

## ARTS AND SCIENCES JOINT APPOINTMENT POLICY

### I. BACKGROUND:

On 29 October 1998, the Faculty Assembly approved a new Policy on Joint Appointments (*Faculty Handbook*, 1999 ed.). As a consequence, the Faculty of Arts and Sciences must develop its own policies on joint appointments consistent with that new policy. Of particular importance is clarification of those matters that should, as a matter of course, be considered in developing Joint Appointment Memoranda of Understanding (JAMOU's) for each joint appointment.

In the Spring of 1999, in consultation with the Faculty Affairs Committee (FAC), the Dean's Advisory Council (DAC) created a subcommittee of chairs and directors to review this matter<sup>1</sup>. The subcommittee met on several occasions and held public meetings to which all faculty holding joint appointments were invited. In those discussions, many matters of interest and concern to faculty holding joint appointments were raised. Some, while cogent and compelling, are not relevant to this specific policy and will be addressed in other ways.

### II. DEFINITIONS AND PRINCIPLES:

A. The 1998 Policy on Joint Appointments defines several key terms:

1. *Continuing joint appointment* -- a joint appointment conceived of at the time of hiring as a consequence of curricular, research, and governance needs of an interdisciplinary program or a department and implying sustained involvement of the joint appointee in the activities of all units described in the letter of intent. Restricted to tenure-eligible and tenured faculty.
2. *Fixed-term joint appointment* -- a more flexible joint appointment initiated either by schools, departments, or programs or by an individual faculty member to enhance teaching and/or research. Such appointments have a fixed, renewable term and can be held by nontenure-eligible faculty. A fixed-term joint appointment may be initiated at the time of hire of a new or replacement faculty member.
3. *Home department (unit)* -- the department or school in which a tenure-eligible faculty member's tenure will reside. The home unit of fixed-term faculty with fixed-term joint appointments will be specified in the JAMOU. Faculty members with joint appointments will have full rights and privileges consistent with their rank in the home unit unless otherwise specified in the JAMOU.

---

<sup>1</sup> Subcommittee members: David Aday, Director, American Studies; Katherine Kulick, Chair, Modern Languages and Literatures; Leisa Meyer, Director, Women's Studies; Terry Meyers, Chair, English; Mary Voigt, Chair, Anthropology; Geoffrey Feiss, Dean

4. *Host unit* -- any departments, programs, or schools in which a faculty member holds an appointment in addition to the home unit named in the JAMOU.

*Joint appointment memorandum of understanding (JAMOU)* -- a memorandum signed by the faculty member, relevant department chairs, program directors, and deans for each continuing or fixed-term joint appointment developed at the time of the appointment (or, in the case of any joint appointment that predates this policy, as soon after the approval of this policy and the relevant department and program policies as reasonable). All JAMOU's will stipulate 1) all expectations for appointees in teaching, research, and governance, 2) the procedures for faculty evaluation, 3) any agreements for allocation of resources (including office space, operating support, start-up funds, indirect costs, etc.), and 4) the terms and mechanisms whereby each JAMOU may be renegotiated. Particular attention should be paid to specific standards and expectations of performance in scholarship and service when the missions and expectations of the units vary. Care should be taken to clearly articulate the manner in which the joint appointee's professional service is to be evaluated.

B. In addition, the 1998 Policy on Joint Appointments directly or by implication requires that the Faculty of Arts and Sciences do the following:

1. Develop and approve an Arts and Sciences Policy on Joint Appointments (this document) that addresses all issues related to such appointments including, but not necessarily limited to:
  - a) search procedures
  - b) merit evaluation procedures
  - c) procedures to be followed in negotiating JAMOU's
  - d) procedures to be followed in all personnel actions including continuance, promotion, tenure, and post-tenure review, including specific mechanisms for all host units' input to these decisions
  - e) performance standards and expectations
  - f) teaching assignments and FTE accrual
  - g) approval mechanisms for academic and non-academic leaves, travel, external work for pay, grants and contracts, and other relevant matters
2. Assure that all approved departmental personnel procedures contain procedures to be followed in all joint appointments and evaluations of joint appointees for which that department is either the home or host unit.
3. Instruct all programs and other Arts and Sciences units that act as hosts for joint appointments to develop and have approved personnel procedures that cover all personnel actions for such appointees.

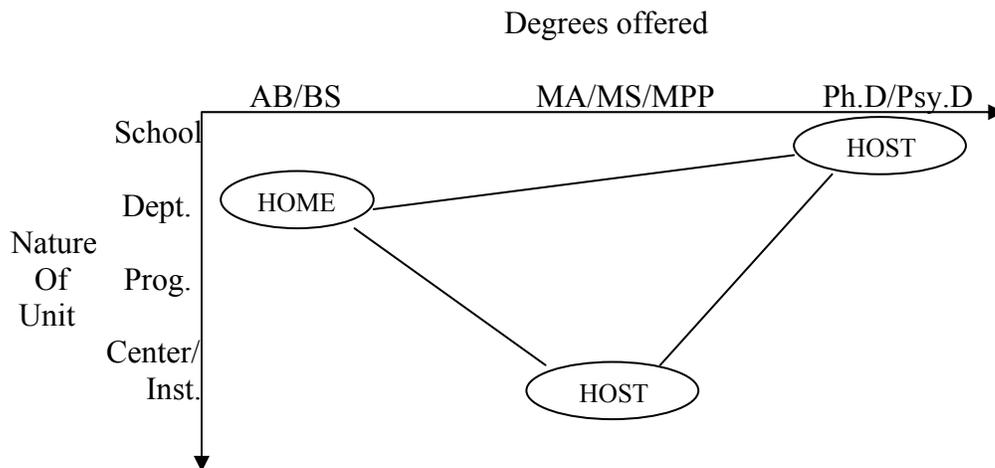
Develop and implement JAMOU's for all existing joint appointments consistent with initial letters of intent, contracts in force, the 1998 Policy on Joint Appointments, and this policy once approved by the Faculty of Arts and Sciences, the Procedural Review Committee, and the Personnel Policy Committee as required by College policies. In the event no agreement is reached and until a new JAMOU is agreed to under the procedures described in this policy for any current joint appointment, the most recent memorandum will continue in force.

### III. ARTS AND SCIENCES POLICY GUIDELINES:

As a matter of policy, the Faculty of Arts and Sciences has repeatedly and enthusiastically given consensus endorsement of the concept of interdisciplinary teaching and research. This position is consistent with the College's goals and objectives as expressed in its Mission Statement and in the 1994 Strategic Plan. Fundamental to effective interdisciplinary work is a robust and equitable policy that guides us in designing and implementing joint appointments for our faculty.

- A. The faculty-unit matrix: Arts and Sciences units and non-Arts and Sciences schools and other programs vary significantly in their definitions of faculty roles and expectations and in their own practices. When these differ, the joint appointee may find himself or herself operating under very different sets of expectations in his/her varying roles. These concerns must be understood by all parties and clarified during the negotiation of each JAMOU.

One way to envision this is as a matrix where the roles of home and host unit(s) and their expectations of faculty differ significantly. Imagine, for example, a joint appointment between Government as the home department and VIMS and Public Policy as host school and host unit.



For such an appointment, it will be essential the JAMOU specify all standards, especially where workload expectations vary as a result of differing unit missions. In our example, the home unit offers only the bachelor's degree and, if the expectation is a half-time load, will expect three courses a year and advising of honors projects and independent research. The host school is a Ph.D.-granting unit that has a very different expectation as a consequence of high expectations of graduate advising and research funding. The host program expects teaching, graduate advising, and work with both graduate interns and undergraduate concentrators. Assurances must be in place so that personnel committees in the home department do not unfairly impose home department workload expectations while personnel committees in the host school and unit use their expectations of research and grant productivity and graduate advising.

- B. The Special Burden of Joint Appointees: It is apparent from the DAC subcommittee's conversations with faculty of all ranks who hold joint appointments across a range of units that many feel vulnerable and often misunderstood by their disciplinary colleagues. The impression is that in addition to the unique risks taken by scholars who work at a remove from the disciplinary canon, these jointly appointed faculty feel that they are too often expected to meet inconsistent standards and expectations, to deal with skepticism that ranges from justifiable intellectual challenges to outright hostility, and to negotiate complex and contradictory personnel procedures in seeking equity in rewards and clarity of roles.

Arts and Sciences units should pay particular attention to these matters in developing their joint appointment personnel procedures. Often, the justifiable governance expectations of the home and host units, in particular, place special burdens on joint appointees. **The workload expectations for junior faculty who have joint appointments should be a matter of particular sensitivity** (see §III.C below).

- C. Governance Responsibilities of Joint Appointees: The 1998 Policy on Joint Appointments says "[u]nless otherwise agreed, faculty holding fixed-term joint appointments shall have governance responsibilities only in their home units [§II.A.3]." As a general policy, though with sensitivity to protecting junior faculty from undue burdens, the Arts and Sciences Faculty expect jointly appointed faculty to be active participants in the essential governance of any unit in which they hold an appointment. Of course, exceptions can be made in the JAMOU.

However, in order for this expectation of participation in essential governance of both home and host units to be fairly administered, all Arts and Sciences departments and programs will clearly articulate in advance of making a joint appointment what those essential governance functions are. It is clearly not the expectation of this Faculty that joint appointees will have two- or three-times the normal governance burden should they hold joint appointments in two or three units. Consultative development of a fair and equitable metric of governance effort that establishes the equivalence of work effort in different units is critical to the successful implementation of this policy. In particular, for probationary faculty holding joint appointments, care should

be taken to assure that the aggregated governance expectations of all units in which the faculty member holds an appointment are comparable to those in the home department.

In general, when the host unit of a joint appointee is a department or school, as contrasted with an interdisciplinary program that is wholly dependent upon its jointly appointed faculty for effective governance, the burden of essential governance activities on joint appointees is expected to be light and specifically directed toward those activities in which the joint appointee is most heavily involved. On the other hand, when the host unit is an Arts and Sciences interdisciplinary program, the responsibility of joint appointees for involvement in governance activities may be significantly greater by necessity.

- D. Evaluation of Joint Appointees: The 1998 Policy on Joint Appointments is explicit as to responsibility for evaluation of joint appointees. It says:

Faculty holding either continuing or fixed-term joint appointments shall be evaluated in a collaborative manner according to the approved policies and procedures for faculty evaluation in the home [A&S emphasis] unit. The memo of understanding at the time of appointment must specify the method(s) that will be used to solicit input from the host unit for annual merit evaluations and for tenure, promotion, and post-tenure review. The home unit is then responsible in each review for actively seeking input from the host unit and submitting it with the report. (§II.B 1998 Policy on Joint Appointments)

The following specific guidelines are consistent with this policy while providing greater specificity and clarity of expectations for such procedures in Arts and Sciences.

1. Clarification of "home unit responsibility": The responsibility of the home unit in Arts and Sciences refers to primary responsibility for initiating the process and submitting all documents to the Dean's Office. Responsibility does not imply sole ownership of the process nor final decision-making authority unless specifically indicated in the JAMOU. The Dean's Office will interpret "home unit responsibility" to mean that the home department will be notified of up-coming personnel actions, the home unit will initiate the agreed-upon procedures in the JAMOU, the home unit will monitor steady progress on procedural matters, and the home unit will expedite transfer of the necessary documents to the Dean's Office in a timely manner.
2. Holistic evaluation: In the interests of interdisciplinarity, all evaluations of jointly appointed faculty should be made in a spirit of good faith such that the performance of the faculty member is derived holistically in the broad context of his/her various roles. It is not always reasonable to expect a faculty member's workload to be evenly distributed across home and host units in accordance with the expectations of the JAMOU for any arbitrary period of time such as a semester or academic year. The emphasis by the Faculty Assembly on collaborative evaluation strongly implies a broad view as well as on-going communication between home and host units. Evaluators should see the work of

a jointly appointed faculty member as contributing to the strength and diversity of home and host units and of the College, as well as enhancing the education and competitive advantage of our students.

It is essential that joint appointees be evaluated in the context of and in a manner consistent with the programmatic, educational, and scholarly expectations defined in any letter of intent and JAMOU. When interdisciplinary activity is explicitly described, interdisciplinary standards should be applied.

3. Annual merit reviews: Annual reviews for merit salary increase will be the responsibility of the home department or school since this is where the salary line of the joint appointee resides. That responsibility includes, therefore, the timely request for information from all host units and the fair evaluation of the joint appointee according to clear procedures in both or all of the home and host units and consistent with the JAMOU of the faculty member being evaluated. Results of the merit evaluation shall be transmitted to the faculty member and each host unit in a timely manner consistent with the approved merit evaluation policies and procedures of the home unit so that factual corrections, challenges, or other appeals can be made, if at all possible, prior to the determination of salary increase.

The chair of the home department in Arts and Sciences and the dean, chair, or director of all host units will consult at least annually about the status and well-being of their joint appointees and will carefully review the effectiveness of communications and procedures relative to workloads, assignments of teaching and governance responsibility, and other actions that affect joint appointees. It is particularly important that those in supervisory relationships to joint appointees keep in mind the impact of decisions they make on other units. Chairs and directors should not, as a matter of routine, make unilateral decisions that have substantive impacts on the workload, schedule, or expectations of jointly appointed faculty without consultation with their counterparts in the units affected. Examples might include approval of leaves, external work for pay, or administrative reassignments.

4. Appointment procedures for continuing joint appointments: Continuing joint appointments are typically conceived of at the time of position authorization and are advertised as such. Thus, the eventual terms of the letter of intent and JAMOU should be known prior to the time at which the first candidate is interviewed. These expectations of the joint appointment will also be clearly conveyed to all candidates. Whenever possible, the search committee should include voting members of both the home and intended host unit(s)<sup>2</sup>.

---

<sup>2</sup> There are searches in which the home or host unit may not be specified at the time of authorization. For example, a search could be authorized to seek a faculty member with interests in International Public Policy who might eventually be appointed in varying combinations of Public Policy, Government, Economics, Sociology, Anthropology, the Reves Center, and/or the School of Law. Clearly, representation of all possible home and host units is not practical in such cases. In other searches, the possibility of a

Agreement will be sought at the time of authorization as to which units must approve the selection of a continuing joint appointee. Under no circumstances can a negative vote on offering a position in the home unit be overridden. The same is true of an offer of a continuing joint appointment in the host unit. However, in the latter case, if consistent with search and hiring practices and the advertisement for the position, a candidate denied an appointment in a host unit could be hired in the home unit without a joint appointment or with a continuing joint appointment in alternative host units should a favorable vote be obtained in the home and new host unit and the Dean concurs.

At the time of offer of a continuing joint appointment, the offer letter will come from the Dean's Office with the prior approval of the deans, chairs, and directors of all home and host unit(s). Any cost-sharing of start-up and other expenses as well as issues relating to office assignment, junior leaves, and teaching responsibilities (including expectations of all parties, the Dean included, for replacement of teaching during academic year FRA's or other approved leaves) though not part of the offer letter, will be agreed upon before the Dean signs the offer letter. In addition, a draft JAMOU should be agreed to at that time or as soon thereafter as is reasonably possible. It is likely that in most cases where a candidate is hired into a continuing joint appointment, the candidate is highly unlikely to accept the offer without a JAMOU in hand.

5. Guidelines for continuance, promotion, tenure and post-tenure review of joint appointees: Unless otherwise specified in the JAMOU, the interactions between home and host unit during continuance, promotion, tenure, and post-tenure review decisions shall consist of two phases -- a preliminary evaluation which results in "preliminary recommendations" by both host and home units followed by a reevaluation, if deemed necessary, that results in "final recommendations." The detailed procedures should be consistent with the following guidelines<sup>3</sup>:
  - a) The Dean's Office sends notification to the home unit, with a copy to all host units, of the impending personnel action and the date on which the full dossier must be received in the Dean's Office. This notification will specify all host units that must be involved in the evaluation consistent with operant letters of intent and JAMOU's. It is imperative that any confusion as to procedure be clarified at this stage.
  - b) The chairs or directors of the home and host units will review the letter of intent and JAMOU's and agree to any additional procedural matters that must be resolved. This should include setting deadlines for transmittal and sharing of information and recommendations as well as specifying those non-unit

---

continuing joint appointment might come up in the context of a specific finalist's interests even if the position was not initially conceived of as a joint appointment.

<sup>3</sup> In this description, no reference is made to routine communications and procedures within units that will be specified in approved unit personnel procedures and which will vary significantly from unit to unit. This description refers only to those matters specifically inherent to the collaborative aspect of personnel decisions for joint appointments.

faculty who will serve as voting or non-voting members of personnel committees in the home or host unit. This information will be communicated to the faculty member being evaluated in a timely manner.

- c) Each host unit, following approved procedures, will make its preliminary recommendation and convey it to the home unit and the faculty member by the agreed-upon deadline (see §III.D.5 b).
- d) The home unit, following approved procedures, will make its decision on the pending personnel matter by the deadline specified (see §III.D.5 b). It is expected that in most cases a non-voting member of each host unit will be afforded an opportunity during the decision-making process to explain the host unit's decision in order to expedite collaboration in decision-making.
- e) The home unit will formally report its preliminary recommendation to all host units and the faculty member with sufficient time for review and consideration. In a normal course of events, the preliminary recommendation should be transmitted so as to allow the host units at least five working days for additional consultation. Should the home unit's preliminary recommendation be counter to the preliminary recommendation of the host unit, the chair of the home unit or appropriate representative of the home unit's personnel committee will be available to meet with the host unit's personnel committee.
- f) The host unit may avail itself of an opportunity for modification of its preliminary recommendation following its approved personnel procedures. It shall convey this final recommendation to the home unit and the faculty member within five working days of receipt of the preliminary recommendation of the home unit. In the interests of procedural clarity, the host unit, even if it is in full agreement with the preliminary recommendation of the home unit, should convey this fact in writing to the home unit.
- g) Once the home unit has received the final recommendations of the host units, it shall prepare its final recommendation following approved personnel procedures. The home unit will convey its final recommendation to the host units and the faculty member. If no additional information has been provided between transmittal of the preliminary recommendation of the home unit to the host unit and completion of the final recommendation by the home unit, this final recommendation will likely be the same as the preliminary recommendation. Consistent with approved personnel procedures and giving the faculty member sufficient time for comment, the home unit will forward its final recommendation with all relevant documents<sup>4</sup> as part of the dossier to Dean's Office.
- h) Unless the Dean specifically requests it, no further information, other than corrections of fact, shall be provided by a host unit after transmittal of the final recommendation of the home unit to the host unit.

---

<sup>4</sup> Relevant documents shall include at least: 1) preliminary and final recommendations of all units (if they are not, in fact, the same documents), 2) letters from the host units indicating agreement or disagreement with the preliminary decision of the home unit, and 3) any additional information provided by the faculty member during the collaborative evaluation process.

- E. Role of the Dean: Questions arise as to the role of the Dean of the Faculty of Arts and Sciences in matters relating to joint appointments, both continuing and fixed-term. Clearly, joint appointments require a more active posture by the Dean since the joint appointee's status involves multiple units that do not report in a simple hierarchical manner. However, the Dean is not a super-chair to whom the joint appointee can go in cases of disagreements with either or all parties to a JAMOU. The Dean is better viewed as a mediator or negotiator and will not make routine decisions without consultation with those parties to the joint appointment that are concerned about the specific matter at hand. The Dean will only alter this role when substantive disagreements arise that do not appear subject to resolution by mutual consultation of the parties to the JAMOU.

It is the clear intent of the Faculty Assembly that evaluation be conducted both in a collaborative manner and at the unit level whenever possible. Thus, in all but contentious proceedings, the Dean will receive and treat the evaluations of and subsequent recommendations for joint appointees in instances of merit salary increase, continuance, promotion, tenure, and post-tenure review in the same manner that he or she would receive such evaluations and recommendations for a faculty member without a joint appointment. Clearly, when recommendations of home and host unit differ significantly, the Dean must make decisions in the context of the needs of the Faculty and the institution as a whole.

*Approved by vote of the Faculty of Arts and Sciences, May 2, 2000*

*Minor revisions approved by A&S Faculty Affairs Committee, April 10, 2001*