented by the Senate. The Senate will present as many names as are requested, but in no case more than twice the number to be selected.

## **Article XIV. Amendments**

This document may be amended in accordance with the following procedures:

### **A. Initiation of Amendment**

A proposal to amend this document may be initiated:

1. By majority vote of the Senate; or
2. By majority vote of the University Faculty Committee; or
3. By written petition of members of the University Faculty who are not members of the Senate equal in number to, or greater than, the quorum of the authorized membership of the Senate.

### **B. Submission to the Faculty**

Any such proposal to amend shall be reviewed by the Senate which shall make its recommendation thereon. If it does receive majority approval, it shall then be submitted to a referendum in accordance with Item C below.

### **C. Referendum**

If the proposal to amend has been approved by a majority vote at a meeting of the Faculty Senate under Section B above, it shall then be submitted promptly to all voting members of the University Faculty for a referendum by e-mail ballot. If approved by a majority of the valid ballots cast, the proposal shall be deemed adopted and this document amended accordingly.

### **D. Conduct of Referendum**

Such referendum shall be supervised by the Committee on Nominations and Elections, which shall decide all questions and disputes arising in connection therewith. The Committee may call upon the Dean and the University Faculty Committee, if necessary, for assistance in conducting such election.

### **E. Subsequent Action**

If a proposal to amend this document is defeated, the same proposal (or substantially the same proposal, as determined by the University Faculty Committee) may not be initiated until at least one year has passed from the date of such defeat.

Adopted by the University Faculty, January 13, 1971. Amended by the University Faculty, September 12, 1973, referendum September 28, 1973; February 12, 1975, referendum, March 21, 1975; March 3, 1976, referendum May 4, 1976; September 20, 1978, referendum October 30, 1978; September 19, 1979, Referendum October 22, 1979. Announcement by Dean of Faculty to correct gender-specific pronouns, University Faculty Meeting, May 18, 1983, Records, pp. 5643-44F. Amended by the University Faculty, October 12, 1994, referendum April 1995. Amended by the University Faculty, October 11, 1995, referendum October 16, 1995. Senate Approval, November 14, 2007; amended by the University Faculty, February 27, 2008; referendum April 30, 2008.

## 3. Titles, Appointments, Leaves

### 3.1 Description of Titles

Academic titles are assigned according to the mix of primary responsibilities at the forefront of the university's core efforts in research, teaching, and extension or outreach (including library). The use of a title may require that an approved position be available.

Academic Titles are primary titles and all appointments thereto are approved by action of the dean, the provost, or the Board of Trustees. Administrative titles, such as dean and provost, are not included and do not by themselves confer academic status. Additional titles are used in the Medical College.

See [Approved Academic Titles](#) for full descriptions of titles used at Cornell University. Faculty employment policies are available on the HR Policies [webpage](#); these include appointment terms, leaves and other policies and procedures.

The Dean of Faculty's Office maintains the list of Professorial Title Legislation that enables the use of the Clinical Professor, Professor of the Practice, and Research Professor titles at the college level, as well as the list of academic titles with [University Voting Rights](#).

Excepting postdoctoral associates and fellows, any individual who holds one of the approved academic titles, possibly modified by "adjunct", "visiting", "acting", "courtesy", or "emeritus/a," shall be regarded throughout the Faculty Handbook as an "academic titleholder."

### 3.2 Description of Title Modifiers

Title modifier descriptions are available in the appendix of [Approved Academic Titles](#).

### 3.3 Appointment Process

The academic personnel and appointment policies that have been standardized and placed into the official university policy format are posted online at the University Policy Office, and are available in the Human Resources Volume of its library (Volume 6). The URL of currently standardized university policies is: <http://www.dfa.cornell.edu/treasurer/policyoffice/>. Those that have not yet been standardized and placed into the official university policy format are listed at this site also. The policies are periodically updated and should be consulted for more complete information than this handbook contains on matters related to academic appointments. Additional assistance may be obtained from the academic department's administrative office, the college office, the Office of Academic Human Resources, or the Office of the University Faculty.

A commitment to affirmative action and equal opportunity constitutes one of the highest priorities of the faculty, the administration and the trustees of the university. The university has an office, designated by the provost, with responsibility for diversity. The university's Office of Workforce Diversity and Inclusion, in the Office of Human Resources, works with this office. Academic and nonacademic units have appointed an affirmative action representative. This administrative structure assists the university in implementing affirmative action policies and procedures.

Except in rare special circumstances, or when an appointment is temporary—expected to terminate in one year or less—vacant academic positions must be filled by conducting a formal search. Authority to initiate a search comes from a dean, or in the case of centers, from an executive officer. Before a search is begun, an affirmative

action search plan must be submitted to the dean or executive officer for approval and also to the office designated by the provost for assuring compliance for equal employment opportunity laws. This office assists the dean's office and the search committee with affirmative action aspects of the search. When the search has been completed, an appointment confirmation and search summary (ACSS) form must be prepared and submitted to the dean, along with a copy of the search plan, the Employment Eligibility Verification form (I-9), tax forms, the appointment letter, an HR Online transaction, and in some cases, a patent agreement may be required.

#### Authority to Make Appointments

Academic appointments normally originate in departments, and are processed through the Records Administration Office in Human Resources. Actions involving academics with joint appointments may require approval by the other college. Faculty members do not have authority to make academic appointments, even if the supporting funds come from research grants supervised by the faculty members. No appointment is firm until it is approved at the designated level of final authority for the particular title, status, and length of term that apply to it. Extensive details regarding this authority are published in the policy about academic titles and appointments on [the University Policy Library website](#) or [Academic HR Resources webpage](#). Answers to particular questions can be obtained from department administrative offices and deans' offices.

Appointments or promotions involving award of indefinite tenure require the approval of the Board of Trustees and are acted on at meetings of the board. Professorial term appointments of five years or less (four years or less in the case of assistant professors) can be approved by the dean, without Trustee action, if the appointment does not exceed permissible limits governing time and title.

#### Letters of Appointment

Letters of appointment at the rank of assistant professor, non-professorial titles, and for term appointments of associate professors and professors, may be transmitted to the appointee with prior approval from the dean's office. Appointments conferring tenure require the approval of the Board of Trustees, and the official notification letter comes from the president.

#### Academic Appointments in the ROTC Program

According to the University Bylaws, "the commanding officers of the Army, Navy and Air Force ROTC units shall be department heads with the ex officio rank of professor in the Department of Military Science and Tactics, the Department of Naval Science and the Department of Air Science, respectively; and other members of the instructional staff in these departments shall have the academic rank below that of professor to which they may be appointed by the president upon the recommendation of their department heads. Non-teaching instructional staff in those departments shall be accorded the same University privileges as Cornell staff. Unless sooner terminated by the university, all appointments in these departments terminate upon relief from military duty at the university." Those with rank of professor also have voting status in the University Faculty. Relations between Cornell University and the ROTC program are monitored by the University-ROTC Relationships Committee. The officers nominated by the military services to give ROTC instruction at Cornell must be reviewed and accepted by this committee before the appointments are confirmed.

#### Academic Appointments of Foreign Nationals

Information is housed on the website of International Services within [the Office of Global Learning](#).

#### Part-Time Policy

Part-time appointments are possible for all academic titles. Such appointments are made when the position requires less than full-time service, when there are funding limitations, or when the individual is not available full-time. Except in unusual situations or in cases of adjunct and courtesy appointments, the minimum amount of time

that the staff member may commit to the University during the period of appointment is 25 percent. For membership in the University Faculty, the appointment must be for at least half-time.

Joint appointments are not considered part-time appointments. However, an individual whose salary comes partly from a professorial appointment and partly from a non-professorial position is considered a part-time faculty member of the University Faculty. When an individual is awarded tenure on a part-time basis the financial commitment is limited to the portion of salary associated with the professorial appointment. According to faculty legislation, tenure or probationary tenure status is possible only for professors who are on at least half-time appointments (please consult faculty legislation below).

Adjunct professors are by definition on part-time appointments. Since the primary responsibilities of adjunct professors are external to the University, they are not eligible for tenure.

Due to the nature of an academic appointment, it is not possible to translate the terms part-time and full-time into numbers of hours. When part-time appointments are made, it is the responsibility of the appointee and the department chairperson or other cognizant individual to agree on the duties involved.

The [Cornell University Conflicts Policy](#) states:

“Faculty and staff members who hold part-time appointments commonly will have major obligations and commitments, not only to the University, but to one or more outside agencies. The potential for conflict may be significant. Accordingly, part-time employees are expected to exercise special care in disclosing and fulfilling their multiple obligations.”

Information about benefits eligibility is available from the [Benefits Services Division](#) of the Office of Human Resources.

The following is the policy on part-time appointments adopted by the Faculty Council of Representatives on October 9, 1974 (Records, pp. 4431-34C), as amended by the Board of Trustees on January 17-18, 1975 (Proceedings, pages 8871, 8882-83, 8902), with 29 the Faculty Handbook’s non-substantive changes to phrase the policy in gender-neutral terms and the ellipsis in paragraph 6 reflecting the discontinued School of Nursing program:

1. Definition: A part-time faculty appointment is an appointment involving academic responsibilities requiring not less than one-half of the responsibilities required of a full-time faculty member.
2. Rationale: A part-time appointment is designed for faculty members who wish to maintain the continuity of their academic careers when professional and personal commitments restrict the time that they can devote to academic responsibilities. The availability of part-time appointments permits, on an optimal basis, greater staffing flexibility for colleges and their departments than is now possible.
3. General Provisions
  1. Colleges of the university may at their discretion appoint qualified men and women to part-time faculty positions.
  2. A faculty member may, under conditions set forth below, transfer from full-time appointment to part-time appointment and vice versa.
  3. A faculty member holding a part-time appointment will be eligible for all the rights, privileges, and benefits (including sabbatical leave) that are available to a full-time faculty member. Such rights, privileges, and benefits, however, will be made available on a pro-rata basis except when such proration is not practically feasible.
  4. The standards of performance as well as the procedures governing initial appointment, promotion, and/or tenure appointment for a faculty member serving on a part-time basis will be identical to

those applied to a faculty member serving on a full-time basis. However, fulfillment of length of service requirements will be judged on the basis of equivalency to full-time service, e.g. two years of half-time service would be equivalent to one year of full-time service. Part-time faculty members would be considered for tenure not later than the equivalent of the sixth year of full-time employment (in accordance with the provost's memorandum of March, 1971).

#### 4. Original Appointment

1. An original appointment to a part-time position shall be made in accordance with the provisions set forth above.
2. A description of the responsibilities, expectations, and other relevant conditions of the part-time appointment shall be given in writing to the individual with copies distributed to the college dean and department chairperson.

#### 5. Change of Appointment

1. Any faculty member holding a part-time appointment is eligible for transfer to a full-time appointment, and any faculty member holding a full-time appointment is eligible for transfer to a part-time appointment. A change in status may be initiated by either the individual or (where applicable) the department chairperson or dean. Changes in status may not be effected without the consent of the faculty member and shall be effected by the same procedure utilized in the college for new appointments.
2. Changes of status shall be accomplished without gain or loss regarding length of service requirements.
3. Any change in rank (promotion and/or tenure) associated with such transfer shall be subject to the standards and appraisal procedures required for appointment to the new rank.
4. A description of the responsibilities, expectations, and other relevant conditions of the appointment which the individual is assuming, shall be given in writing to the individual with copies distributed to the college dean and relevant department chairperson.

#### 6. Application

1. This regulation shall apply to all academic divisions of the University except the Medical College, ... and the Graduate School of Medical Sciences.

Part-time appointments for short and definite terms have always been possible. The above policies apply primarily to longer-term appointments.

For employees of the Library, appointees at three quarters time or more are considered as full-time in computing time in rank. Please consult section II C of the [Cornell University Library Procedure 13](#).

In the prorating of sabbatical leave, consult the sabbatical section of Appendix B in the policy "[Leaves for Professors and Academic Staff](#)."

There are two types of part-time appointments. In some cases, appointments are for less than full-time because of the limited availability of individuals. In other cases, the appointments are for part-time because of limitations within departments. In the latter cases, individuals may accept other academic positions at Cornell. In such a circumstance, if an individual is on the tenure track, an agreement should be reached relative to the degree that the responsibilities of the second position would be a consideration in the tenure decision.



### **3.4 RTE Reappointments**

Reappointment of Research, Teaching and Extension (RTE) faculty holding a renewable term appointment is not a right and is not automatic. Reappointment depends on the quality of performance in the position, the availability of funds and space, and the continuation of the sponsoring program. Approval by the department chairperson and the dean or director of the academic unit is required for reappointment.

Guidance for early termination notice, non-renewal or reduction in effort/salary is available on the Academic HR Resources [webpage](#).

### **3.5 Leaves**

[University Policy 6.2.1 Leaves for Professors and Academic Staff](#) is housed in the University Policy Library.

### **3.6 RTE Cap Modification Procedure**

If a College wants to liberalize its existing percent limitation constraints, then they are required to submit a proposal to CAPP that has these attributes:

- A. It identifies the subset of RTE titles whose combined numbers are to be subject to the percent limitation. The current occupancy numbers are given for those titles, other RTE titles, and the various ranks of tenure-track faculty.
- B. It specifies the criteria that must be satisfied if any of its departments in the college are allowed to exceed the limitation constraint.
- C. It explains why the current percent limitation constraints are no longer relevant or appropriate, providing historical data as appropriate. In the case of teaching appointments, information about teaching loads and its impact on the TT faculty is useful. Give an analysis of the expected change in the number of RTE instructors vs tenure track instructors that a student will see as a major.
- D. It puts the proposed request in perspective by describing corresponding policies and levels at peer schools.
- E. It confirms that none of the RTE positions in question replicate the functions of positions ordinarily held by tenured or tenure-track faculty.
- F. It confirms that additional RTE positions that are made possible by the relaxation of the percent limitation does not detract in any way from the potential for adding tenured or tenure-track positions in the college. A discussion of funding sources for these new positions could be an important part of that discussion.
- G. It specifies which titles of the RTE positions will have College voting rights and the conditions under which their voting rights do not apply (For example, RTE faculty should not vote on issues related to tenure and promotion).

As much as possible, the new proposed percent limitation constraint should be shown to be consistent with the college's current strategic direction (preferably as documented in the unit's strategic plan).

There must be evidence that sections A through F of the proposal were reviewed and discussed by the faculty before there was a vote, and the vote results should be included in the document that is sent to CAPP. Separate tabulations are required for University Faculty and those RTE faculty who have voting rights in the college (Yes/No/Abstain/DNV). The Senate will only consider the proposal if the number of TT (tenured and tenure track) Faculty who vote is at least two-thirds the total number of TT faculty in the unit and at least one-half of all the TT faculty in the unit voted positive. Likewise, it must be the case that the number of RTE faculty who voted is at least two-thirds the total number of eligible RTE faculty in the unit and at least one-half of all the eligible RTE faculty in the unit voted positive.

CAPP deliberations could include a dialog with the sponsoring college as required. CAPP's report to the Senate should include the results of a committee vote (Yes/No/Abstain/DNV).

Once a year CAPP will review the tenure track faculty and RTE populations numbers provided by IRP and confirm to the Senate that the approved percent limitations are being followed.

In no case will a proposal be considered if the relaxed percent limitation makes it possible for the number of RTE faculty with voting rights to exceed the number of TT faculty in the college.

## 4. Tenure Track Promotions

### 4.1 Tenure Process

#### Reappointment of Faculty with Probationary Tenure Status

Most commonly, a person entering a tenure-track academic career is given a three-year appointment at the assistant professor level. Toward the end of each year of this appointment, the faculty member should review his or her progress with the department chairperson or with a mentor among the department's senior faculty members. In the third year, the department conducts a more thorough performance review. If the outcome is positive, it is normal for a renewal for a second three-year term to be recommended for approval by the dean.

If the outcome of the review is negative, the faculty member must be given a terminal appointment that allows him or her to serve two full academic terms after written notice of nonrenewal. If the faculty member clearly is not meeting expectations, the notice not to renew the appointment may be given earlier than the third year. In that case, the next year of the initial appointment serves as the required two terms of notice.

There are procedures for appealing a decision not to reappoint a nontenured faculty member who holds an initial probationary-tenure-status.

#### Tenure

##### University Criteria

In 1983, the Faculty Council of Representatives (the forerunner of the current Faculty Senate) adopted a resolution expressing its concern for affirmative action in tenure appointments. Subsequently, the resolution was incorporated into the University Criteria for Tenure Appointments as follows:

It is not possible to establish, at the university level, detailed criteria for tenure appointments for the many academic units in the university. The basic criteria are clear: excellence in carrying out the responsibilities of the position, and unusual promise for continued achievement. Since the requirements and criteria of a department may change, each decision is a separate action and independent of any other current or previous decisions within or outside the department.

The responsibilities of a faculty member include teaching, research and other scholarly achievement, public service, advising students, and contributing to the department, the college, and the university. Not all faculty members are assigned all these responsibilities. The emphasis given to each responsibility, as determined by existing circumstances, varies among the colleges and departments of the university and may change within a department.

The department, the chairperson, and the dean have the responsibility of weighing the different roles of each faculty member and evaluating the strengths and weaknesses of the candidates for tenure, taking into account the mission and needs of the department and the college. These include the interests of the unit and the university to promote racial, ethnic and gender diversity among the faculty. But regardless of how the department weighs the relevant factors in any particular case, no candidate may be granted tenure who does not meet the requirements for overall excellence. Failure to meet any of the diversity factors may not be used as a negative element in the evaluation of any candidate.

Given the rigorous standards for tenure at Cornell, individuals whose performance has been acceptable, or even of high quality, may not receive promotion. Many candidates for tenure, in evaluating their own progress, often develop unrealistically positive attitudes relative to their chances for promotion. On the other hand, across the university, only about one-half of the candidates for tenure are promoted.

Since a tenure appointment is not a right, and since it could result in a collegial relationship within the department for a period of decades, the department faculty has considerable latitude in reasons for making a negative recommendation. However, such factors as race, color, creed, religion, national or ethnic origin, sex, sexual orientation, age, or disability must not be a basis for such decisions.

#### Time Period Prior to Review for Tenure

The initial appointment to the Cornell faculty of a highly qualified person who is already credited with significant achievements may be at the rank of associate or even full professor, but without indefinite tenure. Such appointments are for a limited term of not more than five years, typically in a probationary tenure status. That is, the award of tenure is deferred until the faculty member and the university become well acquainted and a review leading to the long-term tenure decision is possible.

More commonly, however, tenure is awarded, along with promotion to the rank of associate professor, after a person has spent a period in probationary tenure status as an assistant professor. The length of that period depends on the amount of professional experience the individual has acquired between earning the terminal degree in his or her field and the initial appointment as assistant professor. If that period is no more than a year or so, the candidate is usually reviewed for promotion and tenure in his or her sixth year at Cornell, typically the third year of the second term of appointment as assistant professor. Then, if the outcome is negative, a one-year terminal appointment is provided in the seventh year.

According to university bylaws, a faculty member may not hold the position of assistant professor for more than the equivalent of six years of full-time service, unless, in the judgment of the provost, a temporary extension is warranted.

A department is not bound to undertake a tenure review for all those on the tenure track. The appointment of a faculty member for a definite term may be terminated for reasons involving staffing patterns, the decline in relevance of a research area to the mission of the department, or lack of funds. In such a case, the faculty member should receive written notice as early as possible that there will be no review and should be given a one-year terminal appointment. He or she should be informed of other suitable open faculty positions in the university. The faculty member may appeal the decision not to conduct a tenure review using these procedures.

#### Review Process for Tenure

Permission to initiate a review for tenure must be obtained from the dean, because it commits the college or school to long-term support of the position. When a review for promotion to tenure is conducted, it is required to be thorough and well-documented, since the decision that is made is of far-reaching importance both to the individual and to the university. The first step in the process is a review of the candidate by the faculty of the department. For this purpose, and with the assistance of the candidate, a complete vita and list of publications are assembled, together with copies of the most relevant of the publications. Typically the candidate is asked to submit statements of goals and achievements in research, teaching, advising and extension/service.

Documentation of success in teaching is collected, in the form of course-evaluation questionnaires and letters from both selected and randomly chosen graduate and undergraduate students. Evidence of service to the community, the department, the college, and the university is compiled. Letters are solicited from colleagues in the university and from outside experts to provide an evaluation of the quality of the candidate's creative work and its impact on the scholarship of the field.

The aim of the review is to assess the achievements of the individual during his or her probationary period, as well as the promise shown for growth and further achievement. The detailed procedures by which the department conducts its assessment vary, but they must include the basic elements mentioned above as well as: (1) making the documentation gathered during the review available to the tenured faculty members of the department, (2) holding a meeting of the tenured faculty members for the announced purpose of discussing and voting on the

promotion in question, and (3) taking the vote. There is no general prescription for interpreting the vote; some departments do not consider such a vote positive unless the margin of positive over negative votes is quite large. In any case, the department chairperson is not bound by the vote, though he or she must report it to the dean. The chairperson represents the department in making and explaining to the dean the department's recommendation for or against the promotion.

If, after a tenure review is carried out, the department's tentative tenure decision is negative, it is communicated to the candidate before being given to the dean, and the candidate has an opportunity to request a reconsideration by the department following these procedures.

After the department's initial review and any reconsideration are completed, the decision is reviewed at the college level by the dean. If the department's recommendation is positive, the dean must appoint an ad hoc committee of faculty members outside the department to study the evidence and advise him or her in reaching a decision. Even if the department's recommendation is negative, the candidate may still request that the dean appoint the ad hoc committee.

#### Faculty Advisory Committee on Tenure Appointments

The Faculty Advisory Committee on Tenure Appointments (FACTA) advises the provost on all proposed promotions to and appointments with tenure as well as proposed denials of tenure by a dean after a positive recommendation from the department.

#### **Positive Recommendation by the Dean**

If the dean's recommendation is positive, it is reviewed by FACTA. Four members of the committee are chosen at random to read each file. If all four members are positive with no concerns or reservations, a positive recommendation is forwarded to the provost.

If any one of the four has reservations, each member of the full committee reviews the file. The committee's decision is sent to the provost within four to six weeks of receiving the file.

#### **Negative Recommendation by the Dean**

If a dean reaches a preliminary decision to deny tenure to a non-tenured faculty member whose promotion to tenure has been recommended by his or her department, the dean within three weeks of that decision furnishes the candidate and the department with a preliminary written statement of the reasons for that decision and the nature of the evidence within the limits set by the need to preserve confidentiality. For a two-week period following receipt of the dean's statement, the candidate and/or department has the opportunity to respond to the dean. If, following this response, the dean is not persuaded to change the decision to deny tenure, the dean forwards the file, together with an explanation for the decision, to the provost. If the provost does not have any concern or reservation about the dean's proposed decision, she or he informs the college dean, and the decision becomes final and subject to appeal. If the provost does have a concern or reservation, she or he forwards the file to FACTA, for consideration at a meeting of the full committee, following the procedures used by the committee in cases following positive recommendations by the dean.

After receiving FACTA's recommendation, the provost consults with the dean. Until the dean has received a response from the provost, the dean's decision remains provisional. The University Level Appeal Procedure described [here](#) does not commence until the dean's decision is final, and is not supplanted in any way by FACTA consideration. Positive tenure recommendations are ultimately presented by the president to the Board of Trustees for consideration. The final decision regarding tenure is made by the Trustees. The decisions of the provost and of the Trustees are not subject to appeal.

#### [FACTA Dossier Guidelines](#)

#### Tenure Pause Policy

The award of indefinite tenure is a profound commitment of the Department, the School/College, and the University. Some forms of faculty misconduct raise critical concerns that are directly pertinent to the standards governing the award of tenure. This section addresses situations in which allegations of serious misconduct arise either before or during the course of an active tenure review.

#### A. Serious Misconduct

1. For purposes of this policy, serious misconduct includes but is not limited to: alleged violations of Cornell policies [1.2](#) (Academic/Research Misconduct); [6.3](#) (Consensual Relationships); [6.4](#) (Bias, Discrimination, Harassment, and Sexual and Related Misconduct); [4.14](#) (Conflicts of Interest and Commitment); [1.7](#) (Financial Conflict of Interest Related to Research); and [4.6](#) (Ethical Standards); or alleged violations of other policies, regulations, or laws the violation of which could reasonably lead to substantial discipline such as suspension or dismissal.
2. The faculty member always has the opportunity under those policies to respond to the allegations of misconduct.
3. If the sanction is termination, then the tenure review is brought to a close. For sanctions less than termination, then sections B, C, and D below apply.

#### B. Delaying or Pausing a Tenure Review

1. For purposes of this policy, a tenure review starts the moment the chair requests tenure dossier materials from the candidate, when the chair convenes the first meeting of the tenured faculty who will consider the case, or when the candidate enters the final year of the probationary period, whichever comes first.
2. The “Pause Panel” consists of the candidate’s chair and dean together with the provost and the dean of faculty.
3. A tenure review shall be delayed or paused if allegations of serious misconduct, as defined in section A arise that are deemed credible by the Pause Panel.
4. If credible allegations of serious misconduct become known before the tenure review begins, then the dean, in consultation with the Pause Panel, shall delay the start of the review until the adjudication of the misconduct allegations is completed.
5. If credible allegations of misconduct become known during the department or college stages of the tenure review, then the dean, in consultation with the Pause Panel, shall pause the review until the adjudication of the misconduct is completed.
6. If credible allegations of misconduct become known after the college stage of the review is completed, then the provost, in consultation with the Pause Panel, shall pause the review until the adjudication of the misconduct is completed.
7. In all such cases, the candidate shall be apprised of the misconduct allegations and the fact that the delay or the pausing of the tenure review is being considered. The candidate shall be given the opportunity to respond to the consideration before it is finalized.
8. The candidate shall not be given extra time to add scholarly content to the dossier in the event of a delay or a pause.

#### C. Misconduct-Related Summaries for Dossier Inclusion

1. The results of any inquiry, investigation, or adjudicative process associated with the misconduct shall be shared with the Pause Panel.

2. If the candidate is found not responsible for misconduct, then any reference to the alleged misconduct in the context of a reappointment or promotion review is forbidden without written approval from the candidate.
3. If the candidate is found responsible for some aspect of the misconduct, then a misconduct summary of the investigation results shall be jointly prepared by the Pause Panel in consultation with University Counsel. All subsequent reappointments and promotions that concern the candidate shall include the misconduct summary in the dossier.
4. Either way, the candidate has the right to include in the reappointment/promotion dossier a written statement that addresses any matter associated with the misconduct case.

#### D. Proceeding with the Tenure Review

1. After full adjudication of the misconduct case and/or the completion of any suspension-related sanction, the tenure review is resumed.
2. Upon resumption of the tenure review, the stipulations set forth in sections C.2, C.3, and C.4 apply.
3. If the tenure dossier is augmented with documents that relate to the misconduct case, then the review must be restarted at the department level and proceed accordingly to the college and university levels.

## 4.2 Promotion to Full Professor

### Timeline for Promotion to Full Professor

Associate professors with tenure are normally considered for review for promotion to professor in the sixth year of such an appointment. At that time, the chairperson of the department convenes a meeting of the full professors to decide whether a formal review for promotion should be initiated. If the full professors decide not to initiate a review, the chairperson will discuss their decision with the candidate. The candidate may request a formal review at that time, and his or her request will be granted automatically. If the candidate agrees to a postponement, the chairperson will, at the beginning of the following year, consult the full professors and the candidate again, and initiate a formal review unless the candidate requests that the review be postponed. If the candidate has not been reviewed at least once after serving as an associate professor for seven years, the chairperson will consult the candidate at least triennially and will initiate a formal review unless the candidate does not want one. If a department chairperson is an associate professor and is subject to a review, it is the responsibility of the dean to conduct the discussions or to assign the responsibility to a senior member of the department.

If a candidate has received a formal review that has not culminated in a recommendation of promotion, the candidate may, after two or more years have elapsed, request a second review, and this request will be granted. (If the first review was unsuccessfully appealed, the two years are measured from the time of the appeal committee's decision.) There is no upper limit to the time a faculty member may serve in the rank of associate professor.

### Process for Promotion to Full Professor

The criteria for promotion from associate professor with tenure to professor are excellence and potential in teaching, research, or extension, and a judgment on whether the individual has fulfilled the promise on which tenure was originally granted. In all colleges, a department review is required, and a detailed rationale for the promotion must be submitted to the dean or director along with the vote of the full professors among the faculty.

The department procedures applicable to the promotion to professor are the same as those outlined above for the award of tenure, except that it is the vote of the full professors (tenured, if the candidate is tenured) in the department which is taken and recorded. The documentation need not be as extensive as it is for promotion to

tenure, and the setting up of an ad hoc committee is at the dean's discretion unless the recommendation of the department is negative and the candidate requests such a committee. If research is one of the candidate's responsibilities, the dean may want to seek the advice of an ad hoc committee, since external opinions should be sought on such a candidate's accomplishments and promise.

The dean is not bound by the recommendation of the department as expressed by the chairperson. If the dean disagrees with the judgment of the department, he or she will—if this has not already been done—set up an ad hoc committee. If the dean reverses the department decision, he or she will forward all the materials, including the ad hoc committee's report, to the provost for review. Promotions from associate professor with tenure to professor are made on the authority of the provost.

#### Review Process for Promotion to Full Professor

##### Time Period Prior to Review for Promotion to Full Professor

Associate professors with tenure are normally considered for review for promotion to professor in the sixth year of such an appointment. At that time, the chairperson of the department convenes a meeting of the full professors to decide whether a formal review for promotion should be initiated. If the full professors decide not to initiate a review, the chairperson will discuss their decision with the candidate. The candidate may request a formal review at that time, and his or her request will be granted automatically. If the candidate agrees to a postponement, the chairperson will, at the beginning of the following year, consult the full professors and the candidate again, and initiate a formal review unless the candidate requests that the review be postponed. If the candidate has not been reviewed at least once after serving as an associate professor for seven years, the chairperson will consult the candidate at least triennially and will initiate a formal review unless the candidate does not want one. If a department chairperson is an associate professor and is subject to a review, it is the responsibility of the dean to conduct the discussions or to assign the responsibility to a senior member of the department.

If a candidate has received a formal review that has not culminated in a recommendation of promotion, the candidate may, after two or more years have elapsed, request a second review, and this request will be granted. (If the first review was unsuccessfully appealed, the two years are measured from the time of the appeal committee's decision.) There is no upper limit to the time a faculty member may serve in the rank of associate professor.

#### Review Process

The criteria for promotion from associate professor with tenure to professor are excellence and potential in teaching, research, or extension, and a judgment on whether the individual has fulfilled the promise on which tenure was originally granted. In all colleges, a department review is required, and a detailed rationale for the promotion must be submitted to the dean or director along with the vote of the full professors among the faculty.

The department procedures applicable to the promotion to professor are the same as those outlined above for the award of tenure, except that it is the vote of the full professors (tenured, if the candidate is tenured) in the department which is taken and recorded. The documentation need not be as extensive as it is for promotion to tenure, and the setting up of an ad hoc committee is at the dean's discretion unless the recommendation of the department is negative and the candidate requests such a committee. If research is one of the candidate's responsibilities, the dean may want to seek the advice of an *ad hoc* committee, since external opinions should be sought on such a candidate's accomplishments and promise.

The dean is not bound by the recommendation of the department as expressed by the chairperson. If the dean disagrees with the judgment of the department, he or she will—if this has not already been done—set up an ad hoc committee. If the dean reverses the department decision, he or she will forward all the materials, including the ad hoc committee's report, to the provost for review. Promotions from associate professor with tenure to professor are made on the authority of the provost.

[Procedures for appealing a negative decision on promotion to full professor](#)



## **4.3 Appeals**

### Not to Renew a Non-Tenure Appointment

#### I. Rights

##### **A. Right to Appeal**

Any faculty member in an initial probationary tenure status appointment who is not reappointed and who would not in the normal course of events be reviewed for tenure at this stage of his or her career may appeal that decision at the departmental, college, and University levels. [Note: Throughout this document, unless otherwise stated, the word “faculty member” shall mean a non-tenured faculty member in an initial probationary tenure status appointment who has been denied a reappointment.] The candidate shall be informed of this right, the procedures for exercising it, and the University guidelines and regulations concerning reappointment when he or she is first notified in writing of the decision not to reappoint.

##### **B. Extension of Appointments**

For the purpose of determining the start of the terminal appointment of a faculty member who is not reappointed, the date of notification shall be considered to be the first date of written notification of the decision not to reappoint, and shall be unaffected by subsequent appeals. Notice of a terminal appointment must be given in writing to an individual, which allows that individual to serve two full academic terms following receipt of the first written notice of the negative decision. An academic term [i.e. semester] is the period of time beginning two working days before registration and ending on the last day of final exams. For those notified of nonrenewal before the start of the final year of appointment, the final year fulfills the requirement of two terms of notice. However, if appeal within the University is in progress at the end of the terminal appointment, the appointment shall be extended until the appeal is complete.

Should any party involved in an appeal find that he or she is unable to comply with one or more of the deadlines specified in this document, that party may, prior to the lapsing of the deadline, apply to the Dean of the Faculty for an extension. If the Dean finds the reasons given for an extension sufficient to justify it, the extension shall be granted and all involved parties notified. All extensions shall be for a specified period of time. In cases where an extension is granted at the request of the appellant, the appellant’s appointment shall not be extended under I.B. beyond the duration of the normal term of an appeal without the consent of the Provost.

##### **C. Role of the Ombuds**

Faculty members shall retain full access to the office of the Ombuds prior to and in the course of the appeals process.

##### **D. Waiver or Loss of Appeal Rights**

The faculty member may waive the right to written explanations from the department chair and the dean, or may decline to pursue the appeals procedure at any stage. However, the appeal procedures herein described must be followed sequentially.

Waiver of any stage of the appeals procedure shall cause the faculty member’s right to proceed further to be forfeited. Thus, failure to request reconsideration of a negative departmental decision (see Section II), or failure to respond to a negative proposed decision at the college level (see Section III), will constitute waiver of further appeal rights.

#### II. Appeal at the Departmental Level

Any faculty member has a right to receive a timely reconsideration of a departmental decision not to reappoint before that decision is forwarded to the dean.

1. Within one week after being notified of that decision, the faculty member may request a written statement of the reasons for the decision and the nature of the evidence. If such a statement is requested, it shall be provided to the faculty member by the chair within three weeks of the departmental decision. The statement shall respect the limits set by the need to preserve confidentiality.
2. If the faculty member wishes to have the departmental decision reconsidered, he or she shall respond to the chair in writing within three weeks of receipt of the chair's statement of reasons. The faculty member may address any issue that he or she deems appropriate, and may present new evidence.
3. The eligible voting faculty shall consider the chair's statement and the faculty member's response, and a second vote shall be taken. The final departmental decision and the reasons for it shall be provided in writing to the faculty member within three weeks of receipt of the faculty member's response.

*Note: In schools and colleges that do not have a departmental structure, "department" shall refer to whatever faculty group makes the decision not to reappoint.*

### III. Appeal at the College Level

#### **A. Review by a Dean's Committee**

If the department's (or the college faculty's in the case of the Johnson Graduate School of Management, the Hotel School, and the Law School) final decision is negative, the dean shall, at the request of the faculty member, appoint a committee of Cornell tenured faculty members or tenured faculty members from an appropriate academic institution outside of Cornell to review that decision, if the dean has not already done so on his or her own initiative. No one who has participated in the decision or has taken a position on the reappointment may serve on the committee. The candidate shall make his or her request for appointment of the committee within one week of notification of the department's final negative decision, and the dean shall appoint the committee within three weeks of the candidate's request.

#### **B. Decision by the Dean**

Within three weeks of the receipt of the report of the dean's committee, the dean shall furnish the faculty member with a preliminary written statement of his or her decision, the reasons for it, and the nature of the evidence within the limits set by the need to preserve confidentiality. For a two-week period following receipt of the statement, the faculty member shall have the opportunity to respond to the dean, prior to the dean's final decision. The decision of the dean shall be furnished the candidate in writing.

### IV. Appeal at the University Level

For a two-week period following receipt of the dean's final negative decision, the faculty member may appeal that decision to the Provost. The decision of the Provost, and the reasons for it, shall be given in writing to the dean, the department, and the faculty member. The decision of the Provost shall not be subject to further appeal within the University.

Adopted by the Faculty Council of Representatives, May 13, 1981, Records, pp. 5342-54C; Executive Committee, Board of Trustees, May 30, 1981, Records, p. 10,808, Appendix D, Records, pp. 10,828-30; Board of Trustees, May 30, 1981, Records, p. 10,856; Faculty Council of Representatives, October 10, 1984, Records, pp. 5923-39C; Board of Trustees January 25, 1985, Records, p. 357, Appendix A, pp. 369-71. Amended by the Faculty Senate, March 13, 2002, Records, pp. 9393-9394S, Appendix 2; Board of Trustees, June 20, 2002.

Not to Conduct a Tenure Review at the End of the Ordinary Tenure Probation Period on the Basis of Factors Other than the Candidate's Merit

*NOTE: These procedures do not apply to decisions not to conduct an early tenure review. Such decisions, as opposed to a denial of tenure following a review, are not appealable whether initiated by the department or at the request of the faculty member.*

## I. Rights

### A. Right to Appeal

Any faculty member in probationary tenure status who is at the appropriate point in his or her career to be reviewed for tenure, and who is neither reappointed nor reviewed for tenure may appeal that decision at either the departmental or the college level, and at the University level. The candidate shall be informed of this right, and the procedures for exercising it, when he or she is first notified in writing of the decision not to initiate a tenure review.

### B. Extension of Appointments

For the purpose of determining the start of the terminal appointment of a faculty member who is not reviewed for tenure, the date of notification shall be considered to be the date of written notification of the first negative decision, and shall be unaffected by subsequent appeals. Notice of a terminal appointment must be given in writing to an individual, which allows that individual to serve two full academic terms following receipt of the first written notice of the negative decision. An academic term [i.e. semester] is the period of time beginning two working days before registration and ending on the last day of final exams. For those notified of nonrenewal before the start of the final year of appointment, the final year fulfills the requirement of two terms of notice. However, if an appeal of that decision within the University is in progress at the end of the terminal appointment, the appointment shall be extended until the appeal is complete.

Should any party involved in an appeal find that he or she is unable to comply with one or more of the deadlines specified in this document, that party may, prior to the lapsing of the deadline, apply to the Dean of the Faculty for an extension. If the Dean finds the reasons given for an extension sufficient to justify it, the extension shall be granted and all involved parties notified. All extensions shall be for a specified period of time. In cases where an extension is granted at the request of the appellant, the appellant's appointment shall not be extended under I.B. beyond the duration of the normal term of an appeal without the consent of the Provost.

### C. Role of the Ombuds

Faculty members shall retain full access to the office of the Ombuds prior to and in the course of the appeals process.

### D. Waiver or Loss of Appeal Rights

The candidate may waive the right to written explanations from the department chair and the dean, or may decline to pursue the appeals procedure at any stage. However, the appeal procedures herein described must be followed sequentially. Waiver of any stage of the appeals procedure shall cause the candidate's right to proceed further to be forfeited. Thus, failure to request reconsideration of a negative departmental decision (see Section II) will constitute waiver of further appeal rights.

## II. Appeal at the Departmental Level

Any faculty member for whom a departmental tenure review is not initiated and who is eligible to appeal that decision (see I.A.) has a right to have the decision reconsidered by the department before it is forwarded to the dean.

1. Within one week after being notified of the departmental decision not to initiate a tenure review, the candidate may request a written statement of the reasons for that decision. If such a statement is

requested, it shall be provided to the candidate by the chair within two weeks of the departmental decision. The statement shall respect the limits set by the need to preserve confidentiality.

2. If the candidate wishes to have the departmental decision reconsidered, he or she shall respond to the chair in writing within three weeks of receipt of the chair's statement of reasons. The candidate may address any issue or present any evidence that he or she deems appropriate.
3. The eligible voting faculty shall consider the chair's statement and the candidate's response, and a second vote shall be taken. The final departmental decision and the reasons for it shall be provided in writing to the candidate within three weeks of receipt of the candidate's response.

*Note: In those schools and colleges without a departmental structure, "department" shall refer to those faculty who make the decision not to initiate a tenure review, and "chair" shall refer to the appropriate faculty member.*

### III. Appeal at the College Level

If a dean makes a preliminary decision not to initiate a tenure review, he or she shall inform the candidate and the department in writing of the reasons for that decision. For a two-week period following receipt of the dean's statement, the candidate and/or the department shall have the opportunity to respond to the dean, prior to the dean's final decision.

### IV. Appeal at the University Level

#### **A. Filing an Appeal**

If a dean or a department makes a final decision not to initiate a tenure review, the candidate may appeal that decision at the University level. The appeal must be filed in writing with the dean of the college and the Dean of the Faculty within two weeks of notification of the dean's decision and must state the specific reasons for the appeal. The reasons must be based on one or more of the grounds listed in the following Section (IV.B.).

#### **B. Grounds for an Appeal**

The grounds for an appeal shall be limited to one or more of the following:

1. The stated reasons for the decision were contrary to the established regulations of the college or the University.
2. The stated reasons for the decision are unsupported by the evidence presented.

#### **C. Selection of an Appeals Committee**

An appeal shall be heard by an Appeals Committee composed of three tenured University faculty members. Within two weeks after the receipt of the appeal, the Dean of the Faculty shall be responsible for forming and charging an Appeals Committee to hear the appeal. Members of the Appeals Committee shall be selected in the following manner:

1. The appellant and the dean of the college shall each nominate two members of the University Appeals Panel. [Note: In cases where the appeal follows a departmental decision not to initiate a tenure review, the dean of the college shall consult with the department before making his or her nominations.] The appellant's nominees shall choose one of the dean's nominees, and the dean's nominees shall choose one of the appellant's nominees. The two so chosen shall then choose a third tenured University Faculty member, who shall chair the committee. The chair shall be from the college of the appellant, except in those colleges where all tenured faculty members participate in each tenure decision.
2. Any person nominated who has previously participated in the decision in question or feels unable to render an unbiased judgment or perceives a conflict of interest shall disqualify him or herself. However, in those

colleges where all tenured faculty have participated in the decision, the automatic disqualification of that college's Appeals Committee members shall be waived if that is agreeable to both parties.

#### **D. Principles and Restrictions to be Observed by the Appeals Committee**

In its deliberations and findings, the Appeals Committee shall respect the following principles and restrictions:

1. The Committee's review shall be limited to determining whether any one of the two possible grounds for appeal (listed in Section IV.B.) has been established.
2. The dean of the college and the department have the responsibility of setting the priorities of the department and the college. Therefore, the Committee shall avoid substituting its judgment in those matters for that of the dean or the department.

#### **E. Appeals Committee Procedures**

The following procedures shall govern the activity of the Appeals Committee:

1. The Committee shall have access to the file of the appellant. The Committee shall scrupulously protect the confidentiality of all documents and testimony.
2. In addition to examining written material, the Committee may hear the views of the principal parties and others it deems appropriate.
3. The Committee shall not be required to keep a transcript of its proceedings. The Committee shall maintain a record of the names of the persons interviewed and the titles of the documents considered.

#### **F. Findings by the Appeals Committee**

The Committee shall report in writing within five weeks after being formed. The report shall be furnished to both parties. It shall give its findings, the reasons for those findings, and its recommendations. These findings should be directly responsive to the grounds for appeal listed in Section IV.B. Before issuing the report, the Committee shall circulate a draft to both parties and invite responses.

The report of the committee shall also be sent to the Provost for final action. Within four weeks, the decision of the Provost and the reasons for it shall be given in writing to both principal parties, and a copy shall be sent to the Committee. The decision of the Provost shall not be subject to further appeal within the University.

#### **V. Disposition of Records and Files**

The Dean of the Faculty shall maintain copies of all reports of Appeals Committee and shall maintain records of all subsequent actions within the University that occur in these cases. At the completion of an appeal, all case files shall be returned to the dean of the college.

On completion of the appeal, the chairperson of the Appeals Committee shall provide to the Dean of the Faculty a letter describing any difficulties encountered in applying or interpreting these procedures. The Dean of the Faculty shall maintain a file of these letters, a digest of their central points, and other documents useful to subsequent appeals committees or to anybody authorized by the FCR to evaluate these procedures.

Adopted by the Faculty Council of Representatives, May 13, 1981, Records, pp. 5342-54C; Executive Committee, Board of Trustees, May 30, 1981, Records, p. 10,808, Appendix D, Records, pp. 10,846-50; Board of Trustees, May 30, 1981, Records, p. 10,856; Faculty Council of Representatives, October 10, 1984, Records, pp. 5923-39C (with editorial and stylistic changes incorporated by the Dean of Faculty and University Counsel); Board of Trustees, January 25, 1985, Records, p. 357, Appendix A, Records, pp. 385-88. Amended by the Faculty Senate, March 13, 2002, Records, pp. 9393-9394S, Appendix 2; Board of Trustees, June 20, 2002.

## Not to Grant Tenure

### I. Rights

#### A. Right to Appeal

Any faculty member who is reviewed for and denied tenure may appeal that decision at the departmental, college, and University levels. The candidate shall be informed of this right, and the procedures for exercising it, when he or she is first notified in writing of a negative tenure decision.

#### B. Extension of Appointments

For the purpose of determining the start of the terminal appointment of a faculty member who is denied tenure, the date of notification shall be considered to be the date of written notification of the first negative decision, and shall be unaffected by subsequent appeals. Notice of a terminal appointment must be given in writing to an individual, which allows that individual to serve two full academic terms following receipt of the first written notice of the negative decision. An academic term [i.e. semester] is the period of time beginning two working days before registration and ending on the last day of final exams. For those notified of nonrenewal before the start of the final year of appointment, the final year fulfills the requirement of two terms of notice. However, if appeal within the University is in progress at the end of the terminal appointment, the appointment shall be extended until the appeal is complete.

Should any party involved in an appeal find that he or she is unable to comply with one or more of the deadlines specified in this document, that party may, prior to the lapsing of the deadline, apply to the Dean of the Faculty for an extension. If the Dean finds the reasons given for an extension sufficient to justify it, the extension shall be granted and all involved parties notified. All extensions shall be for a specified period of time. In cases where an extension is granted at the request of the appellant, the appellant's appointment shall not be extended under I.B. beyond the duration of the normal term of an appeal without the consent of the Provost.

#### C. Role of the Ombuds

Faculty members shall retain full access to the office of the Ombuds prior to and in the course of the appeals process.

#### D. Waiver or Loss of Appeal Rights

The candidate may waive the right to written explanations from the department chair and the dean, or may decline to pursue the appeals procedure at any stage. However, the appeal procedures herein described must be followed sequentially. Waiver of any stage of the appeals procedure shall cause the candidate's right to proceed further to be forfeited. Thus, failure to request reconsideration of a negative departmental decision (see Section II), or failure to respond to a negative proposed decision at the college level (see Section III), will constitute waiver of further appeal rights.

### II. Appeal at the Departmental Level

Any faculty member has a right to receive a timely reconsideration of a negative departmental tenure decision before that decision is forwarded to the dean.

1. Within three weeks after being notified that the departmental decision is negative, the candidate will receive a written statement of the reasons for the decision and the nature of the evidence unless the candidate expressly relinquishes his or her right to receive the statement within one week of said notice. The statement shall respect the limits set by the need to preserve confidentiality.

2. If the candidate wishes to have the departmental decision reconsidered, he or she shall respond to the chair in writing within three weeks of receipt of the chair's statement of reasons. The candidate may address any issue that he or she deems appropriate, and may present new evidence.
3. The eligible voting faculty shall consider the chair's statement and the candidate's response, and a second vote shall be taken. The final departmental decision and the reasons for it shall be provided in writing to the candidate within three weeks of receipt of the candidate's response.

*Note: In the Law School, in II.A. "departmental" shall refer to the appointments committee. In the Hotel School, "departmental" shall refer to the ad hoc committee, and "chair" shall refer to the assistant dean for academic affairs. In the Graduate School of Management, "departmental" shall refer to the ad hoc committee, and "chair" shall refer to its chairperson.*

### III. Appeal at the College Level

#### A. Review by an Ad Hoc Committee

If the department's (or the college faculty's in the case of the Johnson Graduate School of Management, the Hotel School, and the Law School) final decision is negative, the dean shall, at the request of the candidate, appoint an ad hoc committee of Cornell tenured faculty members or tenured faculty members from an appropriate academic institution outside of Cornell to review that decision, if the dean has not already done so on his or her own initiative. No one who has participated in the decision or has taken a position on the review may serve on the committee. The candidate shall make his or her request for appointment of the committee within one week of notification of the department's final negative decision, and the dean shall appoint the committee within three weeks of the candidate's request.

#### B. Reconsideration by the Dean

If a dean's negative decision follows a positive departmental recommendation (or the college faculty's in the case of the Johnson Graduate School of Management, the Hotel School and the Law School), the dean shall, prior to making that decision, appoint an ad hoc committee of Cornell tenured faculty members or tenured faculty members from an appropriate academic institution outside of Cornell. Within three weeks of receipt of the report of the ad hoc committee, the dean shall furnish the candidate and the department with a preliminary written statement of the reasons for that decision and the nature of the evidence within the limits set by the need to preserve confidentiality. For a two-week period following receipt of the statement, the candidate and/or department shall have the opportunity to respond to the dean, prior to the dean's final decision.

If the dean's negative decision follows a negative departmental faculty or college/school faculty recommendation, the dean shall within three weeks of receipt of the report of the ad hoc committee furnish the candidate with a written statement of the reasons for that decision, within the limits set by the need to preserve confidentiality, and a copy shall be furnished the department.

### IV. Appeal at the University Level

#### A. Filing an Appeal

If the dean's final decision is negative, the candidate or the department or the candidate and the department in concert may appeal that decision. The appeal must be filed in writing with the dean of the college and the Dean of the Faculty within two weeks of notification of the dean's decision and must state the specific reasons for the appeal. The reasons must be based on one or more of the grounds listed in the following Section (IV.B.). Failure to raise a particular reason may be treated as a waiver of such a claim in this or any subsequent procedure.

#### B. Grounds for an Appeal

The grounds for an appeal shall be limited to one or more of the following:

1. During the appellant's probationary period, he or she was unfairly and seriously hindered in meeting the department's standards by having been put under obligation to accept unusual and unreasonably heavy duties for the department, college, or University or having been denied departmental support, contrary to the normal departmental practices.
2. During the appellant's probationary period, he or she was unfairly and seriously hindered in meeting the department's standards by having been given misleading information or information so inadequate as to be fully the equivalent of misleading information by the department chair or dean concerning the departmental or college expectations of candidates.
3. In the conduct of the tenure review, there were violations of the established procedures and practices of the department, the college, or the University. These violations were so serious that the appeals committee believes they affected the outcome of the tenure review.
4. The evaluation of the appellant was influenced by unlawful discrimination.
5. The evaluation of the appellant was substantially influenced by consideration of factors unrelated to the performance of the appellant in carrying out the professional and collegial responsibilities of his or her position, or by improper and unprofessional consideration of factors which, if properly considered, would be material and relevant. The violations were so serious that the appeals committee believes that they affected the outcome of the tenure review.
6. The decision was so inconsistent with the evidence in the record that it must be judged arbitrary or capricious. [The term arbitrary and capricious fundamentally describes actions which have no sound basis in law, fact or reason or are grounded solely in bad faith or personal desires. A determination is arbitrary and capricious only if it is one no reasonable mind could reach.]

### **C. The University Appeals Panel**

An appeal shall be heard by an Appeals Committee composed of five tenured University faculty members. At least four members of the Appeals Committee shall be members of the University Appeals Panel. The Dean of the Faculty shall be responsible for establishing the University Appeals Panel, and maintaining a list of members. Each college shall elect five tenured faculty members, or five percent of its tenured faculty, whichever is greater, to the Panel. In addition, the President of the University shall appoint ten tenured faculty members to the Panel. The term of office shall be five years, with a rotation system developed at the time of the initial election.

### **D. Selection of an Appeals Committee**

Within two weeks after the appeal of a college dean's negative decision, the Dean of the Faculty shall be responsible for forming and charging an Appeals Committee to hear the appeal. Members of the Appeals Committee shall be selected in the following manner:

1. The appellant and the dean of the college shall each nominate four members of the University Appeals Panel. [Note: In cases where the appeal follows a negative departmental recommendation, the dean of the college shall consult with the department before making his or her nominations.] The appellant's nominees shall choose two of the dean's nominees, and the dean's nominees shall choose two of the appellant's nominees. The four so chosen shall then choose a fifth tenured University Faculty member, who shall chair the committee. The chair shall be from the college of the appellant, except in those colleges where all tenured faculty members participate in each tenure decision.
2. Any person nominated who has previously participated in the review of the appellant or feels unable to render an unbiased judgment or perceives a conflict of interest shall disqualify him or herself. However, in those colleges where all tenured faculty participate in each tenure decision, the automatic disqualification of that college's Appeals Committee members shall be waived if that is agreeable to both parties.



## **E. Principles and Restrictions to be Observed by the Appeals Committee**

In its deliberations and findings, the Appeals Committee shall respect the following principles and restrictions:

1. The Committee's review shall be limited to determining whether any one of the six possible grounds for appeal (listed in Section IV.B.) has been established. The Committee may, if circumstances warrant, investigate and return findings concerning possible violations of the grounds for appeal (listed in Section IV.B.) not raised by the appellant.
2. The Committee shall recognize the central role of peer judgment in tenure decisions. Hence, the Committee shall avoid substituting its assessment of the appellant's professional qualifications for those of the department and the experts outside the department who have been asked to submit evaluations. The Committee's role in judging professional merit shall be limited to determining whether the recommendations of the department and the dean were arbitrary and capricious as defined in IV.B.5. or based on the inappropriate considerations listed in IV.B.3. and IV.B.4.
3. The dean of the college has a major responsibility in setting the priorities and maintaining the standards of the college. Therefore, the Committee shall avoid substituting its judgment in those matters for that of the dean.
4. It is impossible to make precise and universally agreed-upon evaluations of candidates. Therefore, the possibility that a different group of reasonable people might have come to a different conclusion concerning the merits of the appellant is insufficient grounds to sustain the appeal.
5. Comparisons with other tenure review cases may be used by the Committee in certain cases (See Section IV.F.I.). However, the Committee shall recognize the right and duty of departments to improve their quality or take into account different departmental needs, so long as this is not done as a pretext. A weak previous tenure appointment shall not by itself be taken to define the departmental standard.

## **F. Appeals Committee Procedures**

The following procedures shall govern the activity of the Appeals Committee:

1. The Committee shall have access to the tenure file of the appellant. If the appellant charges that the decision was arbitrary or capricious as defined in Section IV.B.5. or based on the inappropriate considerations listed in Sections IV.B.3. and IV.B.4., and if the Committee finds it essential to read the files of recent comparable cases within the college of the appellant to examine that charge, it shall have access to those files as well. However, the Committee shall not as a matter of course request access to the files of recent cases within a department or college. The Committee shall scrupulously protect the confidentiality of all documents and testimony.
2. In addition to examining written material, the Committee may hear the views of the principal parties and others it deems appropriate.
3. The Committee shall not be required to keep a transcript of its proceedings. The Committee shall maintain a record of the names of the persons interviewed and the titles of the documents considered.
4. The Committee shall report in writing within eight weeks after being formed. The report shall be furnished to the appellant and the department and the college dean. It shall give the Committee's findings, and the reasons for those findings. These findings should be directly responsive to the grounds for appeal listed in Section IV.B. Before issuing the report, the Committee shall circulate a draft to the appellant and the department and/or college dean and invite responses.

## **G. Findings by the Appeals Committee**

The Appeals Committee shall make one or more of the following findings. The ensuing action shall be as stated:

1. If the Committee finds that none of the six possible appeal grounds (see Section IV.B.) has been established, it shall reject the appeal. This decision shall not be subject to further appeal within the University.
2. If the Committee finds that the ground for appeal in Section IV.B.I. has been established, it may recommend that the appellant's appointment be extended for a fixed period, after which a new tenure review shall be undertaken. It is expected that the dean will follow the Committee's recommendation. If the dean chooses not to grant the recommended extensions, the Committee's report and the written response of the dean shall be forwarded to the Provost. Within four weeks, the decision of the Provost and the reasons for it shall be given in writing to both principal parties, and a copy shall be sent to the Committee. The decision of the Provost shall not be subject to further appeal within the University.
3. If the Committee finds that any other ground for appeal in Section IV.B. has been established, it may return the case to the dean of the college for reconsideration. The dean shall promptly take appropriate action to correct the deficiencies that the Committee has found, and shall provide a written report of the reconsidered decision to the Committee, the department, and the appellant. If the reconsideration results in an affirmation of the original decision, this judgment shall be reviewed by the original Appeals Committee, which shall take the following action.

a. If the Appeals Committee finds that the tenure review process no longer has serious deficiencies, it shall reject the appeal. This action shall not be subject to further appeal within the University.

b. If the Committee finds that the tenure review process continues to have serious deficiencies and that an independent academic evaluation is appropriate, a panel of professionally qualified and not previously involved expert scholars from inside or outside Cornell shall be appointed to review the case and make a recommendation as to the granting of tenure. The panel's review shall not constitute an additional appeal from the department's or dean's decision, but shall constitute a new independent judgment concerning the candidate's academic qualifications for tenure. The panel shall be appointed jointly by the chair of the Appeals Committee, the Dean of the Faculty, and the President of the University. The panel shall be entitled to all of the evidence on which the original substantive decision was based and shall be entitled to collect such further evidence deemed necessary to reach a new substantive judgment. The recommendation of the panel of expert scholars and the response of the Appeals Committee, the dean, the department, and the appellant shall be forwarded to the Provost. Within four weeks, the decision of the Provost and the reasons for it shall be given in writing to both principal parties, and a copy shall be sent to the Committee. The decision of the Provost shall not be subject to further appeal within the University.

*Note: Nothing in this document shall be construed to prevent an appeals committee from attempting to arrange an informal settlement of the complaints if it believes that fairness can, thereby, be served and that such an arrangement best serves the interests of the appellant, the department, the dean and the University. No action may be taken under this provision unless it is agreed to by the dean, the department, and the appellant.*

#### V. Disposition of Records and Files

The Dean of the Faculty shall maintain copies of all reports of Appeals Committees and shall maintain records of all subsequent actions within the University that occur in these cases. At the completion of an appeal, all case files shall be returned to the dean of the college.

On completion of the appeal, the chairperson of the Appeals Committee shall provide to the Dean of the Faculty a letter describing any difficulties encountered in applying or interpreting these procedures. The Dean of the Faculty shall maintain a file of these letters, a digest of their central points, and other documents useful to subsequent appeals committees or to anybody authorized by the FCR to evaluate these procedures.

Adopted by the Faculty Council of Representatives, May 13, 1981, Records, pp. 5342-54C; Executive Committee, Board of Trustees, May 30, 1981, Records, p. 10,808, Appendix D, Records, pp. 10,831-38; Board of Trustees, May 30, 1981, Records, p. 10,856; Faculty Council of Representatives, October 10, 1984, Records, pp. 5923-39C (with editorial and stylistic changes incorporated by the Dean of Faculty and University Counsel); Board of Trustees, January 25, 1985, Records, p. 357, Appendix A, Records, pp. 372-78. Amended by the Faculty Senate, March 13, 2002, Records, pp. 9393-9394S, Appendix 2; Board of Trustees, June 20, 2002.

## Not to Promote to Full Professor

*Note: After some definite number of years of service as a tenured professor, a faculty member has a right to a review for promotion to full professor. If the faculty member does not wish to be reviewed, the review will not take place. If the initial review does not result in promotion, the faculty member has a right to at least one subsequent (and perhaps more) reviews within some definite period of time. A dean will not reject a departmental recommendation to promote a faculty member to full professor without first having appointed and received the report of an ad hoc committee.*

### I. Rights

#### **A. Right to Appeal**

Any tenured faculty member who is reviewed for and denied promotion to full professor may appeal that decision at the departmental, college, and University levels subject to the limitations in I.B. The candidate shall be informed of this right, and the procedures for exercising it, when he or she is first notified of a negative promotion decision.

#### **B. Limitations to the Right of Appeal**

A faculty member who is denied promotion may appeal that decision even though he or she was denied promotion on a previous occasion and appealed that decision. However, a University level appeal may not address issues that were settled in a prior appeal, but must be based on evidence that was not previously presented at a University level appeal proceeding.

#### **C. Role of the Ombuds**

Faculty members shall retain full access to the office of the Ombuds prior to and in the course of the appeals process.

#### **D. Waiver or Loss of Appeal Rights**

The candidate may waive the right to written explanations from the department chair and the dean, or may decline to pursue the appeals procedure at any stage. However, the appeals procedures herein described must be followed sequentially. Waiver of any stage of the appeals procedure shall cause the candidate's right to proceed further to be forfeited. Thus, failure to request reconsideration of a negative departmental decision (see Section II), or failure to respond to a negative proposed decision at the college level (see Section III), will constitute waiver of further appeal rights of this particular decision.

*Note: Should any party involved in an appeal find that he or she is unable to comply with one or more of the deadlines specified in this document, that party may, prior to the lapsing of the deadline, apply to the Dean of the Faculty for an extension. If the Dean finds the reasons given for an extension sufficient to justify it, the extension shall be granted and all involved parties notified. All extensions shall be for a specified period of time.*

### II. Appeal at the Departmental Level

Any tenured faculty member has a right to receive a timely reconsideration of a departmental decision not to promote to full professor before that decision is forwarded to the dean.

1. Within three weeks after being notified that the departmental decision is negative, the candidate will receive a written statement of the reasons for the decision and the nature of the evidence unless the candidate expressly relinquishes his or her right to receive the statement within one week of said notice. The statement shall respect the limits set by the need to preserve confidentiality.
2. If the candidate wishes to have the departmental decision reconsidered, he or she shall respond to the chair in writing within three weeks of receipt of the chair's statement of reasons. The candidate may address any issue that he or she deems appropriate, and may present new evidence.
3. The eligible voting faculty shall consider the chair's statement and the candidate's response, and a second vote shall be taken. The final departmental decision and the reasons for it shall be provided in writing to the candidate within three weeks of receipt of the candidate's response.

*Note: In schools or colleges without departmental structure "departmental" shall refer to the group of full professors who vote on the recommendation that is forwarded to the dean, and "chair" shall refer to an appropriate faculty member.*

### III. Appeal at the College Level

#### **A. Review by an Ad Hoc Committee**

If the department's final decision is negative, the dean shall, at the request of the candidate, appoint an ad hoc committee to review that decision, if the dean has not already done so on his or her own initiative. The candidate shall make his or her request for appointment of the committee within one week of notification of the department's final negative decision, and the dean shall appoint the committee within three weeks of the candidate's request.

*Note: In those schools or colleges that do not use ad hoc committees in the case of positive departmental recommendations, III.A. shall not apply.*

#### **B. Reconsideration by the Dean**

If a dean's negative decision follows a positive departmental recommendation, the dean shall, within three weeks of receipt of the report of the ad hoc committee, furnish the candidate and the department with a preliminary written statement of the reasons for that decision and the nature of the evidence within the limits set by the need to preserve confidentiality. For a two-week period following receipt of the statement, the candidate and/or department shall have the opportunity to respond to the dean, prior to the dean's final decision.

If the dean's negative decision follows a negative departmental recommendation, the dean shall within three weeks of receipt of the report of the ad hoc committee furnish the candidate and the department with a written statement of the reasons for that decision, within the limits set by the need to preserve confidentiality.

*Note: In those schools or colleges that do not use ad hoc committees in the case of positive departmental recommendations, and therefore do not use them in III.A., the three week time period after which the dean must reply shall start when the dean receives the report of the appropriate faculty group.*

### IV. Appeal at the University Level

#### **A. Filing an Appeal**

If the dean's final decision is negative, the candidate or the department (with the written consent of the candidate) or the candidate and the department in concert, may appeal that decision. The appeal must be filed in writing with the dean of the college and the Dean of the Faculty within two weeks of notification of the dean's decision and must state the specific reasons for the appeal. The reasons must be based on one or more of the grounds listed in the following Section (IV.B.), and must be based on evidence that was not presented in any prior appeal at the University level. Failure to raise a particular reason when filing the appeal may be treated as a waiver of such a claim in this or any subsequent procedure during this appeal process.

## **B. Grounds for an Appeal**

The grounds for an appeal shall be limited to one or more of the following:

1. In the conduct of the promotion review, there were violations of the established procedures and practices of the department, the college, or the University. These violations were so serious that the Appeals Committee believes they affected the outcome of the promotion review.
2. The evaluation of the appellant was influenced by unlawful discrimination.
3. The evaluation of the appellant was substantially influenced by consideration of factors unrelated to the performance of the appellant in carrying out the professional and collegial responsibilities of his or her position, or by improper and unprofessional consideration of factors which, if properly considered, would be material and relevant. The violations were so serious that the Appeals Committee believes that they affected the outcome of the promotion review.
4. The decision was so inconsistent with the evidence in the record that it must be judged arbitrary or capricious. [Note: The term arbitrary and capricious fundamentally describes actions which have no sound basis in law, fact or reason or are grounded solely in bad faith or personal desire. A determination is arbitrary and capricious only if it is one no reasonable mind could reach.]

## **C. Selection of an Appeals Committee**

An appeal shall be heard by an Appeals Committee composed of five full professors in the University. Within two weeks after the appeal of a college dean's negative decision, the Dean of the Faculty shall be responsible for forming and charging an Appeals Committee to hear the appeal. Members of the Appeals Committee shall be selected in the following manner:

1. The appellant and the dean of the college shall each nominate four members of the University Appeals Panel. [Note: In cases where the appeal follows a decision by the department not to promote to full professor, the dean of the college shall consult with the department before making his or her nominations.] The appellant's nominees shall choose two of the dean's nominees, and the dean's nominees shall choose two of the appellant's nominees. The four so chosen shall then choose a fifth full professor in the University, who shall chair the committee. The chair shall be from the college of the appellant, except in those colleges where all full professors participate in each promotion decision.
2. Any person nominated who has previously participated in the review of the appellant or feels unable to render an unbiased judgment or perceives a conflict of interest shall disqualify him or herself. However, in those colleges where all full professors participate in each promotion decision, the automatic disqualification of that college's Appeals Committee members shall be waived if that is agreeable to both parties.

## **D. Principles and Restrictions to be Observed by the Appeals Committee**

In its deliberations and findings, the Appeals Committee shall respect the following principles and restrictions:

1. The Committee's review shall be limited to determining whether any one of the four possible grounds for appeal (listed in Section IV.B.) has been established. The Committee may, if circumstances warrant, investigate and return findings concerning possible violations of the grounds for appeal (listed in Section IV.B.) not raised by the appellant.
2. The Committee shall recognize the central role of peer judgment in promotion decisions. Hence, the Committee shall avoid substituting its assessment of the appellant's professional qualifications for those of the department and the experts outside the department who have been asked to submit evaluations. The Committee's role in judging professional merit shall be limited to determining whether the

recommendations of the department and the dean were arbitrary and capricious as defined in IV.B.4., or based on the inappropriate considerations listed in IV.B.2. and IV.B.3.

3. The dean of the college has a major responsibility in maintaining the standards of the college. Therefore, the Committee shall avoid substituting its judgment in those matters for that of the dean.
4. It is impossible to make precise and universally agreed-upon evaluations of candidates. Therefore, the possibility that a different group of reasonable people might have come to a different conclusion concerning the merits of the appellant is insufficient grounds to sustain the appeal.
5. Comparisons with other promotion review cases may be used by the Committee in certain cases (see Section IV.E.1.). However, the Committee shall recognize the right and duty of departments to raise the standards for promotion to full professor or take into account different departmental needs or particular individual circumstances, so long as this is not done as a pretext. A weak previous promotion to full professor shall not by itself be taken to define the departmental standard for promotions.
6. If a faculty member has appealed a previous decision not to promote to full professor, the Appeals Committee shall not reconsider the decision of the previous Appeals Committee, or the evidence upon which it was based.

### **E. Appeals Committee Procedures**

The following procedures shall govern the activity of the Appeals Committee:

1. The Committee shall have access to the promotion file of the appellant. If the appellant charges that the decision was arbitrary or capricious as defined in Section IV.B.4 or based on the inappropriate considerations listed in Sections IV.B.2 and IV.B.3. and if the Committee finds it essential to read the files of recent comparable cases within the college of the appellant to examine that charge, it shall have access to those files as well. However, in its request for access to a particular file, the Committee shall state in writing how each particular comparison case satisfies the following criteria: a. It is sufficiently recent. b. It is sufficiently comparable in circumstances. c. It is impossible to examine the allegation made by the appellant without access to the requested file. The Committee shall scrupulously protect the confidentiality of all documents and testimony.
2. In addition to examining written material, the Committee may hear the views of the principal parties and others it deems appropriate.
3. The Committee shall not be required to keep a transcript of its proceedings. The Committee shall maintain a record of the names of the persons interviewed and the titles of the documents considered.
4. The Committee shall report in writing within eight weeks after being formed. The report shall be furnished to the appellant and the department and the college dean. It shall give the Committee's findings, and the reasons for those findings. These findings should be directly responsive to the grounds for appeal listed in Section IV.B. Before issuing the report, the Committee shall circulate a draft to the appellant and the department and/or college dean and invite responses.

### **F. Findings by the Appeals Committee**

The Appeals Committee shall make one or more of the following findings. The ensuing action shall be as stated:

1. If the Committee finds that none of the four possible appeal grounds (see Section IV.B.) has been established, it shall reject the appeal. This decision shall not be subject to further appeal within the University.
2. If the Committee finds that the ground for appeal has been established, it may return the case to the dean of the college for reconsideration. The dean shall promptly take appropriate action to correct the

deficiencies that the Committee has found, and shall provide a written report of the reconsidered decision to the Committee, the department, and the appellant. If the reconsideration results in an affirmation of the original decision, this judgment shall be reviewed by the original Appeals Committee, which shall take the following action:

- a. If the Appeals Committee finds that the promotion review process no longer has serious deficiencies, it shall reject the appeal. This action shall not be subject to further appeal within the University.
- b. If the Committee finds that the promotion review process continues to have serious deficiencies, it shall forward its findings to the Provost for final action. Within four weeks, the decision of the Provost and the reasons for it shall be given in writing to both principal parties, and a copy shall be sent to the Committee. The decision of the Provost shall not be subject to further appeal within the University.

#### V. Disposition of Records and Files

The Dean of the Faculty shall maintain copies of all reports of Appeals Committees and shall maintain records of all subsequent actions within the University that occur in these cases. At the completion of an appeal, all case files shall be returned to the dean of the college.

On completion of the appeal, the chairperson of the Appeals Committee shall provide to the Dean of the Faculty a letter describing any difficulties encountered in applying or interpreting these procedures. The Dean of the Faculty shall maintain a file of these letters, a digest of their central points, and other documents useful to subsequent appeals committees or to anybody authorized by the FCR to evaluate these procedures.

Adopted by the Faculty Council of Representatives, May 13, 1981, Records, pp. 5342-54C; Executive Committee, Board of Trustees, May 30, 1981, Records, p. 10,808, Appendix D, Records, pp. 10,839-45; Board of Trustees, May 30, 1981, Records, p. 10,856; Faculty Council of Representatives, October 10, 1984, Records, pp. 5923-39C (with editorial and stylistic changes incorporated by the Dean of Faculty and University Counsel); Board of Trustees, January 25, 1985, Records p. 357, Appendix A, Records, pp. 379-84.

## 5. Retirement and Becoming Emeritus/a

### 5.1 Retirement Checklist

Steps to follow that help ensure a smooth and effective transition.

In the following, it is important to distinguish between “retiring” and “become emeritus.” Retirement is *human resources event* whereas becoming emeritus is an *academic event*.

#### First Steps

##### Become Familiar with the University’s Retirement Resources

The Office of Human Resources maintains a [pre-retirement planning](#) webpage with links to many important resources. Financial planning and health care planning are central. Good places to start are the benefit overviews specifically for [endowed faculty](#) and for [contract college faculty](#). Other valuable sources of information about retirement are colleagues who have recently gone through the process, the [Cornell Academics and Professors Emeriti](#) (CAPE), your department chair, and the [Cornell Retirees Association](#) (CRA). Generally speaking, it is never too early to begin thinking about the finances associated with retirement. Interaction with Medicare is required several months before your 65<sup>th</sup> birthday.

##### Understand How Phased Retirement Works

Eligible faculty members and staff employees may choose to reduce their job duties and scheduled hours prior to retirement, to make a gradual transition before their official retirement date. This is called [phased retirement](#). It requires a signed mutual agreement between you, your department, and the dean of your college. The agreement identifies an official retirement date, a workload percent, and the responsibilities that must be discharged during the phased retirement period. For example, if the workload percent is 75%, then you would receive 75% of your normal salary. In addition to providing a transition to full retirement, a phased retirement has economic value because the university continues to pay benefits as if you were a full-time faculty member.

##### Identify Your Contacts

There is a measure of non-uniformity across the colleges in terms of just who participates with the candidate during the retirement process. A good way to find out the local arrangements that apply to you is to have a conversation with your [college HR representative](#). Department managers and chairs, and associate deans may also be involved at various stages in the process. Establish clear communication channels to all who are involved.

##### Interactions with Your Chair

These discussions are typically spread out over time. They should be initiated at least one year before you decide to retire or one year before you plan to enter phased retirement. The idea is for you and the unit head to reach an understanding about resources and other key issues that are of mutual importance. To facilitate these conversations, we provide the following checklists.

##### A Checklist of Talking Points for You

1. anticipated academic interests and activities that may be pursued after retirement.
2. the current state of graduate student supervision, how it might continue or wind down.
3. the current state of external funding, how it might continue or wind down.
4. the state of all discretionary funding accounts that might be utilized after retirement.



5. plans for a sabbatical leave before retiring (including teaching or other responsibilities upon return to campus prior to retirement).
6. anticipated administrative support needs.
7. receiving US mail.
8. anticipated desk/space/land line telephone needs.
9. anticipated IT support needs.
10. the desired level of participation in department business, e.g., staying on mailing lists, attending meetings, participating on committees, voting, etc.
11. the desired level of participation in college business, e.g., staying on mailing lists.
12. the likelihood of living in the Ithaca area full time, part time, or not at all.
13. concerns about indemnification. See link to official policy (formal policy)
14. all of the above in the context of a phased retirement agreement.

#### A Checklist of Talking Points for Your Chair (or Equivalent)

1. organizing a recognition event to show appreciation.
2. the process for becoming emeritus/a.
3. where to get answers to HR-related questions, typically HR office in the candidate's College.
4. the department's space situation.
5. the extent to which the department can supply administrative and IT support.
6. the rules associated with attending department meetings and voting on such matters as hiring and promotion.
7. the process for accessing reimbursement for professional activities,
8. hire-back possibilities that relate to teaching, advising, outreach, and administration.
9. opportunities for retirees and emeritus faculty to volunteer.
10. how the dean must authorize the continued use of an endowed chair, both as a title and as a possible source of future funding.
11. what a phased retirement arrangement might involve.

#### Formalizing the Retirement Agreement

The dialog with the Chair or Director eventually leads to a retirement agreement. Conversations with central HR or with the College HR person are sometimes part of the process.

If there is a phased retirement plan, it is detailed in writing and signed by you, the chair, and the College dean.

Likewise, if there are resource agreements associated with full retirement, then they should be specified in writing and signed by both you and the head of the unit.

A request for emeritus/a status can only be filed after an official retirement date is set. A guarantee of emeritus/a status is never part of a retirement agreement.

## The Actual Transition

Benefit Services will contact you with information about the health care plan for retirees and related matters such as Medicare Parts A, B, and D. They will also describe various life insurance issues that require your attention.

Several months before retirement you should schedule an appointment with your retirement account vendor, i.e., [TIAA](#) (1-800 732-8353) or [Fidelity](#) (1-800 642-7131).

Upon retirement you should visit the [HR Services & Transitions Center](#) in the East Hill Office Building, 395 Pine Tree Road, Suite 130 to obtain an updated Cornell ID that indicates your new status.

## 5.2 Process for Becoming Emeritus/a

Emeritus/a status is available for associate professors and full professors who have retired.

### Process

Upon retirement, a university professor, full professor, or associate professor who has been a tenured member of the University Faculty for ten or more years may be considered for emeritus/a status.

Awarding the title of university professor emeritus/a, professor emeritus/a, or associate professor emeritus/a shall be based upon the career contributions of the candidate through a combination of teaching, research, advising, administration, extension, and outreach. An overall record of meritorious service to the university is expected.

The candidate supplies a curriculum vitae to the department chair together with a cover letter that includes the date of retirement and a request to be considered for either emeritus or emerita status.

If the request is from a full professor, then it is reviewed and voted upon by the full professors and the emeritus faculty in the candidate's department. If the request is from an associate professor, then it is reviewed and voted upon by the tenured professors and the emeritus faculty in the candidate's department. The result of the vote and the chair's recommendation to either approve or deny emeritus/a status is communicated to the dean of the candidate's college. The dean reviews the dossier and makes a recommendation to the provost.

If either the dean or chair recommendation is negative, then the candidate is so informed by the provost and given the opportunity to respond in writing within ninety days. The final decision to approve emeritus/a status is made by the provost, perhaps in consultation with the dean of faculty and others.

### Notes

1. The current policy is authorized by [Senate Resolution 120](#) (November 2017).
2. "Emeritus/a" is a title modifier, a change authorized by the Board of Trustees (January 2018). See page 23, [Article XVII](#), of the University Bylaws. A retiring professor may become a professor emeritus or professor emerita. A retiring associate professor may become an associate professor emeritus or an associate professor emerita.
3. Regarding the vote, the Chair is expected to make a reasonable effort to contact the emeriti. Conversely, emeriti should always make sure that their department has up-to-date contact information.
4. Contact the [deanoffaculty@cornell.edu](mailto:deanoffaculty@cornell.edu) if there are special circumstances that make it difficult to execute this policy, e.g., the retiring candidate is the only full professor in the department.
5. Holders of certain administrative positions can qualify for emeritus/a status. [Rules and process.](#)

### 5.3 Perks and Opportunities for Retired and Emeritus/a Faculty

Benefits relate to health, transportation, communication, campus life, voting rights, teaching, and research.

In the following, *retired faculty* means all retired faculty whether they have emeritus/a status or not. From the WorkDay/HR point of view (a) a retired faculty who does not have emeritus/a status is a *retired academic*, (b) a faculty member who is on the university payroll is regarded as an *active faculty member*, and (c) a retired faculty member who is not on the university payroll is regarded as an *inactive faculty member*.

#### Health

##### Benefits

Cornell offers a wide variety of healthcare benefits and programs for retired faculty. There is no mandatory age for retirement for Cornell faculty. However, to receive certain benefits you must be at least age 55 and have ten years of credited service at the university. Details are available in Cornell's Retirement & Beyond booklet ([Contract College Version](#) , [Endowed College Version](#) ).

##### Wellness Program

[Cornell Wellness](#) offers opportunities for physical fitness and social experiences, geared towards individuals who are age 50 and over, that are appropriate for every size, shape, and ability. These offerings are great for individuals who are first starting a fitness program, have gone through joint replacement, suffer from arthritis, experience lingering joint pain from injury, have physical limitations or disabilities, and those who want to improve their balance, fitness, overall wellbeing and more. The annual fee is waived for emeritus/a faculty. You must have a [Cornell ID card](#) that identifies you as an emeritus/a faculty member when you apply.

##### Cornell Health

All retirees are eligible for [pharmacy services](#), [flu vaccination clinics](#), and the [Faculty and Staff Assistance Program](#) through [Cornell Health](#).

##### Transportation

##### Parking on Campus (Ithaca)

All retired faculty who have a current [Cornell ID card](#) are eligible for any of the current parking options listed [here](#), subject to availability.

General parking information can be found [here](#).

##### TCAT Bus Service

Cornell Employees (including temporary employees and affiliates) and retirees can use their Cornell ID card at the fare box when boarding TCAT buses to ride anywhere TCAT goes, any time TCAT runs. Faculty/staff spouses/partners with a Cornell ID card receive unlimited rides on TCAT's 90s night routes. [Details](#).

##### Campus-to-Campus Bus Service

Emeritus/a faculty are entitled to the same discounted rate as all non-retired faculty and staff (an active NetID is required). [Details](#).

##### Communication

##### Email and Zoom

There are [several ways](#) that retirees can continue to receive email using their Cornell netID. There is also access to [Zoom](#) that can be used for various campus events and video conferencing.

### University Directory

A retired faculty member must have emeritus/a status in order to be listed in the online University Directory. Entries can be edited through [WhoAml](#).

### Campus Life

#### Library Access

Emeritus Faculty are considered “active faculty” in regard to library access. This implies access to all electronic journals, ebooks, and just about all the databases resources available. Borrowing policies, loan periods and other services specifically for retirees available for retired faculty are described [here](#). For general information, go to the [Library Homepage](#).

#### Taking Courses

All retired faculty can enroll in up to six credits hours per semester at no charge. Just “sitting in” requires the approval of the instructor. [Office of Continuing Education and Summer Sessions](#) handles the registration paperwork. Cornell’s Adult University ([CAU](#)) offers unforgettable travel adventures, inspiring summer courses, and youth camps open to all.

#### Attending Events and Lectures

There are many interesting events on campus each week. Handy ways to keep informed include the [Cornell Events Calendar](#), the [Cornell Sun](#), the CAPE Newsletter, and the [Cornell Chronicle](#). During the academic year, CAPE sponsors a [lecture series](#) with monthly talks.

#### Athletic Events

Emeritus/a faculty and retired faculty (with 25+ years of service) get two free tickets to all athletic events (except Men’s hockey). Admission requires a [Cornell ID card](#) that identifies you as an emeritus/a faculty member or as a retired faculty member with 25+ years of service. [More information](#).

#### Voting Rights

##### University Level

Emeritus/a faculty can vote in elections for the Dean of Faculty and for candidates who are running for membership on the [University Faculty Committee](#) and the [Nominations and Elections](#) Committee.

CAPE retains membership in the University Faculty Senate and has a single vote. The CAPE senator or designate is an appointed Executive Council member (or designate). Meetings of the [Faculty Senate](#) are open to all retired faculty.

##### College Meetings

The frequency of college meetings varies considerably from college to college as do voting rights. Consult with your college dean about specific details.

##### Department Meetings

A department meeting may be about curriculum, requirements, promotion, or hiring. Whether you can attend and vote may depend upon the topic. Consult with your department chair about specific details.

##### Teaching and Research

## Office Space

An emeritus/a faculty member actively engaged in teaching or research may retain a private office at the discretion of the unit, if space is available.

Emeritus/a faculty who remain engaged in unit activities, but not to the extent of specific teaching or research responsibilities, may be provided shared or open plan office space if space is available within a unit. These shared offices are intended to allow an individual to maintain contact with the unit, discipline, and colleagues. [Office space guidelines](#)

## Laboratory/Experimental Space

An emeritus/a faculty member who maintains an active research program may be provided laboratory space at the discretion of the unit if space is available.

An active research program is characterized by:

- a. sufficient external funding to support their research activities including the support of technical assistants, post-doctoral fellows, and graduate students.
- b. continuing contributions to the department's academic mission and vision;
- c. demonstrable contributions to the discipline through the propagation of the products of their research in relevant mediums (e.g. books, articles, chapters, patents, presentations, etc.)

## Hire-Back

Emeritus/a faculty are eligible for hire-back arrangements for specified periods of time in accordance with the needs of the department and college.

Emeritus/a status is a continuing appointment status, inactive, until a "rehire" appointment is approved.

Hire back arrangements involve a change in employment status and require careful consultation with the Office of Human Resources.

## External Funding

Participation as a Principal Investigator is conditional on the availability of resources as determined by the department chairperson, dean, and/or center director. The Office of the Vice Provost for Research is responsible for the policy that governs principal investigator eligibility. Any salary paid to the faculty member in such a case must appear as an approved item in the agreement with the sponsor. Such post-retirement appointments are reviewed periodically and always when a new agreement with a sponsor is proposed.

## Graduate Student Supervision

When graduate faculty members retire or resign from the University, they resign their membership on the graduate faculty. Graduate faculty members who retire or resign from the University automatically remain on special committees on which they were serving at the time of retirement/resignation for up to one year.

If the retired faculty member leaves the Ithaca or Geneva area and wishes to remain on a special committee beyond one year, the student must petition to have the former graduate faculty member appointed as co-chair or minor member. If a faculty member resigned from the university and wishes to remain on a special committee beyond one year, the student must petition to have the former graduate faculty member appointed as a co-chair or minor member.

## Graduate School Professor

By vote of their graduate fields, emeritus/a faculty may be granted the title Graduate Professor of (Field). This designation, which can be used on external grant and contract applications, enables an individual to retain the rights of other graduate faculty in the field and to submit grant and contract applications that provide up to 50 percent of the individual's pre-retirement salary.

The General Committee of the Graduate School has approved this title for renewable five-year terms. A Graduate School Professor may continue to serve either as chair or minor member of special committees on which he or she was serving at the time of retirement. Otherwise, a Graduate School Professor may serve only as minor member or co-chair, and only if he or she resides in the Ithaca area and the committee includes a second or minor member in the student's major field. [Details](#).

#### Legal Defense and Indemnification

While retirement as an emeritus/a professor does not automatically confer coverage under the University's Legal Defense and Indemnification Policy, emeritus/a professors may be so covered if they are performing services for the University at the prior written request of the dean of the college or director of the division upon approval by the Provost, even if they receive no remuneration for such services. Coverage would be with respect to claims that arise from authorized duties. To qualify, an individual must also request such defense and/or indemnification and cooperate in the defense of any action or proceeding as provided in the University's Legal Defense and Indemnification Policy. [Formal policy](#).

#### Reimbursement for Professional Activity

Upon retirement, emeritus/a faculty members may receive up to \$2,000 per year from their college for a period of up to five years for reimbursement of professional activities. Colleges may have specific rules about carrying forward unspent funds. There may also be a requirement about reporting how the funds were utilized.

### 5.4 Cornell Academics and Professors Emeriti

Founded in 1982, [Cornell Academics & Professor's Emeriti \(CAPE\)](#) has taken a leading role in fostering social and professional community among retired faculty through varied programs and activities, such as the Lecture Series, Roundtable luncheons, and volunteer programs to name a few.

### 5.5 Emeritus/a Status for Retiring RTE Faculty

Faculty who retire from certain RTE positions are eligible for emeritus/a status.

#### Process

In accordance with [Faculty Senate Resolution 141](#) and the Faculty Handbook's corresponding addition of Section 5.5, Emeritus/a Status for RTE Faculty Process, eligible individuals may request emeritus/a status upon retirement if they have served Cornell for 10 or more years in the following **Research, Teaching, and Extension (RTE) faculty titles**:

- senior lecturer
- senior research associate
- senior extension associate
- professor of the practice
- associate professor of the practice

- research professor
- associate research professor
- clinical professor
- associate clinical professor
- senior scientist
- senior scholar
- research scientist
- principal research scientist
- librarian
- associate librarian
- archivist
- associate archivist

**Eligibility for RTE emeritus status** is reserved for those who have served in a qualifying RTE title at Cornell for 10 or more years and who retired from the university after June 30, 2020. The awarding of emeritus/a status for eligible RTE faculty shall be based upon the career contributions of the candidate through teaching, research, advising, administration, extension, and outreach. It is understood that only a subset of these activities is relevant to a particular title. An overall record of meritorious service to the university is expected.

Prior to the established retirement date, the candidate initiates the request in writing to their department chair or unit head, to include the date of retirement and a request to be considered for either emeritus or emerita status. An updated curriculum vita should accompany this request.

The university and RTE faculty in the candidate's unit who have [University Voting Rights](#) should review the case and vote, following the unit's current established practice. The result of the vote and the department chair or unit head's recommendation to either approve or deny emeritus/a status is communicated to the dean of the candidate's college. The dean reviews the file and either approves or denies the request. For a candidate whose appointment is outside of the colleges, the role of dean shall be played by the appropriate vice provost or by the University Librarian if the candidate is appointed in the library.

If the dean approves the request, the unit is responsible for communicating the outcome to the faculty member.

If either the department chair or unit head recommendation is negative, then the candidate is so informed by the dean upon a negative decision the faculty member has the opportunity to respond in writing to the dean and department chair with additional information within 90 days. The final decision to approve emeritus/a status for retiring RTE faculty members is made by the dean, perhaps in consultation with the department chair, dean of faculty, or others.

Upon final approval, a unit representative sends an email to [hrpayrollsupport@cornell.edu](mailto:hrpayrollsupport@cornell.edu) with the RTE faculty member's name, title to be conveyed in retirement (please be sure to confirm the faculty member's preference for the use of emeritus or emerita), unit, department, and effective date of emeritus/a status. Please also notify the Dean of Faculty and CAPE offices by copying [deanoffaculty@cornell.edu](mailto:deanoffaculty@cornell.edu) on this email. The process is considered complete when the Workday transaction has been processed by the HRIS team.

#### Administrative Notes

The Emeritus Process for Professors and Associate Professors remains unchanged.

Unlike emeritus status for tenured professors and associate professors, emeritus status for RTE faculty is a recognition of distinguished service to the university only and does not confer benefits beyond what is available to all retired academic titleholders.

Questions regarding this guidance can be directed to [acadhr@cornell.edu](mailto:acadhr@cornell.edu)



## 6. Academic Policies and Responsibilities

### 6.1 Instruction

Close all

#### Building a Syllabus(i)

Syllabi serve as a formal communication tool, covering essential course elements such as modality, learning objectives, materials, expectations, policies, and student support services. The [New York State Education Department](#) and the [Center for Teaching Innovation](#) offer best practices for creating effective syllabi. Instructors are encouraged to [attach their syllabi to the Cornell Class Roster](#), even in draft form, to provide students with the prospective course experience and make informed registration decisions. Additionally, the university-wide [Cornell Academic Materials Program](#) (CAMP) provides undergraduates with access to required textbooks and coursepacks for a flat fee, regardless of their field of study.

#### Academic Year and Calendar

The university bylaws define the academic year as a roughly nine-month period, starting two working days before fall term registration and ending with final examinations in the spring term. Summer spans from the last day of one academic year to the first day of the subsequent academic year. Faculty members, regardless of appointment length, are expected to be present throughout the academic year, except for leaves of absence, holidays, and professional travel. Faculty members must remain on campus until they submit grades for spring term courses. The provost, in consultation with the [Student Assembly](#) and [Faculty Senate](#), determines the academic calendar details, occasionally introducing small variations announced in advance to the university community.

#### Meeting Time Patterns

The Office of the University Registrar oversees the [Courses of Study](#) catalog, which lists the current standard class meeting patterns. Class meeting patterns are listed by duration and the number of times the class meets per week: [50 Minutes](#), [75 Minutes](#), [115 Minutes](#), [150 Minutes](#), and [180 minutes](#).

Offering a course during a nonstandard meeting time requires approval (see Exceptions guidance below) if the course is numbered 4999 or less or it is cross-listed with a course that is numbered 4999 or less or co-meets with a course that is numbered 4999 or less. Approval is also required for Law School, Johnson Graduate School of Management, or Veterinary College classes numbered 5000 or above that meet between 7:30 am and 4:25 pm in buildings that are not part of their space. The granting of exceptions partly depends upon the specific [type of class](#) and the [credit hour policy](#).

#### Exceptions

Instructors must work with their unit chairperson to make every effort within the academic unit to comply with the above standard class meeting times. Only when local resolution proves impossible may the faculty member request, in writing, an exception. The exception request must first be approved by the unit associate dean, or an equivalent individual designated by the unit dean, who must then seek final approval from the vice provost for undergraduate education.

#### The Free-Time Zone

The 'free-time zone' is a designated time that provides a reliable time for relaxation and extracurricular activities. According to faculty legislation, the free-time zone spans Mondays through Thursdays from 4:25pm to 7:30pm, Fridays after 4:25pm, Saturdays after 12:05pm, and all-day Sunday. It is important that the intent of the free-time-zone policy be respected during the process of course scheduling. For that reason, the scope of teaching in the

free-time zone will be reviewed annually by the Vice-Provost for Undergraduate Education, the Dean of Faculty, and the University Registrar.

Courses numbered 4999 or lower are considered 'undergraduate-level,' even if cross-listed with higher-numbered courses. All other courses fall under the 'graduate-level' category. Graduate-level courses can meet during the free-time zone unless they are cross-listed with or co-meet with undergraduate-level courses.

### Scheduling a Classroom or Meeting Room

#### Student Attendance Responsibility

Students are expected to attend all course meetings throughout the term. While some courses enforce penalties for absences, others focus on students' responsibility for class material rather than physical presence. Attendance rules are set by the unit or the instructor. In cases of missed work, cooperation with the instructor is essential for makeup opportunities because only the course instructor can grant an exemption to a student. However, it may be particularly challenging to make up missed work for tests, laboratory sessions, or field trips, as the instructor's discretion plays a significant role.

#### Instructor Attendance Responsibility

Academic employees bear essential responsibilities, including teaching, advising, and research mentorship, and scholarship. In cases of unforeseen absence (due to illness, transportation issues, or emergencies), course instructors should arrange for substitutes or inform students and others dependent on their presence. For planned absences, provisions must be made to fulfill academic obligations, with communication to affected parties. When makeup classes are scheduled outside regular hours, instructors should consider potential conflicts for students. If, in attempting to avoid such conflicts, the instructor arranges to have the class taken by a substitute, that person must maintain continuity and coherence in their presentations as well as the level of presentation provided by the regular instructor. For these and other reasons, the missing of classes should be held to a minimum, and assignments of makeup classes and coaching of a substitute should be done with care. Having such plans approved by the unit chairperson is advised.

#### Graded Academic Coursework During Breaks

[In 2023, the Faculty Senate enacted a policy](#) prohibiting faculty from assigning graded academic coursework during scheduled breaks. Consequently, faculty cannot administer graded exams or quizzes, conduct in-class graded assignments, or set due dates for graded assignments immediately after a break. This measure aims to reduce the demand on students' time during their breaks.

#### Guidelines for Staff Instructors

If a course is offered for credit, then the instructor of record is the individual who assigns the final course grade. The instructor of record must be an academic titleholder if the course is numbered 4999 or lower.

An individual who is not an academic titleholder can serve as the instructor of record if the course is numbered 5000 or higher and is not a requirement for any degree program affiliated with the sponsoring unit. Co-teaching with an academic titleholder is always allowed provided the academic titleholder serves as the instructor of record.

#### Tutoring

No member of the instructional staff, including assistants, may engage for profit or gain in tutoring a student in a university course taught by himself or herself or by colleagues in the same unit. University buildings or equipment are not to be used by any member of the instructional staff for tutoring for profit.

#### Academic Integrity

Cornell University places a strong emphasis on [academic integrity](#), expecting unwavering honesty from its students. It is a shared responsibility where both students and faculty play a role in maintaining these values. Whether in formal coursework or any other educational context, students must: acknowledge any outside assistance received for all academic endeavors; respect the intellectual efforts of themselves and others, which is undermined by plagiarism and cheating; respect the fact that academic integrity extends beyond the classroom to all interactions related to the educational process. By submitting work for academic credit, students truthfully affirm that it is their own.

### Use of Plagiarism-Detection Software

Plagiarism-detection software, like [Turnitin](#), is activated by default in all Canvas courses. It scans student submissions for matched text by comparing the work to a large database of other student submissions, publications, and materials on the internet. Instructors who use or anticipate using plagiarism-detection software must provide notice to students. This notice should be included in the course syllabus. If plagiarism-detection software is instituted after the syllabus is distributed, faculty should provide written notice at that time. For example:

“Students agree that by taking this course, all required papers may be subject to submission for textual similarity review to plagiarism-detection software. All submitted papers will be submitted as source documents solely for the purpose of detecting plagiarism of such papers. Use of such services is subject to their Usage Policy.”

### Tech Use in Classrooms

The course instructor has the authority to decide the technology use policy, which should be included in the syllabus and communicate it to students on the first day of class. However, accommodations must be provided for students with disabilities.

### Course Material Protections

Some students buy and sell course materials online, including exams and exam answers, lecture notes, problem sets and answers, and student papers. Commercial vendors have been known to falsely tell students that instructors have approved the sale of course materials and then post them online for resale. Some Cornell students have engaged in ‘contract cheating,’ subscribing to study sites like Chegg, CourseHero, and Slader to obtain answers for exams and assignments and then submitted them as their own work. Such behavior constitutes “Unauthorized Assistance” under the [Code of Academic Integrity](#).

Online learning management systems, like Blackboard and Canvas, emphasize that course materials posted there are intellectual property belonging to the author, and students are not allowed to buy or sell them without the instructor’s express permission. To discourage such behavior, course instructors are encouraged to explicitly prohibit buying and selling course materials in their syllabi. Additionally, including a copyright notice on any course materials that you author, including class notes and exams, helps protect against unauthorized distribution. If students were to remove a copyright notice, that behavior would create a higher level of culpability. Such a notice would also make it easier for you to take down materials from commercial sites. Under the Digital Millennium Copyright Act (DMCA), to have materials removed from a web site, the copyright holder must personally request the removal. Although student-produced course materials, like lecture notes, are owned by the student, course instructors can still set conditions on their use. For instance, they may prohibit distributing notes derived from their lectures on internet sites, such as recommended above. Original course materials are copyrighted intellectual property of the creator of the content and are not a student’s property to share, distribute, or sell; sharing or selling course materials or lecture content, even a student’s own class notes, without authorization, is subject to a charge of “Classroom Misconduct” and possibly copyright infringement.

[Instructions on how to locate and request removal of copyrighted course materials sold on Internet sites.](#)

### Accommodations

Instructors play a crucial role in ensuring equal opportunities for students with disabilities. Under Federal law, disabilities such as learning disabilities, certain physical and mental health conditions, vision and hearing impairments, and traumatic brain injuries qualify for accommodations. Students with documented needs are entitled to appropriate access accommodations. [Student Disability Services](#) collaborates closely with students to determine eligibility and provide necessary accommodations for each course. Faculty should provide the accommodations specified in the accommodation notification letter prepared by Student Disability Services. Student Disability Services also supports faculty. Instructors should promptly discuss modifications with Student Disability Services if an approved accommodation would significantly alter the course's structure or essential requirements. Additional accommodation resources are provided by other entities on campus, such as the [center for teaching innovation](#), [Office of Institutional Equity and Title IX](#), [student campus life](#), and the [student-athlete handbook](#).

#### Role of Student Disability Services

- Review disability documentation, determines eligibility, and ensures equal opportunity.
- Collaborate with students and instructors to address unique course accommodations.
- Provide adaptive equipment, exam laptops, lab assistants, and other necessary support.

#### Key Points for Students

- Self-identify to Student Disability Services.
- Provide disability documentation.
- Student Disability Services issues accommodation notification letters to registered students.
- Notify faculty promptly to facilitate necessary arrangements.
- Discuss specific needs with instructors.

#### Role of Faculty Maintaining Confidentiality

- Students' disability status is confidential.
- Instructors may share accommodation information with academic support staff.
- Disability documentation is maintained by SDS and reviewed only by SDS staff.

#### Key Points for Instructors

- **Create an Open Climate** – Encourage students to communicate their needs. Use the first week of class or the syllabus to express appreciation for the accommodation process. Remember that new students may feel hesitant to request accommodations.
- **Timely Requests** – Emphasize that accommodation requests should be submitted promptly to allow for logistical planning.
- **Avoid Last-Minute Requests** – Clearly state that last-minute accommodation requests made are problematic due to procrastination.
- **Timeliness Matters** – Instructors should act promptly to accommodate students, as delays could impact a student's ability to remain in the course.
- **Confidentiality** – Ensure that students can submit accommodation requests confidentially.
- **Consistent Accommodations** – If the same accommodation applies throughout the term, set this up from the start to avoid reminders.

- **Flexible Arrangements** – While two weeks’ notice is reasonable, faculty should accommodate requests with shorter notice if possible.
- **Episodic Health Conditions** – Some students with episodic health conditions may need flexibility (e.g., makeup exams) due to unexpected episodes.
- **Syllabus Statement** – Instructors are encouraged to include an accommodation statement in the syllabus, informing students of their rights and minimizing last-minute accommodation requests.

**Sample language for accommodations syllabus statement:** If you have a disability-related need for reasonable academic adjustments in this course, provide the (Instructor, TA, Course Coordinator) with an accommodation letter from Student Disability Services. Students are expected to give two weeks’ notice of the need for accommodations. If you need immediate accommodations, please arrange to meet with your (Instructor, TA, Course Coordinator) within the first two class meetings. Students have the right to confidentiality of their disability status. Instructors may share accommodation information with academic support staff for the purpose of the provision of accommodations. Instructors should refrain from making any disability related comments in front of the class or in presence of other students, faculty or staff who are not directly involved in the accommodation process. Disability documentation is maintained in the SDS office and should only be reviewed by the Student Disability Services staff.

## Title IX Accommodations

### [Harassment, Discrimination, Bias Reporting](#)

Through Cornell University [Policy 6.4](#), the university provides means to address bias, discrimination, harassment, and sexual and related misconduct, including gender-based harassment, sexual harassment, sexual assault, domestic and dating violence, stalking, and sexual exploitation. In accordance with federal and state law, Cornell offers a range of resources, support services, and measures to protect the safety and well-being members of the community and to promote an accessible educational environment. Some such measures are [measures](#), which may include academic accommodations or no-contact orders and may be issued based upon a party’s request or at the University’s own initiative. In all instances, the University will, at its discretion, determine whether any given Interim Measure is reasonable and appropriate. Typically the [Title IX Office](#) works with the associate dean of the school, who will then work with the faculty member, when an accommodation pursuant to [Policy 6.4](#) is requested.

## Health-Related Accommodations

Cornell Health does not provide excuses for routine illnesses, injuries, and mental health problems that may lead to missed classes, labs, studios, exams, or deadline. This longstanding policy resembles those of most other major universities and is consistent with the recommendations of the American College Health Association. The University expects students to be honest with their professors regarding their ability to complete work and that they communicate any accommodations request in a timely fashion. Professors are expected to work with students on these issues. Academic advising staff and associate deans are available to provide assistance to students or faculty members who have concerns about attendance issues.

## Religious-Observance Accommodations

Instructional staff are required by New York State law to accommodate students when religious observance conflicts with exam-taking, class attendance, and other course-related requirements:

“3. It shall be the responsibility of the faculty and of the administrative officials of each institution of higher education to make available to each student who is absent from school, because of his or her religious beliefs, an equivalent opportunity to . . . make up any examination, study or work requirements which he or she may have missed because of such absence on any particular day or days.

“4. If . . . classes, examinations, study or work requirements are held on Friday after four o’clock post meridian or on Saturday, similar or makeup classes, examinations, study or work requirements . . . shall be made available on other days, where it is possible and practicable to do so. . . .”

The [Office of Spirituality and Meaning Making](#) maintains a comprehensive [accommodation website](#) that is an extremely valuable resource for both students and faculty. Many students are unaware that steps can be taken so that they can be committed to both their faith and their studies. Some are aware but hesitant to seek an accommodation because they fear retribution once their faith is revealed. These realities make it all the more important to communicate accommodation mechanisms early in the term, preferably via a published syllabus. The sensitive handling of a religious-observance accommodation sends a positive message to the student because it reaffirms Cornell’s commitment to diversity of thought. This [calendar of religious holidays](#) should be consulted before scheduling due dates and exams.

### Varsity Athlete Accommodations

At Cornell University, varsity athletics are an integral part of the undergraduate educational experience. Instructors are encouraged to recognize the value of learning that occurs outside the classroom through athletic participation. When conflicts arise between student-athletes’ athletic schedules and course requirements, instructors are expected to find ways to accommodate them. Student-athletes are responsible for notifying their instructors in advance of any class days they will miss due to university-approved athletic events. The Ivy League holds student-athletes to high standards, overseen by the [Faculty Committee on Athletics and Physical Education](#) (FACAPE) and outlined in the [Student-Athlete Handbook](#). FACAPE approves each team’s competition schedule to minimize absences. Unforeseen changes are communicated by the Department of Athletics & Physical Education. The [FACAPE Missed Class Time Policy](#) helps assure that athletic obligations are kept in appropriate context with academic standards and expectations of our institution. Ultimately, it is the responsibility of varsity athletes to arrange makeup assignments or requirements with their instructors. Instructors who have concerns about a particular varsity-athlete accommodation request should contact the [FACAPE Chair](#) or the [Dean of Faculty](#).

### Military Service

Reservists and active-duty students may be called away to complete mandatory military service for varying lengths of time. In such cases [Federal and State Law](#) requires that steps be taken to ensure readmission to the student’s educational program. The instructor should work with the student and others to ensure that the return to school is as smooth as possible.

### Long Term Health Accommodations

When a student is hospitalized or has a serious, ongoing illness or injury, and with the student’s consent, Cornell Health will contact Cornell’s Crisis Manager to coordinate communication with the student’s college. If the student, with their medical or mental health clinician, believes that providing information about a significant, ongoing health problem (not a short-term illness) could facilitate appropriate academic accommodations, Cornell Health will, at the student’s request and with the student’s permission, communicate with the college’s academic advising office and/or Student Disability Services.

### Other Accommodations

Other types of accommodation requests are approved at the discretion of the instructor. Overall fairness, educational value, and responsibilities to family are among the factors that can be taken into account. In a timely fashion, students are expected to provide enough detail about their request for an accommodation so that the instructor can make an informed and respectful decision.

### Grading Policies

In May 1965, the University Faculty adopted the Cornell [University Grading System](#). The official University grading system is composed of letter grades with pluses and minuses. Passing grades range from A+ to D-; F is failing. INC denotes a grade of incomplete, NG denotes a non-graded course, NGR signifies no grade reported, and R is the grade given a for an in-progress multi-semester course.

Letter grade values are combined with course credit hours to produce an average based on a 4.3 scale. Grade point average is calculated by multiplying the credit hour and quality point equivalent for each course and then dividing by the total number of credits taken. The cumulative average is the sum of the products of all the grades at Cornell divided by the total number of credits taken.

Alongside the letter grade system stands an SU System, in which S means satisfactory, as defined by performance that would be graded C- or higher, and U means unsatisfactory, as defined by performance that would be graded below C-. Grades of S and U are not given grade point values or taken into account in computing grade point averages. The purpose of the S-U System is to encourage students to venture into courses outside their main areas of familiarity without great risk to their academic record. Credits toward the fulfillment of graduation requirements are earned for courses evaluated S but not for those graded U. The various schools and colleges differ in the restrictions they place on the election of S/U grading over letter grading. But where college rules and course procedures allow it, the election is a student option that must be exercised within the drop period for the course. Students may not defer the decision in the hope of first seeing the letter grade they are likely to earn.

### Incompletes

The symbol of Incomplete is only appropriate when two basic conditions are met: (1) The student has substantial equity at a passing level in the course with respect to work completed; and (2) the student has been prevented by circumstances beyond a student's control, such as illness or family emergency, from completing all of the course requirements on time.

An Incomplete may not be given merely because a student fails to complete all course requirements on time. Such a practice would be open to abuse; by deferring completion of some major course requirement, a student could gain advantage over his or her classmates by obtaining additional time to do a superior job. This is not an option that may be elected at the student's own discretion.

While it is the student's responsibility to initiate a request for an Incomplete, reasons for requesting an Incomplete must be acceptable to the instructor, who establishes specific makeup requirements. An Incomplete allows a specified amount of time determined by the student's college of registry, for completing course work. The instructor has the option of setting a shorter time limit than that allowed by the student's college. Instructors under no circumstances should give an Incomplete due to pressure to meet the deadline for reporting grades.

Several colleges require that a statement signed by the instructor be on file indicating the reason for the Incomplete and the restriction, if any. The consequences of failure to complete all course work within the time permitted will depend upon the policy of the student's college of registry. Some colleges convert the Incomplete symbol to a grade of F; others let the Incomplete stand on the student's transcript. In either case, the option to make up the work is lost. It is the responsibility of the student to see that all Incompletes are made up within the deadline and that the grade change has been properly recorded with the student's college registrar.

### Late Grades

Late grades should be avoided. They often result in unwarranted academic actions or even in students not being able to graduate on time.

### Posting of Grades

Posting of student grades by name or a personally identifiable number is prohibited under the terms of the [Family Educational Rights and Privacy Act of 1974 \(FERPA\)](#). However, a student waiver authorizing disclosure of

educational records by means of a personally identifiable number (e.g. a student ID number) is acceptable provided that such consent is in writing, dated and signed by the student.

*[NOTE: A name or social security number must never be used for this purpose.] If instructors use this method, the waiver must be for a specific course; must be for a specified period of time (semester, academic year, etc.); must specify the records to be disclosed; and must be retained by the instructor of the course for a period of one year after its expiration. Students should not be coerced into signing a waiver, as the law requires that it be voluntarily given. Instructors may post grades for students who do not want their student ID number used by establishing a unique identifier known only to that student and the instructor.*

## Grade Changes

Each semester's work is an entity and grades are to be assigned for work completed during the normal period of the semester. As a matter of equity, grades must not be changed after the end of a semester because a student may have subsequently done additional work.

Only the instructor of the course has the responsibility and authority to judge the quality of a student's work and assess the appropriate letter grade. No one can overrule instructors and require them to go against their judgment of the work.

A grade must not be arbitrary or capricious or influenced by illegal discriminatory considerations. It must not contain a punitive element for an offense against academic integrity if the student has been found innocent by a duly constituted board.

To avoid the influencing of grades by improper consideration or student pressure, a grade, once given, may only be changed if an error in the original grade is claimed by the instructor. The instructor should be willing to review the basis of an assigned grade with an inquiring student and correct the grade if an error is found.

After a letter, incomplete, or S/U grade issued by an instructor of record to a student in a course has been posted to the student's transcript, on rare occasions a college will have reason to consider removing the grade from the student's transcript and replacing it with a course withdrawal (W) or expunging the student's course enrollment altogether.

When such a transcript change is necessitated by circumstances involving Cornell Health, the Office of Institutional Equity and Title IX, or the Office of University Counsel, the student's privacy interest limits the information that college officials may share with the instructor. In such cases, the college associate dean for academic affairs (or equivalent position) will inform the instructor of the impending transcript change before it is made and explain to the instructor that the action was warranted due to a matter involving one of the three offices named above, and that university protocols, including appropriate consultation, were followed.

In cases not involving these three offices, where a retroactive transcript change is under consideration, the college associate dean for academic affairs (or equivalent) must inform the instructor of the reasons for making the change and obtain the instructor's approval before making it.

If the instructor of record is no longer employed by the university, then the head of the unit offering the course is the appropriate contact.

Any individual who believes that a grade change has been made improperly may communicate their concerns to the proper authorities via the Cornell Hotline. Instructors also have the option of sharing a grade-change concern with the Dean of Faculty.

## Evening Preliminary Exam (Prelim) Policy

Preliminary examinations ("prelims") are mid-semester exams typically held during regularly scheduled class meeting times, in regularly scheduled classrooms. Evening prelim examinations may be given on Tuesday and



Thursday evenings after 7:30 p.m. Large courses (over 30) may schedule evening exams only with prior permission from the Office of the Dean of Faculty. No permission is required for examinations or make-up examinations involving small numbers of students (under 30) if given on Tuesday and Thursday.

Exceptions. Permission from the Office of the Dean of Faculty to schedule examinations on evenings other than Tuesdays or Thursdays or at a time prior to 7:30 p.m. will be granted only on the following conditions:

Conditions such as the nature of the examination, room availability, large number of conflicts, etc. justify such scheduling. An alternate time to take the exam must be provided for those students who have academic, extracurricular or employment conflicts at the time scheduled.

If there is a conflict between an examination listed on the schedule developed at the annual evening prelim scheduling meeting and an examination not on the schedule, the examination on the schedule shall have priority. The course not on the schedule provide an alternate time to take the examination for those students faced with the conflict. If a student has conflicting examination schedules, both of which are on the schedule developed at the annual evening prelim scheduling meeting or both of which are not on the schedule, the instructors of the courses involved must consult and agree on how to resolve the conflict. Both instructors must approach this resolution process with a willingness to provide an alternative or early examination.

Courses utilizing evening examinations should indicate this in the course description listed in Courses of Study, The Course and Time Roster, and The Course and Room Roster and must notify students of the dates of such examinations as early as possible in the semester, preferably when the course outline is distributed.

#### Using Tech During Exams

[The Code of Academic Integrity](#) specifies that no student may use, give, or receive any assistance or information not given in the examination or by the proctor. Access to technology poses new challenges in this regard making it necessary to clarify the authority of proctors and instructors:

- Unless the instructor or Student Disability Services grants an explicit exception, students may not handle or access technology at any time during an exam.
- During an exam all such technology shall be turned off or disabled and placed out of sight if so requested by the proctor.
- All watches provided by the student shall be placed out of sight if so requested by the proctor and the time is publicly posted or announced.
- All writing instruments provided by the student can be disallowed if alternative writing instruments are supplied by the proctor.

#### Final Exam Policy

##### [Final Exam Policy](#)

Advances in pedagogy and variations in practice across fields have broadened the range of commonly used end-of-semester evaluative exercises beyond traditional sit-down final examinations. The rules and guidelines that follow aim to protect students from unreasonable demands on their time while simultaneously providing instructors the flexibility necessary to design evaluative exercises appropriate to their courses.

The Academic Calendar sets aside, after the last week of classes, a brief study period followed by a period for final examinations. The Registrar's Office assigns to every course a specific day and time during final-examination period at which time the course's final exam, if any, will take place. The designated final exam days and times are scheduled carefully to minimize conflicts and spread students' workloads as evenly as possible over the exam period.

It is university policy to discourage more than two examinations for a student in one twenty-four hour time period. Members of the faculty are urged to grant student requests for a make-up examination, particularly if their course is the largest of the three involved and thus has the strongest likelihood of offering a makeup for other valid reasons, e.g. a student's illness or a death in a student's family. (See also Disability Accommodation Procedure for Students in this section.)

#### Resources for Instructors

- [For advising undergraduate students](#)
- [For advising graduate and professional students](#)
- **To share with your advisees and mentees**
  - **Well-Being**
    - [Cornell Health](#)
    - [Harassment, Discrimination, Bias Reporting](#)
    - [Student Support and Advocacy Services](#)
    - [Mental Health at Cornell](#)
  - **Emergency**
    - [Emergency Preparedness Information](#)
    - [Inclement Weather](#) – Inclement weather may occasionally cause delay or cancellation of activities at the university. Times for making up missed activities in a coordinated way are publicly announced on such occasions. ([FAQ](#))
    - [Active Threat To Life Protocols](#)
  - **Support**
    - [Student Essentials](#)
    - [Career Services](#)
    - [Cornell University Library](#)
    - [Cornell Writing Centers](#)
    - [International Services](#)
    - [International Teaching Assistant Program](#)
    - [Learning Strategies Center](#)

## 6.2 Research and Innovation

#### Resources

- [Office of the Vice President for Research and Innovation](#)
- [Cornell Center for Technology Licensing](#)

#### Policies

- [University Policy on Conflicts of Interest and Commitment](#)
- [How to Report Conflicts of Interest](#)
- [University Policy on Copyright](#)
- [Cost Sharing for Sponsored Agreements](#)
- [Care and Use of Live Vertebrate Animals in Research and Teaching](#)
- [Salary Confirmation](#)
- [Financial Conflict of Interest Related to Research](#)
- [Graduate Student Assistantships](#)
- [Inventions and Related Property Rights](#)
- [Research Policies](#)

## 6.3 Health and Safety

### Resources

- [Office of Environmental Health and Safety](#)
- [Cornell Health](#)
- [Cornell Police](#)
- [Cornell Recreation Connection](#)
- [Cornell Recreational Services](#)

### Policies

- [Alcohol and Other Drugs](#)
- [Disability Accommodation Process for Faculty and Staff](#)
- [Environment, Health and Safety](#)
- [Inclement Weather](#)
- [Smoking and Using Electronic Cigarettes](#)

## 6.4 Ethical Practice

### Resources

- [Office of Student Conduct and Community Standards](#)
- [Office of Institutional Equity and Title IX](#)
- [Office of Research Integrity and Assurance](#)
- [Office of the University Ombuds](#)

### Policies

- [College Level Grievance Procedures](#)
- [Consensual Relationships, FAQ](#)
- [Financial Irregularities, Reporting and Investigation](#)
- [Intercollege Compensation](#)
- [Prohibited Bias, Discrimination, Harassment, and Sexual and Related Misconduct](#)
- [Religious Accommodation](#)
- [Research Integrity](#)
- [Standards of Ethical Conduct](#)

## 6.5 Financial Matters

### Resources

- [Procurement and Payment Services](#)
- [Risk Management and Insurance](#)
- [Sales Tax Exemption Certificates](#)
- [Purchasing Computers and Software](#)

### Policies

- [Business Expenses](#)
- [Consulting](#)
- [Credit Cards to Conduct University Business](#)

## 6.6 Separation

### Dismissal or Suspension

University bylaws (Article XVI(7)) provide that “all appointments to the staff of instruction and research which are funded from non-university sources (e.g. federal or state appropriations, research or other service contracts or grants) shall be subject to modification or termination in the event that such funding shall cease to be available to the university for such purposes.”

Article XVI, Section 10, of the bylaws states:

“The Board shall have the right to dismiss and terminate the appointment of any member of the staff of instruction and research for failure to perform the duties required of the position which he holds or for such personal misfeasance or nonfeasance as shall make him unfit to participate in the relationship of teacher and student. Such dismissal shall be effected through such procedures as the Board may adopt. Such procedures shall provide for reasonable notice and an opportunity to be heard.”

The Board of Trustees and the University Faculty adopted a dismissal procedure for faculty members in 1951. Subsequently, the University Faculty Senate and the Board of Trustees adopted the following dismissal/suspension procedure in 2007.

The university reserves the right to dismiss and discontinue, or to suspend, the appointment of any member of its faculties, on reasonable notice and after giving such member an opportunity to be heard, for misconduct or failure to perform the duties required of the position he or she holds.

In the case of a university professor, professor, associate professor, or assistant professor the following procedure shall be adopted to govern dismissal or suspension for the period of one semester or more:

- A. When complaint from any source is made against a university professor, a professor, an associate professor, or an assistant professor which might lead to his or her dismissal or to suspension for the period of one semester or more, the dean of his or her college, or in the case of a university professor the dean of the University Faculty, shall inform the faculty member of the complaint against him or her, investigate the case, and if the faculty member is willing, consult with him or her regarding it. The dean shall thereafter report to the provost the results of the investigation together with his or her recommendations. The provost shall cause the faculty member to be furnished with a written and detailed statement of the charges against him or her and the suggested disciplinary action if, after receiving the dean's report and making such independent investigation as may seem appropriate to the provost, it is the opinion of the provost that further proceedings are warranted.
- B. If the faculty member desires a hearing, he or she shall so request in writing to the provost within thirty days of the receipt of the written charges against him or her, and he or she shall then be entitled to a hearing before a board appointed by the provost and consisting of five members of the University Faculty, of whom two shall be selected by the faculty member, two by the provost and the fifth by the other four.
- C. At such hearing the faculty member shall be entitled to be accompanied by an advisor or counsel of his or her own choice, to present witnesses in his or her own behalf and to confront and question the witnesses against him or her. If the faculty member so requests before or at the opening of the hearing, he or she shall after its conclusion, be furnished, without cost to him or her, a full report of the proceedings before the board, including the testimony taken, the evidence received, and the board's findings and recommendations. The board shall submit to the president a report of its findings and recommendations. If suspension is recommended, the president's decision shall be final; and if dismissal is recommended, this report shall be appended by the president to any recommendations he or she may make to the Board of Trustees in regard to the case.
- D. If dismissal is recommended, the faculty member shall be free to resign at any time within thirty days of receipt of the written charges against him or her; but if he or she has neither requested a hearing nor resigned within such thirty days, the Board of Trustees shall be free to dismiss him or her without further notice or hearing. If suspension is recommended and the faculty member fails to request a hearing within the thirty-day period described in paragraph B above, the suspension shall be implemented as recommended.
- E. In the case of suspension of less than one semester, or suspensions of any length of faculty other than university professor, professor, associate professor or assistant professor, a dean's determination to suspend a faculty member shall be subject to existing grievance procedures. In cases where the Faculty Committee on Academic Freedom and the Professional Status of the Faculty is the final step in the grievance procedure, the Faculty Committee will submit a report of its findings and recommendations to the Provost. If suspension is recommended, the president's decision shall be final.

For purposes of this dismissal and suspension procedure, the following definitions shall pertain:

"Provost" refers to the provost or the provost for medical affairs, as appropriate. However, in the event the provost for medical affairs serves simultaneously as the dean of the college in which the case arises, the president shall receive and review the dean's report and make the appropriate judgment about further proceedings.

“Suspend” or “suspension” means a temporary abrogation of the faculty member’s rights or responsibilities that effectively prevents the faculty member from carrying out the responsibilities of his or her position or a temporary partial or temporary full reduction of a faculty member’s salary, whether or not it is named as a suspension. A non-disciplinary reduction of salary such as a non-temporary reduction of salary that may be implemented at the time of an annual salary review, or a non-disciplinary reassignment of duties at an appropriate time in the academic calendar shall not be considered a suspension. The period of a suspension shall be no less than two weeks and no more than two semesters. Except for an emergency suspension, the imposition of any suspension shall be deferred pending the conclusion of the internal review process.

“Emergency suspension” refers to the suspension by the president or his designee with full salary pending the ultimate determination of the faculty member’s case where the faculty member is charged with misconduct and his or her continuance threatens imminent, serious harm to the member, to others, or to property. The scope and duration of the emergency suspension shall be tailored as narrowly as possible to the nature of the harm posed, so that the faculty member’s rights and privileges are not summarily abrogated more broadly than is reasonably necessary to protect persons or property pending completion of the suspension procedures.

“Faculty” refers to full-time faculty members as described in the University Bylaws.

## Resignation

Resignation by an academic employee, whether tenured or on a term appointment, is normally effective at the end of an academic term or on June 30 or December 31 for those on 12-month appointments. To allow the academic unit to prepare for the loss of the staff member, the employee should notify the department chairperson or the director of the unit of the intended resignation as early as possible. Because academic policy prohibits pay for accrued vacation after the termination date of a resigned appointment (except when electing formal retirement), discussions with the chair or director should include any proposed use of vacation accrual. A minimum of a month’s notice of resignation is required from the academic employee.

In some cases, when a valued member of the faculty is to leave the university, arrangements are made for a leave of absence rather than a resignation, in the hope that the person will return to Cornell. Such arrangements for up to one year require the approval of the department chair or director and the dean or vice provost. For those with joint appointments or other concurrent appointments, the approvals must be obtained from all of the relevant units and executives. To extend leave beyond one year requires approval of the provost through the Office of Workforce Policy and Labor Relations. The leave should not, in any event, exceed more than one year from the date a tenured Cornell professor assumes a tenured appointment at another institution. In this situation, the department cannot recruit a permanent replacement, and a vacant formal position (including appropriate tenure status) with its budgetary commitment, must be reserved in case the person does return.

Those considering resignation or retirement for medical reasons should consult the online policy [Leaves for Professors and Academic Staff](#) for information about short-term medical leave and federal entitlements under the Family and Medical Leave Act, as well as consulting Benefit Services in the university’s Office of Human Resources regarding such options as long-term disability and its interface with retirement and social security benefits. All faculty may wish to consult with the Cornell Association of Professors *Emeriti* ([CAPE](#)).

## 6.7 Travel

### Resources

- [Campus-To-Campus Bus Service](#)
- [Travel Services](#)

### Policies

- [Risk Management for International Travel](#)
- [Travel Expenses](#)

## 6.8 Information and Communication

### Resources

- [Brand Center](#)
- [CUinfo](#)
- [Events Calendar](#)
- [Visitor Relations](#)
- [Information Technologies](#)
- [Media Resources](#)
- [Mail Services](#)
- [Red Runner Courier Services](#)
- [University Relations](#)

### Policies

- [Use of Cornell's Name, Logos, Trademarks, and Insignias](#)
- [University Social Media Accounts](#)
- [Recording and Registration of Domain Names](#)
- [Personal and Private Activity Using University Property and Facilities](#)
- [Responsible Use of Information Technology Resources](#)
- [Mobile Communication Devices](#)

## 6.9 Graduation

### Commencement

Commencement planning resources are housed on the website of the [Office of Commencement Events](#).

### Degrees and University Requirements

The establishment or discontinuance of degrees conferred by the university is a responsibility of the Board of Trustees. The board acts on recommendations of the Faculty, which, in turn, makes its recommendations with the approval of the school or college concerned. The requirements for the various degrees offered are determined by the individual school and college faculties. The Faculty has established two universal requirements for all undergraduate degree candidates: the swim competency and two semesters of physical education. All [credit hours](#) awarded by Cornell University conform to New York State Education Department (NYSED) and U.S.

Department of Education guidelines, provided below. Additionally, credit hours awarded by Cornell University comply with credit hour regulations of the Middle States Commission of Higher Education (MSCHE).

By tradition, Cornell University does not award honorary degrees. Only two departures have been made from this practice and those occurred in the early days of the university. Honorary degrees were awarded to Andrew Dickson White, the university's first president, and to David Starr Jordan, a member of the first class and the first president of Stanford University.