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Faculty Procedures Manual

Updated November 2022

Preliminary Comments

This manual serves as a practical guide to the procedures for various faculty personnel actions at Duke University. The Duke University [Faculty Handbook](#) records the policy justifications and requirements for many of these actions. Where that is clearly the case, this manual will show a reference to the Faculty Handbook. The Provost is grateful to the Deans of the various schools for their generosity in furnishing much of the material contained in this manual, for their suggestions for improvement, and for their review of the final product. Particular thanks goes to the administration of Arts and Sciences, from whose files many parts of this manual have been taken.

Academic units at Duke use different organizational structures to meet their specific needs. Schools, Institutes, Departments, Divisions, Programs, and Centers have both different titles for their administrative heads and different levels of units within them. For example, some schools have a departmental structure, in which Chairs report to a Dean. These include Arts and Sciences, the School of Medicine, and the Pratt School of Engineering. In the Nicholas School of the Environment, the Board of Trustees has authorized a divisional structure where, for the purposes of this manual, divisions function like departments. Five schools do not have departments: the Divinity School, the Fuqua School of Business, the School of Law, the Nursing School, and the Sanford School of Public Policy. Finally, some centers report to a Dean, and others, to the Provost. For this reason, users of this manual are encouraged to employ discretion and flexibility when determining which unit or officer might initiate certain actions and to whom they might forward a recommendation or report. This manual will assume the more elaborated structure (i.e. departments to schools to university). Where there are no departments, the Dean or Institute Director will fulfill the role outlined for the Department Chair as well as the role outlined for the Dean or Institute Director.

The [dFac](#) database constitutes the official record of faculty appointments. This manual alerts users to the appropriate times and places for entering or modifying dFac records. This alert will most often be a simple reference to the dFac and its [users' manual](#). The primary appointment unit is responsible for entering all faculty data in dFac, even data concerning a secondary or joint appointment, when this dual status is known at the time of appointment. If a joint or secondary offer is made to an individual already at Duke, the joint/secondary department will enter that particular record.

The discussion of faculty titles in Chapter 2 is ordered by Personnel SubAreas (PSAs). Thus, in addition to descriptions of regular rank and non-regular rank faculty, [other PSAs](#) receive treatment in Chapter 2. The manual also contains a table showing the equivalencies of campus ranks with clinical ranks in the School of Medicine.

The manual's Appendix A contains sample departmental bylaws. This is intended merely as a model for departments, divisions, and schools as they codify their governance procedures.

The [Glossary](#) (the manual's last chapter) explains several acronyms used at Duke and identifies some little-known documents referred to in this manual.

Faculty Searches

Ethics of Recruiting and Protocol for Communicating with Faculty Candidates

"The Ethics of Recruitment and Faculty Appointment" was adopted by the Council of Colleges of Arts and Sciences in November 1992 and jointly by the American Association of University Professors in June 1993. It contains the guiding principles for faculty searches. The full statement is linked [here](#).

Following the principles of this statement, Duke has devised a protocol for communicating with candidates during faculty searches. See in particular the statement's section II, D: "If candidates request information about the progress of the search and the status of their candidacy, they should be given the information."

Within this context of full disclosure, departments should respect the wishes, professional needs, and sensibilities of candidates. This means, for example, that once a short list of candidates has been approved to visit campus, the remaining members of the candidate pool may be informed that their applications are no longer under consideration. Likewise, if a short list of, say, four is further reduced to a shorter list of two, the department may inform the two no longer under consideration of the decision. That said, departments may wish to delay final negative notifications until the position has been filled. This is acceptable, unless individual candidates ask for clarification about the state of the search, in which case the department should provide that information.

In all cases, departments or Deans should deliver negative notifications with as much sensitivity and encouragement for the candidate as possible. It may be helpful to prepare standard responses early in the search so that if candidates inquire about the state of the search before the department is ready to make any formal announcement, they can contain what needs to be said but no more. Written samples and telephone scripts can be found in Appendices B 13 and B14.

Search Plans and Search Authorizations

The Provost carries the responsibility of authorizing schools and University Institutes and Centers (UICs) to conduct searches for the appointment of regular rank faculty. Deans and, in special cases, Institute Directors have the responsibility of authorizing searches for non-regular rank faculty. At least annually, the Provost solicits schools for their faculty search plans. That solicitation describes the information the Provost requires in order to authorize a search. Schools that have departments generally solicit departmental search plans that the Dean analyzes, combines, and prioritizes, submitting them to the Provost as a school plan. Upon receiving the Provost's written authorization for faculty searches, the Dean or Institute Director undertakes the search or, in turn, sends written search authorizations to department chairs. A copy of the Authorization to Recruit (ATR) is sent to the [Office of Institutional Equality](#) as well. OIE has developed a protocol for aiding departments generate a diverse pool of candidates and for monitoring this progression. Section 3) c) v) below discusses departmental responsibilities for this reporting.

dFac/iForm action

Units will create a position with an iForm/SAP action once the position has been authorized. Although this needs to be done before the appointment can be entered in [dFac](#), it may be done at any time prior to that action, depending on the procedural flow of the office initiating both actions. (pages 11- 19, [dFac User's Manual](#))

Search Guidelines

Search/Review Committee Formation

Through its Chair, the department nominates to the Dean the membership of its search or review committee, which can and sometimes must include faculty from outside the unit. In cases recommending the granting of tenure or internal promotion to the rank of full professor, the Chair/Dean must solicit from the candidate a brief synopsis describing the candidate's intellectual interests, including a description of any factors – interdisciplinary or otherwise – that the candidate believes should be taken into consideration when establishing the review committee. The Chair will forward a copy of this statement to the Dean when nominating the review committee.

In schools without departments, the Dean will assure these responsibilities described as the Chair's as well as the Dean's own. For initial appointments granting tenure, there will be two separate committees – the first will conduct the search and the second will conduct the tenure review. Although these two functions must take place separately and sequentially, the two committees may have identical compositions if rank and tenure-track requirements are met for the final vote. Initial tenure review committees must include at least one member from outside the primary reviewing unit, appointed by the Dean of the school where the dossier will be reviewed.

While there are no hard and fast rules governing the size of review committees (with one important exception, explained in the next paragraph), it is common practice for them to have three members. In cases where the candidate's research is unusually interdisciplinary, however, it is may be necessary to appoint a larger committee in order to achieve sufficient breadth.

In cases of initial appointment or internal promotion to the rank of full professor, Duke requires that at least five full professors vote on the case at the departmental level (see [Faculty Handbook, chapter 3](#)). If a unit has fewer than five full professors, the review committee must consist of at least five full professors, some of whom will, of necessity, have primary appointments in other departments. The Provost must approve all such ad hoc committees, upon nomination by the Dean.

Search Committee Procedures and Requests to Interview Candidates

After discussing the department's affirmative action goals with the Dean and the [Office of Institutional Equality](#), the search committee drafts an advertisement inviting applications and nominations. The ads must contain a description of rank, beginning date, tenure-track status, teaching expectations, application deadline, name and address of search committee Chair, and the Affirmative Action/Equal Employment Opportunity statement. (The statement in the sample ad below has been approved by OIE). The advertisement must be approved by the appropriate school officers and placed in appropriate publications. A sample search advertisement follows:

Sample Search Advertisement

None

Copy

Duke University. The Department of Cultural Anthropology invites applications and nominations for a tenure-track position at the assistant professor level to begin September 2022. Candidates must combine promise of theoretical contributions in their field with a commitment to empirical research and teaching.

Send vitae and names of references to Chair of the Search Committee, Department of Cultural

Anthropology, Duke University, Box 90091, Durham NC 27708-0091. Applications received by December 1, will be guaranteed consideration. Duke University is an Equal Employment Opportunity/Affirmative Action Employer. We value diversity in all of its many facets and meanings.

The committee may contact colleagues at other universities to identify possible candidates, contact promising candidates directly for expressions of interest and, when appropriate, interview potential candidates at professional meetings. The committee should acknowledge all applications and at the same time request that candidates complete an Equal Employment Opportunity Form. This process varies from school-to-school. Contact your Dean's office for this form and process.

The committee develops dossiers for candidates under serious consideration. These dossiers include a current curriculum vitae, the candidate's intellectual development statement or application letter, and any materials such as course outlines or sample course evaluations that are likely to illuminate the effectiveness of a candidate's teaching. In the case of candidates who have just completed graduate school, the department/school will request, at least, the candidate's placement dossier containing a minimum of three letters of recommendation. In the case of candidates with several years of teaching experience, the committee will request other evidence of professional development and activity, such as significant articles and books published, papers read before learned societies, and research in progress. The committee may solicit, when desirable, additional evaluations of specific strengths and weaknesses of the candidates with respect to research, teaching, rank among peers, and potential, supplementing the letters with written notes of any telephone conversations. It is recommended that search committees solicit these opinions by using the approved APT solicitation letter in order to avoid having to contacting these same evaluators for additional information if the candidate is eventually reviewed for a tenured appointment.

The committee narrows the list of candidates to the three normally invited to interview on campus and, following the procedures prescribed in the unit's bylaws, prepares a written report to the faculty. This report should recapitulate the search process and attach a copy of the published advertisement, give a candidate-by-candidate assessment of the strengths and weaknesses of the candidates on the short list, and justify to the faculty its recommendation for the top candidates.

In schools with departments, the Chair seeks the Dean's approval to invite the candidates for a campus visit. In schools without departments, the Dean receives the committee report and supporting documentation and approves the visits, if appropriate.

The Chair should attach to the request all supporting documentation: candidate CVs candidate professional statements or application letters, the committee report to the faculty described above, and EEO Reporting Form for Faculty Positions (see [here](#)).

Search Conclusion – Final Steps

Once the interview process has been completed and the department or school faculty has deliberated on the candidates, following the procedures contained in the unit's bylaws, a final recommendation on the proposed candidate will go to the Dean. The Dean will approve or not the recommendation and, if appropriate, begin to negotiate the appointment terms with the candidate and, if tenure is involved, begin a formal tenure/appointment review.

Joint Searches: Types & Procedures

Preliminaries: Because of the potential complications of joint appointments at the moment of the tenure review, it is preferable that assistant professors not hold joint appointments. The Deans and the participating departments and programs should negotiate and establish at the outset how a joint position will count toward the department's or program's strategic development plan. The template for a MOU between the two units can be found in Appendix B 16.

Types of Joint Searches

<p>Serendipity or luck of the candidate pool</p>	<p>This first type of joint search is one authorized in one unit over the course of which the department discovers that the top candidate desires an appointment in a second unit as well. This appointment could simply be secondary, in which case a simpler MOU is negotiated and the appointment/tenure review occurs in the authorized department (simpler MOU template in Appendix B 15). But sometimes candidates wish a fully joint appointment, with all the rights pertaining to such as defined in the two units' bylaws and with dual financial support for the line. In this case, a more extensive MOU must be negotiated and approved by the Dean and the Provost.</p>
<p>Intentional joint searches resulting in a joint appointment</p>	<p>The second type of joint search is one authorized in one unit with the understanding that part of the line will be in another unit. This second unit may be determined when the search is authorized, or it may be determined through a competition of several units for the shared half. Although an MOU is drawn up after the search is launched in type A searches, a preliminary MOU should be drawn up prior to starting the search in these type B searches. It will be finalized once the two participating units have been determined.</p>
<p>Intentional competitive search resulting in a single-unit appointment (admittedly, this search will not result in a joint appointment, but the principles are similar)</p>	<p>This third type of search seeks to identify a scholar in an interdisciplinary area whose tenure home will end up in only one of the departments or schools competing for the position. One assumes that departments will participate in this search in order to pursue their strategic development plans; thus, the search "counts." If this is not to be the case, it must be agreed to in writing by the Dean and Provost prior to bringing candidates to campus.</p>

Procedures

For type A searches, when the jointness becomes a concluding consideration: The unit that conducts the search should approach the second unit, proposing a joint appointment. If the second unit agrees, then both should conclude the extensive MOU identifying the sources of funding. Perhaps the originally authorized department will cede half the line to the second department (even if only for the appointment of this incumbent), or perhaps the second department will need to devote half a line to the position (maybe in the form of a retirement mortgage), allowing the originally authorized department to conserve half a line for future use.

The MOU should outline the privileges and expectations for the recruited faculty member in each unit. The tenure review will be conducted by faculty from both units, although the tenure-home unit will probably have heavier committee representation. Both units will vote on the tenure dossier. Care should be taken when external APT letters are solicited to inform the evaluators that the candidate is being considered for appointment with tenure in XX and a joint appointment in YY. This way, the letter writers can know who will have access to the confidential evaluations, just in case they had something uncomplimentary to say about someone in YY.

For type B searches, where jointness is intentional from the beginning: Success requires broad departmental participation throughout the process. After conversations with appropriate Chairs, the Dean will identify those departments to be involved in a particular search and solicit nominations for search committee members from the relevant Chairs. From these suggestions, the Dean will nominate a committee to the Provost, including its Chair. Or, if the second department is open to a competitive process, the Dean will solicit interest and, after determining which departments will participate, will nominate a committee, including its Chair, to the Provost.

The Dean will endeavor to have all the departments likely to be potential appointment homes represented on the search committee. In cases where this practice would render a committee so large as to be unwieldy, the committee Chair will meet regularly throughout the search with relevant departments not represented on the committee. When extra-departmental units are affected by the search, their participation will be negotiated on a case-by-case basis.

In cases where one department is the tenure home or one unit will lead the search, that unit will provide the search's clerical support. In cases where the tenure home is open to competition, the Dean will provide clerical support in a central location, as well as reading space and a meeting room, or the Dean's office will approve an alternative support mechanism.

The committee will solicit names of candidates from participating departments, generate names from other sources, and advertise nationally. The committee will review the candidates and arrive at a preliminary short list.

Procedures may follow two paths from this point:

In the first and before proposing interview candidates to the Dean, the committee Chair will send the names and files of potential short-listed candidates to the departments in which they would ultimately hold tenure or joint appointments. The departments will then, in an expeditious manner, deliberate on the candidates and indicate whether they would agree to consider the candidate for tenure/joint appointment. In cases where departments find it unlikely to recommend appointment, that candidate will not be invited to campus to interview.

For the second process and prior to having departments thoroughly vet a candidate, the search committee will send a short-list of recommendations directly to the Dean, and departmental consultation will follow these steps:

Faculty from all departments concerned with the search will be invited to all the candidates' on-campus presentations. The potential tenure-home and joint departments will be given the opportunity to schedule (and staff) its regular search processes and meetings with candidates.

After the visit and in a timely manner, the relevant departments will follow their normal procedures for deciding on the merits of the candidate and send a report to the search committee Chair.

The search committee will report to the Dean, appending the reports of the individual departments' recommendations, pointing out the strengths and weakness of all those recommended.

The Dean will select the candidate for the position, and the formal tenure/appointment review will commence, one hopes resulting in a recommendation to the Provost.

The second process for vetting candidates permits the search committee to seek the Dean's approval to bring candidates to campus prior to full departmental vetting. Once this has been done, the search committee has made its report to the Dean, and the Dean has given preliminary approval, the full file will go to the targeted department, which will vote on whether to go forward with a full appointment review or not.

Only after the last step in the process will the candidate be informed that she or he is the top choice of the search and will be offered the job, contingent on all normal appointment review.

For type C searches, where a competitive search results in a single-department appointment: Despite this search's not resulting in a joint appointment, success requires broad departmental participation throughout the process.

After conversations with appropriate Chairs, the Deans will identify those departments to be involved in a particular search and solicit nominations for search committee members from the relevant Chairs. From these suggestions, the Deans will nominate a committee to the Provost, including its Chair.

The Dean will endeavor to have all the departments likely to be potential appointment homes represented on the search committee. In cases where this practice would render a committee so large as to be unwieldy, the committee Chair will meet regularly throughout the search with relevant departments not represented on the committee. When extra-departmental units may be affected by the search, their participation will be negotiated on a case-by-case basis.

Because the tenure home is open to competition, the Dean will provide clerical support as well as reading space and a meeting room, or an appropriate alternative support mechanism.

The committee will solicit names of candidates from participating departments, generate names from other sources, and advertise nationally. The committee will review the candidates and arrive at a preliminary short list.

Before proposing interview candidates to the Dean, the committee Chair will send the names and files of potential short-listed candidates to the departments in which they would ultimately hold tenure. The departments will then, in an expeditious manner, deliberate on the candidates and indicate whether they would agree to consider the candidate for tenured/tenure-track appointment. In cases where departments find it unlikely to recommend appointment, that candidate will not be invited to campus to interview.

Faculty from all departments concerned with the search will be invited to all the candidates' on-campus presentations. The potential tenure-home departments will be given the opportunity to schedule (and staff) its regular search processes and meetings with candidates.

After the visit and in a timely manner, the relevant departments will follow their normal procedures for deciding on the merits of the candidate and send a report to the search committee Chair.

The search committee will report to the Dean, appending the reports of the individual departments' recommendations, pointing out the strengths and weakness of all those recommended.

The Dean will select the candidate for the position, and the formal tenure/appointment review will commence.

Opportunity Hire (Target, Essential Research Collaborator, Spouse)

Occasionally an unplanned appointment opportunity presents itself. If the opportunity hire is to receive a regular rank appointment, the Provost must approve the recruitment. The initiating department submits an opportunity search proposal to the Dean, outlining how this appointment fits the department's development plan, how it will be financed, how the physical needs of the appointment will be met (laboratory, office space, equipment and personal support), and any other pertinent issues. The Dean reviews the approval and, if the Dean approves it, forwards it to the Provost, requesting a formal, targeted search authorization.

If the opportunity hire is to be offered a non-regular rank appointment, the officer with budgetary authority – Chair, Dean, or Director of a Center or Institute – will review the proposal to appoint and, upon approval, make the appointment. The appointing unit will forward a copy of all pertinent documents, including the appointment letter, to the next highest office, usually to the Dean (for schools with departments) or to the Provost (for schools without departments).

Affirmative Action Plan (AAP) reporting

Departments and schools are required to report a demographic profile of the candidate pool of each regular-rank faculty search conducted. Based on the requirements of Duke's Office of Institutional Equity, this profile should describe the race, ethnicity, and gender of those who applied for the position, for those who interviewed for the position, and of the successful candidate.

Some schools and UICs have developed web-based procedures that other schools may investigate, an action OIE and the Provost's office encourage. Using this system, when faculty candidates apply for a position, the search committee acknowledges the application and refers the applicant to a website to complete a web form providing the requested information. Units that use www.academicjobsonline.org or www.mathjob.org have this data-gathering and reporting capability as well.

When the search committee/department submits its report to the Dean, requesting approval for candidate visits, it attaches a summary form reporting the composition of the candidate pool. When the position has been filled, the department/school completes the form with specific information about the successful candidate, again submitting copies to the Dean as well as to OIE.

Once budgetary permission has been received, departments recruit non-regular rank faculty through a variety of means that need not (but may) include a national search. Documents in the file of the successful candidate will include, at a minimum, a letter of application, a CV, and a transcript from the university having granted the candidate's highest degree. It may include other scholarly items and letters of reference as determined by the department.

Department Chairs and Program Directors (Deans in schools without departments) issue appointment letters to candidates for non-regular rank positions that state the appointment's title, length, and compensation, describe the appointment's duties, and set a precise reply deadline. (See the various templates in Appendix B). The appointment letter should either have appended to it or sent soon after its acceptance a full description of the courses faculty will teach, including the requirement that the instructor prepare course outlines and submit them to the Chair (or his/her designee) for review one week prior to the beginning of classes each semester, unless the course has a syllabus predetermined by the department. Offers are contingent upon a successful outcome to a mandatory background audit and candidates are responsible for satisfying all Immigration and Naturalization requirements as well as all requirements of the Internal Revenue Service in order to become eligible to receive pay.

Part-time faculty and some non-regular rank faculty do not qualify for university benefits. In order to receive anything other than federally mandated benefits (e.g., Duke contribution to FICA), faculty must be employed full time and receive pay over, at least, nine consecutive months.

Faculty Appointment Principles

To teach a course for credit at Duke University, a faculty member must hold a current faculty appointment in the unit where the course is listed, unless an instructor has a primary appointment in another unit and is teaching a course cross listed in both units. Appropriate appointments may be either primary, secondary or administrative and either tenure track appointments, non-tenure track regular rank appointments, or non-regular rank appointments.

Most non-regular rank instructional appointments fall in two categories: adjunct appointments (intended for individuals holding primary non-academic appointments at Duke or primary appointments at other institutions) and short-term appointments (intended to last one semester or one year).

The following paragraphs define these types of appointments and distinguish among them.

Appointment Types

Primary Appointments

Every faculty member at Duke has a primary appointment. It may reside in an academic department or, for schools without departments, in the school itself, or in a University Institute or Center (UIC). Faculty holding joint appointments have one of them designated as the primary appointment. The joint appointment functions as a secondary appointment, with possible exceptions as outlined in the next subsection. Tenure, where applicable, resides in the primary department, which is also responsible for administrative support and oversight, unless negotiated differently between the units in the required Memorandum of Understanding. The primary department initiates the dFac actions for individuals holding primary appointments in it. At the time of retirement, the primary appointment may change to “emeritus.” See Emeritus appointment below.

dFac action

Primary appointments are coded as type “P” in dFac. For more information related to creating appointments in dFac, please review [this section](#) of the dFac User Guide.

:

Joint and Secondary Appointments

(Faculty Handbook, pp. 2/2-2/3)

The administrative distinction between secondary and joint appointments is that secondary appointments do not involve any contribution to the faculty salary line; joint appointments do. This matter must be worked out between the Chair and the Dean (for interschool appointments, between the Deans and the Provost) prior to considering a joint appointment. However, even when a unit does not make a financial contribution to a secondary appointment, it may identify some appointments as joint in order to grant voting rights to secondary faculty on special issues (e.g., bylaws and personnel matters). The agreement governing the appointment Appendices B15 and B16 should clearly identify any such privileges.

Non-departmental or secondary faculty appointed to ad hoc personnel review committees may vote with other committee members on the committee's report, even if they are not entitled by the unit's bylaws to vote in the subsequent general faculty meeting where the report is considered and voted on.

Academic units wishing to offer a secondary/joint appointment to a current regular-rank faculty member holding a primary appointment in another unit at Duke must obtain the permission of the Provost. The unit reviews the credentials of the candidate, votes on the request in a meeting of the appropriate faculty, and sends a written request to the Dean who, in turn, forwards it to the Provost for a decision. Upon approval by the Provost, the Dean writes a contract letter to the faculty member consistent with the terms of the request. This letter must be signed by the faculty member, returned to the Dean and then reviewed and approved by the Provost. Academic units wishing to offer a secondary/joint appointment to a regular-rank faculty member being recruited to Duke should consult the discussion of joint searches in Chapter 3.

In both cases – offer to a current faculty member or to a potential faculty member – the unit's request to the Dean (and the Dean's to the Provost) should state its reasons for requesting the appointment, the candidate's current primary title and term, the rank at which the appointment will be made, and the length of term requested. The requesting department must send the Dean a copy of the agreement based on the templates found in Appendix B covering faculty responsibilities and privileges concluded between the Chairs of the two units. The Dean attaches this agreement to the request sent to the Provost. It is the responsibility of the two units to address all the pertinent questions identified in the sample agreement and any others they deem necessary. Issues not addressed in the agreement will be governed by the rules of the primary unit.

dFac action

Secondary appointments are coded as type "S" in dFac; joint appointments are coded as "J". When secondary appointments are approved at the time of initial primary offer (i.e., in the initial primary contract letter), the primary department can include the secondary appointments on the dFac [New Faculty Member Form](#). When secondary appointments are offered subsequent to initial hire, the department offering the secondary appointment initiates a [New Appointment form](#) to add the secondary. (page 23, dFac User's Manual)

Five notes on rank

1. Promotion or change of title in the primary department may not change the joint/secondary rank or title. The joint/secondary department must make a new and specific request to the Dean. However, it does not require Provost approval to change a joint/secondary title or rank in step with the new primary appointment.
2. The rank of a secondary appointment cannot be higher than the rank of the primary appointment and the faculty member may only have tenure in one department.
3. The rank of the secondary appointment must be an authorized title for that unit. Thus, if a unit is not authorized to offer a tenure-track title, a secondary appointment in that unit may not be with a tenure-track title.
4. Emeritus faculty may hold a secondary appointment, for example, in order to offer a course outside of their emeritus department. However, this appointment requires the Provost's approval (following the approval procedure described in this section) and must be for a specific term.
5. Equivalencies of campus titles with the different tracks in the clinical departments of DUMC are shown in Table 2.2.

Administrative

The following administrative titles have been approved by the President and Provost. Administrative appointments are recorded in dFac. Additionally, appointments to those roles indicated by asterisk must be reported to the Board of Trustees. (See Chapter 12)

Table 2.1 Administrative Titles for Regular Rank Faculty

Acting Assistant Director	*Acting Co-Chair	*Acting Director	Assistant Chair	*Dean
Associate Director of Graduate Studies	Associate Vice-Chair	*Chancellor	*Co-Chair	Representative, Board of Directors
*Executive Vice President	Interim Chief	*Interim Director	Interim Vice-Dean	Assistant to the Chancellor
*Acting Chair	Acting Coordinator	Acting Secretary	Assistant Chief	Dean Emeritus
Associate Director of Undergraduate Studies	Associate Vice-Dean	Chancellor Emeritus	Co-Chief	*Senior Associate Dean
Head, Section	Interim Coordinator	Interim Secretary	*President	Assistant to the Dean
Acting Chief	*Acting Dean	Acting Vice-Chair	Co-Director	President Emeritus
Associate Vice Chancellor	*Chair	Chief	Assistant Director	Coordinator
*Interim Chair	*Interim Dean	Interim Vice-Chair	*Provost	Assistant to Director
*Deputy Dean	*Senior Director	Assistant to the Vice President	Deputy Director	*Senior Vice Chancellor
Assistant Vice Chancellor	*Director	*Senior Vice President	Assistant Vice President	Director of Graduate Studies
University Secretary	Assistant Vice-Chair	Director of Undergraduate Studies	University Veterinarian	Assistant Vice-Dean
*Executive Vice Provost	*Vice Chancellor	Associate Chair	*Executive Dean	*Vice Dean
Associate Chief	*Executive Director	*Vice President	*Associate Dean	Executive Secretary
*Vice Provost	Associate Dean Emeritus	*Executive Vice Chancellor	*Vice-Chair	Associate Director

dFac action

Such appointments will be codes as Type “A”. The unit in which the administrative appointment has been made initiates a dFac action when these appointments have been finalized except in cases where administrative appointments are approved at the time of the initial primary offer (i.e., in the primary contract letter). In such cases, the primary department initiates the dFac action for administrative appointments.

Membership in University Institutes and Centers (UICs)

Some UICs have the authority to make regular-rank, non-tenure track appointments. Those procedures are described above. But UICs may, at times, wish to establish a collaborative relationship with a researcher or scholar without offering a formal secondary appointment. The titles available for such relationships include Member, Associated Faculty, and Affiliated Faculty. Each unit wishing to establish such relationships with investigators should outline the policies and procedures for making them and submit this proposal for approval to the supervising officer, either Dean or Provost. Ultimately, a copy of these policies and procedures should be filed with the Provost’s Office of Faculty Affairs. The UIC that establishes such a relationship with an individual initiates the dFac action.

dFac action

Such appointments will be codes as Type “M”

Emeritus Appointment

Regular rank faculty members who retire at age sixty-five or over, or who have served the university for at least ten years, may receive the emeritus title of the same faculty rank they held at retirement. The approved Emeritus/Emerita appointment replaces the faculty member’s primary appointment and remains active until the faculty member’s death. See details in the Faculty Handbook, pp. 4-14 through 4-15. That same section describes the privileges and services provided to emeritus faculty.

dFac action

See Appendix B17, Process for Retiring Faculty, for details on dFac and iForm transactions.

Appointment Titles, Faculty Responsibilities & Privileges

Duke University underwent a faculty nomenclature review in the late 1980's and formal recommendations were implemented in the early 1990's. As a result of these recommendations, the University implemented the use of Regular Rank faculty and Non-Regular Rank faculty. In addition to the tenured and tenure track, regular rank included additional faculty titles in which faculty must meet four criteria to be so designated. Regular rank faculty status indexes eligibility to vote in Academic Council elections.

Consult complete list of appointment titles in Appendix B 18, Faculty Titles by Category. Deans make these appointments and the Dean's office initiates the dFac action.

The responsibilities and privileges of regular rank, tenure track faculty are described in the Faculty Handbook.

Regular rank, Non-tenure track (PSA 0010)

Consult complete list of appointment titles in Appendix B 18, Faculty Titles by Category. Deans and authorized Institute Directors make these appointments, and that office or its designate initiates the dFac action.

The responsibilities and privileges of regular rank, non-tenure track faculty are the same as for tenure track faculty in many respects. By virtue of their title, regular rank, non-tenure track faculty hold Principal Investigator status. There are some differences, however, including but not limited to the following: 1) Regular rank, non-tenure track faculty are not eligible for tenure. 2) Regular rank, nontenure track faculty are not eligible for research leaves for junior faculty nor for sabbatical leaves. 3) The voting privileges of regular rank, non-tenure track faculty within their department/program are defined by the by-laws of that unit.

Non-Regular rank (PSA 0011)

Consult the list of appointment titles in Appendix B 18, Faculty Titles by Category. The linked page lists the non-regular rank titles by general category: principally instructional, principally clinical, noninstructional research, and short-term instructional. Departments/Schools maintain criteria for all nonregular rank titles they use. These criteria should be readily available either in the unit's bylaws or elsewhere. Faculty in these ranks include the titles of (Senior) Lecturing Fellow, Artist in Residence, Instructor, Scholar in Residence, and any title modified by the words "Adjunct," "Visiting," or "Parttime."

Duke requires all new part-time and non-regular rank faculty to participate in an orientation session conducted by the department Chair or his/her designee. (SACS confirms this requirement.) This session will guide new faculty on a walking tour of the department and its facilities, describe conventions or safety requirements for these facilities, introduce new faculty to office staff and departmental officers, and distribute written guidelines and policies for faculty. See the template for this in Appendix B 7.

The responsibilities and privileges of non-regular rank faculty are defined by the unit in which the appointments are housed.

dFac action

If two units in a school offer non-regular rank appointments to the same individual, say, to teach a different course in each unit, both appointments may well be made with the same title. When entering these titles into dFac, the first will function as the primary non-regular rank appointment, and the second will be treated as a secondary appointment, even though they have been offered independently and neither is superior to the other.

A note on pay and benefits

Among instructional staff only those holding full-time appointments of at least one academic year's length (nine months) are eligible for most fringe benefits, including life and medical insurance. Nonetheless, all salaries are assessed for the contribution to the fringe benefit pool.

Other Personnel SubAreas (PSAs)

In addition to the faculty rank and titles (PSAs) treated in the three preceding sections [4) b) i-iii)], there are seven other PSAs pertinent to this manual. Five are restricted to DUSOM; two are used universitywide. They are:

PSA 0019	Tenured and Tenure Track Faculty with PDC Benefits. These titles are the same as PSA 0009, use is restricted to clinical faculty who practice medicine in the Private Diagnostic Clinics
PSA 0020	Other Regular Rank Faculty with PDC Benefits. These titles are the same as PSA 0010, but use is restricted to clinical faculty who practice medicine in the Private Diagnostic Clinics
PSA 0021	Non-Regular Rank Faculty with PDC Benefits. These titles are the same as PSA 0011, but use is restricted to clinical faculty who practice medicine in the Private Diagnostic Clinics
PSA 0023	Unpaid Affiliated Non-Regular Rank Faculty. This PSA is distinguished from PSA 0011, described above, in that faculty in these ranks are not employees of Duke University and receive no payment from Duke sources or from financial sources routed through Duke. This PSA prevents payment in SAP. It allows affiliated appointments to be represented in dFac and such faculty to be represented in Scholars@Duke.
PSA 0024	Faculty Exempt. This PSA permits individuals with primary staff positions that are exempt from wage and salary regulations and who also hold a non-regular rank faculty appointment to be entered into dFac
PSA 0033	Unpaid Affiliated Regular Rank Faculty. This PSA is distinguished from PSA 0009 and 0010, described above, in that faculty in these ranks are not employees of Duke University and receive no payment from Duke sources or from financial sources routed through Duke. This PSA prevents payment in SAP. It allows affiliated appointments, such as faculty at Duke Kunshan University, to be represented in dFac and such faculty to be represented in Scholars@Duke.
PSA 0040	Hospitalist, Non-Regular Rank, and PSA 0041 – Hospitalist, Regular Rank. These PSAs are assigned to practicing physicians whose position, pay, and benefits are based with and paid entirely by the hospital and who hold a faculty appointment within DUSOM.

Medical Center equivalencies to Campus Titles

Faculty appointments in the clinical departments of the DUSOM may be modified with a track designation, e.g., Professor of Medicine, Track III. Track designations are used only in the clinical departments of the DUSOM. They are not used in the Basic Science departments nor in the School of Nursing. Tracks I through III are used variously for the tenured and tenure-track titles of Professor with tenure, Associate Professor with tenure, Associate Professor without tenure, and Assistant Professor.

Titles modified by Track IV and Track V are restricted to the non-tenure track, regular rank titles. Medical Instructor is also used in the DUSOM as a non-tenure track, regular rank title but does not carry a modifier.

The Faculty and Academic Affairs Procedure Manual of DUSOM identifies individuals in Track IV as full-time practicing physicians. It identifies individuals in Track V as full-time faculty engaged largely in research, not in patient care. Therefore, appropriate secondary titles for clinical faculty when affiliated with a non-clinical department will follow these guidelines:

Table 2.2 Medical Center Title Equivalencies

Primary Title in DUSOM	Secondary options in a non-clinical unit
Tracks I-III	Assistant/ Associate/Full Professor
Track IV	Assistant/Associate/Full Professor of the Practice
Track V	Assistant/Associate/Full Research Professor
Medical Instructor	Lecturer, Instructor

Faculty Job Titles by Rank

Overview

Duke University underwent a faculty nomenclature review in the late 1980's and formal recommendations were implemented in the early 1990's. As a result of these recommendations, the University implemented the use of Regular Rank faculty and Non-Regular Rank faculty. In addition to the tenured and tenure track, regular rank included additional faculty titles in which faculty must meet four criteria to be so designated. Regular rank faculty status indexes eligibility to vote in Academic Council elections. The responsibilities and privileges of regular rank, tenure track faculty are described in the Faculty Handbook.

All faculty job codes start with "15" and fall within job family 40. Reference your school's specific guidelines regarding which job codes should be used.

Need a list of faculty?

Lists of current faculty members by department or school are available in [Group Manager](#).

Tenured Faculty (Regular Rank)

granted Principle Investigator status

Title	Short Title	Job Code	Personnel Subarea	Notes
PROFESSOR (TENURE)	PROFESSOR-TN	1541	09	
ASSOC PROFESSOR (TENURE)	ASSC PROF-TN	1542	09	
ASSIST PROFESSOR (TENURE)	ASST PROF-TN	1543	09	no longer in use

Need a list of faculty?

A list of current tenured faculty members is available in [Group Manager](#).

Tenure Track Faculty (Regular Rank)

granted Principle Investigator status

Title	Short Title	Job Code	Personnel Subarea	Notes
PROFESSOR	PROFESSOR	1545	09	
ASSOC PROFESSOR	ASSC PROF	1546	09	
ASSIST PROFESSOR	ASST PROF	1547	09	

Need a list of faculty?

A list of current enure-track faculty members is available in [Group Manager](#).

Duke Kunshan University Faculty (Regular Rank)

Title	Short Title	Job Code	Personnel Subarea	Notes
PROFESSOR, DKU		1534	33	Always use PSA 33. This code was previously used for "clinical associate emeritus"
ASSOCIATE PROFESSOR, DKU		1540	33	Always use PSA 33. This code was previously used for "lecturer, pre-tenure track"
ASSISTANT PROFESSOR, DKU		1553	33	Always use PSA 33

Need a list of faculty?

A list of current DKU faculty members is available in [Group Manager](#).

Other Regular Rank Faculty

Privileges

The responsibilities and privileges of regular rank, non-tenure track faculty are the same as for tenure track faculty in many respects. By virtue of their title, regular rank, non-tenure track faculty hold Principal Investigator status. There are some differences, however, including but not limited to the following:

1. Regular rank, non-tenure track faculty are not eligible for tenure.
2. Regular rank, nontenure track faculty are not eligible for research leaves for junior faculty nor for sabbatical leaves.
3. The voting privileges of regular rank, non-tenure track faculty within their

department/program are defined by the by-laws of that unit.

Lecturers (Regular Rank)

Title	Short Title	Job Code	Personnel Subarea	Notes
LECTURER-UNIV	LECTURER UN	1521	10	Use PSA 33 for unpaid
LECTURER, PRE-TENURE TRACK	LECTURER PTT	1540	10	
LECTURER, SENIOR		1528	10	Use PSA 33 for unpaid

Professors of the Practice (Regular Rank)

Minimum expectations for faculty holding the rank of [full] Professor of the Practice:

Professors of the Practice are faculty members "engaged principally in teaching in a degree granting unit of the University. This 'obvious instructional component' will be written as a term of appointment in their contract with the University, and verified and evaluated in the review process for renewal of contract." [from the Nomenclature Committee's Report, December 15, 1988] In addition, these faculty will be widely known for the outstanding quality of their performance, as opposed to the quality of their research. An example could be a journalist who is widely recognized for the exceptional quality of her contributions as a practitioner and for her influence in world culture or political affairs, in contrast to Duke's tenured Full Professors who are recognized for their continual innovative research accomplishments and influence in their disciplines.

Title	Short Title	Job Code	Personnel Subarea	Notes
PROFESSOR OF PRACTICE	POP	1525	10	Use PSA 33 for unpaid
ASSOC PROF OF THE PRAC	ASSOC POP	1526	10	Use PSA 33 for unpaid
ASSIST PROF OF THE PRAC	ASST POP	1527	10	Use PSA 33 for unpaid

Research Professors (Regular Rank)

Minimum expectations for faculty holding the rank of [full] Research Professor:

Research Professors are faculty members "engaged principally in research, but whose professional activities also include an 'obvious instructional component' that is written as a term of appointment in their contract with the University, and verified and evaluated in the review process for renewal of contract." [from the Nomenclature Committee's Report, December 15, 1988] In addition, these faculty conduct original research at a level and quality equivalent to that of Duke's tenured Full Professors.

Title	Short Title	Job Code	Personnel Subarea	Notes
RESEARCH PROFESSOR	ASC RES PROF	1535	10	Use PSA 33 for unpaid
ASSOC RESEARCH PROFESSOR	RES PROF	1536	10	Use PSA 33 for unpaid
ASSIST RESEARCH PROFESSOR	AST RES PROF	1537	10	Use PSA 33 for unpaid

School of Medicine & School of Nursing Professors (Regular Rank)

Title	Short Title	Job Code	Personnel Subarea	Notes
MEDICAL INSTRUCTOR (ASSOCIATE)	ASSOCIATE	1548	20	Use PSA 33 for unpaid. Note-this codee was previously used for "Associate"1
CLINICAL PROFESSOR	CLIN PROF	1575	20	Use PSA 33 for unpaid
ASSOC CLINICAL PROF	ASC CLN PROF	1576	20	Use PSA 33 for unpaid
ASSIST CLINICAL PROF	AST CLN PROF	1577	20	Use PSA 33 for unpaid
PROFESSOR - TRACK 4	PROFESSOR-T4	1581	20	Academic Clinician details . Use PSA 33 for unpaid

ASSOCIATE PROFESSOR - TRACK 4	ASSC PROFESSOR-T4	1582	20	Academic Clinician details . Use PSA 33 for unpaid
ASSISTANT PROFESSOR - TRACK 4	ASST PROFESSOR-T4	1583	20	Academic Clinician details . Use PSA 33 for unpaid
PROFESSOR - TRACK 5	PROFESSOR-T5	1584	20	Research Clinician details . Use PSA 33 for unpaid
ASSOCIATE PROFESSOR - TRACK 5	ASSC PROFESSOR-T5	1585	20	Research Clinician details . Use PSA 33 for unpaid
ASSISTANT PROFESSOR - TRACK 5	ASST PROFESSOR-T5	1586	20	Research Clinician details . Use PSA 33 for unpaid
ASSIST PROFESSOR - UNDIFFERENTIATED		1579	20	Use PSA 10 for ____
ASSOCIATE PROFESSOR - CAREER TRACK		1587	20	
PROFESSOR - CAREER TRACK		1588	20	

Need a list of faculty?

A list of current other regular rank faculty members is available in [Group Manager](#).

Emeritus Faculty

Deans and Directors (Emeritus)

Title	Short Title	Job Code	Personnel Subarea	Notes
DEAN EMERITUS	DN ENERUTYS	1552	22	
ASSOCIATE DEAN EMERITUS	ASSC DN EMER	1551	22	
DIR EMERITUS, NASHER MUSEUM	DIR EMRT, NM	1570	22	

Professors (Emeritus)

Title	Short Title	Job Code	Personnel Subarea	Notes
PROFESSOR EMERITUS	PROFESSOR EM	1531	22	
ASSOC PROFESSOR EMERITUS	ASSC PROFESSOR EM	1532	22	
ASSIST PROFESSOR EMERITUS	ASST PROFESSOR EM	1533	22	

Research Professors (Emeritus)

Title	Short Title	Job Code	Personnel Subarea	Notes
RESEARCH PROFESSOR EMERITUS	RES PROF EM	1517	22	
ASSOC RESEARCH PROF EMERITUS	ASC RES PRF E	1544	22	
ASSIST RESEARCH PROF EMERITUS	AST RES PRF E	1539	22	

Lecturers (Emeritus)

Title	Short Title	Job Code	Personnel Subarea	Notes
LECTURER EMERITUS	LECT EMER	1550	22	
LECTURER, SENIOR EMERITUS	LECTURER SENIOR EMERITUS	1595	22. This code was previously used for "lecturer, mc"	

Professors of the Practice (Emeritus)

Title	Short Title	Job Code	Personnel Subarea	Notes
PROFESSOR OF PRACTICE EMERITUS	POP EM	1510	22	
ASSOC PROF OF THE PRAC EMERITUS	ASSOC POP E	1507	22	
ASSIST PROF OF THE PRAC EMERITUS	ASST POP EM	1520	22	

Clinical Sciences Professors (Emeritus)

Title	Short Title	Job Code	Personnel Subarea	Notes
PROFESSOR EMERITUS	PROFESSOR EM	1531	22	
ASSOC CLINICAL PROF EMERITUS	ASC CLN PRF E	1597	22	
ASSIST CLINICAL PROF EMERITUS	AST CLN PRF E	1511	22	
CLINICAL PROFESSOR EMERITUS	CLIN PROF EM	1538	22	
PROFESSOR EMERITUS-TRACK 4	PROF EM-T4	1561	22	
ASSOCIATE PROFESSOR EMERITUS-TRACK 4	ASC PROF E-T4	1562	22	
ASSISTANT PROFESSOR EMERITUS-TRACK 4	AST PROF E-T4	1563	22	
PROFESSOR EMERITUS-TRACK 5	PROF EM-T5	1591	22	
ASSOCIATE PROFESSOR EMERITUS-TRACK 5	ASC PROF E-T5	1592	22	
ASSISTANT PROFESSOR EMERITUS-TRACK 5	AST PROF E-T5	1593	22	

Non-Regular Rank Faculty, Bargaining Unit

View [Agreement](#)

<http://www.dukefacultyunion.org/>

Title	Short Title	Job Code	Personnel Subarea	Notes
INSTRUCTOR*		1554	31	
INSTRUCTOR B*		1560	31	
LECTURING FELLOW*		1564	31	

Non-Regular Rank Faculty

Departments/Schools maintain criteria for all nonregular rank titles they use. These criteria should be readily available either in the unit's bylaws or elsewhere. The responsibilities and privileges of non-regular rank faculty are defined by the unit in which the appointments are housed.

Non-regular rank appointments should never exceed three years for any one appointment.

Duke requires all new part-time and non-regular rank faculty to participate in an orientation session conducted by the department Chair or his/her designee. (SACS confirms this requirement.) This session will guide new faculty on a walking tour of the department and its facilities, describe conventions or safety requirements for these facilities, introduce new faculty to office staff and departmental officers, and distribute written guidelines and policies for faculty. See the template for this in Appendix B 7.

Most non-regular rank instructional appointments fall in two categories: adjunct appointments (intended for individuals holding primary non-academic appointments at Duke or primary appointments at other institutions) and short-term appointments (intended to last one semester or one year).

Adjunct Titles (Non-Regular Rank)

Title	Short Title	Job Code	Personnel Subarea	Notes
ADJUNCT PROFESSOR	ADJ PROF	1565	11	
ADJUNCT ASSOCIATE PROFESSOR	ADJ ASSC PROF	1566	11	
ADJUNCT ASSISTANT PROFESSOR	ADJ ASST PROF	1567	11	
ADJUNCT ASSOCIATE	ADJ ASSOC	1568	11	
ADJUNCT INSTRUCTOR-UNIV	ADJ INST UNV	1569	11	

Consulting Titles (Non-Regular Rank)

Title	Short Title	Job Code	Personnel Subarea	Notes
CONSULTING PROFESSOR	CONS PROF	1571	11	
CONSULTING ASSOCIATE PROFESSOR	ASC CONS PROF	1572	11	
CONSULTING ASSISTANT PROFESSOR	AST CONS PROF	1573	11	
CONSULTING ASSOCIATE	CONS ASSOC	1574	11	

Instructor Titles (Non-Regular Rank)

Title	Short Title	Job Code	Personnel Subarea	Notes
INSTRUCTOR-MC	INST MC	1596	11	
INSTRUCTOR-TEMPORARY	INST TEMP	1518	11	
INSTRUCTOR, (P-T)/UNIV	INST UNV P-T	1519	11	
INSTRUCTOR-SPECIAL PROGRAMS	INST SPC PGM	1599	11	
INSTRUCTOR, NON TENURE TRACK	INST NTT	1501	11	
INSTRUCTIONAL STAFF	INSTR STAFF	1505	11	

Lecturer Titles (Non-Regular Rank)

Title	Short Title	Job Code	Personnel Subarea	Notes
LECTURING FELLOW, SENIOR	LECT FELL SR	1515	11	
LECTURER (P-T)/UNIV	LECT UNV P-T	1522	11	
LECTURING FELLOW	LECT FELLOW	1514	11	

Visiting Titles (Non-Regular Rank)

Title	Short Title	Job Code	Personnel Subarea	Notes
VISITING PROFESSOR	VIS PROF	1555	11	Use PSA 21 for clinical
VISITING ASSOCIATE PROF	VIS ASC PROF	1556	11	Use PSA 21 for clinical
VISITING ASSISTANT PROFESSOR	VIS AST PROF	1557	11	Use PSA 21 for clinical
VISITING PROFESSOR OF THE PRAC	VIS POP	1508	11	Use PSA 21 for clinical
VISITING ASSC PROFESSOR OF THE PRAC	VIS ASC POP	1529	11	Use PSA 21 for clinical
VISITING ASST PROFESSOR OF THE PRAC	VIS AST POP	1530	11	Use PSA 21 for clinical
VISITING ASSOCIATE	VIS ASSOC	1558	11	Use PSA 21 for clinical
VISITING INSTRUCTOR	VIS INSTR	1559	11	Use PSA 21 for clinical
VISITING LECTURER	VIS LECTURER	1524	11	Use PSA 21 for clinical
VISITING RESEARCH SCHOLARS	VIS RES SCHL	1516	11	Use PSA 21 for clinical
VISITING SCHOLAR	VIS SCHOLAR	1523	11	Use PSA 21 for clinical

Additional Non-Regular Rank Faculty Titles

Title	Short Title	Job Code	Personnel Subarea	Notes
CLINICAL ASSOCIATE	CLIN ASSOC	1578	11	
SCHOLAR IN RESIDENCE	SCHLR N RES	1589	11	
STAFF ASSOCIATE	STAFF ASSC	1512	11	
ARTIST IN RESIDENCE	ARTIST N RES	1506		
FACULTY	FACULTY	4500	44	

Need a list of faculty?

A list of current non-regular rank faculty members is available in [Group Manager](#).

Other Personnel SubAreas (PSAs)

In addition to the faculty rank and titles (PSAs) treated in the three preceding sections [4) b) i-iii)], there are seven other PSAs pertinent to this manual. Five are restricted to DUSOM; two are used universitywide. They are:

PSA 0020	Other Regular Rank Faculty with PDC Benefits. These titles are the same as PSA 0010, but use is restricted to clinical faculty who practice medicine in the Private Diagnostic Clinics
PSA 0021	Non-Regular Rank Faculty with PDC Benefits. These titles are the same as PSA 0011, but use is restricted to clinical faculty who practice medicine in the Private Diagnostic Clinics
PSA 0023	Unpaid Affiliated Non-Regular Rank Faculty. This PSA is distinguished from PSA 0011, described above, in that faculty in these ranks are not employees of Duke University and receive no payment from Duke sources or from financial sources routed through Duke. This PSA prevents payment in SAP. It allows affiliated appointments to be represented in dFac and such faculty to be represented in Scholars@Duke.
PSA 0024	Faculty Exempt. This PSA permits individuals with primary staff positions that are exempt from wage and salary regulations and who also hold a non-regular rank faculty appointment to be entered into dFac
PSA 0033	Unpaid Affiliated Regular Rank Faculty. This PSA is distinguished from PSA 0009 and 0010, described above, in that faculty in these ranks are not employees of Duke University and receive no payment from Duke sources or from financial sources routed through Duke. This PSA prevents payment in SAP. It allows affiliated appointments, such as faculty at Duke Kunshan University, to be represented in dFac and such faculty to be represented in Scholars@Duke.
PSA 0040	Hospitalist, Non-Regular Rank, and PSA 0041 – Hospitalist, Regular Rank. These PSAs are assigned to practicing physicians whose position, pay, and benefits are based with and paid entirely by the hospital and who hold a faculty appointment within DUSOM.

Medical Center equivalencies to Campus Titles

Faculty appointments in the clinical departments of the DUSOM may be modified with a track designation, e.g., Professor of Medicine, Track III. Track designations are used only in the clinical departments of the DUSOM. They are not used in the Basic Science departments nor in the School of Nursing. Tracks I through III are used variously for the tenured and tenure-track titles of Professor with tenure, Associate Professor with tenure, Associate Professor without tenure, and Assistant Professor.

Titles modified by Track IV and Track V are restricted to the non-tenure track, regular rank titles. Medical Instructor is also used in the DUSOM as a non-tenure track, regular rank title but does not carry a modifier.

The Faculty and Academic Affairs Procedure Manual of DUSOM identifies individuals in Track IV as full-time practicing physicians. It identifies individuals in Track V as full-time faculty engaged largely in research, not in patient care. Therefore, appropriate secondary titles for clinical faculty when affiliated with a non-clinical department will follow these guidelines:

Table 2.2 Medical Center Title Equivalencies

Primary Title in DUSOM	Secondary options in a non-clinical unit
Tracks I-III	Assistant/ Associate/Full Professor
Track IV	Assistant/Associate/Full Professor of the Practice
Track V	Assistant/Associate/Full Research Professor
Medical Instructor	Lecturer, Instructor

Faculty Appointment Process

Appointment Approval

Regular Rank Tenure Track Faculty

Deans (and where so enabled, UIC Directors) make all appointments of regular rank tenure track faculty. Faculty positions must be in personnel subareas 0009 or 0019.

Such appointments are then approved by the Provost by way of report and approval by the Board of Trustees. Appointments with tenure require a full dossier for review by the voting faculty, by the Dean, by the Provost, and by the Provost's Advisory Committee on Appointment, Promotion, and Tenure. Further, only the Board of Trustees can grant tenure, pursuant to a recommendation from the President and Provost, which is made only after the candidate returns a final, signed offer letter. The Faculty Affairs [website](#) contains a description, instructions and templates for the dossier's required composition.

Regular Rank, Tenure/Tenure Track Titles

Title	Job Code
Assistant Professor	1547
Assistant Professor (Tenure)*	1543
Associate Professor	1546
Associate Professor (Tenure)	1542
Professor	1545
Professor (Tenure)	1541

**Do not create additional 1543 positions*

Regular Rank, Non-Tenure Track Titles

Department Chairs and UIC Directors make all non-regular rank appointments; for schools without departments, Deans make these appointments as well. Non-regular rank appointments should never exceed three years for any one appointment. Chairs should send a copy of the signed appointment letter with the appointee's CV to the Dean for information. These appointments are not referred to the Provost nor does the Board of Trustees consider them. That said, the Provost requests that schools without departments, where the Dean makes non-regular rank appointments, send a copies of signed appointment letters with the appointees' CVs to the Provost's Faculty Affairs Office for information. These appointments require a dossier for review by the voting faculty and by the Dean. These dossier guidelines can be found in the appointing school's by-laws.

Regular Rank, Non-Tenure Track Titles

Title	Job Code
Assistant/Associate/(Full) Professor of the Practice	1527, 1526, 1525
Assistant/Associate/(Full) Research Professor	1537, 1536, 1535
Assistant/Associate/(Full) Clinical Professor	1577, 1576, 1575
Lecturer/ Senior Lecturer / Lecturer-MC	1521, 1528, 1595

The faculties and Deans of the various schools set the requirements for dossiers supporting appointment at these ranks. These dossiers are prepared for review by the voting faculty and the Chair, although departments may delegate full review authority to the Chair (or the Dean, in schools without departments) for some or all non-regular rank titles.

Non-Regular Rank Faculty Titles

Click the link above to be taken to a complete list of titles

Short-term arrangements before a formal appointment begins

At times it may be necessary to put an incoming faculty member into the Duke payroll system prior to the start of their regular rank appointment, say, in order to grant Principle Investigator status allowing the transfer of grants to Duke in a timely fashion. In such cases, either the Department Chair or the Dean may offer a non-regular rank appointment beginning when needed and ending on the day preceding the start of the regular rank appointment.

Hiring Process

MOU template for Joint & Secondary Appointments

A template for the agreement between department/department, department/school, school/school, or school/institute for a joint hire can be found in Appendix B 16. This model serves when a joint relationship is envisioned prior to hiring a candidate.

If units wish to propose a joint or secondary appointment for individuals already on the faculty, the template Appendix B 15 may be more appropriate, particularly for secondary appointments.

Checklist for Offer Letter & List of Accompanying Correspondence

The checklist below outlines the basic items of a faculty offer. Some schools may not wish to provide all the employment inducements illustrated, and some may wish to provide others. The offer letter templates in the appendices only model some conditions schools offer to new faculty. Summer salary and early tuition support for college-age children are two examples. Questions concerning school-specific items should be addressed to the office of the Executive Vice Provost.

The template Appendix B 6 is an informational memorandum that department/school administrators should send to new faculty. The timing of that mailing is at the school's discretion, either with the original offer or when the new hire has returned the offer signed. If immigration and U.S. work authorization are issues, it may be prudent to send the memorandum both with the initial offer and again when the signed offer returns to the department/school. It can take some time to obtain work authorization for individuals who are not permanent U.S. residents, and the earlier the candidate is aware of requirements the better.

Items in an offer letter
Starting date and ending date, unless the offer is with tenure
Title, tenure-track or tenured status (for appointments with tenure include the cautionary statement that only the Board of Trustees can award tenure, which will be considered only after the signed appointment letter is returned)
Salary, pay schedule, and benefits
Computing support
Research support
Start-up provisions, including initial summer supplement backstops, if appropriate.
Teaching responsibilities
Case-specific items such as sabbatical credit amassed elsewhere
Limiting date for access to funds
Relocation allowance
Specific response date
Contingency of successful background check

Now, at the end of the process, or both, the informational employment memorandum described in the preceding paragraph. As stated on 2-10 all new part-time and non-regular rank faculty must participate in an orientation session conducted by the department Chair or his/her designee. A sample for this is provided in Appendix B 7.

Faculty Responsibilities to Students

On January 24, 1985, the Undergraduate Faculty Council of Arts and Sciences endorsed the following statement for inclusion in the Faculty Handbook (pp. 6/1 ff.):

"The Duke faculty takes its teaching very seriously. Members of the faculty expect Duke students to meet high standards of performance and behavior. It is only appropriate, therefore, that the faculty adheres to comparably high standards in dealing with students. The following list of specific faculty responsibilities is predicated on the perception that students are fellow members of the university community, deserving of respect and consideration in their dealings with faculty.

- **Class attendance.** In accordance with the Faculty Handbook, instructors will make every effort to attend all class meetings.
- **Course content.** Instructors will update their courses periodically to reflect the latest scholarship in the fields they teach.
- **Grading.** Instructors will make clear at the outset how grades will be determined, what work in the course will be graded, and what standards will be applied.

- **Letters of recommendation.** Students depend upon faculty recommendations when applying for jobs or graduate school. If a faculty member agrees to write such a letter, it will be prepared promptly, accurately, and thoroughly.
- **Office hours.** Faculty members will be available in their offices at least two hours per week. If unable to keep those hours, a faculty member will post a note to that effect.
- **Scheduling of Examinations, Papers, and Other Exercises.** Examination schedules and deadlines for term papers will be established early in the semester and kept.
- **Syllabuses.** At the beginning of each semester, faculty members will distribute course syllabuses to their classes in order to provide students with a clear prospectus.

Based on these principles:

Faculty should receive a statement of the department's final examination policy. Final examinations must be given at the time published every semester in the official examination schedule. Further, final examinations must be retained by the instructor (or filed with the appropriate departmental staff) for at least one year past the end of the semester.

All faculty are required to hold office hours. Instructors must announce office hours at the beginning of the semester and keep them throughout the semester. Unless the department's standard is different, faculty should make themselves available to students at least two hours per week. Office hours should be published in the syllabus, posted on the instructor's office door, and filed with the department office.

Faculty are required to meet all classes to which they are assigned. On occasions where instructors cannot meet the class because of illness, family emergency, or professional obligations, faculty must inform the Chair (or his/her designee) at least one week in advance of the absence and describe how the work will be made up. In the case of last-minute emergencies, faculty must call the departmental office and ask the secretary to inform the students that the class has been canceled.

Faculty must publish a grading policy; the department will furnish one if there is a department-wide standard.

Faculty Supervision and Evaluation

Departments will identify individuals to supervise and evaluate part-time and visiting instructors. Departments will also fully describe the procedures for supervising and evaluating these instructors, listing, for example, what kinds of evaluation instruments will be used, any provisions for class observation by the supervisor, and what exhibits and documents the faculty must provide the supervisor to facilitate evaluation.

For faculty participating in a multi-section course where requirements are identical, the department will offer a full introduction to the course, its administration, its supervision, and the division of duties among faculty, as appropriate.

Proof of Degree Certification

It is Duke's policy (and a requirement SACS) that all faculty offering classroom instruction must present proof of their highest degree, which will be kept on file in the appropriate administrative office, as described below. Verification may include official transcripts

Regular rank faculty (tenured and tenure track, professors of the practice, research professors, and lecturers) will supply this proof to the Dean before that office may submit a hire form. Proofs of degree are safeguarded in each faculty member's individual personnel file in the Dean's office.

dFac action

Departments enter degree information into dFac and send a paper copy of the verifying transcript to the Dean's office, where it is filed. (dFac User's Guide)

Non-regular rank faculty must supply proof of degree to the department or school manager prior to the beginning of work. Proofs of degree are safeguarded in each faculty member's individual personnel file in the department/school office.

dFac action

Departments enter degree information into dFac, thereby indicating to the Dean that a verifying transcript is on file in the departmental office, where it is filed.

For faculty who have not earned the Ph.D. degree, the appropriate office will hold on file written proof of the highest degree. In addition, the department Chair should provide a written statement that the faculty member's preparation has been appropriate for the instructional activities to be performed. One example of individuals in this category is a performing musician for whom a Ph.D. might not be appropriate. For the rare internationally acclaimed scholar who has achieved the appropriate level of distinction and leadership without the formal training of the Ph.D. degree, the Dean may provide excerpts from these faculty member's most recent personnel review that confirms leadership and distinction. All this documentation is held in the individual personnel files in the appropriate office.

dFac action

Departments enter degree information into dFac, thereby indicating to the Dean that a verifying transcript is on file in the departmental office, where it is filed.

For the purpose of establishing the veracity of educational credentials for all Duke faculty who teach graduates and undergraduates, Duke has determined that individuals holding the title of Teaching Assistant (job code 1594) do not fall under this requirement. If they teach classroom courses to Duke students, they must be enrolled in a full-time Ph.D. or master's program at Duke, where their employment is secondary to their academic pursuit.

dFac Actions & HR/Payroll Process

Complete the actions listed in "Processing New Faculty Members" (dFac User's Guide, p. 15). This series of actions includes creating a dFac record (selecting a position into which to hire the new faculty member (this position will have been created in iForms), assigning a unique Duke ID, entering personal information, creating all appointments offered at the time of hire, entering education and professional training, adding contact information), submitting the New Faculty Member form to the appropriate supervisors for approval, tracking the approval process and, once final approval given, entering the new faculty member into the HR/Payroll system using the Hire iForm.

Immigration and Visa Issues

Duke Visa Services (<http://www.visaservices.duke.edu>.) provides guidance on issues related to the hiring of foreign nationals, as well as assistance in other visa-related services.

Annual Faculty Evaluations

The Faculty Handbook requires that “Annual reviews of regular rank non-tenured tenure track faculty will be conducted by the Director of a Program, Chair, or Dean for the purpose of providing direction and advice to the faculty member regarding progress at Duke. In general, the advice of senior faculty in the unit will be solicited for this review.” (pp. 3-2 through 3-3)

Similarly, all other faculty are reviewed annually by their Chair, Director, or Dean prior to salary recommendations. Hiring units may require different documents from individual faculty members in preparation for this review. The unit’s guidelines for these annual reviews should be published as a part of the unit’s bylaws or operating procedures. One product of the review should be a written memorandum from the reviewing officer to the faculty member containing a description of how the officer has conducted the review, its findings, and any professional advice the reviewer wishes to offer the faculty member.

Just as appointment, promotion, and tenure dossiers require secondary/joint units to participate in these major personnel evaluations (Faculty Handbook, p. 3-3), so too should the officers of secondary/joint units participate in annual faculty evaluations if appropriate. It will be appropriate when such responsibilities have been outlined in the Memorandum of Understanding governing the terms of the joint/secondary appointment.

Faculty Reappointment/Review, Promotion, and Tenure

Chapter 3 of the [Faculty Handbook](#) contains the policies governing faculty reappointment, promotion, & tenure for all schools reporting to the Provost with the exception of the School of Law. A practical elaboration of these policies as well as the Provost's statement of general expectations for personnel dossiers can be found on the Provost's [Faculty Affairs](#) website. The user will note that, although the structure of all personnel dossiers is basically the same, some important differences do exist. They are noted in the instructions. The unique procedures of the School of Law are described in the "Rules and Policies Section Four" on the [Law School's](#) web page.

Finally, departments and schools may develop additional procedures as long as they respect the principles described in the Faculty Handbook and on the [Faculty Affairs](#) website. The unit's bylaws, on file in the Dean's office as well as in the Provost's office, will clearly outline any additional procedures.

Regular Rank Tenure Track

Reappointment/Review

Renewal of the initial tenure track appointment for a second term which may extend through the end of the probationary period will be made only on the basis of a careful departmental or school review and of approval by the Dean.

The purpose of this comprehensive review is to develop a judgment as to the faculty member's probable suitability for tenure at Duke." (pp. 3-1 through 3-2) The structure of this dossier will resemble all others with the exceptions that the school or Dean requires no external evaluations (Schools may choose to place such a requirement in their bylaws).

Once a final, positive decision, the Chair is directed to share with the candidate a copy of the reappointment review summary submitted with the dossier, making any changes directed by the Dean. This summary should inform the candidate of the vote outcome (positive or negative) but not reveal the vote count. See Sample Reappointment Review Summary Appendix B 8.

dFac action

The dFac reports tab enables users to generate a list or report of faculty for whom a reappointment review is required in any particular year. Once the Provost has rendered a final decision on a reappointment, the dFac user should complete the actions listed in “[Managing Appointments for Existing Faculty](#)” (dFac User’s Guide, pp. 27-30).

Promotion with Tenure

The Faculty Handbook says this about tenure:

Tenure at Duke University, whether awarded to a faculty member currently on the Duke faculty or offered to a scholar who is being recruited for the Duke faculty, should be reserved for those who have clearly demonstrated through their performance as scholars and teachers that their work has been widely perceived among their peers as outstanding. Persons holding the rank of associate professor with tenure are expected to stand in competition with the foremost persons of similar rank in similar fields and to show clear evidence of continuing excellence in scholarly activity in their years at the university. Good teaching and university service should be expected but cannot in and of themselves be sufficient grounds for tenure. The expectation of continuous intellectual development and leadership as demonstrated by published scholarship that is recognized by leading scholars at Duke and elsewhere must be an indispensable qualification for tenure at Duke University.” (Excerpts from Chapter 3, [Faculty Handbook](#))

The accomplishments of a Duke faculty member being considered for promotion with tenure will be assembled by the relevant faculty group (department, division, school) and considered, using the instructions on the [Faculty Affairs](#) website.

dFac action

The dFac Reports tab enables users to generate a list or report of faculty for whom a tenure review is required in any particular year. For more information on faculty reporting using dFac, please see the [dFac Reporting Guide](#).

dFac action

Once the Provost has rendered a final decision on promotion with tenure case, the dFac user should complete the “promotions/change of status” actions listed in the [dFac User’s Guide](#)

Promotion to Full Tenured Rank

The Faculty says this about promotion to full tenured rank:

“Full professors play a critical role in determining the intellectual quality of the university. Thus the rank of professor should be reserved for those who have clearly met the criteria for tenure and have demonstrated their continuous intellectual development and leadership. It should be clear that appointment to associate professor does not necessarily imply eventual promotion to full professor. Promotion to full professor should be reserved for those who have an academic record documenting a continuous high-quality performance level in at minimum two of the following three required components of scholarly productivity--research, teaching and service--together with a good performance record in the third required component. Length of service alone should not produce an expectation for promotion.”

The accomplishments of Duke faculty being considered for promotion to full tenured rank will be assembled by the relevant faculty group (department, division, school) and considered, following the instructions on the Faculty Affairs website.

Promotion without Tenure (Tenure Track)

Promotions to the rank of untenured Associate Professor are rare in some schools, e.g., Arts & Sciences, and common in others, e.g., Fuqua. In schools where such promotions are rare, the Chair must consult with the Dean before undertaking a promotion review. The Dean, in turn, will obtain the Provost's permission to conduct the review prior to its being launched. The procedures for promotions not conferring tenure are the same as that for PROMOTIONS CONFERRING TENURE, except that the Provost does not seek the advice of APT.

Regular Rank, Non-Tenure Track

Reappointment/Review

Annual formative reviews

Annual reviews of regular rank non-tenure track faculty will be conducted by the director or program chair, or dean or institute director, or an appropriate delegate for the purpose for providing direction and advice to the faculty member regarding their progress at Duke.

Periodicity of formal evaluative reviews

Initial appointments to regular rank non-tenure track appointments will be reviewed for reappointment (and, when appropriate, promotion) in the penultimate year of the current contract, except under conditions as requested by the dean and granted by the provost. Subsequent review will typically be conducted at least every five years. The dean or institute director may approve an interval as long as 10 years for a faculty member at the level of (full) Professor of the Practice, Research Professor, or Clinical Professor. Reviews for initial appointments, the first review after appointment, and reviews for promotion should be detailed; reviews for subsequent reappointment may be less detailed. For cases where annual reviews demonstrate that the faculty member clearly exceeds the standards required for reappointment the school or director may authorize an expedited review process for reappointment at the same rank. The dean or director of each school or institute, in collaboration with the faculty, shall determine what materials are required for an expedited or less detailed review, as well as any limitations or restrictions on when faculty are eligible for it.

Responsibilities of the Department, Institute, or School

Each unit with hiring authority, such as a program or department (in schools with departments) or school or institute is permitted—and expected—to establish criteria and procedural guidelines for evaluating candidates for appointment, reappointment, and promotion in regular, non-tenure track ranks, which are appropriate to its discipline. These criteria and guidelines must be generated in partnership between the faculty and the unit Chair, and be submitted in writing to the dean (for schools with departments), the governing faculty body of that School or institute, and provost for approval. Criteria should be more rigorous for each higher level of faculty rank and should be equally rigorous, though not identical to, those used for tenure track faculty. In the case where criteria differ among hiring units or departments, the dean or institute director is responsible for assuring that the criteria are equally rigorous for equivalent ranks in different departments. The provost is responsible for review of and approval of the guidelines assuring appropriate and equally rigorous criteria are applied in different schools and institutes. Criteria and guidelines for each department or school must be made readily available to faculty, preferably through posting on a unit website, and criteria will be consistent for similar cases within a given unit. Annual reviews will provide an opportunity to evaluate progress relative to these criteria. Components of the review process can be found here in Appendix 21.

Continuance after an unfavorable review

In the event of an unfavorable review, regular rank non-tenure track faculty members will be allowed to continue in their position to the end of their current contract.

University policy requires external letters of evaluation only in the case of appointment or promotion to the level of (full) Professor of the Practice, Research Professor, or Clinical Professor. Departments may choose to place a broader requirement in their bylaws. These dossiers do not require a ranking of the candidate among the tenured faculty. The Provost will not review the dossiers for reappointment at the Assistant Professor of the Practice, Assistant Research Professor, or Assistant Clinical Professor level.

The intent of an ongoing contractual relationship is a requirement for all regular rank positions. Some regular rank non-tenure track positions may be connected to limited-term grants or specific instructional needs. Thus it is important to maintain a distinction between review and contract renewal. Whether the review is for an initial appointment, reappointment, or promotion of full-time faculty in regular, non-tenure track ranks, the review process will focus on evaluating an individual's qualifications for a specific faculty title. Successful review is not necessarily synonymous with contract issuance or renewal, since this may depend upon funding support or curricular need. Before authorizing a review, the Dean or Institute Director should consider carefully the intention for an ongoing contractual relationship between the faculty member and the University, and the availability of funding support to determine the ongoing status of the position. Contract periods should be synchronized with appointment periods. However, when funding is not ensured for the duration of the contract, the contract should make this clear. Furthermore, in the event of impending termination, faculty must be notified no later than one year before the termination. Termination of external funding will not result in termination of the Duke affiliation specified in the contract, but it may result in termination of compensation absent other sources of funding. Until a contract expires, the faculty member can apply for additional external funding as a Duke faculty member.

dFac action

dFac enables users to generate a list or report of faculty for whom a reappointment review is required in any particular year. Once the Dean has rendered a final decision on a reappointment, the dFac user should complete the “reappointment” actions listed in the [dFac User’s Guide](#).

dFac action

dFac reporting applications enable users to generate a list or report of faculty for whom a review is required in any particular year

Promotion

General Expectations

It is the expectation, at both the provostial and decanal levels, that the time line for promotions of faculty holding regular rank, non-tenure track appointments should be comparable to that for faculty in the tenure track ranks. Normally reviews for promotion from the assistant to the associate professor level should be expected to occur no sooner than the end of the second four-year appointment. Similarly faculty in the associate-level ranks are expected to serve for a number of years before being reviewed for promotion to the full level. As with tenure-track faculty, there may be situations where an early promotion review is warranted. However, such promotions will be the exception. It would be prudent for Chairs to discuss anticipated early promotion reviews with the Dean before starting them.

Minimum expectations for faculty holding the rank of [full] Professor of the Practice:

Professors of the Practice are faculty members "engaged principally in teaching in a degree granting unit of the University. This 'obvious instructional component' will be written as a term of appointment in their contract with the University, and verified and evaluated in the review process for renewal of contract." [from the Nomenclature Committee's Report, December 15, 1988] In addition, these faculty will be widely known for the outstanding quality of their performance, as opposed to the quality of their research. An example could be a journalist who is widely recognized for the exceptional quality of her contributions as a practitioner and for her influence in world culture or political affairs, in contrast to Duke's tenured Full Professors who are recognized for their continual innovative research accomplishments and influence in their disciplines.

Minimum expectations for faculty holding the rank of [full] Research Professor:

Research Professors are faculty members "engaged principally in research, but whose professional activities also include an 'obvious instructional component' that is written as a term of appointment in their contract with the University, and verified and evaluated in the review process for renewal of contract." [from the Nomenclature Committee's Report, December 15, 1988] In addition, these faculty conduct original research at a level and quality equivalent to that of Duke's tenured Full Professors.

dFac action

Once a final decision on a reappointment, promotion, or tenure case, the dFac user should complete the actions listed in the (dFac User's Guide, pp. 27-30).

Voting Eligibility & Voting Procedures

Chairs' votes

Chairs vote only when the vote of faculty present at the meeting has resulted in a tie. Chairs are encouraged, but not required, to reveal the numerical vote to the faculty present and voting. Department bylaws should address this issue directly. (See this manual, Appendix A, SAMPLE BYLAWS for a model of departmental bylaws.)

Proxy votes

University policy does not permit proxy votes on personnel cases, that is, votes cast by one faculty member on behalf of another faculty member.

Absentee votes

University policy does permit absentee votes. A faculty member who is unable to be present when the vote is cast may leave a written ballot with the Chair. When the Chair reports the results in the letter to the Dean, that officer will tally all absentee votes separately. Thus, the Chair will report that XX faculty were present and voting (naming them) and that the vote was Y in the affirmative and N in the negative. The Chair will next report that ZZ faculty were absent and voting (naming them) and that the vote was Y in the affirmative and N in the negative. Notwithstanding this general policy, it is advised that departments state their policy concerning absentee ballots in their bylaws. (See this manual, Appendix A, for a model of departmental bylaws.)

In all cases, faculty are free to write letters to the review committee to be inserted in the file and shared with the entire faculty present and voting, or to write directly to the Chair, for the benefit of the Chair and the upper administration, or to write directly to the Dean, or to write directly to the APT Committee, or to write directly to the Provost.

Regular rank voting eligibility

While some schools' policy permits all regular rank faculty to vote on search committee reports, department bylaws may modify this policy. Bylaws should describe departmental voting policy in detail. (See this manual, Appendix A, for a model of departmental bylaws.)

For initial appointments at the senior ranks (both tenure track and non-tenure track), the process requires a formal review after the Dean has approved the initial recommendation to review a candidate for appointment. In these appointment reviews for non-tenure track faculty, only faculty at the equivalent or superior rank (tenure track and non-tenure track) have access to the file and may vote. In these appointment reviews for tenure track faculty, only tenure-track faculty at the equivalent or superior rank have access to the appointment/tenure review file, and only they may vote.

For all cases of internal reappointment, promotion, or tenure involving tenure-track faculty, only tenure-track faculty of the appropriate rank (described above) have access to the file, and only they may vote on the recommendation.

Notwithstanding the general policies described above, departments may restrict the right to vote more severely in their bylaws.

Approving Faculty Actions (Regular Rank)

Overview

Chapter 4 of the [Faculty Handbook](#) details potential stages of a faculty member's career including (but not limited to) appointment, reappointment, promotion, time away, departure or retirement. Administrative steps and approvals for these actions are detailed in the following sections. Faculty records are maintained in [dFac](#), which is part of the Duke@Work ecosystem.

Reference the [Required Documentation](#) section for what needs to be submitted with each faculty action.

Professorships - Regular Rank

✓ = Approve or Process ✓✓ = Final Approval Notified = Action is communicated after final approval

Professorships Regular Rank	Dean	dFac	APT Committee	Provost	Board of Trustees
Distinguished	✓	✓		✓	✓✓
Distinguished Emeritus	✓	✓		✓✓	Notified
Bass	✓	✓		✓	✓✓
All Others (e.g. Named Professorships)	✓✓	✓		Notified	Notified

Primary Appointments - Regular Rank

✓ = Approve or Process ✓✓ = Final Approval Notified = Action is communicated after final approval

Primary Appointments - Regular Rank	Dean	dFac	APT Committee	Provost	Board of Trustees
Initial Appointment without Tenure	✓	✓		✓✓	Notified
Initial Appointment with Tenure	✓	✓	✓	✓	✓✓
Reappointment	✓	✓		✓✓	Notified
Promotion without Tenure	✓	✓		✓✓	Notified
Promotion with Tenure	✓	✓	✓	✓	✓✓
Promotion to Full Professor	✓	✓	✓	✓✓	Notified
Resignation/Early Departure	✓✓	✓		Notified	Notified
Transfer to Another Unit	✓	✓		✓✓	✓
All Other Job Code Changes	✓	✓	✓	✓✓	Notified

Joint Appointments - Regular Rank

✓ = Approve or Process ✓✓ = Final Approval Notified = Action is communicated after final approval

Joint Appointments - Regular Rank	Dean	dFac	APT Committee	Provost	Board of Trustees
Initial Appointment	✓	✓		✓✓	Notified*
Reappointment	✓	✓		✓✓	Notified*
Promotion	✓	✓		✓✓	Notified*

*Joint appointments are only reported to the Board of Trustees if listed alongside the primary appointment record.

Secondary Appointments - Regular Rank

✓ = Approve or Process ✓✓ = Final Approval Notified = Action is communicated after final approval

Secondary Appointments Regular Rank	Dean	dFac	APT Committee	Provost	Board of Trustees
Initial Appointment (same school as primary)	✓✓	✓		Notified	
Initial Appointment (different school as primary)	✓	✓		✓✓	
Reappointment	✓✓	✓		Notified	
Promotion	✓✓	✓		Notified	

Administrative Appointments - Regular Rank

✓ = Approve or Process ✓✓ = Final Approval Notified = Action is communicated after final approval

Administrative Appointments - Regular Rank	Dean	dFac	APT Committee	Provost	Board of Trustees
Designated for Board of Trustees Notification	✓	✓		✓✓	Notified
All Others	✓	✓		✓✓	

Center and Institute Memberships - Regular Rank

✓ = Approve or Process ✓✓ = Final Approval Notified = Action is communicated after final approval

Memberships - Regular Rank	Director	dFac	APT Committee	Provost	Board of Trustees
University Institutes & Centers	✓✓	✓			
Centers within schools	✓✓	✓			

Non-Academic Leaves of Absence - Regular Rank

✓ = Approve or Process ✓✓ = Final Approval Notified = Action is communicated after final approval

Non Academic Leaves - Regular Rank	Dean	dFac	APT Committee	Provost	Board of Trustees
Parental Leave, Regular Rank	✓✓	✓		Notified	
Temporary Medical Leave, Regular Rank	✓✓	✓		Notified	
Family Medical Leave	✓✓	✓		Notified	
Disability Leave	✓✓	✓		Notified	
Military Leave	✓✓	✓		Notified	
Personal Leave	✓✓	✓		Notified	

Academic Leaves of Absence - Regular Rank

✓ = Approve or Process ✓✓ = Final Approval Notified = Action is communicated after final approval

Academic Leaves - Regular Rank	Dean	dFac	APT Committee	Provost	Board of Trustees
Sabbatical	✓	✓		✓✓	
Research Leave	✓	✓		✓✓	
Administrative Leave	✓	✓		✓✓	
Jr. Faculty Leave	✓✓	✓		Notified	
Competitive Dean's Leave	✓✓	✓		Notified	

Flexible Work Arrangements - Regular Rank

✓ = Approve or Process ✓✓ = Final Approval Notified = Action is communicated after final approval

Flexible Work Arrangements	Dean	dFac	APT Committee	Provost	Board of Trustees
University	✓	✓		✓✓	
Nursing and Medicine only	✓✓	✓		Notified	

Approving Faculty Actions (Non Regular Rank)

Overview

Chapter 4 of the [Faculty Handbook](#) details potential stages of a faculty member's career including (but not limited to) appointment, reappointment, promotion, time away, departure or retirement. Administrative steps and approvals for these actions are detailed in the following sections. Faculty records are maintained in [dFac](#), which is part of the Duke@Work ecosystem.

Reference the [Required Documentation](#) section for what needs to be submitted with each faculty action.

Professorships - Non Regular Rank

✓ = Approve or Process ✓✓ = Final Approval Notified = Action is communicated after final approval

Professorships - Non Regular Rank	Dean	dFac	APT Committee	Provost	Board of Trustees
Named Professorships	✓✓	✓		Notified	

Primary Appointments - Non Regular Rank

✓ = Approve or Process ✓✓ = Final Approval Notified = Action is communicated after final approval

Primary Appointments - Non Regular Rank	Dean	dFac	APT Committee	Provost	Board of Trustees
Initial Appointment	✓✓	✓		Notified	
Reappointment	✓✓	✓			
Promotion within non regular rank	✓✓	✓			
Promotion to regular rank	✓	✓		✓✓	Notified
Resignation/Early Departure	✓✓	✓			
Transfer to Another Unit	✓✓	✓			
All Other Job Code Changes	✓✓	✓			

Secondary Appointments - Non Regular Rank

✓ = Approve or Process ✓✓ = Final Approval Notified = Action is communicated after final approval

Secondary Appointments - Non Regular Rank	Dean	dFac	APT Committee	Provost	Board of Trustees
Initial Appointment (same school as primary)	✓✓	✓			
Initial Appointment (different school as primary)	✓✓	✓			
Reappointment	✓✓	✓			
Promotion	✓✓	✓			

Administrative Appointments - Non Regular Rank

✓ = Approve or Process ✓✓ = Final Approval Notified = Action is communicated after final approval

Administrative Appointments - Non Regular Rank	Dean	dFac	APT Committee	Provost	Board of Trustees
All Others	✓✓	✓		Notified	

Center and Institute Memberships - Non Regular Rank

✓ = Approve or Process ✓✓ = Final Approval Notified = Action is communicated after final approval

Memberships - Non Regular Rank	Director	dFac	APT Committee	Provost	Board of Trustees
University Institutes & Centers	✓✓	✓			
Centers within schools	✓✓	✓			

Non-Academic Leaves of Absence - Non Regular Rank

✓ = Approve or Process ✓✓ = Final Approval Notified = Action is communicated after final approval

Non Academic Leaves - Non Regular Rank	Dean	dFac	APT Committee	Provost	Board of Trustees
Parental Leave, Non Regular Rank	✓ ✓	✓			
Family Medical Leave	✓ ✓	✓			
Disability Leave	✓ ✓	✓			
Military Leave	✓ ✓	✓			
Personal Leave	✓ ✓	✓			

Flexible Work Arrangements

The policy governing Flexible Work Arrangements is outlined in the Faculty Handbook pp4-5 through 4-6. We quote here those passages pertinent to this manual. Consult the Handbook for the full policy.

“All regular rank appointments to the faculty of Duke University are made as full time appointments.”

That notwithstanding, “the University may approve flexible work arrangements.”

“These flexible work arrangements are directed toward faculty members for whom Duke University represents their full professional obligation, but who wish to have the flexibility to continue a career in academics while balancing family, pre-retirement planning, or other personal priorities.”

“This policy does not apply to non-regular rank appointments, or to individuals with another professional endeavor beyond the current consulting policy. ...”

Each department and/or school defines a full time work load based on disciplinary and field standards.

Therefore, the department Chair, if applicable, and the Dean of the school must approve all such requests.

“A flexible work arrangement can be made for up to 3 years.”

It may be renewed under special circumstances, and it may be for a longer period in the case of pre-retirement agreements. All longer arrangements require the approval of the Dean, the Provost, and University Counsel.

Flexible Work Arrangement Request Form for Regular Rank Faculty provides the format for making a request and for the appropriate officers to approve the request: department Chair (if applicable), Dean of the school, and Provost.

Possible tenure clock relief, the effect of a Flexible Work Arrangement on fringe benefit contributions, and a faculty member’s collegial status while under a Flexible Work Arrangement are all described in the Faculty Handbook.

dFac Action

All electronic reporting of a Flexible Work Arrangement is processed in dFac. (pp. 37, dFac User’s Guide) If tenure clock relief is requested the request must be copied to Faculty Affairs for the Provost’s Approval

Distinguished Professorships

The Faculty Handbook (Chapter 4), begins its discussion of distinguished professorships as follows:

The university bears special witness to its intellectual commitment through its program of distinguished professorships. Appointment to a named chair is the highest honor the university can bestow upon a member of its faculty.

Types of Distinguished Professorships at Duke University

James B. Duke Professorships
Bass Chairs
Individually named chairs
Interdisciplinary University Professorships
University Distinguished Service Professorships
Eponymous Professorships

The Handbook continues to describe these various professorships and to outline the procedures used in evaluating faculty for them. It concludes by noting that

“in cases where a faculty member is being considered simultaneously for an appointment at Duke and a distinguished professorship, the Provost's Advisory Committee on Appointment, Promotion, and Tenure (or its equivalent in law, clinical sciences, and nursing) is asked to consider the appointment to a tenured full professorship before consideration of the case for a named chair by any Distinguished Professorships Committee.”

See below for rules for selecting distinguished professorships.

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Distinguished Professorship Nominations

On an annual basis, School Distinguished Professorship Committees will be evaluating nominations. When these reviews are complete and the Dean makes recommendations to the Provost for specific faculty into Distinguished Professorships, please submit the dossiers to the Provost's Faculty Affairs Office via DUKE'S BOX, by December 31 of the current year. This schedule will allow the Provost to review the files and submit recommendations to the Board of Trustees in time for faculty receiving honors to be invited to the Distinguished Professors' Dinner, in the spring. (Please contact our office if you have questions regarding availability of a specific professorship)

Once a distinguished professorship is approved by the Provost/Provost's APT committee, it is then submitted to the Trustee's List for Board Approval. The Faculty Affairs Office assigns the professorship in the SAP system with the proper effective dates.

Requests and Changes (off cycle)

The Provost may make DP recommendations to the Board of Trustees later in the spring and throughout the year, but files received after New Year's may not be considered by the Trustees in time for the Annual Dinner. These and any other requests must be submitted via email to the Faculty Affairs Office, to confirm availability of the chair prior to the Provost's approval.

For off-cycle requests, Provost's approval, requests must be submitted via email to Faculty Affairs Office.

Establishing Eponymous (unfunded) named professorships

GUIDELINES GOVERNING THE CREATION OF EPONYMOUS PROFESSORSHIPS

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Consistent with the Trustees 1983 policy (followed in 1998 and again in 2002 when the list of eponyms for the Fuqua School was forwarded to the Board of Trustees for approval), the fundamental guidelines for selection of potential eponyms are as follows:

- That, as stipulated in the 1981 Board of Trustees resolution, eponyms honor persons who have been deceased at least ten years.
- That there be no reasonable chance of ever establishing a funded chair in the same name.

- That the names be selected, in order of preference, from among:
- Former members of the respective school and Duke University faculties.
- Former Trustees and officers of the respective school and Duke University.
- Distinguished alumni of the respective school and Duke University.
Dedicated benefactors of the University.

The Dean (or a representative who is especially knowledgeable about those distinguished or influential individuals who have had an impact on the respective school and its history) provides the Provost with a set of suggested names, together with comprehensive biographical information (year of birth, year of death, professional achievements and Duke contributions) for each of the proposed eponyms. It is especially helpful if the list of proposed eponyms is ordered in some rough priority ranking, with the ones considered most important to the school's goals at the top of the list. The list of proposed names and the biographical information are required in order to initiate the process of establishing sufficient eponyms for the school to last for the next five years.

The University Archivist may be able to assist Deans and their staff in locating relevant biographical details and also to ensure that the biographical details and also to ensure that the biographical information is both correct and comparable to that submitted by other schools for eponyms.

After vetting the suggested names, the Provost forwards the list to the Academic Affairs Committee of the Board of Trustees for its consideration. Subsequently, the individual names approved by the Academic Affairs Committee are forwarded to the Board of Trustees for final approval.

Faculty Leaves of Absence

The Faculty Handbook (Chapter 4) contains descriptions of the faculty leaves listed below, instructions for applying for both academic and non-academic leaves, eligibility requirements for these leaves, specific restrictions on sabbaticals, and a set of general comments about leaves, including their effect on pay and benefits. It should be noted that all leave requests – for non-regular rank faculty as well as for regular rank – should be routed through to the Dean to the Provost for final approval.

Faculty Leave Form

Your browser does not support PDF. click [here](#) to download

Types of Faculty Leaves

Academic Leaves
Junior Faculty Research Leaves
Leaves without pay/Non-Sabbatical Competitive Leaves (such as A&S's Competitive Dean's
Sabbatical Leaves
Government Service Leaves (e.g., Fuqua's Washington leaves)

Non-Academic Leaves
Family Medical Leaves (under the Family Medical Leave Act)
Military Leaves
Personal Leaves
Temporary Medical Leaves
Temporary Parental Leaves – Regular Rank Faculty
Temporary Parental Leaves – Non-Regular Rank Faculty

The Faculty Handbook concludes this section with a link to a printable application form for this second category of leaves as well as a brief discussion of Long-Term Disability Leaves, which are pursued through the Office of Benefits Administration.

dFac action

dFac applications enable users to report faculty sabbatical eligibility, faculty leave histories, and the current leaves in a unit. School staff may enter potential leaves in dFac when they are requested and confirm their approval, once it has been given. Note: This is separate and in addition to Leaves of Absence forms that affect payroll. See <http://finance.duke.edu/payroll/forms/index.php#leave> for Payroll Leave of Absence Form.

Faculty Appointment Relief Management

Some leaves offer the possibility of extending a term appointment as a consequence of the leave. Tenured faculty are not subject to these exceptions because tenure provides an appointment without definite term. The policy on extensions is found in the Faculty Handbook (Chapter 4).

Where the tenure clock is involved

This situation affects only five categories of leave:

personal leaves without pay
government service leaves
military leaves
temporary medical leaves
temporary parental leaves

In the first four cases and upon the request of the affected faculty member, the Provost may, at his or her discretion, after receiving a leave request from the faculty member, grant one or two semesters of tenure clock relief, equal to the length of the leave. The faculty member must request this relief in writing when the leave is requested. The Provost will grant tenure clock relief, if any, in writing. Leave request forms should be emailed to Faculty Affairs for provostial approval.

The fifth case – temporary parental leave for non-tenured, tenure-track faculty – invokes tenure clock relief of one full year, subject to the faculty member’s requesting it.

One additional possibility for tenure clock relief exists:

“Faculty members on the tenure track are automatically eligible for 3 months of tenure clock relief for each year of approved Flexible Work Arrangement. However, as outlined in the tenure clock relief policy, there is a 3-year (36 month) overall limit in tenure clock extension. Faculty members may opt out of tenure clock extension.” (Faculty Handbook, p. 4-6)

In all cases where tenure clock relief has been granted, and with the Provost’s permission, the Dean issues a new appointment letter extending the current appointment by the same number of semesters as the tenure clock relief.

Where the tenure clock is not involved

It is possible for regular rank, non-tenure track faculty who are granted these five kinds of leave to receive appointment relief. The Dean may petition the Provost for permission to extend the appointment by one or two semesters, equal to the length of the leave. With the Provost's approval, the Dean issues a new appointment letter extending the current appointment by the period the Provost approved, up to a maximum of two semesters.

Generally, non-regular rank faculty do not receive appointment relief while on leave.

dFac action

Once the Provost has rendered a final decision on a tenure clock extension or on an appointment extension or both, the dFac user should complete the reappointment actions listed in the dFac User's Guide, pp. 26. Faculty Affairs will adjust the tenure clock in dFac.

FLEXIBLE WORK ARRANGEMENT REQUEST FORM FOR REGULAR RANK FACULTY MEMBERS

Your browser does not support PDF.click [here](#) to download

Faculty Pay Schedules

General principles

The Faculty Handbook (Chapter 4) outlines the policies and practices at Duke concerning faculty compensation, base salary determination for term of academic appointment, joint funding of academic appointments, schedule of payment (usually September through August of each year, although the actual twelve-month period over which pay is spread may be modified if duties start earlier than September), and special compensation in addition to base salary (including extraordinary pay and supplementary pay). Faculty appointments outside the Medical Center may be for nine, ten, or eleven months, or they may be short term. The rules concerning summer supplements vary by type of base appointment. We quote from the Handbook:

Nine-month appointments, including summer supplements

“The term of appointment for non-medical faculty on nine-month appointments consists of an eightmonth core which corresponds to the academic calendar established by the president each year (usually September through April) and a one-month period outside of the academic calendar. Responsibilities for the one-month outside of the academic calendar may be performed in any of the four remaining months provided that the timing of performance is such that commitments made on externally funded projects are met. The term of appointment for medical faculty on nine-month appointments is negotiated individually with the department Chair or Dean, School of Medicine/vice chancellor for Medical Center academic affairs. Faculty members on nine-month appointments may receive summer supplements through the Duke University payroll system up to a maximum of three-ninths (3/9ths) of the base salary rate for the immediately preceding appointment term.

“If the summer supplements are for University or other non-federally funded work such as summer session teaching, independent study, special programs, or administrative assignments requiring summer effort, compensation up to 100% of one-ninth of a faculty member’s salary can be paid in any three of the four designated summer months: May, June, July or August.

”However, if summer supplements are for federally-sponsored projects, they must be handled differently. While faculty with committed summer effort on sponsored projects may still be paid a total of threeninths summer salary, they should not receive 100% of one-ninth in any one month. Two different procedures must be followed. First, the University caps compensation from federally-sponsored research in any given summer month at 75% or less per month over each of the four summer months: May, June, July and August. Second, compensation from federal funding is limited to two and a half ninths and the final half ninth must be paid from University or other non-federal funds.

“For faculty having three months of summer salary budgeted on their federal grants, the last half month of effort and salary would no longer be spent on grants during the summer but would be committed, performed and paid during the academic year. This practice will create a salary savings pool in each school’s budget. From this pool of school funds the entire half month’s worth of salary and fringe benefits will be used to pay the extra half month of salary needed to achieve a full three months of summer salary.

“Salary supplements for non-medical faculty may be earned in May, June, July, or August depending on when the ninth month of the appointment term is taken. Grant recipients are expected to comply with the conditions of the granting agencies. No faculty member may receive more than twelve (12) months of base compensation and supplementary pay in any fiscal year unless permission is granted by the Provost or Chancellor for Health Affairs for the individual to receive extraordinary pay, as outlined above” (pp. 43, 4-4).

Ten-month appointments

“Faculty members on ten-month appointments are eligible to receive up to two-tenths (2/10ths) of the base salary rate for the immediately preceding appointment term. The same conditions apply as stated above for faculty members on nine-month appointments” (p. 4-4).

Eleven-month appointments

“Faculty members outside the Medical Center on eleven-month appointments are eligible to receive up to one-eleventh (1/11th) of the base salary rate for the immediately preceding appointment term. The same conditions apply as stated above for faculty members on nine-month appointments” (p. 4-4).

Short-term appointments

Short-term appointments are available only for non-regular rank faculty. All regular rank faculty must hold a full-time appointment (Faculty Handbook, p. 4-5). The exact dates of appointment for faculty holding a short-term appointment (one year, one semester, or shorter) will be described in the offer letter, as will the exact pay arrangements (pay rate and pay schedule).

A note on final pay checks

Sometimes faculty are promoted on a date that does not coincide with their hiring date and pay schedule. For example, an Assistant Professor who began at Duke on September 1 of one year may receive early promotion to the rank of Associate Professor with tenure effective, say, on a January 1. This individual continues to receive pay on a September through August schedule. This means that even though the pay raise for the promotion becomes effective on January 1 of the appropriate year, such individuals will remain on a September through August pay schedule and their last pay check from Duke will arrive either in February – if they leave Duke after the fall semester – or in August – if they leave Duke after the spring semester. The promotion date and change in rate of pay do not affect the annual pay schedule established at time of hire.

⋮

Board of Trustees' Approval Guidelines and Trustees' List

Certain faculty records are provided to the Board of Trustees at their regularly scheduled Executive Committee meetings for approval or information. The Trustees' List format has been designed to highlight the most important information about faculty appointments, to organize it by academic program and to reduce the number of routine transactions requiring Board approval.

Deans and their staffs are responsible for providing Trustees' lists to the Faculty Records Coordinator in the Office of the Provost according to established schedules and formats. (See Appendix B 19 for format template.) Trustees' list information is reviewed by the Provost and the President prior to distribution to the Board.

Board Approval Required

Board approval is required for the following appointments/actions:

Appointments to the regular rank faculty with tenure
Recommendations for the granting of tenure
Appointments to distinguished professorships

Board Notification Only

Board approval is not needed for the following appointments; the Board receives notice concerning these appointments for information only:

Appointments to the regular rank faculty not granting tenure
Renewals to the regular rank faculty appointment
Other promotions and change of status for regular rank faculty
Appointments to emeritus status
Appointments of regular rank faculty to administrative roles/titles highlighted in Chapter 2 in departments, programs and schools with primary faculty appointment authority
Deaths of regular rank faculty members

Board Not Involved

The Board of Trustees has formally delegated to the Provost the authority to approve all of the following appointments and actions:

Non-Regular Rank Faculty Appointments
Secondary and Tertiary Appointments
Sabbaticals and Other Leaves
Appointments of regular rank faculty to administrative roles/titles not highlighted in Chapter 2.

The Board of Trustees has formally delegated to the Provost the authority to approve non-regular rank appointments. The Provost in turn may delegate this authority to the Deans. The Provost has delegated the authority to the Deans to make non-regular rank faculty appointments for periods not to exceed three years. The Deans and their staff should maintain complete records of such appointments, including accurate appointment letters outlining title, duties, compensation and the beginning and ending dates of the appointment. The Provost wishes to review non-regular rank faculty appointments that exceed three years. Deans should submit draft appointment letters containing the information outlined above to the Provost for approval. Letters may be submitted at any time. Approval to proceed will be confirmed in writing by the Provost's Office as soon as the Provost has completed the review.

Glossary

AAP

Affirmative Action Plan

ATR

Authorization to Recruit: Also known as Search Authorization

dFac

The faculty data base system used by all schools for maintaining official faculty records.

DUMC

Duke University Medical Center

DUSOM

Duke University School of Medicine|

Faculty Handbook

The Duke University Faculty Handbook, “contains policies and procedures pertinent to faculty at Duke University. ... Because of the range of subject matters and authority for them, these policies and procedures are subject to change at any time. Revisions to the Faculty Handbook will be incorporated periodically. Duke faculty are responsible for checking the website <https://provost.duke.edu/policiesresources/faculty-handbook> to keep abreast of alterations and additions.” Faculty Handbook, title page.

MOU

Memorandum of Understanding- a document between two parties (e.g. school/school, department/department, or individual/department) outlining the terms of a cooperative agreement.

Nomenclature Committee

This committee proposed the establishment of regular rank, non-tenure track titles in the late 1980s. Its recommendations as amended were adopted by the University Faculty on January 17, 1991.

Office of Institutional Equity

The Duke office charged with providing “institutional leadership in enhancing respectful, diverse and inclusive work and learning environments for the Duke Community” (OIE homepage).

Opportunity Hire

An appointment opportunity that arises outside the normal cycle of faculty development planning and recruitment. The Provost must waive in writing the requirement for an open faculty search in these cases.

PDC

Private Diagnostic Clinic: It is within this umbrella organization that the 750 physician-partners of the Private Diagnostic Clinic, PLLC, in DUMC operate.

PSA

Personnel SubAreas: A coding convention in the HR/Payroll system which reflect is used in determining benefits.

SACS

The Southern Associate of Colleges and Schools is the regional body for the accreditation of degreegranting higher education institutions in the Southern states.

UIC University Institutes and Centers

0 - Sample Bylaws

Department of XXX

Duke University

Bylaws

I. Faculty: The Department comprises regular rank faculty (both tenure track and non-tenure track) and non-regular rank faculty.

A. Regular rank, tenure track faculty.

1. Criteria: These faculty normally hold the Ph.D. degree. They should demonstrate continued development of their teaching skills, striving toward excellence. Additional criteria are cited in the Faculty Handbook and in the following paragraphs:

Assistant Professor: Assistant Professors demonstrate evidence of professional development and activity such as significant articles and books published, paper presented before learned societies, and research in progress; they continue to engage in significant professional activity in the field beyond teaching duties; they serve on departmental committees and advise both graduate and undergraduate students. For reappointment, Assistant Professors must demonstrate that they are establishing a record that will give them a good chance to earn tenure.

Associate Professor: Associate Professors demonstrate that their work has been widely perceived among peers as outstanding. Their intellectual leadership, as demonstrated by published scholarship (typically a book-length project), is shown to be recognized by leading scholars in the field. The work should include clear evidence of intellectual development beyond the doctoral dissertation.

Professor: Professors clearly meet the criteria for tenure and demonstrate a continued intellectual development and leadership widely recognized in the field. Length of service alone does not produce an expectation for promotion to the rank of professor.

Procedures: The appointment, reappointment, promotion, and tenure of tenure track faculty are governed by university policies and procedures as defined in the University Bylaws and amplified and illustrated on the homepage of the Provost's Office of Faculty Affairs website. In all departmental votes the Chair does not vote except in the case of a tie. Roberts' Rules of Order will govern parliamentary procedure, except where countermanded by these bylaws.

Exhibits of accomplishment: Regular rank, tenure track faculty members may demonstrate significant professional activity and accomplishment through scholarly publications (including books and editions), consulting and lecturing, prizes, awards, and grants, and offices and activities in professional organizations.

B. Regular rank, non-tenure track faculty: These faculty's levels of achievement parallel those for the tenured ranks but are recognized by a variety of methods. These faculty teach two or three courses per semester (at least 4 or 5 per year) as assigned by the Department Chair. The normal length of appointment for Assistant Professors of the Practice is four years; with the Provost's approval, terms can be made progressively longer at each higher rank.

1. Assistant Professor of the Practice of XXX

Criteria: Assistant Professors of the Practice demonstrate the academic preparation, professional development, and activity necessary for their instructional duties in the Department. They demonstrate the likelihood that they will continue to engage in significant professional activity in the field.

Reappointment: The Department may review these faculty for renewal in their penultimate year of appointment. The review is to determine the fulfillment of the duties outlined above, service to the department, and continued professional activities and development. Publications and research can be taken into consideration for the review.

Eligibility for promotion: Faculty are eligible to apply for promotion after having served two terms at the Assistant Professor level; however, regular rank faculty may nominate a candidate for promotion at any time.

Procedures: Procedures are governed by university policies and procedures as defined in the University Bylaws and amplified and illustrated in the website of the Provost's Office of Faculty Affairs:

<http://www.facultyaffairs.provost.duke.edu> . Review committees (appointed by the Chair after consultation with the Dean) will comprise regular rank faculty of rank higher than the candidate for reappointment and promotion. The Chair does not vote except in the case of a tie.

2. Associate Professor of the Practice of XXX

Criteria: Basic criteria for this rank are the same as for the Assistant Professor level. In addition, candidates will have demonstrated excellence in teaching, they will have shown visible and durable initiatives in improving their teaching skills, teaching materials, and curriculum development, and they will have demonstrated continued professional development and leadership (in matters of curriculum development, methodological innovation, or scholarly contributions) beyond that expected of Assistant Professors of the Practice.

Procedures: Procedures are the same as for the Assistant Professor level except that, in addition, candidates have the right to request the review committee solicit external evaluations.

Eligibility for promotion: Faculty are eligible to apply for promotion after having served two terms at the Associate Professor level; however, regular rank faculty may nominate a candidate for promotion at any time.

3. Professor of the Practice of XXX

Criteria: The basic criteria are the same as for an appointment at the Associate Professor level; in addition, candidates are required to have significant published contributions (in matters of curriculum development, methodological innovation, or scholarly contributions) which will have earned them wide-spread recognition in their field.

Procedures: Procedures are the same as for the Associate Professor level appointments and reappointments except that, in addition, the Department must solicit at least three external evaluations from experts in the field.

C. Non-regular rank faculty

1. Criteria: These faculty, whether paid or unpaid, are appointed by the Department Chair in consultation with the regular rank faculty. Criteria for rank parallel those for regular rank faculty. The Chair uses the following guidelines to assign the appropriate titles to non-regular rank faculty:

Adjunct Assistant/Associate/Professor: This title designates those who hold a primary administrative appointment at Duke, who hold a primary academic appointment at another university, or other individuals, such as independent scholars or writers, who contribute intermittently to the instructional program of the department.

Visiting Assistant/Associate/Professor or Instructor: This title designates individuals on leave from another institution or who teach in the Department on a short-term basis.

Scholar in Residence/Artist in Residence: This title designates non-Duke artists or writers who are affiliated with the Department on a short-term basis; the latter group may teach at the request of the Chair.

2. Privileges and restrictions: Non-regular rank faculty may attend faculty meetings dealing with programmatic issues at the invitation of the Chair, they enjoy no departmental voting privileges, they may serve in an advisory capacity on departmental committees, and they may advise undergraduate majors.

D. Joint and Secondary Appointments

Departmental Faculty: Faculty who are qualified in an additional field may hold such appointments in other departments or programs. The Dean, the Chair of this department, the voting faculty of the secondary department, and the Provost must concur on the terms of the appointment.

Non-departmental Faculty: Faculty from other university departments or programs may hold a secondary appointment in the Department of XXX. This appointment cannot be at a rank higher than such individuals' primary appointment. The Dean, the Chair of this department, the voting faculty of this department, and the Provost must concur on the terms of the appointment.

Privileges: Faculty holding joint/secondary appointments in this Department enjoy the privileges of faculty with primary appointments, commensurate with their rank as described below.

Voting privileges: Regular rank faculty and secondary/joint faculty may serve on all departmental committees and, except where excluded by University policy, have full voting privileges, except in the personnel decisions of this department, where faculty not holding primary appointments in the department do not vote. The Chair does not vote except in the case of a tie. For voting on reappointment, promotion and tenure, faculty eligibility is defined by University policy (see University Bylaws and the Provost's Faculty Procedures Manual, Section 6) f)).

Departmental Organization

A. Officers

1. Department Chair

Function: The Chair 1) serves as the principal contact between the Department and the university administration, 2) in consultation with the Department leads departmental planning and assures an up-to-date development plan, 3) oversees faculty recruitment, 4) manages faculty personnel reviews, 5) formulates and manages departmental budgets, 6) evaluates annually all Department faculty, and shares with interested persons those elements which may enhance their research and teaching missions, 7) oversees departmental committees, 8) nominates departmental officers, 9) presides at Department meetings, and 10) supervises teaching assignments and scheduling in consultation with the DUS and DGS.

Term: Chairs generally serve for three years (or five years, if an external appointment); after consultation with the department faculty, the Dean of the Faculty may offer reappointment.

Recruitment: The Dean of the Faculty solicits the confidential opinion of all regular rank departmental faculty and the Provost's approval before appointing a Chair. The Dean appoints a search committee if it is necessary to make an external appointment as Chair.

2. Director of Graduate Studies

Function: The DGS 1) serves as the primary link between the Department and graduate students and between the Department and the Graduate School, 2) publicizes the graduate program and coordinates graduate recruitment and admissions, 3) manages the graduate studies budget, 4) chairs the DGS Advisory Committee, 5) coordinates graduate course offerings, 6) oversees the administration of graduate examinations, and 7) monitors students' compliance with university requirements.

Term: The DGS typically serves a one-year term subject to reappointment.

Appointment: The DGS is appointed by the Dean of the Graduate School upon the recommendation of the Department Chair.

3. Director of Undergraduate Studies

Function: The DUS 1) is the primary link between the Department and undergraduate students, 2) supervises teaching assignments and scheduling in consultation with the Department Chair, 3) coordinates undergraduate course offerings, 4) supervises the approval of new and cross-listed courses and the deletion of superannuated courses, 5) approves courses to be taken abroad or in non-Duke summer school, 6) supervises the major advising system, and 7) monitors undergraduate majors to assure compliance with university requirements.

Term: The DUS typically serves a one-year term subject to reappointment.

Appointment: The DUS is appointed by the Dean of Undergraduate Affairs upon the recommendation of the Department Chair.

4. Other regular departmental officers

Function:

Term:

Appointment: This officer is appointed by an ad hoc departmental committee, presided over by the Chair. All regular-rank faculty are eligible to serve on the committee and as Director.

B. Committees

1. Advisory Committee to the Director of Graduate Studies

Function: This committee 1) advances the preparation of graduate course offerings and 2) advises the DGS on matters important to the graduate program, including funding, admissions standards, graduate student teaching, and the advising of graduate students.

Membership: This committee will comprise two faculty, in addition to the DGS. The Chair will nominate individuals for this committee, who will be elected by voting faculty. All regular rank faculty are eligible to serve on this committee.

2. Ad hoc Committees are formed in response to particular situations. Members are nominated by the Chair and elected by the voting faculty.

C. Faculty Meetings

None	Copy
<p>Regular meetings: The department's semiannual meetings take place during the first month of classes each semester; subsequent regular meetings are scheduled by the Chair, who will distribute each semester's schedule during the first three weeks of class.</p> <p>Quorum: A majority of regular rank departmental faculty in residence at Duke constitutes a quorum.</p> <p>Called meetings: Any regular rank faculty member, including the Chair, may petition the Chair to call a full Department meeting to be held within two weeks of the request. In cases of the greatest urgency, a meeting may be called following a written petition to all regular rank faculty in residence, a majority of whom may sanction such an emergency meeting by indicating their written consent to the Chair within three days of the written petition.</p> <p>Agenda: The Chair will set the agenda for regular and called meetings. Any regular rank faculty member may request that an item be added to the agenda.</p>	

IV. Ratification and Amendments

None	Copy
<p>These bylaws will be ratified by a (two-thirds) majority vote of the regular rank voting faculty in residence during the academic year. They will become effective immediately upon ratification.</p> <p>Bylaws may be amended by a (two-thirds) majority vote of the regular rank voting faculty in residence. The amendment must be presented in writing at a first faculty meeting and adopted at a second meeting to occur no earlier than one week after the first. Any regular rank faculty member may propose an amendment to these bylaws.</p>	

1 - Offer to Junior Faculty (Degree In Hand)

Template: Offer to Junior Faculty (Degree in Hand)

Dear _____

I am pleased to offer you an appointment as tenure-track Assistant Professor in the Department of _____ for an initial four-year term beginning August 1, 2012, and ending July 31, 2016. Along with many policies and procedures pertinent to faculty, the procedures concerning reappointment, promotion, and tenure are described in Duke's Faculty Handbook (<http://provost.duke.edu/faculty-resources/policies/>). In addition, please note that this offer is contingent upon a successful outcome to a mandatory background audit required by Duke University.

Your initial salary for the nine-month academic year will be \$XX plus fringe benefits, paid in twelve monthly installments beginning August 25, 2012. Duke University offers a generous package of fringe benefits which can be consulted at the following web sites: An overview of benefits at <http://www.hr.duke.edu/benefits/>, linking to detailed descriptions of the various benefits; the Retirement Planning Guide at <http://www.hr.duke.edu/benefits/retirement>; and the Faculty Handbook mentioned above. A provostial website describes the career advantages that Duke offers to faculty at all ranks: <https://provost.duke.edu/policies-resources/faculty-handbook>.

A special benefit for untenured tenure-track faculty at Duke is that, after a successful reappointment review in your first four-year term, you will be eligible for a one-semester junior faculty research leave with full pay.

[NOTE: The wording used in the preceding paragraph is that used by A&S. Other schools may offer other arrangements during the probationary period. For example, Fuqua offers original five-year appointments with review in the fourth year. If reappointed (for three years), the faculty member is given teaching relief during the second term rather than a junior faculty research leave at the end of the first term.]

As a new faculty member, you will be provided with a standard computer package for your initial computing needs, plus up to \$800 of additional funding (which can be spent on other computing equipment including an upgrade to the standard computer) and that will be provided by our Office of Technology Services (please see http://www.dukestores.duke.edu/compstore/purchasing_program.php for details). This computer will be replaced on the normal refresh cycle. If the standard model is not sufficient for replacement, then any additional cost must be funded by either your research fund or departmental discretionary funding. Please contact your departmental IT staff for assistance.

For the four years of this appointment, we will provide you with an annual research fund of \$2,000. This fund is renewable for an additional four-year period upon written application to the Dean after a favorable reappointment review.

We will provide from all sources up to \$____ as start-up funds to help you establish your research program. The funds are specifically for equipment, supplies, and research costs in human resources, as you have described your needs to us. Please have your departmental staff contact our finance and administration office to arrange access to these funds. Please work with your department's IT staff to use any portion of these funds that you will apply toward the acquisition of computing support. Authorization to expend these funds will expire on ____, unless the Dean approves an extension in writing, based on your written request that fully explains and justifies the extension. Finally, please note that under no circumstances may you use start-up funds to support your own salary.

(THE FOLLOWING PARAGRAPH IS SOMETIMES USED, WITH VARIATIONS CONCERNING

LENGTH AND AMOUNT OF SUPPORT, BUT ONLY IN DISCIPLINES WHERE GRANTING

AGENCIES SUPPORT SUMMER SALARIES. IT IS INAPPROPRIATE FOR MANY DISCIPLINES.)

We will support your summer research efforts in the following fashion. In 2013 we will provide you with a salary supplement of 2/9ths your nine-month salary, payable in equal installments on June 25 and July 25. In 2014 we will provide you with a salary supplement of 2/9ths your nine-month salary, payable in equal installments on June 25 and July 25. In 2015, I understand that you will seek research supplements totaling 2/9ths your nine-month salary. The applications must be submitted through Duke's Office of Research Support. Were the proposals not funded, Duke would provide you with up to a 2/9ths summer supplement, payable on June 25 and July 25. We will backstop only the amount of summer salary that is requested in the grant. This backstop provision may be accessed only by filing a copy of the grant proposals with the Dean's Office, including appropriate budgetary provisions, and a copy of the granting agency's decision. Although Duke will provide you with no more than two of these supplements in any given summer, institutional policy limits you to no more than three summer supplements from any source in a given fiscal year and to no more than one supplement in a single month.

At Duke, department Chairs determine teaching assignments, contingent on departmental needs. ____, Chair of ____, has asked me to inform you that you will be assigned no courses to teach in your first semester here and that you will be given a one-course reduction in your second year. Thereafter, your annual teaching load will follow departmental norms.

If you leave Duke before the expiration of the special provisions described in this letter (I note that nine-month salary is not a special provision), they will cease on May 1 of the year you leave.

Following the standard allowances for the ____ School, we will provide up to \$XXXX for moving expenses. You will be personally responsible for expenses in excess of this amount. Duke reimburses relocation expenses in accordance with the IRS's allowable deductions. Please be aware that there may be some reimbursed items that will be treated as taxable income by the IRS. As Duke is required to withhold taxes from these reimbursements, reimbursements for relocation expenses will be included in your paycheck. Please refer to IRS Publication #521 <http://www.irs.gov/publications/p521/index.html>.

We look forward with pleasure to the prospect that you will join us at Duke. Please indicate your acceptance of this offer by signing the enclosed copy of this letter or the pdf and returning it to me no later than ____.

Sincerely,

Dean

Enclosures

(copy of appointment letter)

(copy of employment information memo)

cc: Provost Sally Kornbluth

, Chair

Business and Administrative Deans

Executive Vice Provost for Finance and Administration

I accept the offer described in this letter.

Signed: _____

Date: _____

B 10 Offer Non Tenure Track

Dear _____

None	Copy
I am pleased to offer you an appointment as assistant/associate/full (Research) Professor (of the	

Practice) in the Department of _____ for an initial four-year term beginning August 1, 2012, and ending July 31, 2016. The procedures concerning reappointment and promotion are contained in the Duke Faculty Handbook:
<https://provost.duke.edu/policies-resources/faculty-handbook> .

Your initial salary for the nine-month academic year will be \$XX plus fringe benefits, paid in twelve monthly installments beginning August 25, 2012.

Duke University offers a generous package of fringe benefits which can be consulted at the following web sites: An overview of benefits at <http://www.hr.duke.edu/benefits/>, linking to detailed descriptions of the various benefits; the Retirement Planning Guide at <http://www.hr.duke.edu/benefits/retirement>; and the Faculty Handbook mentioned above. A provostial website describes the career advantages that Duke offers to faculty at all ranks: <https://provost.duke.edu/policies-resources/faculty-handbook>.

As a new faculty member, you will be provided with a standard computer package for your initial computing needs, plus up to \$800 of additional funding (which can be spent on other computing equipment including an upgrade to the standard computer) and that will be provided by our Office of Technology Support (please see http://www.dukestores.duke.edu/compstore/purchasing_program.php for details). This computer will be replaced on the normal refresh cycle. If the standard model is not sufficient for replacement, then any additional cost must be funded by either your research fund or departmental discretionary funding. Please contact your departmental IT staff for assistance.

We will provide from all sources up to \$____ as start-up funds to help you establish your research program. The funds are specifically for equipment, supplies, and research costs in human resources, as you have described your needs to us. Please have your departmental staff contact our Office of Finance and Administration to arrange for access to these funds. Please work with your department's IT staff to use the portion of these funds that you will apply toward the acquisition of computing support.

Authorization to expend these funds will expire on ____, unless the Dean approves an extension, based on your written request that fully explains and justifies the extension. Finally, please note that under no circumstances may you use start-up funds to support your own salary.

None	Copy
<p>At Duke, department chairs, contingent on departmental needs, determine teaching assignments. ____, Chair of ____, has asked me to inform you that you will be given a one-course reduction in your first semester here. Thereafter, your annual teaching load will follow departmental norms.</p> <p>If you leave Duke before the expiration of the special provisions described in this letter (I note that nine-month salary is not a special provision), they will cease on May 1 of the year you leave.</p> <p>Following the standard allowances for the ____ School, we will provide up to \$XXXX for moving expenses. You will be personally responsible for expenses in excess of this amount. Duke reimburses relocation expenses in accordance with the IRS's allowable deductions. Please be aware that there may be some reimbursed items that will be treated as taxable income by the IRS. As Duke is required to withhold taxes from these reimbursements, reimbursements for relocation expenses will be included in your paycheck. Please refer to IRS Publication #521 http://www.irs.gov/publications/p521.</p>	

We look forward with pleasure to the prospect that you will join us at Duke. Please indicate your acceptance of this offer by signing the enclosed copy of this letter or the pdf and returning it to me no later than ____.

None	Copy
<p>Sincerely,</p> <p>Dean</p>	

Enclosures

(copy of appointment letter)

(copy of employment information memorandum)

cc: Provost Sally Kornbluth

, Chair

Business and Administrative Deans

Executive Vice Provost for Finance and Administration

I accept the offer described in this letter.

Signed: _____

Date: _____

B 11 Offer to Tenured Professor

Dear Professor,

I am pleased to offer you an appointment as _____ Professor with tenure in the Department of XX, beginning July 1, 20XX. I note that the award of tenure is contingent on the approval of the Duke University Board of Trustees, who will consider such a proposal from the Provost as soon as possible after we receive your signed copy of this letter. I also refer you to the Duke University Faculty Handbook, which contains policies and procedures pertinent to faculty:
<https://provost.duke.edu/policiesresources/faculty-handbook>.

Your initial salary for the nine-month academic year will be \$XX plus fringe benefits, paid in twelve monthly installments beginning July 25, 20XX. Duke University offers a generous package of fringe benefits which can be consulted at the following web sites: An overview of benefits at <http://www.hr.duke.edu/benefits/>, linking to detailed descriptions of the various benefits, and the Retirement Planning Guide at <http://www.hr.duke.edu/benefits/retirement>, and the Faculty Handbook mentioned above. A provostial website describes the career advantages that Duke offers to faculty at all ranks.

As a new faculty member, you will be provided with a standard computer package for your initial computing needs, plus up to \$800 of additional funding (which can be spent on other computing equipment including an upgrade to the standard computer) and that will be provided by our Office of Technology Services (please see <http://www.aas.duke.edu/asist/services/purchasing/cppas/> for details). This computer will be replaced on the normal refresh cycle. If the standard model is not sufficient for replacement, then any additional cost must be funded by either your research fund or departmental discretionary funding. Please contact your departmental IT staff for assistance.

To help establish your research program at Duke and for an initial three-year period, we will allocate an annual fund of \$____ to support your research and teaching needs. This fund will be renewable upon written application to the Dean, given continued emphasis on research productivity.

We will provide from all sources up to \$_____ as start-up funds to help you establish your research program. These funds are specifically for equipment, supplies, and research costs in human resources, as you have described your needs to us. Please have your departmental staff contact our Office of Administration to arrange for access to these funds and work with your department's IT staff to use the portion of these funds that you will apply toward the acquisition of computing support. Authorization to expend these funds will expire on June 30, 20XX, although you may certainly request an extension in writing from the Dean, if need be. Finally, please note that under no circumstances may you use start-up funds to support your own salary.

(THE FOLLOWING PARAGRAPH IS SOMETIMES USED, WITH VARIATIONS CONCERNING LENGTH AND AMOUNT OF SUPPORT, MAINLY IN DISCIPLINES WHERE GRANTING AGENCIES SUPPORT SUMMER SALARIES. IT IS INAPPROPRIATE FOR MANY DISCIPLINES.) We will support your summer research efforts in the following fashion. In 20XX we will provide you with a salary supplement of 2/9ths your nine-month salary, payable in equal installments on June 25 and July 25. In 20XX we will provide you with a salary supplement of 2/9ths your nine-month salary, payable in equal installments on June 25 and July 25. In 20XX, I understand that you will seek research supplements totaling 2/9ths your nine-month salary. The applications must be submitted through Duke's Office of Research Support, and the backstop provision may be accessed only by filing a copy of the grant proposals with our office of Finance and Administration, including appropriate budgetary provisions, and a copy of granting agency's decision. Were the proposals not funded, Duke would provide you with up to a 2/9ths summer supplement, payable in equal installments on June 25 and July 25. We will backstop only the amount of summer salary that is requested in the grant. Although Duke will provide you with no more than two of these supplements in any given summer, institutional policy limits you to no more than three summer supplements from any source in a given fiscal year and to no more than one supplement in a single month.

None

Copy

At Duke, teaching assignments are determined by department chairs, contingent on departmental needs. ____, Chair of ____, has asked me to inform you that you will be assigned no courses to teach in your first semester here and that you will be given a one-course reduction in your second year. Thereafter, your annual teaching load will follow departmental norms.

In recognition of your accumulated sabbatical credit at your current university, we will grant you ____ years of credit toward your first sabbatical at Duke. Barring any intervening leaves of absence that stop the sabbatical clock, this means that you would be eligible to apply for a sabbatical to be taken as early as the ____ academic year.

We will propose, subject to approval by the Provost, to help to meet your child's - children's educational needs in the following way: For each semester of his -- her -- their full-time enrollment in college, we would provide you with a taxable stipend equal to the lesser of 1) three quarters of Duke's one-semester tuition or 2) the semester's tuition bill for your child. Of course, being taxable, this stipend would be subject to normal withholding. This stipend would be payable in the month prior to the beginning of each semester, upon the presentation of the appropriate documentation to our Office of Administration. This stipend would be available for a maximum of eight semesters per child for a maximum of two children (or the exact needed number of semesters, if known when the request is made). It would no longer be available once you qualify for Duke's tuition benefit after five years of continuous service.

OBTAIN THE PROVOST'S WRITTEN PERMISSION TO MAKE THIS OFFER PRIOR TO MAILING THE LETTER.

None

Copy

If you leave Duke before the expiration of the special provisions described in this letter (I note that nine-month salary is not a special provision), they will cease on May 1 of the year you leave. [Although nine-month salary is not a special provision, if you begin another job with pay before your termination date, your pay will end immediately, once you have been paid for the last semester you performed job duties at Duke.]

Following the standard allowances for Arts & Sciences, we will provide up to \$XX in moving expenses. You will be personally responsible for expenses in excess of this amount. Duke reimburses relocation expenses in accordance with the IRS's allowable deductions. Please be aware that there may be some reimbursed items that will be treated as taxable income by the IRS. As Duke is required to withhold taxes from these reimbursements, reimbursements for relocation expenses will be included in your paycheck. Please refer to IRS Publication #521 <http://www.irs.gov/publications/p521>.

We look forward with pleasure to the prospect that you will join us at Duke. Please indicate your acceptance of this offer by signing the enclosed copy of this letter or the pdf and returning it to me no later than XX, 2018.

None	Copy
<p>Sincerely,</p> <p>, Dean</p>	

Enclosures

(copy of appointment offer)

(copy of employment information memorandum)

cc: Provost Sally Kornbluth

Professor XX, Chair

Business and Administrative Deans

Executive Vice Provost for Finance and Administration

I accept the offer described in this letter.

Signed: _____ Date:

cc: Provost Sally Kornbluth
Dean
Business and Administrative Deans
Executive Vice Provost for Finance and Administration

I accept the offer described in this letter.

Signed: _____ Date: _____

B 13 Template for Search Position Filled

Written notification:

Dear _____,

None	Copy
<p>Thank you for your interest in the position for which Duke University has conducted a search this year in the Department of _____. We were fortunate enough to receive XYZ applications and expressions of interest.</p> <p>I write to inform you that the search has reached a successful conclusion and that we have appointed Dr. _____, currently _____ Professor at the University of _____, to the position. She will begin her appointment in August.</p> <p>My departmental colleagues and I were pleased by the high interest in this position and were excited by your visit to campus. It is clear that the field is an important and vibrant one and that its future is rosy. We thank you for your interest in our program at Duke and wish you the best of luck in your continuing professional career.</p> <p style="text-align: center;">Sincerely,</p> <p style="text-align: center;">Department Chair or Search Committee Chair</p>	

B 14 Template for Search Informing Candidate they did not make the Short List

Dear _____,

None	Copy
Thank you for your interest in the position for which Duke University has conducted a search this year in the Department of _____. We were fortunate enough to receive XYZ applications and expressions of interest and have arrived at a short list of candidates to invite to campus for interviews.	

In order to inform you of developments as soon as possible, thereby assisting you in your professional planning and decision making, I regret to inform you that – despite your excellent credentials and scholarly record – we have decided not to invite you to campus for further consideration. Our applicant pool, including your candidacy, was extremely strong; as you can imagine, our process for reaching a short list was not an easy one.

Our search committee enjoyed its conversations with you at our annual convention in _____ and thanks you for your interest in our program at Duke. We wish you the best of luck in your continuing professional career.

None	Copy
Sincerely,	
Department Chair or Search Committee Chair	

Telephone script for a spontaneous inquiry for informing candidates that they did or did not make the short list (or the shorter list):

Yes, I am able to inform you of the search's status. Just yesterday our faculty received the search committee's recommendation for a short list of candidates to invite to campus for interviews (after reviewing the credentials of an extraordinary pool of more than XYZ applicants). As department Chair I am, this morning, contacting the short-listed candidates to schedule interviews and preparing email notices to all those whom we are unable to invite.

-OR-

I regret to tell you that your name does not figure on the short list. Your credentials are impressive, and my colleagues and I found your accomplishments and planned research to be imaginative, important, and promising. However, we have decided to invite others to campus for interviews.

We thank you very much for your interest in our department. You will receive a confirming email from me so that the circle will be closed in writing. I wish you the best of luck as you develop your career and look forward to interacting with you professionally on the national scene.

B 15 Sample Agreement for Secondary Appointment

The Department (School) of _____ has voted to offer a secondary appointment to Professor _____ currently ____ Professor in _____. We request that Professor _____ be offered a secondary appointment as _____ Professor in _____ for a X year term beginning ____ and ending _____. This appointment will run conterminously with your primary appointment. We agree that Professor _____'s duties and responsibilities will be divided as described here; otherwise, the rules of Professor _____'s primary department will govern his/her activities, Faculty responsibilities:

Courses taught

Setting of teaching schedules

Committee participation

Undergraduate advising Graduate advising and mentoring Faculty privileges and support:

Voting rights (if different from those outlined in each unit's bylaws) TA assignment

Equipment support (e.g., computing, copying, laboratory, telephone)

Administrative support (e.g. typing, scheduling)

Research support

Personnel evaluation:

Annual evaluations and salary recommendations to the Dean Reappointment and promotion reviews.

Chair of Primary Unit Chair of Secondary Unit

B 16 Template for Memorandum of Understanding Concerning the General Provisions of the Joint Hire

Date

1. [department/school] and [department/school] agree to jointly search, recruit, select, hire [name, if known] a/an/as [rank] professor in [field].
2. Upon approval by the Provost, [name] will be appointed as [rank] in [department/school] and [rank, if different] in [department/school]. [One department/school will need to be selected as 'primary' to officially hold the appointment.]
3. If "true" joint appointment: [department/school] and [department/school] will jointly conduct annual performance evaluations and compose a joint evaluation for [name]'s file. If the chair(s)/Dean(s) are unable to agree on a joint evaluation in any particular year, they will have the opportunity to submit separate letters for [name]'s file for consideration by the Dean of ["primary" school, when appointments are in more than one school]. The chair/Dean of ["primary" department/school] will ultimately be responsible for submitting the annual performance evaluation and recommending salary to the Dean of [school].

--OR--

If not "true" joint appointment: The chair/Dean of ["primary" department/school] will be responsible for conducting the annual performance evaluation, with input from the chair/Dean of ["secondary/joint" department/school], and the chair/Dean of ["primary" department/school] will recommend salary to the Dean of [school].

Modify as appropriate for particular rank and anticipated reviews: As a/an [rank] Professor, [name] will receive [third-year review, tenure review, promotion] review(s).

The third-year reappointment review committee will be composed of faculty members from both departments/schools [and from any interdisciplinary units that are also included in the appointment]. The reappointment will be reviewed and voted upon in [department/school] and [department/school] at separate meetings. All members of the review committee will be able to attend and speak at the meetings reviewing the reappointment, but will be able to vote only in their own unit. The recommendations of the departments/schools will then be forwarded to the Deans and Provost.

At the end of the fifth year, approximately one year before [name] is to submit materials for the tenure file and process, [name] will be given the option to choose whether to be formally reviewed for tenure in [department/school] or [department/school]. The tenure review committee will be composed of a majority of members from the selected [department/school] and at least one faculty member from [any other units in which the faculty member has held appointment, or which are relevant to the review, as determined by the Dean, with input from the heads of the partnering units]. As in all tenure reviews, the review committee will be approved by the Dean of [school]. The review committee will be expected to solicit the opinion of all units indicated as relevant to the case and the opinions should be incorporated into the file as it is being prepared. Only the selected [department/school] will review and vote on the tenure of [name]. Members of the review committee not part of the selected [department/school] will be allowed to attend and speak at the [department/school] deliberative meetings, but will not have a vote.

4. Distribution of Salary Commitment Between Parties
5. Distribution of Research, Teaching, and Service Time Between Parties
[assumption for “true” joint appointments is 50/50 division]
6. Identification of unit providing Compensation Support/Backstop, Startup or Research Support, Office or Lab Space, Recruitment Costs, Relocation Costs and Associated Amounts and Terms
7. Allocation of Indirect Cost Recovery. Identification of unit providing Grants Administration.
8. Other Agreements Between Parties

These terms have been agreed upon by the undersigned Parties sharing in this appointment. The Parties further agree to re-sign this memorandum after year 1 of the appointment to reaffirm or amend the terms.

[Name] [Name]
Dean, [School] Dean, [School]
[Date] [Date]

If applicable: If applicable:
[Name] [Name]
Chair, [Department] Chair, [Department]
[Date] [Date]

[Name]

Provost/Vice Provost for Interdisciplinary Studies

[Date]

cc:

Memorandum of Understanding Concerning the General Provisions of the Joint Hire
of [name] Between
[department/school] and [department/school]
Year 1 Recommitment

Date

The above agreement is amended to the following:

The terms above have been agreed upon by the undersigned Parties sharing in this
appointment.

[Name] [Name]

Dean, [School] Dean, [School]

[Date] [Date]

If applicable: If applicable:

[Name] [Name]

Chair, [Department] Chair, [Department]

[Date] [Date]

[Name] [Name]

[Faculty Rank] Provost/Vice Provost for Interdisciplinary Studies

[Date] [Date]

cc:

B 17 Process for Retiring Faculty

Retiring without emeritus status

School/department processes a termination notice (iForm) with reason code “Retirement (07)” selected. This will close all faculty appointments based on the termination date. Appropriate benefits actions will take place based on the termination and reason code. After termination notice processed, faculty member will be shown as “withdrawn” in SAP.

Retiring with emeritus status (as defined in The Faculty Handbook)*

No longer receiving regular wages, may opt to start taking retirement payments
School/department processes an emeritus appointment (dFac) with reason “Promotions/Change of Status.” This appointment should use the appropriate emeritus job code. Start date of the emeritus appointment should be the beginning of the retirement and end date would be 12/31/9999. After new appointment has been approved/closed, school/department processes a Rate and Schedule Change (iForm) to change faculty member’s monthly rate to zero. The emeritus faculty member should NOT be terminated. Appropriate benefits actions will take place based on the emeritus job code. The faculty member will continue to be shown as “active” in SAP. Since the faculty member status is active, schools/departments may continue to process updates, such as address changes.

No longer receiving regular wages, but may get occasional payment (supplement), may opt to start taking retirement payments.

School/department processes an emeritus appointment (dFac) with reason “Promotions/Change of Status.” This appointment should use the appropriate emeritus job code. Start date of the emeritus appointment should be the beginning of the retirement and end date would be 12/31/9999. After new appointment has been approved/closed, school/department processes a Rate and Schedule Change (iForm) to change faculty member’s monthly rate to zero. The emeritus faculty member should NOT be terminated. Appropriate benefits actions will take place based on the emeritus job code. The faculty member will continue to be shown as “active” in SAP. If work occurs, payment should be made via supplemental pay (iForm.) Note: when any W2 wages are paid to the emeritus faculty, that payment is still eligible for University contribution to their 403(b) account. The faculty member will continue to be shown as “active” in SAP. Since the faculty member status is active, schools/departments may continue to process updates, such as address changes.

Still receiving regular wages, may or may not opt to start taking retirement payments
School/department processes an emeritus appointment (dFac) with reason
“Promotions/Change of Status.” This appointment should use the appropriate
emeritus job code. Start date of the emeritus appointment should be the beginning
of the retirement and end date would be 12/31/9999. After new appointment has
been approved/closed, school/department processes a Rate and Schedule Change
(iForm) to change rate as necessary. The emeritus faculty member should NOT be
terminated. Appropriate benefits actions will take place based on the emeritus job
code. The faculty member will continue to be shown as “active” in SAP. If work
occurs, payment may be made through base pay (i.e., monthly salary) or through
supplemental pay (iForm.) Note: when any W2 wages are paid to the emeritus
faculty, that payment is still eligible for University contribution to their 403(b)
account. Faculty member is responsible for following up on impact of wages if also
receiving retirement/social security payments. The faculty member will continue to
be shown as “active”
in SAP. Since the faculty member status is active, schools/departments may
continue to process updates, such as address changes.

Ending emeritus status (death of emeritus faculty)

School/department processes a termination notice (iForm) with reason code
“Deceased (08)” selected. This will close the emeritus appointment based on the
date of death. Appropriate benefits actions will take place based on the termination
and reason code. After termination notice processed, faculty member will be shown
as “withdrawn” in SAP.

B 18 Job Titles by Rank and Job Codes

 [Faculty Procedures Manual - faculty job codes and PSAs.xlsx](#)

Regular Rank, Tenured and Tenure Track

All Schools

Job Code	Title	Job Family	Rank	PSA for Univ/SoM	PSA for DHIP	12 CHAR TITLE
1541	PROFESSOR (TENURE)	40	Tenured Faculty	0009	0019	PROFESSOR-TN
1542	ASSOC PROFESSOR (TENURE)	40	Tenured Faculty	0009	0019	ASSC PROF-TN
1545	PROFESSOR	40	Tenure Track	0009	0019	PROFESSOR
1546	ASSOC PROFESSOR	40	Tenure Track	0009	0019	ASSC PROF
1547	ASSIST PROFESSOR	40	Tenure Track	0009	0019	ASST PROF

Other Regular Rank, Non tenure track

All Schools

Job Code	Title	Job Family	Rank	PSA for Univ/SoM	PSA for DHIP	12 CHAR TITLE
1521	LECTURER-UNIV	40	Other Regular Rank	0010	0020	LECTURER UN
1525	PROFESSOR OF PRACTICE	40	Other Regular Rank	0010	0020	POP
1526	ASSOC PROF OF THE PRAC OF	40	Other Regular Rank	0010	0020	ASSOC POP
1527	ASSIST PROF OF THE PRAC OF	40	Other Regular Rank	0010	0020	ASST POP
1535	RESEARCH PROFESSOR	40	Other Regular Rank	0010	0020	RES PROF
1536	ASSOC RESEARCH PROFESSOR	40	Other Regular Rank	0010	0020	ASC RES PROF
1537	ASSIST RESEARCH PROFESSOR	40	Other Regular Rank	0010	0020	AST RES PROF
1540	LECTURER, PRE-TENURE TRACK	40	Other Regular Rank	0010	0020	LECTURER PTT
1575	CLINICAL PROFESSOR	40	Other Regular Rank	0010	0020	CLIN PROF
1576	ASSOC CLINICAL PROF	40	Other Regular Rank	0010	0020	ASC CLN PROF
1577	ASSIST CLINICAL PROF	40	Other Regular Rank	0010	0020	AST CLN PROF

School of Medicine, School of Nursing Only

Job Code	Title	Job Family	Rank	PSA for Univ/SoM	PSA for DHIP	12 CHAR Title
1548	MEDICAL INSTRUCTOR	40	Other Regular Rank	0010	0020	
1588	PROFESSOR - CAREER TRACK	40	Other Regular Rank	0010	0020	
1587	ASSOC PROFESSOR - CAREER TRACK	40	Other Regular Rank	0010	0020	
1579	ASSIST PROFESSOR - UNDIFFERENTIATED	40	Other Regular Rank	0010	0020	

Non Regular Rank

All Schools

Job Code	Title	Job Family	Rank	PSA for Univ/SoM	PSA for DHIP	12 CHAR TITLE
1500	FACULTY	40	Non-regular rank	0011	0021	FACULTY
1501	INSTRUCTOR, NON TENURE TRACK	40	Non-regular rank	0011	0021	INST NTT
1505	INSTRUCTIONAL STAFF	40	Non-regular rank	0011	0021	INSTR STAFF
1506	ARTIST IN RESIDENCE	40	Non-regular rank	0011	0021	ARTIST N RES
1508	VISITING PROFESSOR OF THE PRAC	40	Non-regular rank	0011	0021	VIS POP
1509	EXECUTIVE IN RESIDENCE	40	Non-regular rank	0011	0021	EXEC N RES
1514	LECTURING FELLOW	40	Non-regular rank	0011	0021	LECT FELLOW

1515	LECTURING FELLOW, SENIOR	40	Non-regular rank	0011	0021	LECT FELL SR
1516	VISITING RESEARCH SCHOLAR	40	Non-regular rank	0011	0021	VIS RES SCHL
1518	INSTRUCTOR, TEMPORARY*	40	Non-regular rank	0011	0021	INST TEMP
1519	INSTRUCTOR, TEMPORARY	40	Non-regular rank	0011	0021	INST UNV P-T
1522	LECTURER (P-T)/UNIV	40	Non-regular rank	0011	0021	LECT UNV P-T
1523	VISITING SCHOLAR	40	Non-regular rank	0011	0021	VIS SCHOLAR
1524	VISITING LECTURER	40	Non-regular rank	0011	0021	VIS LECTURER
1529	VISITING ASSC PROF OF PRACTICE	40	Non-regular rank	0011	0021	VIS ASC POP
1530	VISITING ASST PROF OF PRACTICE	40	Non-regular rank	0011	0021	VIS AST POP
1549	INSTRUCTOR-UNIV	40	Non-regular rank	0011	0021	INST UNIV
1555	VISITING PROFESSOR	40	Non-regular rank	0011	0021	VIS PROF
1556	VISITING ASSOCIATE PROF	40	Non-regular rank	0011	0021	VIS ASC PROF
1557	VISITING ASSISTANT PROFESSOR	40	Non-regular rank	0011	0021	VIS AST PROF
1558	VISITING ASSOCIATE	40	Non-regular rank	0011	0021	VIS ASSOC
1559	VISITING INSTRUCTOR	40	Non-regular rank	0011	0021	VIS INSTR

1565	ADJUNCT PROFESSOR	40	Non-regular rank	0011	0021	ADJ PROF
1566	ADJUNCT ASSOCIATE PROFESSOR	40	Non-regular rank	0011	0021	ADJ ASSC PRF
1567	ADJUNCT ASSISTANT PROF	40	Non-regular rank	0011	0021	ADJ ASST PRF
1568	ADJUNCT ASSOCIATE	40	Non-regular rank	0011	0021	ADJ ASSOC
1569	ADJUNCT INSTRUCTOR-UNIV	40	Non-regular rank	0011	0021	ADJ INST UNV
1571	CONSULTING PROFESSOR	40	Non-regular rank	0011	0021	CONS PROF
1572	ASSOC CONSULTING PROFESSOR	40	Non-regular rank	0011	0021	ASC CONS PRF
1573	ASSIST CONSULTING PROFESSOR	40	Non-regular rank	0011	0021	AST CONS PRF
1574	CONSULTING ASSOCIATE	40	Non-regular rank	0011	0021	CONS ASSOC
1578	CLINICAL ASSOCIATE	40	Non-regular rank	0011	0021	CLIN ASSOC
1589	SCHOLAR IN RESIDENCE	40	Non-regular rank	0011	0021	SCHLR N RES
1596	INSTRUCTOR-Medical Center	40	Non-regular rank	0011	0021	INST MC
1599	INSTRUCTOR, SPECIAL PROGRAMS	40	Non-regular rank	0011	0021	INST SPC PGM

University Only

Job Code	Title	Job Family	Rank	PSA for Univ	12 CHAR TITLE
1554	Instructor*		Non-regular rank Union	0031	
1560	Instructor B*		Non-regular rank Union	0031	
1564	Lecturing Fellow*		Non-regular rank Union	0031	

Emeritus

Job Code	Title	Job Family	Rank	PSA for Univ/SoM	12 CHAR TITLE
1507	ASSOC PROF OF THE PRAC OF EMERITUS	40	Emeritus	0022	ASSOC POP E
1510	PROFESSOR OF PRACTICE EMERITUS	40	Emeritus	0022	POP EM
1511	ASSIST CLINICAL PROF EMERITUS	40	Emeritus	0022	AST CLN PRF E
1517	RESEARCH PROFESSOR EMERITUS	40	Emeritus	0022	RES PROF EM
1520	ASSIST PROF OF THE PRAC OF EMERITUS	40	Emeritus	0022	ASST POP EM
1531	PROFESSOR EMERITUS	40	Emeritus	0022	PROFESSOR EM
1532	ASSOC PROFESSOR EMERITUS	40	Emeritus	0022	ASSC PROF EM
1533	ASSIST PROFESSOR EMERITUS	40	Emeritus	0022	ASST PROF EM
1534	CLINICAL ASSOCIATE EMERITUS	40	Emeritus	0022	CLIN ASSC EM
1538	CLINICAL PROFESSOR EMERITUS	40	Emeritus	0022	CLIN PROF EM

1539	ASSIST RESEARCH PROF EMERITUS	40	Emeritus	0022	AST RES PRF E
1544	ASSOC RESEARCH PROF EMERITUS	40	Emeritus	0022	ASC RES PRF E
1550	LECTURER EMERITUS	40	Emeritus	0022	LECT EMER
1551	ASSOCIATE DEAN EMERITUS	40	Emeritus	0022	ASSC DN EMER
1552	DEAN EMERITUS	40	Emeritus	0022	DN EMERITUS
1561	PROFESSOR EMERITUS - TRACK IV	40	Emeritus	0022	PROF EM-T4
1562	ASSOCIATE PROFESSOR EMERITUS - TRACK IV	40	Emeritus	0022	ASC PRF E- T4
1563	ASSISTANT PROFESSOR EMERITUS - TRACK IV	40	Emeritus	0022	AST PRF E- T4
1591	PROFESSOR EMERITUS - TRACK V	40	Emeritus	0022	PROF EM-T5
1592	ASSOCIATE PROFESSOR EMERITUS - TRACK V	40	Emeritus	0022	ASC PRF E- T5
1593	ASSISTANT PROFESSOR EMERITUS - TRACK V	40	Emeritus	0022	AST PRF E- T5
1597	ASSOC CLINICAL PROF EMERITUS	40	Emeritus	0022	ASC CLN PRF E

2 Degree Requirements Completed, Tenure Clock Concurrent with Appointment

Dear Dr. _____

We have received notification from the University of _____ that you have completed all requirements for the Ph.D. degree in XX. Accordingly, as stated in Dean _____'s (date) letter to you, your initial four-year appointment at Duke University as a tenure-track Assistant Professor will begin on August 1, 2012, and end on July 31, 2016. Your tenure clock will begin concurrently with your appointment.

None	Copy
<p data-bbox="213 781 1299 857">Congratulations on this important professional accomplishment. We look forward to your joining the faculty at Duke University.</p> <p data-bbox="347 913 507 945">Sincerely,</p> <p data-bbox="347 1088 954 1120">PQRST, Faculty Affairs Associate Dean</p>	

3 Offer to Junior Faculty (Degree Contingent)

Dear _____

I am pleased to offer you an appointment in the Department of _____ for an initial four-year term beginning August 1, 2012, and ending July 31, 2016. Along with many policies and procedures pertinent to faculty, the procedures concerning reappointment, promotion, and tenure are described in Duke's Faculty Handbook (<http://provost.duke.edu/faculty-resources/policies/>). If you have completed all requirements for the Ph.D. degree by July 31, 2012, and had your department so inform me in writing, this appointment will begin at the tenure-track rank of Assistant Professor. If you have not completed all the requirements for the degree, this appointment will begin at the rank of Lecturer. Your tenure clock will not start until you hold the rank of Assistant Professor. In addition, please note that this offer is contingent upon a successful outcome to a mandatory background audit required by Duke University.

If your appointment begins as an Assistant Professor, your initial salary for the nine-month academic year will be \$XX plus fringe benefits, paid in twelve monthly installments beginning August 25, 2012. If your appointment begins as a Lecturer, your initial salary rate for the nine-month academic year will be \$YY (NOTE: some appropriate differential may be imposed until the degree has been completed), paid on the same schedule. Both the rank and salary of Assistant Professor will start at the beginning of the semester following your completion of degree requirements.

None	Copy
<p>Duke offers a generous package of fringe benefits which can be consulted at the following web sites: An overview of benefits at http://www.hr.duke.edu/benefits/, linking to detailed descriptions of the various benefits; the Retirement Planning Guide at http://www.hr.duke.edu/benefits/retirement; and the Faculty Handbook mentioned above. A provostial website describes the career advantages that Duke offers to faculty at all ranks: https://provost.duke.edu/policies-resources/faculty-handbook</p> <p>A special benefit for untenured tenure-track faculty at Duke is that, after a successful reappointment review in your first four-year term, you will be eligible for a one-semester junior faculty research leave with pay.</p>	

[NOTE: The wording used in the preceding paragraph is that used by A&S. Other schools may offer other arrangements during the probationary period. For example, Fuqua offers original five-year appointments with review in the fourth year. If reappointed (for three years), the faculty member is given teaching relief during the second term rather than a junior faculty research leave at the end of the first term.]

None	Copy
<p>As a new faculty member, you will be provided with a standard computer package for your initial computing needs, plus up to \$800 of additional funding (which can be spent on other computing equipment including an upgrade to the standard computer) and that will be provided by our Office of Technology Services (please see http://www.dukestores.duke.edu/compstore/purchasing_program.php for details). This computer will be replaced on the normal refresh cycle. If the standard model is not sufficient for replacement, then any additional cost must be funded by either your research fund or departmental discretionary funding. Please contact your departmental IT staff for assistance.</p> <p>For the four years of this appointment, we will provide you with an annual research fund of \$2,000. This fund is renewable for an additional four-year period upon written application to the Dean after a favorable reappointment review.</p> <p>We will provide from all sources up to \$____ as start-up funds to help you establish your research program. The funds are specifically for equipment, supplies, and research costs in human resources, as you have described your needs to us. Please have your departmental staff contact our Office of Finance and Administration to arrange for access to these funds. Please work with your department's IT staff to use the portion of these funds that you will apply toward the acquisition of computing support.</p>	

Authorization to expend these funds will expire on ____, unless the Dean approves an extension, based on your written request that fully explains and justifies the extension. Finally, please note that under no circumstances may you use start-up funds to support your own salary.

(THE FOLLOWING PARAGRAPH IS SOMETIMES USED, WITH VARIATIONS CONCERNING LENGTH AND AMOUNT OF SUPPORT, BUT ONLY IN DISCIPLINES WHERE GRANTING AGENCIES SUPPORT SUMMER SALARIES. IT IS INAPPROPRIATE FOR MANY DISCIPLINES.)

We will support your summer research efforts in the following fashion. In 2013 we will provide you with a salary supplement of 2/9ths your nine-month salary, payable in equal installments on June 25 and July 25. In 2014 we will provide you with a salary supplement of 2/9ths your nine-month salary, payable in equal installments on June 25 and July 25. In 2015, I understand that you will seek research supplements totaling 2/9ths your nine-month salary. The applications must be submitted through Duke's Office of Research Support. Were the proposals not funded, Duke would provide you with up to a 2/9ths summer supplement, payable on June 25 and July 25. We will backstop only the amount of summer salary that is requested in the grant. This backstop provision may be accessed only by filing a copy of the grant proposals with the Dean's Office, including appropriate budgetary provisions, and a copy of the granting agency's decision. Although Duke will provide you with no more than two of these supplements in any given summer, institutional policy limits you to no more than three summer supplements from any source in a given fiscal year and to no more than one supplement in a single month.

None	Copy
<p>At Duke, department chairs, contingent on departmental needs, determine teaching assignments. ____, Chair of ____, has asked me to inform you that you will be assigned no courses to teach in your first semester here and that you will be given a one-course reduction in your second year. Thereafter, your annual teaching load will follow departmental norms.</p> <p>If you leave Duke before the expiration of the special provisions described in this letter (I note that nine-month salary is not a special provision), they will cease on May 1 of the year you leave.</p> <p>Following the standard allowances for the ____ School, we will provide up to \$XXXX for moving expenses. You will be responsible for expenses in excess of this amount. Duke reimburses relocation expenses in accordance with the IRS's allowable deductions. Please be aware that there may be some reimbursed items that will be treated as taxable income by the IRS. As Duke is required to withhold taxes from these reimbursements, reimbursements for relocation expenses will be included in your paycheck. Please refer to IRS Publication #521 http://www.irs.gov/publications/p521.</p>	

We look forward with pleasure to the prospect that you will join us at Duke. Please indicate your acceptance of this offer by signing the enclosed copy of this letter or the pdf and returning it to me no later than ____.

None	Copy
<p>Sincerely,</p> <p>Dean</p>	

Enclosures

(copy of appointment letter)

(copy of employment information memo)

cc: Provost Sally Kornbluth

, Chair

Business and Administrative Deans

Executive Vice Provost for Finance and Administration

I accept the offer described in this letter.

Signed: _____

Date: _____

B 4 Notification of Degree Completion, Appointment Change and Tenure Clock Start

Dear Dr. _____

None	Copy
<p>We have received notification from the University of _____ that you have completed all the requirements for the Ph.D. degree in XX. Accordingly, as stated in Dean _____'s (date) letter to you, your rank will become that of a tenure-track Assistant Professor on January 1, 2013, and your tenure clock will begin on the same date.</p> <p>Further, upon the recommendation of your department and with the Provost's approval, I am pleased to modify the termination date of your original appointment so that it now ends on December 31, 2016. (2 NOTES: First, schools may make this proposal to the Provost at their discretion. Second, changing the appointment's termination date does not change its annual pay schedule; that is, this individual will continue to be paid on a August through July pay schedule, as stated in the original offer letter.)</p> <p>Congratulations on this important professional accomplishment.</p> <p>Sincerely,</p> <p>JKLMN, Faculty Affairs Associate Dean</p>	

cc: Provost Sally Kornbluth
Dean
Chair
Business Associate Dean

B 5 Pre Offer from School/Department

Dear Professor,

None	Copy
<p>The Department of ____ has recommended your appointment to me and is beginning to prepare your dossier for review by the Provost and his Advisory Committee on Appointment, Promotion, and Tenure. Along with many policies and procedures pertinent to faculty, the procedures concerning appointment, promotion, and tenure are described in Duke's Faculty Handbook (</p>	

This is a University wide committee that makes recommendations to the Provost on all tenured appointments after conducting a thorough review of the candidate's file. The entire process (Department to Dean to Committee to Provost) takes some time to complete, and I cannot make a definite offer until the Provost has approved your appointment. Further, the Duke University Board of Trustees must approve all tenured appointments. The Board will act on the Provost's recommendation for tenure as soon as possible after you return our final offer with your signature. In addition, please note that this offer is contingent upon a successful outcome to a mandatory background audit required by Duke University. Despite all these contingencies, I am pleased to outline here the terms of our offer.

You will be offered an appointment as ____ Professor with tenure in the Department of QQ, beginning August 1, 2012.

OR, if there is no way to complete all the reviews prior to the desired starting date:

I am pleased to offer you a one-year appointment as Visiting ____ Professor in the Department of QQ, beginning August 1, 2012, and ending July 31, 2013. Once the Provost has approved your tenured appointment, I will offer you an appointment as ____ Professor with tenure in the Department of QQ, beginning at the start of the semester following the Provost's decision. In addition, please note that this offer is contingent upon a successful outcome to a mandatory background audit required by Duke University.

Your initial salary for the nine-month academic year will be \$\$\$ plus fringe benefits, paid in twelve monthly installments beginning August 25, 2012. Duke University offers a generous package of fringe benefits which can be consulted at the following web sites: An overview of benefits at <http://www.hr.duke.edu/benefits/>, linking to detailed descriptions of various benefits; the Retirement Planning Guide at <http://www.hr.duke.edu/benefits/retirement>; and the Faculty Handbook mentioned above. The Faculty Handbook describes the career advantages that Duke offers to faculty at all ranks.

I know that you hold the _____ Distinguished Professorship at ___ and understand that you would wish to hold such a similar appointment at Duke. Unfortunately, these positions neither exist at the discretion of the Dean nor is there an unlimited number of them. With this understood and upon your acceptance of our offer, I would commit to placing your name in nomination for a distinguished professorship, which could be awarded by action of the Board of Trustees upon the recommendation of the Provost and his Advisory Committee on Distinguished Professorships, once an appropriate distinguished professorship would become vacant and available. It would be my expectation that such a development would occur within your first two or three years on the Duke faculty.

As a new faculty member, you will be provided with a standard computer package for your initial computing needs, plus up to \$800 of additional funding (which can be spent on other computing equipment including an upgrade to the standard computer) and that will be provided by our Office of Technology Services (please see <http://www.aas.duke.edu/asist/services/purchasing/cppas/> for details). This computer will be replaced on the normal refresh cycle. If the standard model is not sufficient for replacement, then any additional cost must be funded by either your research fund or departmental discretionary funding. Please contact your departmental IT staff for assistance.

To help establish your research program at Duke and for an initial three-year period, we will allocate an annual fund of \$_____ to support your research and teaching needs. This fund will be renewable upon written application to the Dean, given continued emphasis on research productivity.

We will agree to provide from all sources up to \$_____ as start-up funds to help you establish your research program. The funds are specifically for equipment, supplies, and research costs in human resources, as you have described your needs to us. Please have your departmental staff contact our Office of Finance and Administration to arrange for access to these funds and work with your department's IT staff to use the portion of these funds that you will apply toward the acquisition of computing support. Authorization to expend these funds will expire on June 30, 2015, although you may certainly request an extension in writing from the Dean, if need be. Finally, please note that under no circumstances may you use start-up funds to support your own salary.

(THE FOLLOWING PARAGRAPH IS SOMETIMES USED, WITH VARIATIONS CONCERNING LENGTH AND AMOUNT OF SUPPORT, BUT ONLY IN DISCIPLINES WHERE GRANTING AGENCIES SUPPORT SUMMER SALARIES. IT IS INAPPROPRIATE FOR MANY DISCIPLINES.)

We will support your summer research efforts in the following fashion. In 2013 we will provide you with a salary supplement of 2/9ths your nine-month salary, payable in equal installments on June 25 and July 25. In 2014 we will provide you with a salary supplement of 2/9ths your nine-month salary, payable in equal installments on June 25 and July 25. In 2015, I understand that you will seek research supplements totaling 2/9ths your nine-month salary. The applications must be submitted through Duke's Office of Research Support, and the backstop provision may be accessed only by filing a copy of the grant proposals with the Senior Associate Dean for Finance and Administration, including appropriate budgetary provisions, and a copy of granting agency's decision. Were the proposals not funded, Duke would provide you with up to a 2/9ths summer supplement, payable in equal installments on June 25 and July 25. We will backstop only the amount of summer salary that is requested in the grant. Although Duke will provide you with no more than two of these supplements in any given summer, institutional policy limits you to no more than three summer supplements from any source in a given fiscal year and to no more than one supplement in a single month.

At Duke, teaching assignments are determined by department chairs, contingent on departmental needs. ____, Chair of ____, has asked me to inform you that you will be assigned no courses to teach in your first semester here and that you will be given a one-course reduction in your second year. Thereafter, your annual teaching load will follow departmental norms.

In recognition of your accumulated sabbatical credit at your current university, we will grant you ____ years of credit toward your first sabbatical at Duke. Barring any intervening leaves of absence that stop the sabbatical clock, this means that you would be eligible to apply for a sabbatical to be taken as early as the ____ academic year.

We will propose, subject to approval by the Provost, to help to meet your child's - children's educational needs in the following way: For each semester of his -- her -- their full-time enrollment in college, we would provide you with a taxable stipend equal to the lesser of 1) three quarters of Duke's one-semester tuition or 2) the semester's tuition bill for your child. Of course, being taxable, this stipend would be subject to normal withholding. This stipend would be payable in the month prior to the beginning of each semester, upon the presentation of the appropriate documentation to our Office of Administration. This stipend would be available for a maximum of eight semesters per child for a maximum of two children (or the exact needed number of semesters, if known when the request is made). It would no longer be available once you qualify for Duke's tuition benefit after five years of continuous service.

OBTAIN THE PROVOST'S WRITTEN PERMISSION TO MAKE THIS OFFER PRIOR TO MAILING THE LETTER. (Letter 4b4a)

If you leave Duke before the expiration of the special provisions described in this letter (I point out that nine-month salary is not a special provision), they will cease on May 1 of the year you leave.

Following the standard allowances for Arts & Sciences, we will provide up to \$XXXX in moving expenses. You will be personally responsible for expenses in excess of this amount. Duke reimburses relocation expenses in accordance with the IRS's allowable deductions. Please be aware that there may be some reimbursed items that will be treated as taxable income by the IRS. As Duke is required to withhold taxes from these reimbursements, reimbursements for relocation expenses will be included in your paycheck. Please refer to IRS Publication #521 <http://www.irs.gov/publications/p521/>.

Given the _____ Department's enthusiasm for your candidacy, I apologize for the necessarily conditional construction of this letter. In any event, I will be in touch with you at the conclusion of the review process. Please indicate your intention of accepting this offer, when formally made after the Provost's final approval, by signing the enclosed copy of this letter or the pdf and returning it to me no later than XX, 2012.

Sincerely,

, Dean

Enclosures

(copy of appointment letter)

(copy of employment information memorandum)

cc: Provost Kornbluth

Professor XX, Chair

Business and Administrative Deans

Executive Vice Provost for Finance and Administration

I intend to accept this offer when it is formally made, after the Provost has approved the tenured appointment.

Signed: _____ Date: _____

None	Copy

B 6 Memorandum on Employment

To:

From:

Re: Important Employment Information

None

Copy

This memorandum describes aspects of Duke University's faculty employment practices dictated by external agencies and university policy. It is necessary for you to follow these policies in order to be placed on the Duke payroll. If you have any questions about these requirements, please contact me at any of the addresses and numbers given on this letterhead.

1. Employment at Duke University is contingent upon a faculty member's obtaining and maintaining continuous work authorization, as required by U.S. law. This provision requires special attention for all faculty who are not United States citizens or who do not hold permanent resident status. 2. If you are a foreign national, you must work with the designated member of your departmental staff to complete all paperwork required for obtaining U.S. work authorization, which also may include Duke sponsorship for lawful permanent resident status. The _____ School will provide you with up to \$_____ to pay for all U.S. Department of Homeland Security fees associated with obtaining work authorization, as well as a potential application for permanent residency (Green Card). This is a taxable benefit and will be reported on your IRS Form W-2. Because these are reimbursable expenses, your department will need receipts. Duke Visa Services, with which your departmental staff member serves as liaison, is the only office designated to file employment-based applications on behalf of Duke employees. You cannot be reimbursed for consultation with an attorney related to any Duke employment-based petition. If you engage the services of an attorney for your personal immigration work and wish reimbursement, then you must provide your department with receipts for this service. All such payments will be deducted from the \$_____ allowance.
2. Employment at Duke University is contingent upon a faculty member achieving a successful outcome to a mandatory background audit required by Duke University.
3. In order to be paid by the date indicated in your appointment letter, you must you work with your department's administrative staff to complete all employment papers no later than 14 days prior to the beginning of your

appointment. Requirements will differ depending on your citizenship and residency status. Please contact your departmental staff about these matters as quickly as possible; they will advise you on what is needed, and they will furnish you with the necessary forms. You will find the U.S. government Form I-9 here: www.hr.duke.edu/forms/i-9.html.

4. As a part of the periodic regional accreditation process, the Southern Association of Colleges and Schools requires Duke University to keep on file proof of each faculty member's highest degree. In order for us to be able to place you on the Duke payroll, please have forwarded to your departmental business office a certified copy of your official transcripts indicating the date when you obtained your highest degree. We must have this document in our files in order to execute your Employment Notice and to place you on the payroll. If your degree is from a university outside the United States that does not have a formal mechanism for issuing transcripts, please contact your departmental staff so that we can discuss alternative means to comply with this requirement.
5. Faculty with disabilities who believe they may need accommodation in the workplace are encouraged to contact me as soon as possible to assure that suitable accommodations are implemented in a timely fashion.
6. It is Duke University's policy that its faculty members hold tenure only at Duke.

B 7 Sample Orientation for Faculty

All new part-time and non-regular rank faculty must participate in an orientation session conducted by the department Chair or his/her designee. This session will guide new faculty on a walking tour of the department and its facilities, describe conventions or safety requirements for these facilities, introduce new faculty to office staff and departmental officers, and distribute written guidelines and policies for faculty. These written materials will include 1) A copy of this set of policies 2) A departmental directory.

3) A description of departmental office policies and procedures. These will include information about: a) the availability of secretarial and clerical services,

b) departmental mail,

c) telephone and facsimile usage,

d) computer and internet access and support,

e) how supplemental course materials are to be reproduced and paid for,

f) the availability of student copying facilities in the Bryan Center (departments should not reproduce student copies that they use in their class presentations),

g) how the department distributes information and announcements, and

h) any other departmental policies not included here.

4) An explanation of departmental course sequences and course pre-requisites, where pertinent. The Chair will also inform instructors how they may determine that students in their courses have satisfied all prerequisites, if appropriate.

5) Information about class meeting times. (The following shows class meeting times for Duke undergraduates in several schools. Professional schools may have different schedules that should be substituted for this example.)

Period 50 Minute (MWF) Period 75 Minute (TTH, MW, WF)

1 8:45 - 9:35am 1 8:30 - 9:45am

2 10:20 - 11:10am 2 10:05 - 11:20am

3 11:55 - 12:45pm 3 11:40 - 12:55pm

4 1:30 - 2:20pm 4 1:15 - 2:30pm

5 3:05 - 3:55pm 5 2:50 - 4:05pm

6 4:40 - 5:30pm 6 4:25 - 5:40pm

7 6:15 - 7:05pm 7 6:00 - 7:15pm

8 7:15pm 8 7:30pm

6) The departmental attendance policy for students or a statement about the variety of attendance policies in the department.

7) A description of the ACES registration system, of how faculty will receive course rosters, of how students add or drop courses during the semester's first two weeks, of the procedure for permitting students to withdraw from a course, and of how to submit grades.

8) A blank sample teacher/course evaluation form that students will use at the end of the course. All faculty, including part-time faculty, are required to have their students evaluate them and the course at the end of each semester.

9) Policies and forms specific to the department and copies of the University policy on harassment and of the Duke Community Standard.

10) For faculty teaching for the first time, any materials the department finds helpful concerning the commencement of a class and its conduct.

The orientation session should also provide information on the facilities and services provided faculty at Duke, including parking, the Duke card, library services, the bookstore and procedures for ordering books, audio-visual aids and equipment availability, recreational facilities, and varsity athletics.

B 8 Sample Reappointment Review Summary

Dear Colleague:

This letter shares with you the findings of your reappointment review, giving you guidance for the next term of your appointment.

The tenured faculty met on [date] and voted by secret ballot to recommend your reappointment to the Dean and Provost. I concur with this recommendation. You should take it as the tenured faculty's positive affirmation that by the 20YY/ZZ academic year you will have positioned yourself in your teaching and research in such a way that we expect you to be successful in making a case for tenure.

Although the vote was positive, I want to convey to you several concerns identified by the review and to offer some constructive criticism. One major concern is that you have yet to submit a major research grant on which you are the principal investigator. This is a concern for someone who has been on the faculty for two and one-half years. You simply must put yourself on a schedule of writing and submitting research proposals in order to maintain your research program. You indicated to me in our recent conversation that you intend to submit research proposals to Agency A in June and to Foundation B on July. I encourage you to maintain that schedule. For you not to do so would be a serious misuse of the trust and confidence the tenured faculty has placed in you.

A second concern is the low number of publications that have come from your laboratory and the long time it has taken you to set up your experimental apparatus. You have published only one paper from your laboratory at Duke, although that publication was in a major, refereed journal and you have two additional major publications under review. Now with your experimental apparatus completed, significant publications should be forthcoming. It will be important for you to be mindful of the calendar. Your dossier for evaluation by a departmental review committee and external reviewers will have to be ready by the late spring of 20QQ, a little more than three years hence.

In writing this letter I do not wish to detract from the very positive accomplishments you have made during your time at Duke. The faculty has noted your dedication to teaching and the way you have attempted to remedy the problems identified in the low student evaluations obtained in your first semester here. The Faculty also recognizes your many, many contributions to the life of the department, suggesting that over the next three years you decrease your emphasis on service in order to give yourself more time for your scholarly agenda. I wish to emphasize that as Department Chair I am here to help you focus on your professional goals in order to succeed in your career. You should feel free to discuss these and other professional matters with me whenever you wish. We are pleased that you have chosen this department at Duke to initiate your academic career.

Sincerely,

Department Chair

cc: Dean (who sends a copy to the Provost)

Reappointment without tenure, non-tenure track

B 9 Sample Request to Provost for Tuition Benefit

[date]

[Provost]

220 Allen Building
Duke University

Dear Provost Kornbluth:

Once all the personnel review procedures have been completed, Dean XX wishes to make an appointment offer to Professor YY. She/He would be invited to join the faculty on ____ as ____ Professor with tenure in the Department of ZZ. One of the provisions we are negotiating with this candidate responds to the problem created because Professor YY will not have worked at Duke for five years when her/his child/children will need the tuition benefit. Dean XX therefore wishes to include the following provision in the appointment letter:

The Provost has authorized us to help to meet your child's -- children's educational needs in the following way: For each semester of his -- her -- their full-time enrollment in college, we will provide you with a taxable stipend equal to the lesser of 1) three quarters of Duke's one-semester tuition or 2) the semester's tuition bill for your child. Of course, being taxable, this stipend would be subject to normal withholding. This stipend will be payable in the month prior to the beginning of each semester, upon the presentation of the appropriate documentation to our Office of Administration. This stipend will be available for a maximum of eight semesters per child for a maximum of two children (or the exact needed number of semesters, if known when the request is made). It would no longer be available once you qualify for Duke's tuition benefit after five years of continuous service. [This commitment assumes that you will use the standard Duke tuition benefit for your other two children before or as you seek this supplement for the third.]

As soon as you have approved this request, we will be able to include it in the offer letter that will go to Professor YY.

Sincerely,

Associate Dean for Faculty Affairs

cc: Dean
University Secretary
Executive Vice Provost for Finance and Administration
David Singleton, Associate University Counsel
Assoc Dean for Finance