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1. CONTACT INFORMATION

Below is a selected list of people to contact with questions about faculty hiring, reviews, promotions, leaves, and related policies and practices. All procedural questions regarding these issues should be directed to the assistant dean for the appropriate division, and the assistant dean should receive a copy of all documentation regarding these procedures. For the appropriate contact for procedural questions regarding SEAS appointments, please see the contact table on page 1.7.

**Dean of the Faculty of Arts and Sciences**

Michael D. Smith  
John H. Finley, Jr. Professor of Engineering and Applied Sciences  
phone: 617-495-1566  
mike_smith@harvard.edu

**Office of the Dean of Arts and Humanities**

**Dean of Arts and Humanities**  
Diana Sorensen  
James F. Rothenberg Professor of Romance Languages and Literatures  
and of Comparative Literature  
phone: 617-496-8667  
sorensen@fas.harvard.edu

**Associate Dean of Administration for Arts and Humanities**  
Mathilda van Es  
phone: 617-495-9043  
vanes@fas.harvard.edu

**Assistant Dean for Arts and Humanities**  
Heather Lantz  
phone: 617-384-5025  
lantz@fas.harvard.edu

**Executive Assistant to the Dean of Arts and Humanities**  
Sarah Zeiser  
phone: 617-496-8667  
zeiser@fas.harvard.edu

**Executive Assistant to the Associate and the Assistant Deans for Arts and Humanities**  
Michelle Soares  
phone: 617-384-7256  
msoares@fas.harvard.edu
Office of the Dean of Science

Dean of Science
Jeremy Bloxham
Mallinckrodt Professor of Geophysics
phone: 617-496-0289
jeremy_bloxham@harvard.edu

Administrative Dean for Science
Russ Porter
phone: 617-495-0904
russ_porter@harvard.edu

Assistant Dean for Science
Stephen Kargère
phone: 617-495-5083
kargere@fas.harvard.edu

Senior Aide to the Dean of Science
Raelyn Lincoln
phone: 617-496-3780
raelyn_lincoln@harvard.edu

Executive Assistant
Deana Ste. Marie
phone: 617-384-9236
deana_stemarie@harvard.edu

Staff Assistant
Sarah LaBauve
phone: 617-496-3428
sarah_labauve@harvard.edu

Office of the Dean of Social Science

Dean of Social Science
Peter Marsden
Edith and Benjamin Geisinger Professor of Sociology
phone: 617-496-3222
peter_marsden@harvard.edu

Associate Dean for Administration for Social Science
Beverly Beatty
phone: 617-384-7774
beverly_beatty@harvard.edu
Assistant Dean for Social Science
Christopher Kruegler
phone: 617-495-3305
kruegler@fas.harvard.edu

Executive Assistant, Division and Faculty Affairs
Wendy Erselius
phone: 617-384-8281
erselius@fas.harvard.edu

Executive Assistant, Administration and Operations
Adelaide Connelly
phone: 617-384-8169
adelaide_connelly@harvard.edu

Office of the Dean of the School of Engineering and Applied Sciences

Dean of Engineering and Applied Sciences
Cherry A. Murray
John A. and Elizabeth S. Armstrong Professor of Engineering and Applied Sciences
phone: 617-495-5829
camurray@seas.harvard.edu

Senior Associate Dean for Faculty Affairs and Student Services
Ed Kleifgen
phone: 617-496-1856
kleifgen@seas.harvard.edu

Assistant Dean for Academic Affairs
Diane L. Schneeberger
phone: 617-496-2869
dls@seas.harvard.edu

Academic Appointments Manager
(Bioengineering, Computer Science, Electrical Engineering, Environmental Science and Engineering)
Meg Hastings
phone: 617-495-6509
hastings@seas.harvard.edu

Academic Appointments Manager
(Applied Math, Applied Physics, Materials Science and Mechanical Engineering)
John Kuczwara
phone: 617-495-5861
kuczwara@seas.harvard.edu
Executive Assistant to the Dean
Moriah Freeman
phone: 617-496-9184
mfreeman@seas.harvard.edu

Office for Faculty Affairs
University Hall, First Floor South
http://www.fas.harvard.edu/~facaff
The Office for Faculty Affairs coordinates academic planning, oversees all policy and procedural aspects of faculty hiring, promotions, leaves, and retirements; collects and analyzes data pertaining to the faculty; and advises individual faculty and administrators on policies and procedures.

Dean for Faculty Affairs
Nina Zipser
phone: 617-496-2969
nina_zipser@harvard.edu

Executive Assistant
Andrea DePaoli
phone: 617-496-9697
adepaoli@fas.harvard.edu

Ad Hoc Committee Coordinator
Eric Young
phone: 617-495-7484
ryoung@fas.harvard.edu

Office for Faculty Development
University Hall, Third Floor North
The Office for Faculty Development handles matters relating to faculty recruitment.

Senior Associate Dean for Faculty Development
Laura Gordon Fisher
phone: 617-496-1162
laura_fisher@harvard.edu

Assistant Dean for Faculty Development
Jennifer Ivers
phone: 617-384-5920
ivers@fas.harvard.edu

Office of the Secretary of the Faculty
University Hall, Ground Floor
The Office of the Secretary supports the effective governance of the Faculty of Arts and Sciences and assists faculty and students in formulating and understanding the policies and programs of the faculty.

**Secretary of the Faculty**
Susan Lively  
phone: 617-495-3613  
susan_lively@harvard.edu

**Office of Undergraduate Education**  
University Hall, First Floor North  
http://oue.fas.harvard.edu/icb/icb.do

**Dean of Undergraduate Education**  
Jay Harris  
Harry Austryn Wolfson Professor of Jewish Studies  
phone: 617-496-7546  
jharris@fas.harvard.edu

**Associate Dean of Undergraduate Education**  
Noël Bisson  
phone: 617-496-6976  
bisson@fas.harvard.edu

**Assistant Dean of Undergraduate Education**  
Kate Stanton  
phone: 617-384-5972  
kstanton@fas.harvard.edu

**Associate Dean of Harvard College, Administrative Director of the Program in General Education**  
Holyoke Center, Fourth Floor  
Stephanie Kenen  
phone: 617-496-0221  
stephanie_kenen@harvard.edu

**Graduate School of Arts and Sciences**  
University Hall, Third Floor North  
http://www.gfas.harvard.edu/dean_and_administration/a_message_from_the_dean.php

**Dean of the Graduate School of Arts and Sciences**  
Xiao-Li Meng  
Whipple V.N. Jones Professor of Statistics  
phone: 617-496-1464  
xlmeng@fas.harvard.edu
Administrative Dean of the Graduate School of Arts and Sciences
Holyoke Center 350
Margot Gill
phone: 617-495-1814
mgill@fas.harvard.edu

Assistant Dean
Holyoke Center 350
John McNally
phone: 617-495-1814
jmcnally@fas.harvard.edu

Office of the Senior Vice Provost for Faculty Development and Diversity
Holyoke Center, Suite 880
http://wwwfaculty.harvard.edu/
Harvard’s Office of Faculty Development and Diversity (FD&D) works closely with deans, faculty, and administrators across all Schools to aid in the recruitment, hiring, development, promotion, and retention of excellent faculty in all departments.

Senior Vice Provost for Faculty Development and Diversity
Judith Singer
phone: 617-495-9072
judith_singer@harvard.edu

Assistant Provost for Faculty Development and Diversity
Elizabeth Ancarana
phone: 617-495-8606
elizabeth_anca@harvard.edu

FAS Senior Adviser on Faculty Development
Mahzarin Banaji
Richard Clarke Cabot Professor of Social Ethics
phone: 617-384-9203
mahzarin_banaji@harvard.edu

Standing Committee on Women (SCW)
Chair of the SCW
Elena M. Kramer, Professor of Organismic and Evolutionary Biology
phone: 617-496-3460
ekramer@oeb.harvard.edu
FAS Office of Postdoctoral Affairs
16 Divinity Avenue, Room 1010
http://www.postdoc.harvard.edu/

The FAS Office of Postdoctoral Affairs supports postdoctoral scholars in working toward their career and professional development goals, serves as a resource on postdoctoral life and work, and builds a sense of community among the postdoctoral scholars it serves.

Director
Melanie Sinche
phone: 617-495-2052
sinche@fas.harvard.edu

Program Coordinator
Michaela Tally
phone: 617-496-5517
tally@fas.harvard.edu

ADDITIONAL CONTACT INFORMATION

Note: Telephone extensions beginning with “5” or “6” should be dialed in full as “495” or “496” when calling from outside Harvard University. Telephone extensions beginning with “4” should be dialed in full as “384” when calling from outside Harvard. All telephone numbers listed below have a “617” area code.

Key:
(AH) – Arts and Humanities
(SS) – Social Science
(S) – Science [includes Life and Physical Sciences]
(SEAS) – School of Engineering and Applied Sciences
(HC) – Harvard College
(FAS) – Faculty of Arts and Sciences

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<tr>
<th>Contact Name</th>
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<td>Absence during term time</td>
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<td>Stephen Kargère (S)</td>
<td>5-5083</td>
<td><a href="mailto:kargere@fas.harvard.edu">kargere@fas.harvard.edu</a></td>
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<tr>
<td>Christopher Kruegler (SS)</td>
<td>5-3305</td>
<td><a href="mailto:kruegler@fas.harvard.edu">kruegler@fas.harvard.edu</a></td>
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<tr>
<td>Heather Lantz (AH)</td>
<td>4-5025</td>
<td><a href="mailto:lantz@fas.harvard.edu">lantz@fas.harvard.edu</a></td>
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<tr>
<td>Diane Schneeberger (SEAS)</td>
<td>6-2869</td>
<td><a href="mailto:dls@seas.harvard.edu">dls@seas.harvard.edu</a></td>
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<tr>
<td>Noël Bisson (HC)</td>
<td>6-6976</td>
<td><a href="mailto:bisson@fas.harvard.edu">bisson@fas.harvard.edu</a></td>
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<tr>
<td>Ed Kleifgen (SEAS)</td>
<td>6-1856</td>
<td><a href="mailto:kleifgen@seas.harvard.edu">kleifgen@seas.harvard.edu</a></td>
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<td>Eric Young</td>
<td>5-7484</td>
<td><a href="mailto:ryoung@fas.harvard.edu">ryoung@fas.harvard.edu</a></td>
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<tr>
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<td>Patty Karle Jenkins</td>
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<td>Maryanne Fenerjian</td>
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<td>Retirement, all faculty</td>
<td>Nina Zipser</td>
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<td>Douglas Woodhouse (HC)</td>
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</table>

1 Note: Departments each have their own representatives within the International Office.
2. GENERAL POLICIES, PRINCIPLES, AND DEADLINES

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Note: For the specific purposes of this document and its associated procedures, “divisional dean” also refers to the SEAS dean, and “department chairs” to SEAS area deans. Although SEAS faculty members follow the same policies, some procedures may vary. Therefore, members of SEAS should also consult SEAS-specific documents.

Note: All procedural questions regarding faculty hiring, reviews, promotions, and leaves should be directed to the assistant dean for the appropriate division, and the assistant dean should receive a copy of all documentation regarding these procedures. For the appropriate contact for procedural questions regarding SEAS appointments, please see the contact table on page 1.7.
A. Appointment Parameters

(1) Dean’s Oversight

All appointments are subject to the final approval of the Dean of the Faculty of Arts and Sciences.

(2) Eight-Year Rule

Individuals in the non-tenure-track ranks, including College Fellows, lecturers, preceptors, and teaching assistants, may only hold teaching appointments for a maximum of eight years. This policy holds regardless of how many or what type of appointments (including teaching assistantships and tenure-track faculty appointments) the individual has held in the past.

For the purposes of this policy, any appointment, full-time or fractional within an academic year, is ordinarily counted as one year of service. The only exception to the eight-year rule is for lecturers holding annual appointments on or after July 1, 2010. In these circumstances, lecturers who have reached the eight-year limit may be appointed at the equivalent of up to one half-course per year, under the appropriate conditions, until they have accumulated 3.0 annual lecturer FTEs. Lecturer appointments prior to academic year 2010-2011 count as one year of service.

(3) Degree Requirements

In order to be eligible for an academic appointment of any rank, appointees must possess the minimum equivalent of a four-year undergraduate degree, except in cases approved by the assistant dean for the division.

Teaching appointments that ordinarily require a doctorate include tenured professors, assistant and associate professors, full-time professors of the practice, professors in residence, senior lecturers, lecturers, Benjamin Peirce Fellows, and College Fellows.

If an incoming faculty member has received a doctorate within 12 months of the start date of his or her appointment, verification is required. Acceptable verification is either a certificate of completion from the degree-granting institution or a letter from the institution’s registrar. Such documentation should state that all requirements for the doctorate have been successfully completed and should verify the date the degree has been or will be conferred. If the candidate received his or her degree from Harvard, written verification from the chair or director of graduate studies, on department letterhead, may suffice.

(4) Principal Investigator Rights

Individuals with appointments in the ranks of Senior Research Fellow (with certain restrictions), Benjamin Peirce Fellow, Senior Lecturer, Professor of the Practice, Assistant Professor, Associate Professor, Professor in Residence, tenured Professor (including Professor Emeritus/Emerita), Research Professor, Bauer Fellow at the Center for Systems Biology (with
the approval of the Director of the Bauer Fellows Program), Rowland Fellow at the Rowland Institute (with the approval of the Director of the Institute), and Junior Fellow in the Society of Fellows (with the approval of the Chair of the Society of Fellows) have principal investigator rights on a continuing basis. Research Associates have co-P.I. rights on projects in which they play a major role. Appointees who are not ordinarily P.I.-eligible may be granted P.I. rights by the divisional dean on a case-by-case, exceptional basis. Please see Principles and Policies that Govern Your Research, Instruction, and Other Professional Activities (also known as the “Grey Book,” http://www.fas.harvard.edu/~research/greybook/) for more information, as well as the “Principal Investigator Rights Questionnaire” in the “Research” section of the Office for Faculty Affairs website, http://www.fas.harvard.edu/~facaff.

(5) Commitments at Other Institutions

Rules governing conflicts of commitment and conflicts of interest are detailed in the FAS publication Principles and Policies that Govern Your Research, Instruction, and Other Professional Activities (also known as the “Grey Book”), which can be found at http://www.fas.harvard.edu/~research/greybook/. All faculty members are expected to familiarize themselves with these guidelines and to conduct their research and teaching accordingly.

According to the Grey Book:

With the acceptance of a full-time appointment in the Faculty of Arts and Sciences, an individual makes a commitment to the University that is understood to be full-time in the most inclusive sense. Every member is expected to accord the University his or her primary professional loyalty and to arrange outside obligations, financial interests, and activities so as not to conflict with this overriding commitment to the University.

Anyone holding a full-time academic appointment at Harvard should not, without permission of the Corporation upon recommendation of the appropriate Dean, engage in teaching, research, or salaried consulting at any other educational institution during the academic year.

The Grey Book also states, “A Harvard appointee holding the rank of professor, associate professor, or assistant professor (or other title as may be designated by a particular Faculty)… may not also hold a regular academic appointment at another institution.” However, faculty members taking unpaid research leave may hold paid or unpaid visiting teaching appointments at other institutions. Additionally, faculty on paid sabbatical leaves may hold unpaid visiting teaching appointments at other institutions. If questions arise about such appointments, they should be brought in advance to the attention of the Office for Faculty Affairs, which will work with the faculty member (and other FAS offices as relevant) to resolve the matter in accordance with FAS policies.

(6) FAS and University Policies

As a community of scholars, the FAS and University hold certain shared values concerning teaching, research, and service, and members of the community are expected to familiarize themselves with FAS and University policies on these matters. Policies on issues such as
instructor responsibilities, academic integrity, principles governing research, professional activities within and outside Harvard, conflicts of interest and commitment, cooperation with industry, intellectual property, restricted-access materials, research misconduct, human and animal subjects, environmental safety, sexual harassment and unprofessional conduct, and free speech can be found at sites such as:

Office of the Provost: http://www.provost.harvard.edu/policies_guidelines/

Office of the Vice Provost for Research: http://vpr.harvard.edu/content/research-policies-0

Information for Faculty Offering Instruction in the Arts and Sciences: http://infoforfaculty.fas.harvard.edu/icb/icb.do


FAS Research Administration Services: http://www.fas.harvard.edu/~research/


Graduate School of Arts and Sciences Handbook: http://www.gsas.harvard.edu/gsas_handbook.php

FAS Sexual Harassment and Unprofessional Conduct: http://www.fas.harvard.edu/home/content/sexual-harassment-and-unprofessional-conduct-guidelines

FAS Free Speech Guidelines: Available at the Office of the Secretary’s website, http://secfas.fas.harvard.edu/icb/icb.do.

Faculty and researchers are expected to sign electronically the University’s Participation Agreement (http://otd.harvard.edu/resources/agreements/participation/) upon their arrival on campus.

Visiting faculty and researchers should submit an electronic PDF of a signed hard copy of one of two Visitor Participation Agreements (VPA), prior to their arrival on campus (http://otd.harvard.edu/resources/agreements/participationVisitor/, if affiliated with an organization, or http://otd.harvard.edu/resources/agreements/participationVisitor/VPAsinglesignature/indexsinglesignature.php, if unaffiliated with any university, research institution, hospital, company or other organization—i.e., if self-employed or unemployed).

Visitors and departmental affiliates who are not receiving any form of payment from Harvard should also submit an electronic PDF of a signed hard copy of the Acknowledgement of Risk and Release for Non-Harvard Personnel Using Harvard Research and Instructional Laboratory...
Facilities, prior to their arrival on campus. Please see the table below to identify the forms relevant for each appointment type.

Given the dynamic nature of a university, these policies and resources may evolve and change over time.

(7) Table: Participation Agreement, Visitor Participation Agreement, Risk and Release Forms

The table below indicates which forms should be completed for each appointment type.

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<th>Visitor Participation Agreement (VPA)</th>
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<td>Submit electronic PDF of signed hard copy prior to arrival</td>
<td>X</td>
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<tr>
<td>Visiting Lecturer (paid)</td>
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<td>Associate</td>
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Links:
PA form: [http://otd.harvard.edu/resources/agreements/participation/](http://otd.harvard.edu/resources/agreements/participation/)

**B. Compensation**

(1) **Academic Salary**

Faculty salaries reflect compensation for a nine-month period during the academic year. For the convenience of the faculty and so that health coverage and other benefits extend throughout the academic year (July 1 through June 30), salaries are paid in twelve equal installments issued on the last working day of each month. The first six installments, paid from July through December, are compensation for the fall term. The second six installments, paid from January through June, are compensation for the spring term.
Resignations or retirements are ordinarily effective either June 30 or December 31.
Compensation concludes with the appointment.

(2) Supplemental Compensation (formerly “Summer Salary”)

Faculty may earn supplemental compensation through Harvard (formerly known as summer salary) beyond their nine-month academic-year salary if they have the funding sources to do so. Examples include supplemental compensation for teaching Harvard courses in the Summer School; for effort expended on federal and non-federal research grants administered by Harvard; or for administrative obligations or other, non-research-related activities. Supplemental compensation paid through Harvard from all sources may not exceed the equivalent of three-ninths of academic-year salary in any fiscal-year period (July 1-June 30). Dean’s ninths can only be used in the summer, whereas the policies governing the payment of ninths from grants can be found at: http://www.fas.harvard.edu/~research/policy/effort/supplemental_compensation.html.

(3) Use of Research Funds

Faculty Research Funds, which include faculty start-up funds and the FAS Dean’s annual allocation, are provided by the Faculty of Arts and Sciences to pay for expenses incurred in support of faculty research and scholarly activities for work performed while at the FAS. (Please note that these guidelines do not address expenses related to sponsored research as specified by the University and federal guidelines.) Faculty support funds are not considered personal compensation and cannot be used to supplement a faculty member’s academic-year salary to cover personal expenses. For more information, please see http://finance.fas.harvard.edu/files/policies/Faculty_Start-up_Funds.pdf.

(4) Administrative Supplements

Administrative supplements are compensation received for official appointments such as chair of a department, center director, dean, etc. Unlike supplemental compensation, administrative supplements may exceed the equivalent of three-ninths of academic-year salary, as they are compensation for another appointment.

(5) Extra Compensation

Extra compensation paid by Harvard is a broad term that refers to any payment received by salaried employees for services performed or as an honorarium in addition to their normal job function(s) and salary.

The Corporation has affirmed the responsibility of individual faculty, research, or teaching appointees to structure involvement in activities outside of their normal job function to avoid compromising the performance of their primary duties to the University.

In general, approval of extra compensation from University sources is based on the following two principles:
a. The activities being compensated must not interfere with the employee’s primary responsibility to the institution.

b. The compensated activity must clearly fall outside of the normal job requirements and must not be used as a regular supplement to an individual’s salary. Repeated requests for extra compensation for the same activity indicate that it would be appropriate to revise the individual’s job description and salary to include responsibility and compensation for that activity.

(6) Compensation Related to Non-Harvard Activities

Faculty members may occasionally be offered the opportunity to earn compensation for work performed outside of their Harvard appointments. Rules governing conflicts of commitment and conflicts of interest are detailed in the FAS publication Principles and Policies that Govern Your Research, Instruction, and Other Professional Activities (also known as the “Grey Book”), which can be found at http://www.fas.harvard.edu/~research/greybook/. All faculty members are expected to familiarize themselves with these guidelines and to conduct their research and teaching accordingly. If questions about potential conflicts of commitment arise, they should be brought in advance to the attention of the Office for Faculty Affairs, which will work with the faculty member (and other FAS offices as relevant) to resolve the matter in accordance with FAS policies. The Committee on Professional Conduct (CPC) may also be consulted about such matters. If questions about potential conflicts of interest arise, they should be brought in advance to Gearoid Griffin, the FAS Research Integrity Officer, in FAS Research Administration Services. The Committee on Research Policy (CRP) is the body charged with advising the Dean and individual faculty members on potential conflicts of interest.

In general, as noted in the Grey Book:

The University and its members have long recognized that persons holding academic appointments at Harvard should conduct outside professional pursuits in ways that respect their responsibilities to their home institution. Along with status as a full-time Harvard academic appointee comes the expectation that one’s primary professional duties are to Harvard and that outside professional activities will not conflict with obligations to one’s students, to colleagues, and to the University as a whole.

It may be possible, on a limited basis, for faculty members with full-time appointments to accept compensation for outside activities. The Grey Book states the following:

In undertaking consulting and related outside professional activities, faculty members and other academic appointees should take care to observe the limits on the amount of time properly devoted to such activities and to avoid situations in which the activities may create a conflict with their responsibilities as an officer of the University. Academic appointees should not engage in paid consulting at or for another educational institution or educational organization without prior approval from their Dean and the Corporation.

Faculty members must report all non-Harvard professional activities on their annual activity reports (a description of the faculty member’s research, teaching, and citizenship during that year), which are submitted to the Dean and used as part of the salary-setting process.
There is a policy that is generally known in the FAS as the “20 percent rule,” which states that no more than 20 percent of one’s total professional effort may be directed to professional activities outside Harvard. This rule is intended to govern effort, not specific levels of compensation, and applies to the period in which a faculty member is receiving salary from the FAS—for nine months of the academic year and then for any months in which summer ninths are paid. If a faculty member is not receiving any summer funding and only receives a nine-month salary, the 20 percent rule does not apply for the three months of the year for which s/he is effectively unpaid. This remains the case even when the nine-month base salary is paid over a twelve-month period.

In interpreting this rule, faculty members should be mindful of the ultimate manifestation of any non-Harvard activities undertaken. Even if the work initially falls within the 20 percent rule, there may exist the possibility that a conflict of interest or of commitment may eventually arise. Faculty members are strongly encouraged to consult with the Office for Faculty Affairs in advance of any such situations developing.

C. Non-Discrimination and Affirmative Action

(1) Non-Discrimination and Affirmative Action Policy

Officers of instruction and administration are responsible for ensuring that there is no discrimination in the employment or treatment of qualified individuals on the basis of sex, sexual orientation, race, color, creed, age, national origin, or condition of handicap or of those who are disabled veterans or Vietnam-era veterans.

The affirmative action plan adopted by the University requires the Faculty to take appropriate steps to identify minority and women candidates for most positions. The responsibility for compliance with affirmative action procedures resides in the first instance with the officer making the appointment recommendation. The following structures are in place to enhance the recruitment of minority and women faculty members:

a. The chairs of departments and the chairs of search committees are responsible for actively pursuing opportunities to appoint minorities and women to positions at all levels.

b. The Deans of Arts and Humanities, Engineering and Applied Sciences, Science, and Social Science are responsible for supervising the implementation of affirmative action policies within their respective divisions/school.

c. The FAS’s Office for Faculty Affairs reviews departmental affirmative action efforts, focusing on the representation of minorities and women in each department, the representation of minorities and women in the relevant pool of doctorates, and the department’s efforts to identify and attract appropriate minority and women candidates. In addition, reports that directly address affirmative action efforts made in each search are submitted by the department chair to the divisional dean in advance of approval of candidates for campus visits and offers. The FAS Senior Adviser on Faculty Development also offers
educational outreach on ensuring the integrity of faculty searches at each stage of the process.

(2) Advertisement Information

When hiring an employee from outside of Harvard, the position is advertised in order to reach the maximum pool of realistic applicants. Suggestions for publications in which to post teaching faculty positions include:

- Departmental websites
- HERC (New England Higher Education Recruitment Consortium) website
- Field-related internet list-serves
- Field-related publications
- *The Chronicle of Higher Education*

Advertising copy must note that Harvard is an Equal Opportunity/Affirmative Action employer and must specifically express interest in candidates who are women and minorities. Care should be taken to avoid language that could be construed as discriminatory with regard to age. It is strongly recommended that at least one form of the advertisement be published in print. (Please refer to the “Appointment of a Foreign National” section for more information on advertisement requirements in a search which may result in the hire of a foreign national.) Advertisements clearly list required documents, such as CVs, reference letters, evidence of teaching effectiveness, and writing samples. Advertisements also indicate the rank and field being sought, broadly defined; the start date of the appointment; teaching and advising expectations (for example, “The appointee will teach and advise students at the undergraduate and graduate level”); and the qualities being sought in a candidate. If a doctorate is required for the position, the ad should state, “Candidates are required to have a doctorate.” For appointment types where a doctorate is required and candidates may be hired prior to final completion of their doctoral programs, the ad should state, “Candidates are required to have a doctorate or terminal degree in [field] or related discipline by the time the appointment begins.” A deadline for applications is included, as is the address to which applications are to be sent. Departments should not finalize their short lists of candidates before the application deadline has passed.

Advertisements must be reviewed and approved by the assistant dean for the appropriate division before being posted.

(3) Search Requirements

Search data must be compiled and submitted with the appointment materials of the successful candidate. If a search is required, the appointment materials should include the following information:

- A description of the search procedures
- Specific comparative reference to the leading candidates, in particular women and minorities, including reasons not chosen
- Copies of all advertising and related correspondence
• An EEO chart displaying demographics data from the search. This report can be retrieved through the ARieS system.

The following reasons are the only valid search exemptions:

• A dependent lectureship
• An appointment to teach a maximum of one half-course for one academic year in any one instructional unit.

Note: If an appointment is exempt from a search, the department should indicate this, along with the reason for the exemption, in the comments section in ASPerIN.

(4) Affirmative Action Ethnic Codes

Hispanic or Latino: A **Hispanic or Latino** person is of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin, regardless of race.
American Indian or Alaska Native: An **American Indian or Alaska Native** person has origins in any of the original peoples of North and South America (including Central America) and maintains tribal affiliation or community attachment.
Asian: An **Asian** person has origins in any of the original peoples of the Far East, Southeast Asia, or the Indian subcontinent, including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.
Black or African American: A **Black or African American** person has origins in any of the black racial groups of Africa.
White: A **White** person has origins in any of the original peoples of Europe, the Middle East, or North Africa.

(5) Work Relationships: Employment of Members of Immediate Family or Household

For the purposes of this policy statement: (1) immediate family includes spouse or domestic partner; son and daughter (including stepchildren), grandchild, son-in-law, and daughter-in-law; parent (including stepparent), grandparent, father-in-law, and mother-in-law; brother and sister (including stepbrother and stepsister); and brother- and sister-in-law; and (2) household includes individuals regularly sharing residence.

The policy of the University is that all employment decisions should be made solely on the basis of merit.

a. No employee may initiate or participate in, directly or indirectly, decisions involving a direct benefit to a member of the employee’s immediate family, domestic partner or member of the same household. Direct benefits include, but are not limited to, hiring, salary and salary adjustments, promotion and work assignments.

b. Persons should not be employed in positions where they will be subject to the close supervisory authority of a member of their immediate family or household or where a member of their immediate family or household, in the ordinary course of business, makes
decisions or plays a significant role in making decisions concerning their direct benefits. In situations where this policy would be applicable, but the department is large enough that decisions concerning direct benefits and supervision can be made without the participation of the immediate family or household member of the person employed, hiring and other employment decisions should be made on the appropriateness of the situation, without reference to this policy.

c. In some instances, the University’s policy of preserving the confidentiality of records or other materials may make it inappropriate for a member of an employee’s immediate family or household to have access or perform duties pertaining to confidential records at the University. For example, it is usually inappropriate for someone to have access to records concerning the performance of a member of his or her immediate family or household.

d. Exceptions to this policy, which applies to all categories of employment at the University, require the written approval of the appropriate dean or vice president. Questions on the interpretation of this policy as it applies to faculty and professional research appointments in the Faculty of Arts and Sciences should be referred to the Office for Faculty Affairs.

D. Appointment of a Foreign National

The Harvard International Office (HIO) acts for the University in all matters concerning visa and immigration regulations that enable the University to employ foreign faculty and researchers. Any individual who is not already a U.S. citizen or U.S. permanent resident or does not have status that allows for work authorization must have Harvard University visa sponsorship to be employed by Harvard. Any appointment at Harvard is contingent upon obtaining appropriate visa status, and the government is the final arbiter of all immigration-related cases. In most cases, individuals are sponsored on nonimmigrant temporary visas. In some situations, the University will sponsor immigrant visas. The following account of the kinds of visas and how they relate to various appointments should guide a department in preparing additional documentation required for appointment of a foreign national.

(1) Nonimmigrant Visa

When a department anticipates the appointment of a foreign national on a short-term, temporary, or permanent basis, preliminary information must be provided to the International Office. Detailed information regarding how to submit such information is available on the HIO website. Once the information is received and reviewed, the HIO will then determine the appropriate nonimmigrant visa and provide instructions on how to secure nonimmigrant status, which will allow employment by the University. Individuals already in this country may be eligible to apply to the United States Citizenship and Immigration Services (USCIS) for a change of status, a transfer, or an extension of their status in order to facilitate temporary employment. If not in the United States or if certain conditions exist, the foreign national may need to apply to a consulate for a visa.

It is possible in many circumstances to renew a nonimmigrant visa for several years. The International Office annually requests information about the appointment of all individuals who
hold Harvard University visa sponsorship. This allows the HIO to take necessary action to facilitate a continuing, ending, or changing appointment.

(2) **Immigrant Visa**

The International Office generally provides immigrant visa sponsorship for tenure-track faculty and very high-level permanent research positions. The administrator from the department should contact the HIO to initiate consideration of whether an application may be made for an individual.

There are two types of applications that the HIO routinely utilizes:

**a. Labor Certification:** This type of case relies on a search to fill the positions and allows the University to pursue permanent residency through a process that begins with the Department of Labor. There are two main types of Labor Certification:

i. Labor Certification based on faculty recruitment allows the University to file on behalf of teaching positions for which there has been a thorough faculty search. The foreign national must be the best qualified to fill the faculty position of the entire pool of applicants. An application on this basis must be submitted to the Department of Labor within 18 months of completion of the academic search. This route is commonly used for tenure-track faculty positions.

Although the DOL has started to recognize the validity of online recruitment, the standards for the use of solely online ads remain unclear. Therefore, we strongly suggest that you rely on a print advertisement. If you decide to only use an online ad, please note that the ad must be well documented. The online ad must appear in an electronic or web-based national professional journal for at least 30 days. The start date, end date, name of the journal, and the full text of the ad must be objectively documented. The text must include the job titles, duties, and minimum requirements. Before you decide to rely solely on online recruitment, please contact Anne Gardsbane, Assistant Director in the HIO, for details on compliance.

ii. Labor Certification regularly requires that the University advertise nationally to prove that there are no willing and able, minimally qualified U.S. workers. This route is occasionally used for non-faculty positions and is carefully supervised by the HIO.

**b. Exceptional, Extraordinary, and Outstanding Ability:** There are several routes for this type of application, all of which require that the University prove the extremely high caliber of the applicant in both the national and international field of endeavor. USCIS determines whether the individual meets the qualifications by requiring significant evidence in enumerated categories such as publications, original contributions to the field, and reviews or exhibitions of the work. These routes are intended for use by individuals who are commonly recognized as leaders in their fields of endeavor. Such cases are commonly filed on behalf of associate professors and professors, as well as high-level researchers.
(3) **Foreign Residency Requirement**

Individuals who have held certain types of funding during an academic career may be precluded from having specific nonimmigrant and any immigrant status until the requirement is served or waived. Examples of individuals who are subject to this requirement are the recipient of a Fulbright scholarship or a Muskie Fellow.

(4) **Term Appointment**

Any foreign national who is appointed to a term appointment may not have enough time left in nonimmigrant status in order to fulfill the duration of the appointment. It may be necessary to pursue an immigrant visa in such circumstances.

(5) **Tenured Appointment**

Any foreign national who is appointed to a tenured position usually needs an immigrant visa in order to fulfill such an appointment.

(6) **Administrative, Research, and Technical Positions**

The faculty does not normally support immigrant visa applications for such positions. If the department wishes to pursue an immigrant application because the services or potential services of a foreign national are so valuable to the University that an exception is warranted, the department should contact the HIO to determine the feasibility of application.

(7) **Permanent Resident**

If a foreign national already holds an immigrant visa, also referred to as having permanent residency or a “green card,” this indicates that the individual is free to accept any type of employment he or she can secure without limit of time. A Preliminary Data Sheet need not be filed with the International Office.

**E. Grievance Procedures**

(1) **Guidelines for the Resolution of Faculty Grievances**

A faculty member may bring forward for resolution on his or her own behalf any grievance that alleges discrimination on the basis of race, color, religious belief, sex, sexual orientation, national or ethnic origin, handicap, or age or that contends that proper procedures have not been followed in decisions regarding promotion or reappointment. The review process, which includes both informal and formal mechanisms for the resolution of grievances, consists of four stages:

a. A faculty member with a concern should, in the first instance, take the matter to the appropriate department chair.
b. If the issue cannot be resolved satisfactorily between the faculty member and the department chair, the faculty member may consult on a confidential basis with either the Dean for Faculty Affairs or with a designated equal employment opportunity officer within the Faculty of Arts and Sciences, as appropriate. These advisers are presumed to be well informed about the procedures and policies of the Faculty.

c. If the faculty member has taken these steps and the matter is still unresolved, the faculty member may elect to file a formal grievance.

i. A formal grievance is a complaint in writing to the Dean of the Faculty that claims that discrimination (on any of the bases enumerated above) has occurred or that proper procedures have not been followed. It also gives a detailed account of the circumstances and grounds on which the grievance is based. Complaints should be submitted within eight weeks of the action or decision that is the subject of the grievance.

ii. The Dean will promptly acknowledge receipt of the written grievance and submit it to the elected members of the Docket Committee of the Faculty for preliminary screening. This group is empowered to dismiss the complaint if it is found to be clearly without merit.

d. If the complaint is not dismissed, the elected members of the Docket Committee will advise the Dean to appoint an ad hoc grievance panel chosen from a pool composed of current members of the Faculty Council who have served on the Faculty Council during the preceding five years and who have no conflict of interest or involvement of significance in the issue. The ad hoc grievance panel will consist of three members chosen from this pool as follows: one by the grievant; one by the respondent or relevant department chair as appropriate; and the third by the Docket Committee itself. This last member will serve as chair of the panel.

i. The grievance panel will conduct an inquiry in an informal manner, providing for the orderly and careful consideration of all points of view. It will devise procedures appropriate to the case to include the right of the grievant and respondent to appear before it.

ii. Every effort will be made to protect the privacy of individuals and the confidentiality of documents, including letters written with the understanding that they will not become public. However, in order to provide full and fair consideration of the grievance, the panel may require access to confidential documents. Requests for access should be addressed to the Dean of the Faculty, who, in consultation with the panel chair, will judge which materials are relevant. Such confidential documents as the Dean deems relevant will be held in the office of the Dean with access limited to members of the panel, unless, in the Dean’s view, specific circumstances require otherwise.

iii. Proceedings of the panel are not those of a court of law, and it is a matter of considerable importance to maintain an atmosphere of collegiality. Consequently, the presence of legal counsel on behalf of either party to the grievance is not permitted during the proceedings.
iv. When appearing before the panel, both the grievant and the respondent are entitled to be accompanied by a member of the Faculty serving as adviser. Advisers may participate in the proceedings in the same way that the grievant and the respondent participate.

v. The grievance panel will prepare a draft report summarizing the relevant evidence obtained. This draft will be circulated to the grievant, the respondent, and the Dean in order to permit them the opportunity to respond before a final report is made.

vi. The final report, presenting in summary the panel’s conclusions and reasons, will be sent to the grievant, the respondent, and the Dean. (The panel is not obligated to inform any other person of its conclusions and normally will not release the report to the public.) If, in the case of a reappointment or promotion, the panel judges it appropriate, the report may recommend reconsideration of the decision. In cases of discrimination, the panel may suggest a resolution appropriate for each case.

vii. Following receipt of the report, the Dean may:

   a) Dismiss the panel and take whatever action, if any, he or she believes the report warrants and so advise the grievant and respondent; or

   b) Ask the panel to consider the matter further. Upon completion of the review by the panel, the Dean will take whatever action, if any, he or she believes the report warrants and so inform the grievant and the respondent.

The final action by the Dean completes the grievance procedure in the Faculty of Arts and Sciences.

(2) The Commission of Inquiry

The Commission of Inquiry serves as a clearing house for inquiries or complaints brought to it by members of the Faculty or of the student bodies of Harvard College or the Graduate School of Arts and Sciences. It consists of three faculty members and two students.

Any faculty member who has a complaint or an inquiry may address it to the Commission of Inquiry c/o the Secretary of the Faculty at University Hall, Ground Floor, 617-495-3613. The Commission will then direct the complaint or query to the appropriate agency of the Faculty of Arts and Sciences. If such an agency does not exist, the Commission will attempt to aid in resolving the matter. The Commission is sometimes instrumental in establishing a new agency for handling recurrent issues. Although the Commission has no power to make rulings, it can play an advocacy role in pressing for the resolution of issues.

Ordinarily, the Commission reports to the community on the matters that come before it and, in so doing, attempts to keep the community informed about factual background material and the resolution of matters of community concern.
F. Sexual Harassment and Unprofessional Conduct

(1) Sexual Harassment

The Faculty of Arts and Sciences has clear guidelines and procedures for dealing with questions or concerns about sexual harassment and unprofessional conduct. It has also identified designated officers to serve as key contacts for undergraduate students, graduate students, faculty, and staff members.

Individual members of the FAS community are also welcome to contact the officers directly. The list of officers and related resources is available at: [http://www.fas.harvard.edu/home/dean-and-administration/policies-for-faculty-students-and-staff/sexual-harassment-officers-and-resources.shtml](http://www.fas.harvard.edu/home/dean-and-administration/policies-for-faculty-students-and-staff/sexual-harassment-officers-and-resources.shtml).


Additional information about professional conduct for FAS instructors is provided in Information for Faculty Offering Instruction in Arts and Sciences ([http://infoforfaculty.fas.harvard.edu/icb/icb.do](http://infoforfaculty.fas.harvard.edu/icb/icb.do)), under “Responsibilities of Instructors.”

(2) Professional Conduct

FAS Faculty members (“Faculty” or “Faculty Members”) hold positions of authority and trust at FAS. As such, they have an obligation to uphold the highest standards of professionalism and integrity in their interactions with all members of the FAS community, including faculty colleagues, students, persons holding research appointments (e.g., postdoctoral fellows), and staff members. In keeping with this role:

a. Faculty should treat members of the FAS community with respect and collegiality.
b. Faculty members should not use their positions to obtain uncompensated labor from any member of the community under their supervision. This includes, but is not limited to, requiring staff under their direction to perform services or duties unrelated to or outside their professional/job responsibilities.
c. Faculty members must uphold confidentiality in matters pertaining to employee files, records, or activities, which could reasonably be considered confidential. This could include employment information or employee records.
d. Faculty must comply with all applicable laws, rules, regulations and professional standards including FAS policies and practices; this includes, but is not limited to, policies regarding discrimination and sexual harassment.

Non-compliance with these guidelines will be communicated to the Dean of the Faculty of Arts and Sciences and could result in varying sanctions.
G. Termination Documentation

Ordinarily, non-tenured appointments are made for a specified term. However, regardless of the term length, appointments are always contingent upon satisfactory performance. In the case of involuntary termination before appointment end date of a non-ladder faculty or research appointment, the following documents must be sent to the Office for Faculty Affairs.

- A record of communications between the faculty member/researcher and his/her supervisor, documenting a pattern of expectations/benchmarks on specific tasks, and corresponding deficiencies. Ideally, these exchanges should state that there will be real consequences, if performance does not improve.
- A documented formal conversation between the faculty member/researcher and his/her supervisor, summarizing the issues and alerting the faculty member/researcher, that their performance is not consistent with continued employment.
- A letter terminating the appointment (“fair notice”). There is no standard length of time by which termination is effective; however, 30 days should be given unless circumstances require that less notice be given. It can be less, if stages 1 and 2 have been clear.
## H. Important Deadlines: 2013-2014

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<th>Step</th>
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<tr>
<td>1</td>
<td>Final day to submit reappointment and/or promotion material for tenure-track faculty with appointments due to terminate on December 31.</td>
<td>October 1st</td>
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<td>2</td>
<td>Final day to submit leave applications for the upcoming academic year.</td>
<td>December 2nd</td>
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<td>3</td>
<td>Final day to submit promotion and/or reappointment dossiers, including assistant professor reappointments, associate professor reviews, and tenure promotion reviews. Any dossier, as applicable, received after this date might not be scheduled for an <em>ad hoc</em> review until the following fall. This includes external appointments to tenured professor.</td>
<td>February 28</td>
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<td>4</td>
<td>Final day to submit ASPeRIN appointments for all new tenure-track appointments and non-ladder teaching appointments and reappointments. Please note: this is also the deadline for receipt of all required back-up material relating to these appointments. Appointments submitted after this date may not be fully processed by July 1.</td>
<td>May 1st</td>
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<td>5</td>
<td>Final day to extend offers to ladder faculty at other institutions for appointments beginning in the upcoming term without requiring permission from the dean of the candidate’s home institution.</td>
<td>April 30th</td>
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3. ABSENCES, LEAVES, AND EXTENSIONS OF APPOINTMENT

Section Contents:

A. General Leave Policies (Page 3.2)
B. Short-Term Absence during Term Time (Page 3.3)
C. Leaves of Absence for Tenured Faculty Members (Page 3.3)
D. Leaves of Absence for Professors of the Practice (Page 3.6)
E. Leaves of Absence for Tenure-Track Faculty Members (Page 3.8)
F. Leaves for Non-Ladder Faculty Members (Page 3.11)
G. Other Leaves: Family, Maternity, Medical, and Personal Leaves (Page 3.11)

Note: For the specific purposes of this document and its associated procedures, “divisional dean” also refers to the SEAS dean, and “department chairs” to SEAS area deans. Although SEAS faculty members follow the same policies, some procedures may vary. Therefore, members of SEAS should also consult SEAS-specific documents.

Note: All procedural questions regarding faculty hiring, reviews, promotions, and leaves should be directed to the assistant dean for the appropriate division, and the assistant dean should receive a copy of all documentation regarding these procedures. For the appropriate contact for procedural questions regarding SEAS appointments, please see the contact table on page 1.7.
A. General Leave Policies

(1) **Duration of Leaves**

Leaves may not be granted for more than one year at a time. It is possible on occasion to request a second year of unpaid leave for the purpose of national service or some other reason of strong importance to the country. By vote of the Corporation, leave for more than two successive years is not possible. Resignation from the Harvard appointment is the only alternative to returning to University service after more than two consecutive years of leave.

(2) **Approval of Leave Requests**

Prior to a sabbatical, paid research leave or unpaid research leave, a faculty member must submit a leave of absence application. The forms can be found at http://isites.harvard.edu/icb/icb.do?keyword=k15149&pageid=icb.page377353. Such leave requests are first submitted to the faculty member’s department chair, who considers the request in the context of the department’s curricular and service needs. The chair is responsible for taking departmental commitments into account before forwarding leave requests to the assistant dean for the division, and it may be appropriate, upon occasion, for a chair to delay certain requests for leave if the proposed absence would hinder the department’s ability to meet its instructional obligations. In such situations, the chair should confer with the faculty member and the assistant dean for the division. Once the chair has signed the forms, they are submitted to the assistant dean for the division. Forms are due by **December 1** (or if December 1 falls on a weekend, by a proximate weekday noted in the “Important Deadlines” table in Chapter 2) of the academic year preceding the proposed leave. In the case of joint appointments, all relevant chairs must sign these forms.

Faculty members should note that work or residence in certain foreign countries during leaves might create additional personal tax liabilities or tax filing requirements. They may wish to consult a tax professional before working or residing in another country.

(3) **Appointments at Other Institutions**

A faculty member may not hold a regular faculty or administrative appointment at another academic institution while on the faculty at Harvard, including during periods of leave. While on leave, a faculty member may hold a *visiting* faculty appointment at another institution, as long as the word “visiting” is included in the title held. Issues of compensation relating to periods of leave are discussed below.

(4) **Annual Activity Reports**

Faculty members submit activity reports annually, including in those years in which they are on leave. While on leave, faculty members should continue to abide by appropriate University and Faculty policies on conflict of interest and conflict of commitment, as detailed in *Principles and
B. Short-Term Absence during Term Time

Faculty members are expected to be in residence and available to colleagues and students during term time (including reading period and exams). Although they do not accrue vacation or sick leave, short absences for unforeseen personal business or professional development during term time are possible. Faculty are expected to fulfill their assigned teaching obligations and should only use substitute instructors (including teaching fellows) in exceptional cases.

Faculty members wishing to be absent during term time (including reading periods and exams) for a period of more than one week, or for a period of one week or less where the absence will require some reduction or change in scheduled instruction, should first consult with the chair of their department. When requesting such leaves, it is incumbent on faculty members to consider their academic responsibilities and to ensure that they continue to be met.

Before authorizing the absence, the chair should be satisfied that the reason for absence, whether personal or professional, is sufficiently compelling and that all teaching and other departmental responsibilities are appropriately covered. If the absence is for one week or less, no further approval is required. If a period longer than one week is necessary, the faculty member submits to the assistant dean for the division a “Request for Permission to be Absent” form, signed by the chair (found on the “Forms” page of the Faculty Affairs website, at http://isites.harvard.edu/icb/icb.do?keyword=k15149&pageid=icb.page346904).

Note: If the faculty member is teaching only in non-departmental programs for the term, he or she has the “Request for Permission to be Absent” form signed by the director of the relevant program before submission to the assistant dean for the division.

C. Leaves of Absence for Tenured Faculty Members

Tenured faculty members should refer to the “General Leave Policies” section above, in addition to the provisions summarized below. Note: Professors in Residence should refer to the “General Leave Policies” above, in addition to following the policies described below for tenured faculty members.

1. Sabbatical Leave and Unpaid Research Leave

The purpose of sabbaticals and unpaid research leaves is to make it possible for members of the tenured faculty to take time off from their regular University responsibilities, including teaching and administrative service, in order to focus on their scholarly research.

2. Duration of and Eligibility for Sabbatical and Unpaid Research Leaves

Faculty may not be on sabbatical and/or unpaid research leave for more than one year at a time.
Tenured professors are eligible for a paid semester of sabbatical leave after every six semesters in residence teaching. Faculty may extend the period of leave to a full academic year by combining a term of unpaid research leave with a term of sabbatical leave. In this case, sabbatical leaves may be taken either as one semester at full salary or as an academic year at half-salary. Faculty may take a term or an academic year of unpaid research leave when otherwise eligible for a paid sabbatical leave (i.e., after six terms in residence teaching). See information on banking sabbatical leaves below.

Faculty members holding joint appointments with another Harvard Faculty should refer to their offer letters and associated documentation for information on their leave eligibility.

(3) **Deferral of Sabbatical Leaves**

Sabbatical leave time does not ordinarily accumulate if the period between leaves is more than six terms. Therefore, if a faculty member opts not to take a leave in a term in which he or she is eligible, excess sabbatical “credit” is not ordinarily applied toward a future sabbatical. Six terms in residence teaching continue to be required before a subsequent leave may be taken. For example, if a sabbatical is taken after eight semesters in residence teaching (rather than six), six semesters in residence teaching following that leave (rather than four) will be necessary in order to earn the next sabbatical.

A faculty member may request to delay a sabbatical leave for one or two terms for reasons of pressing departmental or University service. In such cases, with the prior written approval of the divisional dean, the required period in residence teaching following the deferred leave may be reduced. For example, if a sabbatical is postponed from the spring until the fall because a faculty member is serving as director of undergraduate studies, then the required period in residence teaching following the sabbatical may, with prior approval, be five terms rather than six.

(4) **Banking and Accrual of Sabbatical Leaves**

A faculty member may elect to “bank” one term of sabbatical leave by spending twelve terms in residence teaching in order to earn one academic year of leave at full pay. (Note: The option of “banking” sabbatical credit began following sabbaticals taken in 2003-2004 or later.) If, after six terms in residence teaching, a faculty member takes an unpaid leave, he or she may “bank” the earned term of sabbatical leave and take it in conjunction with a subsequently earned term of sabbatical taken at least six terms after returning from the unpaid leave.

Faculty members will not ordinarily continue to accrue sabbatical eligibility beyond twelve terms in residence teaching.

(5) **Sabbatical Accrual for those Promoted from the Tenure-Track Ranks**

When a faculty member is promoted to tenure from the tenure-track ranks, sabbatical eligibility will be calculated to include the accumulated years of active duty since the last leave, whether paid or unpaid.
(6) Compensation during Sabbatical and Unpaid Research Leaves

A faculty member on sabbatical leave at full salary may not ordinarily receive compensation in the form of salary from another academic institution or external funding source (beyond the allowable three ninths). Those on sabbatical at half-salary may receive external compensation, but if the funding is paid through Harvard, the total compensation received from all funding sources during the academic year may not exceed the faculty member’s full-time nine-month base salary at Harvard and three months’ (three ninths) supplemental salary. In such cases, compensation that exceeds the base salary will ordinarily be converted, in accordance with the policies of the funding source, into research support. Please be advised that all salary payments made through the University carry a charge for fringe benefits. Therefore, it is important for faculty to work with their financial administrators when applying for outside funding.

Faculty members on sabbatical leave may receive supplemental compensation from external sources that is paid through Harvard, so long as the total amount received from all sources does not exceed the equivalent of three months’ salary. For additional information on faculty supplementary salary, see http://www.fas.harvard.edu/~research/policy/effort/supplemental_compensation.html.

A faculty member taking an unpaid research leave may receive compensation from another academic institution or external funding source. If the funding is paid through Harvard, the total compensation received from all funding sources during the academic year may not exceed the faculty member’s full-time nine-month base salary at Harvard and three months’ supplemental salary. In such cases, compensation that exceeds the base salary will ordinarily be converted, in accordance with the policies of the funding source, into research support.

Some external funding sources provide compensation directly to the faculty member, rather than running it through Harvard. In such cases, those on sabbatical at half salary may receive total compensation during the academic year in excess of their nine-month base salary and three months’ supplemental salary. It is very important, however, that faculty members remain mindful of the policies reflecting conflicts of interest and conflicts of commitment, which apply at all times. For details on these policies, please see Principles and Policies that Govern Your Research, Instruction and Other Professional Activities (the “Grey Book,” http://www.fas.harvard.edu/~research/greybook/). It is expected that each faculty member will, as noted in the Grey Book, “accord the University his or her primary professional loyalty, and… arrange outside obligations, financial interests, and activities so as not to conflict or interfere with this overriding commitment to the University.” In practice, this means that, while on half salary from Harvard, faculty members’ formal agreements with other organizations should reflect a half-time status at those organizations.

As is the case for those in active service, faculty members on sabbatical leave may still direct 20% of their effort to outside activities related to their areas of expertise.

Any questions or concerns about potential conflicts of interest should be brought in advance to Gearoid Griffin, the FAS Research Integrity Officer, in FAS Research Administration Services.
Any questions or concerns about potential conflicts of commitment should be brought in advance to the attention of the Office for Faculty Affairs.

During a sabbatical leave, the University continues to make retirement fund contributions on behalf of the faculty member. Similarly, health plan benefits, life insurance, and disability insurance continue to be effective, and the faculty member’s payments are deducted directly from his/her paycheck.

During an unpaid leave, no retirement fund contributions are made by the University; however, health plan benefits, life insurance, and disability insurance continue to be effective so long as the individual makes the same contributions he or she would have made if not on leave. In such cases, the University continues to cover its share of the relevant costs. For information about such arrangements, faculty members should contact the Harvard Benefits Office directly.

D. Leaves of Absence for Professors of the Practice

Professors of the practice should refer to the “General Leave Policies” section above, in addition to the provisions summarized below.

(1) Paid and Unpaid Research Leave

The purpose of a paid leave is to make it possible for professors of the practice to take time off from their regular University responsibilities, including teaching and administrative service, in order to focus on their scholarly work. Professors of the practice are not eligible for unpaid research leaves unless used in conjunction with a paid research leave (thus extending the leave to one academic year).

(2) Duration of and Eligibility for Sabbatical and Unpaid Research Leaves

Faculty may not be on paid and/or unpaid research leave for more than one year at a time.

Professors of the practice are eligible for a semester of paid research leave after every six years in residence teaching, pro-rated to the faculty member’s FTE. Faculty may extend the period of leave to a full academic year by combining a term of unpaid research leave with a term of sabbatical leave. In this case, paid research leaves may be taken either as one semester at full salary or as an academic year at half salary, pro-rated to the faculty member’s FTE.

(3) Deferral of Paid Research Leaves

Paid leave time does not ordinarily accumulate if the period between leaves is more than twelve terms. Therefore, if a faculty member opts not to take a leave in a term in which he or she is eligible, excess leave “credit” is not ordinarily applied toward a future paid research leave.

On rare occasions, a faculty member may request to delay a paid research leave for one or two terms for reasons of pressing departmental service. In such cases, with the prior written approval
of the assistant dean for the division, the required period in residence following the deferred leave may be reduced.

(4) Compensation during Paid Leaves

A faculty member on paid research leave at full salary may not ordinarily receive compensation in the form of salary from another academic institution or external funding source. Those on paid research leave at half salary may receive external compensation, but if the funding is paid through Harvard, the total compensation received from all funding sources during the academic year may not exceed the faculty member’s full-time nine-month base salary at Harvard and three months’ supplemental salary. In such cases, compensation that exceeds the base salary will ordinarily be converted, in accordance with the policies of the funding source, into research support. Please be advised that all salary payments made through the University carry a charge for fringe benefits. Therefore, it is important for faculty to work with their financial administrators when applying for outside funding.

Faculty members on paid research leave may receive supplemental compensation from external sources, so long as the total amount received from all sources does not exceed the equivalent of three months’ salary. For additional information on faculty supplementary salary, see http://www.fas.harvard.edu/~research/policy/effort/supplemental_compensation.html.

Some external funding sources provide compensation directly to the faculty member, rather than paying it through Harvard. In such cases, those on paid research leave at half salary may receive total compensation during the academic year in excess of their nine-month base salary and three months’ supplemental salary. It is very important, however, that faculty members remain mindful of the policies reflecting conflicts of interest and conflicts of commitment, which apply at all times. For details on these policies, please see Principles and Policies that Govern Your Research, Instruction and Other Professional Activities (the “Grey Book,” http://www.fas.harvard.edu/~research/greybook/). It is expected that each faculty member will, as noted in the Grey Book, “accord the University his or her primary professional loyalty, and… arrange outside obligations, financial interests, and activities so as not to conflict or interfere with this overriding commitment to the University.” In practice, this means that, while on half salary from Harvard, faculty members’ agreements with other organizations should reflect a half-time status at those organizations.

As is the case for those in active service, faculty members on paid research leave may still direct 20% of their effort to outside activities related to their areas of expertise.

Any questions or concerns about potential conflicts of interest should be brought in advance to Gearoid Griffin, the FAS Research Integrity Officer, in FAS Research Administration Services. Any questions or concerns about potential conflicts of commitment should be brought in advance to the attention of the Office for Faculty Affairs.

During a paid research leave, the University continues to make retirement fund contributions on behalf of the faculty member. Similarly, health plan benefits, life insurance, and disability
insurance continue to be effective, and the faculty member’s payments are deducted directly from his/her paycheck.

**E. Leaves of Absence for Tenure-Track Faculty Members**

Tenure-track faculty members should refer to the “General Leave Policies” section above, in addition to the provisions summarized below.

(1) **Eligibility for Paid and Unpaid Research Leave**

Eligibility for paid and unpaid research leave varies according to academic division. Each division is discussed below.

Assistant and associate professors in Arts and Humanities and most Social Science departments are eligible for two terms of leave during each of their tenure-track appointments. These leaves are ordinarily taken as one term of paid leave and one term of unpaid leave during their assistant professorship and the same during their associate professorship.

Assistant and associate professors in the Economics Department are eligible for two terms of leave during each of their tenure-track appointments. Of the four, one is a semester of paid research leave, and three terms are unpaid research leave.

For tenure-track faculty in Arts and Humanities and Social Science departments, unpaid research leaves may be taken in combination with a term of paid research leave (in effect, extending the period of leave to a full academic year, rather than a single term) for those who are eligible for paid leave. Alternatively, faculty members may take a semester of unpaid leave unconnected to a paid research leave in order to take advantage of an outside funding opportunity.

As of July 1, 2013, the following policies apply to tenure-track faculty in the Sciences (which include the life sciences and physical sciences). For the purposes of these policies, the Division of Science is divided into two categories: Category 1 and Category 2.

As of July 1, 2013, assistant and associate professors in the School of Engineering and Applied Sciences follow the teaching relief and leave policies described below for Category 1 faculty in the Science Division.

Assistant professors in both Categories 1 and 2 of the Division of Science are eligible for one semester of teaching relief, to be taken during the first year of their appointment (in SEAS,

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2 Category 1 consists of those departments in which faculty ordinarily teach at least one course (other than a graduate research course) in each semester. Currently, this category contains the Departments of Earth and Planetary Sciences, Human Evolutionary Biology, Organismic and Evolutionary Biology, Physics, Mathematics, and Statistics. Faculty with joint appointments, with one appointment in a Category 1 department and their other appointment in a Category 2 department, will be considered as belonging to a Category 1 department if they follow the teaching requirements of a Category 1 department in each year of their appointment.

3 Category 2 consists of those departments with a lesser teaching load than that described for Category 1. Currently, this category contains the Departments of Astronomy, Chemistry and Chemical Biology, Molecular and Cellular Biology, and Stem Cell and Regenerative Biology.
teaching relief is offered during either the first or second year). Teaching relief is defined as exemption from formal classroom duties. This teaching relief should ordinarily be taken in residence, to enable assistant professors to establish their laboratories and research programs on campus. In addition to one term of teaching relief, assistant professors in Category 1 are eligible for one semester of unpaid research leave. This term of unpaid research leave, if taken, should occur sometime during the assistant professor appointment, and after the first year. Assistant professors in Category 2 science departments may, in exceptional cases, apply for a semester of unpaid research leave, to be taken sometime during their assistant professor appointment, and after the first year.

Associate professors in Category 1 departments are eligible for two semesters of leave, to be taken during the associate professor appointment: a) one term of unpaid research leave and b) one term of paid research leave. Associate professors in Category 2 departments will be eligible for one term of unpaid research leave, to be taken during the associate professor appointment.

(2) **Timing and Frequency of Leaves**

Tenure-track faculty members ordinarily may take a paid or unpaid research leave as early as the second year of appointment, following the approval of the department chair(s) and depending on the needs of the department(s) and of the individual.

In contrast to the policies governing the leaves for tenured faculty, there need not be six terms in residence between leaves for tenure-track faculty. Consideration should be given, however, to the curricular and service needs of the department.

**Note:** The provisions limiting leaves to one academic year, noted in the “General Leave Policies” section above, apply to tenure-track faculty.

(3) **Additional Term of Unpaid Leave**

Under exceptional circumstances, an additional term of unpaid leave may be available to tenure-track faculty in the Divisions of Social Science and Arts and Humanities, following approval by the relevant department(s) and by the divisional dean. Such an additional term is only permitted if external (i.e., non-Harvard) funding has been received and there is no opportunity to defer such funding until it might be combined with a term of paid leave.

For faculty in these Divisions, no more than five terms of leave will be approved during the years of a faculty member’s tenure-track appointments, with the exception of medical or personal leaves. For faculty members initially appointed at the associate professor level, a third term of unpaid leave may be available if external (i.e., non-Harvard) funding has been received and there is no opportunity to defer such funding until it might be combined with a term of paid leave.

(4) **Effect on Tenure “Clock”**

Paid and unpaid research leaves do not affect the tenure clock for tenure-track faculty.
(5) Compensation during Leaves

A faculty member on paid research leave at full salary may not ordinarily receive compensation in the form of salary from another academic institution or external funding source. Those on paid research leave at half-salary or on unpaid leave may receive external compensation, but if the funding is paid through Harvard, the total compensation received from all funding sources during the academic year may not exceed the faculty member’s full-time nine-month base salary at Harvard and three months’ supplemental salary. In such cases, compensation that exceeds the base salary will ordinarily be converted, in accordance with the policies of the funding source, into research support. Please be advised that all salary payments made through the University carry a charge for fringe benefits. Therefore, it is important for faculty to work with their financial administrators when applying for outside funding.

Faculty members on paid research leave may receive supplemental compensation from external sources, so long as the total amount received from all sources does not exceed the equivalent of three months’ salary. For additional information on faculty supplementary salary, see http://www.fas.harvard.edu/~research/policy/effort/supplemental_compensation.html.

Some external funding sources provide compensation directly to the faculty member, rather than paying it through Harvard. In such cases, those on paid research leave at half salary or on unpaid leave may receive total compensation during the academic year in excess of their nine-month base salary and three months’ supplemental salary. It is very important, however, that faculty members remain mindful of the policies reflecting conflicts of interest and conflicts of commitment, which apply at all times. For details on these policies, please see Principles and Policies that Govern Your Research, Instruction and Other Professional Activities (the “Grey Book,” http://www.fas.harvard.edu/~research/greybook/). It is expected that each faculty member will, as noted in the Grey Book, “accord the University his or her primary professional loyalty, and… arrange outside obligations, financial interests, and activities so as not to conflict or interfere with this overriding commitment to the University.” In practice this means that, for those on paid research leave at half-salary, formal agreements with other organizations should reflect a half-time status at those organizations.

As is the case for those in active service, faculty members on paid research leave may still direct 20% of their effort to outside activities related to their areas of expertise.

Any questions or concerns about potential conflicts of interest should be brought in advance to Gearoid Griffin, the FAS Research Integrity Officer, in FAS Research Administration Services. Any questions or concerns about potential conflicts of commitment should be brought in advance to the attention of the Office for Faculty Affairs.

During a paid research leave, the University continues to make retirement fund contributions on behalf of the faculty member. Similarly, health plan benefits, life insurance, and disability insurance continue to be effective, and the faculty member’s payments are deducted directly from his/her paycheck.
During an unpaid leave, no retirement fund contributions are made by the University; however, health plan benefits, life insurance, and disability insurance continue to be effective so long as the individual makes the same contributions he or she would have made if not on leave. In such cases, the University continues to cover its share of the relevant costs. For information about such arrangements, faculty members should contact the Harvard Benefits Office directly.

F. Leaves for Non-Ladder Faculty Members

Non-ladder faculty, with the exception of professors of the practice, as noted above, are not eligible for either paid or unpaid research leaves.

G. Other Leaves: Family, Maternity, Medical, and Personal Leaves

The FAS has a number of policies to support faculty members as they balance professional obligations with personal and family responsibilities or with medical issues. The application of these policies to ladder and non-ladder faculty may differ. Please review each section below carefully for eligibility guidelines. Faculty members are encouraged to contact the assistant dean of the appropriate division to discuss these policies.

1. Approval of Leave Requests

Requests for leaves related to family, personal, or medical situations are submitted directly to the assistant dean for the appropriate division and are subject to the approval of the Dean. Faculty members should also provide a copy of their request to their department(s), but the approval for such leaves does not begin at the departmental level, as those for sabbatical/paid research and unpaid research leaves do. Because of the nature of such leaves, there is no single deadline for submission of requests, but faculty members are asked to submit them as early as possible so that departments can make appropriate adjustments to cover their teaching and service responsibilities.

The childcare extension policy became effective July 1, 2005. The maternity leave policy became effective July 1, 2006.

2. Effect on Tenure Clock

In some cases, appointment extensions are available to tenure-track faculty who take a non-research leave. Policies related to such extensions are described below; faculty members should contact the assistant dean of the appropriate division to discuss their individual situations. A maximum of two one-year appointment extensions and two one-year review postponements, regardless of the reason, are possible over the course of tenure-track faculty appointments.

3. Family and Parental Leaves

The family and parental leaves available to faculty members (ladder and non-ladder) and to those holding professional research appointments are governed by federal and state law, as well as internal Harvard policies. Each is described below.
a. One-Year Limit

Under the ordinary application of the policies governing parental and research leaves, no faculty member will be eligible for more than two consecutive terms of relief from full-time departmental teaching duties.

b. Federal Policies

i. Family and Medical Leave Act of 1993 (FMLA)

The Family and Medical Leave Act of 1993 (FMLA) requires the FAS to grant eligible employees up to 12 weeks of unpaid leave (to be taken and completed during a 12-month period) for any of the following reasons:

a) For the birth of a child and to care for an employee’s child within 12 months of birth, adoption, or the initiation of foster care;
b) To care for a parent, child, or spouse with a serious health condition; or
c) Because the employee’s own serious health condition makes the employee unable to perform his or her job.

Under Harvard policy, faculty members (ladder and non-ladder) and those holding professional research appointments are deemed eligible for the provisions of FMLA if they have held at least half-time appointment in the FAS for three consecutive months or more. Harvard will continue to make the standard contribution to group health insurance during a leave covered by the FMLA. However, if the leave is unpaid, the individual on leave will be billed for his or her share of the contribution. In certain cases, other Harvard policies and benefit programs may provide salary continuation and additional benefits. Those holding faculty and professional research appointments who are eligible for FMLA coverage may take no more than 12 weeks FMLA leave during each 12-month period beginning on the first day that any FMLA leave is used. However, exhaustion of the 12 weeks of leave provided for in the FMLA will not necessarily limit an individual’s eligibility for additional leaves, as provided for by FAS policy.

ii. Military Family Leave Entitlements

Eligible employees with a spouse, son, daughter, or parent on active duty or call to active duty status in the Armed Forces, National Guard, or Reserves in a foreign country or in support of a contingency operation may use their 12-week leave entitlement to address certain qualifying exigencies. Qualifying exigencies may include attending certain military events, arranging for alternative childcare, addressing certain financial and legal arrangements, attending certain counseling sessions, and attending post-deployment reintegration briefings.

FMLA also includes a special leave entitlement that permits eligible employees to take up to 26 weeks of leave to care for a covered service member during a single 12-month period. A covered service member is (1) a current member of the Armed Forces, National
Guard, or Reserves who has a serious injury or illness incurred in or aggravated by service in the line of duty on active duty that may render the service member medically unfit to perform his or her duties and for which the service member is undergoing medical treatment, recuperation, or therapy; or is in outpatient status; or is on the temporary disability retired list; or (2) a veteran undergoing such medical treatment, recuperation, or therapy for a serious injury or illness and who was a member of the Armed Forces, National Guard, or Reserves at any time during the five years preceding the date of such treatment, recuperation, or therapy.

c. Harvard Policies

Note: FMLA leave, maternity leave, paternity leave, parental leave for same-sex partners, and parental teaching relief should be planned in consultation with the appropriate assistant dean, in order to maximize available benefits.

i. Maternity Leave

Under the Massachusetts Maternity Leave Act, eligible birth or adoptive mothers are entitled to an unpaid job-protected leave of eight weeks. In most cases, this leave entitlement is superseded by another, more generous, leave available under FAS policies or the FMLA.

a) Faculty members holding the rank of professor, associate professor, assistant professor, or professor of the practice may use paid maternity leave of up to eight weeks in connection with pregnancy and childbirth. For faculty members holding these ranks, this maternity leave may be taken in addition to parental teaching relief (described below).

b) Faculty members with appointments of at least half-time and holding the title senior preceptor or senior lecturer (if that title is not dependent upon an administrative appointment) may use paid maternity leave of up to eight weeks in connection with pregnancy and childbirth. For faculty holding these appointments, teaching relief is not granted in addition to this maternity leave. That is, senior preceptors and senior lecturers, as noted above, will elect either to take a maternity leave or parental teaching relief. Maternity leaves for those holding dependent senior lectureships are governed by the policies that apply to those holding staff or research appointments.

c) Faculty members with multi-year appointments holding the rank of preceptor, lecturer, Benjamin Peirce Fellow, or Briggs-Copeland Lecturer (if that title is not dependent upon an administrative appointment) may use paid maternity leave of up to eight weeks in connection with pregnancy and childbirth. Maternity leaves for those holding dependent lectureships are governed by the policies that apply to those holding staff or research appointments.

d) The FAS may count maternity leaves toward the fulfillment of the FMLA 12-week leave entitlement, if the reason for the leave meets the FMLA criteria. Thus, a faculty
member may have the option of taking up to four weeks of unpaid FMLA leave in addition to her eight weeks of paid maternity leave.

e) The faculty member who plans to avail herself of maternity leave as described in this section notifies her department chair and the assistant dean for the appropriate division, with as much advance notice as possible. The chair consults with the assistant dean regarding the arrangements for teaching responsibilities preceding and/or following the maternity leave. Departments are expected to accommodate faculty members who take maternity leave and/or parental teaching relief.

ii. Paternity Leave and Parental Leave for Same-Sex Partners

Although paid leave is not available to new fathers, same-sex partners of birth mothers, or adoptive parents, the provisions of the Family and Medical Leave Act, described above, apply. An unpaid leave of up to 12 weeks is available within 12 months of the birth, adoption, or initiation of foster care.

iii. Parental Teaching Relief

a) Ladder faculty members (assistant, associate, or full professors) and faculty members with an appointment of at least half-time as professor of the practice, senior preceptor, or senior lecturer (if that title is not dependent upon an administrative appointment) who are the primary caregivers for a newborn or newly-adopted child are eligible for paid parental teaching relief. Relief is defined as an exemption from formal classroom duties either for a full teaching load during one term or a half teaching load for two terms. Such relief is taken just prior to, or within one year after, the birth or adoption. Primary caregiving is defined as having substantial daily responsibility for child care of at least twenty hours per week from Monday through Friday, from 9 a.m. to 5 p.m.

b) Parents who are both faculty members in the FAS may both take parental teaching relief, as long as their child care responsibilities meet the daily time commitments noted above. Under the ordinary application of this policy, the terms of parental teaching relief for these parents would be consecutive.

c) It is not required that the birth or adoption of the child occur while the faculty member is appointed at Harvard. That is, faculty members who begin their appointments with a child under the age of one may take parental teaching relief (one term of full-time relief or two terms of half-time relief) within the first year following the birth or adoption.

d) The faculty member is expected to remain in residence and to continue departmental service, committee assignments, advising, and other such professional duties when taking parental teaching relief.
e) The faculty member who desires relief from teaching under these circumstances submits, with as much advance notice as possible, a written request to the appropriate assistant dean for the division, with a copy to the department chair. Forms for this purpose are available from the department administrator or online at the Faculty Affairs website (http://isites.harvard.edu/fs/docs/icb.topic144274.files/parent_relief_form.pdf).

iv. Childcare Appointment Extension and Postponement of Review Policies for Tenure-Track Faculty

a) Extensions of tenure-track appointments are intended to provide flexibility in the timing of reappointment or promotion reviews for tenure-track faculty members in order to accommodate time spent on childcare commitments. Such extensions are available to either parent (or to both, if both are FAS faculty members) and to same-sex partners.

b) Upon the birth or adoption of a child, a faculty member notifies the appropriate assistant dean for the division. That faculty member’s current contract will be automatically extended by one year and the new dates of appointment confirmed in writing to the faculty member, with a copy to the department chair(s). If the faculty member does not wish his or her appointment to be extended, he or she informs the appropriate assistant dean in writing.

c) Ordinarily, if an appointment is extended by a year due to the birth or adoption of a child, any promotion review (whether from assistant to associate professor or from associate to full professor) will be automatically postponed by a year as well. The new schedule for promotion reviews will be confirmed in writing to the faculty member, with a copy to the department chair(s). If the faculty member does not wish his or her review to be postponed, he or she informs the appropriate assistant dean in writing.

d) If a birth or adoption takes place after a review is already underway, the review is not ordinarily postponed. However, if the reappointment or promotion is ultimately approved, the faculty member’s subsequent tenure-track appointment will automatically be extended by one year. If the faculty member does not wish his or her reappointment to be extended, he or she informs the appropriate assistant dean in writing.

e) No more than two one-year extensions for childbirth or adoption are possible for tenure-track faculty in any case. A maximum of two one-year appointment extensions and two one-year review postponements, regardless of the reason, are possible over the course of tenure-track faculty appointments.

f) As noted above, under the ordinary application of the policies governing parental and research leaves, no faculty member will be eligible for more than two consecutive terms of relief from full-time departmental teaching duties.
(4) **Medical Leave and Appointment Extensions**

a. **Medical Leave**

Ladder faculty members (assistant, associate, or full professors) and faculty members with an appointment of at least half-time as professor of the practice, senior preceptor, or senior lecturer (if that title is not dependent upon an administrative appointment) suffering from a serious health condition such as serious physical or mental impairment that prevents the fulfillment of normal duties may be entitled to a paid medical leave of absence of up to six months, not to extend beyond the termination date of his or her appointment. The FAS may count medical leaves toward the fulfillment of the FMLA 12-week leave entitlement, if the reason for the leave meets the FMLA criteria.

Written requests for medical leave should be submitted to the assistant dean for the appropriate division (subject to final approval by the FAS Dean) and must be accompanied by written medical certification. Medical leaves may be exempted from ordinary residence requirements between leaves for those who are eligible for regular leaves. If the illness is prolonged, use of long-term disability (LTD) coverage following the completion of the six-month paid medical leave should be investigated during the medical leave. For information about LTD coverage, faculty members should contact the Harvard Benefits Office directly.

b. **Medical Appointment Extension and Postponement of Review for Promotion**

A tenure-track faculty member may request an extension of his or her existing appointment on the basis of a serious health condition such as serious physical or mental impairment that prevents the fulfillment of normal duties. The written request is sent to the assistant dean for the appropriate division, with a copy to the department chair. Such requests are subject to the approval of the FAS Dean.

If the requested extension is approved, the new dates of appointment are confirmed in writing to the faculty member, with a copy to the department chair(s).

Ordinarily, if an appointment is extended by a year for medical reasons, any promotion review (whether from assistant to associate professor or from associate to full professor) is postponed by a year as well. If an appointment is extended for medical reasons for a period less than a year, any promotion review will be postponed by an equivalent period of time. However, if the extension of the appointment for medical reasons takes place after a review is already underway, the review is not ordinarily postponed, and the extension is added to the term of reappointment or promotion.

As noted above, a maximum of two one-year appointment extensions and two one-year review postponements, regardless of the reason, are possible over the course of tenure-track faculty appointments.
(5) **Personal Leave and Appointment Extensions**

a. **Personal Leave**

Unpaid leave may be granted to ladder faculty members (assistant, associate, or full professors) and faculty members with an appointment of at least half-time as professor of the practice, senior preceptor, or senior lecturer (if that title is not dependent upon an administrative appointment) for compelling personal reasons (for example, the care of a seriously ill spouse, partner, parent, or child). The FAS may count personal leaves toward the fulfillment of the FMLA 12-week leave entitlement, if the reason for the leave meets the FMLA criteria.

Such leaves may be exempted from ordinary residence requirements between leaves for those who are eligible for regular leaves. Written requests are submitted to the assistant dean for the appropriate division and are subject to approval by the FAS Dean.

b. **Personal Appointment Extension and Postponement of Review for Tenure-Track Faculty**

A tenure-track faculty member may request an extension of his or her existing appointment on the basis of compelling personal reasons (for example, the care of a seriously ill spouse, partner, parent, or child). The written request is sent to the assistant dean for the appropriate division, with a copy to the department chair. Such requests are subject to the approval of the FAS Dean.

If the requested extension is approved, the new dates of appointment are confirmed in writing to the faculty member, with a copy to the department chair(s).

Ordinarily, if an appointment is extended by a year for personal reasons, any promotion review (whether from assistant to associate professor or from associate to full professor) is postponed by a year as well. If an appointment is extended for personal reasons for a period less than a year, any promotion review will be postponed by an equivalent period of time. However, if the extension of the appointment for personal reasons takes place after a review is already underway, the review is not ordinarily postponed, and the extension is added to the term of reappointment or promotion.

As noted above, a maximum of two one-year appointment extensions and two one-year review postponements, regardless of the reason, are possible over the course of tenure-track faculty appointments.
4. TENURED PROFESSORS

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   (3) Dossier Checklist: Internal Promotion to Tenured Professor from a Tenure-Track Position (Page 4.11)
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B. External Appointment to Tenured Professor (Page 4.19)

   (1) Search Flowchart (Page 4.19)
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   (5) Dossier Instructions (Page 4.31)

Note: For the specific purposes of this document and its associated procedures, “divisional dean” also refers to the SEAS dean, and “department chairs” to SEAS area deans. Although SEAS faculty members follow the same policies, some procedures may vary. Therefore, members of SEAS should also consult SEAS-specific documents.

Note: All procedural questions regarding faculty hiring, reviews, promotions, and leaves should be directed to the assistant dean for the appropriate division, and the assistant dean should receive a copy of all documentation regarding these procedures. For the appropriate contact for procedural questions regarding SEAS appointments, please see the contact table on page 1.7.
Description: Tenured Professor

Tenured professorial appointments are reserved for scholars of the first order of eminence who have demonstrated excellence in teaching and research and who have the capacity to make significant and lasting contributions to the department(s) proposing the appointment. The foremost criteria for appointment are: scholarly achievement and impact on the field, evidence of intellectual leadership and creative accomplishment, potential for future accomplishments, teaching and advising effectiveness in a variety of settings with both undergraduate and graduate students, and the individual’s potential contributions to the University and broader scholarly communities. Past accomplishments or a general standard of merit are not sufficient for appointment. Professors are expected to employ their time in teaching, advising, scholarship, and the obligations of academic citizenship.

These appointments are without limit of time and are at the rank of professor.
A. Internal Promotion to Tenured Professor from a Tenure-Track Position

(1) Promotion Flowchart: Internal Promotion to Tenured Professor

**Department chair** receives list of faculty scheduled for review from assistant dean (AD). Chair meets individually with candidates, discusses review process, and requests materials from candidate(s) (Steps 1, 2).

Chair requests divisional dean (DD) approval of review committee; department gathers candidate’s teaching/advising materials; department determines whether candidate’s materials warrant further review (Steps 3, 4, 5).

Department requests DD approval to collect external evaluations, submitting tenure review letter, recipient list, and optional initial-inquiry letter to DD. (Steps 6a, 6b).

Department chair sends finalized promotion review letter and candidate materials to finalized recipient list (Step 7).

Review/search committee discusses external letters and candidate materials and drafts a case statement. Department reviews case statement and all materials, discusses the case’s strengths and weaknesses, and votes on candidate (Step 8).

If vote is favorable, each tenured member of the department writes a confidential letter to the FAS Dean with views on the appointment (Step 9).

Department chair and review/search committee chair finalize candidate’s case statement. Dossier is sent to AD (Steps 10, 11).

Committee on Appointments and Promotions reviews dossier and advises Dean whether to forward it to the President and Provost for further review (Step 12).

If requested by the President, an *ad hoc* committee and departmental “witnesses” are assembled. The President and/or Provost review the case, and the President makes the final decision on the appointment (Steps 13, 14).

FAS Dean issues the offer of appointment, and appointment is processed in ASPerIN (Steps 15, 16).
(2) Steps: Internal Promotion to Tenured Professor from a Tenure-Track Position

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<th>Step</th>
<th>Explanation</th>
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<tr>
<td>1</td>
<td>Each spring, department chairs receive from the divisional assistant dean a list of faculty scheduled for review for promotion to tenured professor during the next academic or calendar year. Note: Promotion reviews should ordinarily be completed by the end of the associate professor’s penultimate year of appointment. Following completion of the steps below, departments submit promotion recommendations no later than February 28 (for appointments ending in June) or October 1 (for appointments ending in December). Note: This “Steps” table shows suggested timing for tenure-track faculty whose appointments end in June. The “Suggested Timelines” at the end of this chapter also show timing for appointments that end in December.</td>
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</table>
| 2    | By the beginning of July of the candidate’s penultimate year as an associate professor, the chair meets with the candidate to discuss the tenure review process and asks the candidate to provide materials in early September. Note: By the time the candidate comes up for promotion, the department should have had ample opportunities to hear the candidate present his or her research. If this has not recently occurred, the candidate should give a talk presenting his or her research to the department. The candidate’s materials include:  
  - *Curriculum vitae*, including a complete bibliography.  
  - Copies of all publications (including forthcoming) or other scholarly materials, and all significant reviews (in book fields), indicating which items the candidate would like sent to external reviewers.  
  - Teaching and advising materials, including: teaching awards, a list of undergraduate theses supervised, the graduate students for whom the candidate has primary responsibility, and representative course syllabi.  
  - A teaching statement.  
  - A research statement.  
  - Other relevant materials, such as a list of experts in the field whom the department may wish to consult about the review or any experts the candidate feels should not be consulted, with an accompanying explanation.  
  - The department chair should inform the candidate that he or she should not solicit letters from students for inclusion in these materials. |
| 3    | The chair requests divisional dean approval of a proposed review committee and, following this approval, appoints the committee. The committee consists of tenured colleagues who will evaluate the case. The request should name the committee chair and other review committee members. Former undergraduate, graduate, or postdoctoral advisors of the candidate should not chair the committee.  
  - The chair is strongly encouraged to consider including a tenured faculty member from another department.  
  - When there is an overlap in research interests, the chair should ask a representative of the appropriate center, institute, or initiative to serve on or consult with the review committee. |
Internal Promotion to Tenured Professor from a Tenure-Track Position

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| 4    | The department compiles a summary teaching chart and gathers information on the candidate’s performance as an adviser of undergraduates and mentor of graduate students.  
- The summary teaching chart summarizes, in chronological order, all courses the candidate has taught, including course titles, enrollments, and overall course and instructor scores.  
- To gather student feedback on advising/mentoring, which should be summarized in the case statement, the department chair either speaks with or writes to the candidate’s students. If the feedback takes the form of letters, the chair should make clear that he or she plans to keep the letters confidential (although the dean may request any information regarding the case if questions arise).  
- The chair or other designated members of the department are strongly encouraged to attend the candidate’s classes sometime during his or her tenure-track appointment. |
| 5    | The committee considers all the gathered materials and the department decides whether to proceed with the case.  
After reviewing all the materials, the committee reports its initial findings to the department. The department’s tenured members discuss the strengths and weaknesses of the case and decide whether it warrants further review. If the case does not warrant further review, the department must affirm this decision by a recorded vote. The department chair then sends to the divisional dean the current dossier, including a record of the department vote, and a draft of the letter to the candidate. After divisional dean approval, the department gives the letter to the candidate.  
Note: When a candidate opts, at any stage in the process, to withdraw his or her case from consideration, a departmental vote does not occur. Candidates wishing to withdraw their case should state this in a letter to the department chair, which the chair shares with the divisional dean. |
| 6a   | If further review is recommended, the department requests authorization from the divisional dean to solicit external evaluation letters. With the request, the department should submit a draft of the tenure review letter, the recipient list (see Sample Table), and, if the department chooses to send an initial inquiry (see Step 6b) before the tenure review letter, a  
The tenure review letter (see the Sample Letters section of this handbook) should include:  
- A broad description of the candidate’s field.  
- Identification of the candidate for promotion.  
- The criteria for appointment to a tenured position at Harvard.  
- The comparison list (see below).  
- A request that the individuals named be compared, taking into account the career stages of the comparands and the candidate.  
- A request for a recommendation of whether the candidate merits tenure within the FAS at Harvard.  
- An indication that the University intends, to the extent permitted by law, to keep the response confidential and to make it available only to the department chair and those involved in the formal review process.  
- The deadline for receipt of responses and contact information. (Note: The department should give letter writers at least six to eight weeks to... |
## Internal Promotion to Tenured Professor from a Tenure-Track Position

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<td><strong>draft of the initial inquiry letter</strong>&lt;br&gt;Note: This information should ordinarily be submitted to the divisional dean in October</td>
<td>prepare their letters—dating from the mailing of the tenure review letter, not the initial inquiry—depending on the volume of materials under review.)</td>
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</table>

### The comparison list:
- The comparison list includes four to five scholars in the candidate’s field who span a range of experiences from the strongest recently tenured scholars to full professors who are well-established leaders in the field; in some instances, it may be appropriate to include highly accomplished senior researchers, curators, artists, or others. The list must include at least two full professors and at least one female comparand.
- The comparands listed are not candidates for the position and are listed solely as benchmarks for the candidate undergoing review.
- The most useful comparison list consists of scholars who themselves meet the standards for tenure within the FAS. (However, no Harvard faculty—excluding the candidate—should be included on the comparison list.)
- Efforts should be made to ensure that the list is diverse and includes women and members of minority groups.
- The list should be in alphabetical order and include home institution, title, year of doctorate, current rank, and a link to the scholars’ website.

### The recipient list (see the Sample Table in this handbook):
- The recipient list should include active scholars who are full professors within the field (or fields, in interdisciplinary cases).
- The list should be diverse, including women and members of minority groups.
- In science and engineering cases, some of the external reviewers may be prestigious senior researchers from corporations or research institutes, rather than universities.
- In certain arts and humanities cases, some of the external reviewers may be well-established museum curators or artists.
- The list (see Sample Table) should be in alphabetical order and include home institution, title, year of doctorate, current rank, and a link to the scholars’ websites.

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<th>6b</th>
<th>(Optional step, for departments choosing to send an initial inquiry)</th>
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<td>In October, once the divisional dean has approved the review letter, recipient list, and initial inquiry email (see the Sample Letter section of this handbook) asks recipients if they would be willing to write a letter, requesting their answer by a specific date.</td>
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- The department writes to a number of scholars sufficient to elicit 12 to 15 responses for inclusion in the final dossier. Please take into account that 12 affirmative responses to the initial inquiry may not ultimately result in 12 external evaluations of the candidate.
- The inquiry email and all responses from scholars should be included in the final dossier.
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<tr>
<td><strong>initial inquiry</strong> letter, the department chair sends the initial inquiry to scholars on the recipient list</td>
<td>• Any initial inquiries conducted by phone (and scholars’ responses) must be documented for inclusion in the final dossier.</td>
</tr>
</tbody>
</table>
| 7 | The chair sends the tenure review letter and candidate materials to all scholars who have replied affirmatively to the initial inquiry email (see Step 6b). If the chair has chosen not to send any initial inquiries, the review letter and candidate materials are sent directly to the scholars on the recipient list. In both cases, the chair requests receipt of external letters by the end of December. | • With the tenure review letter, the department should include the candidate’s CV, research statement, teaching statement, selected publications and all significant reviews (in book fields), and a link to the candidate’s website.  
• The department writes to a number of scholars sufficient to elicit 12 to 15 responses for inclusion in the final dossier. These letters are in addition to any letters the department might solicit from past advisors.  
• The names of outside scholars declining to write an evaluation should be noted in the case statement. Any explanatory emails/letters from these scholars should be included with the other external evaluations. |
| 8 | After discussing the external letters, the review committee drafts a case statement; the tenured members of the department review all materials, discuss the case, and vote (January or February) | • The draft case statement for the candidate summarizes the committee’s conclusions, including the strengths and weaknesses of the case (see Step 10 for all of the necessary elements of the final case statement).  
• The department reviews the draft case statement, the external letters, and all of the candidate’s materials and discusses the strengths and weaknesses of the case. The department should assess whether the candidate has met the criteria for tenure within the FAS. As part of this discussion, the department should assess the impact the candidate has had on the field (e.g., whether the candidate is setting the agenda in the field), the candidate’s trajectory (whether the candidate has distinguished him/herself from his/her cohort and is emerging as among the most influential figures in the field), and the candidate’s potential for future contributions.  
• The tenured members of the department vote on whether the case is strong enough to proceed. A favorable vote does not have to be unanimous but must comprise affirmative votes by a significant majority of the tenured faculty in the department. If the department does not believe that the candidate warrants tenure at Harvard, the department chair sends to the divisional dean the current dossier, including a record of the department vote, and a draft of the letter to the... |
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<td>9</td>
<td>After a favorable vote, the chair asks each tenured member of the department, including those on the review committee, to write a confidential letter to the FAS Dean. These letters express the tenured faculty members’ views on the promotion and will be included in the candidate’s dossier to be reviewed by the Committee on Appointments and Promotions (CAP) and the ad hoc committee, as appropriate. (For inclusion in the dossier, letters should be sent electronically to the ad hoc coordinator in the Office for Faculty Affairs, <a href="mailto:ryoung@fas.harvard.edu">ryoung@fas.harvard.edu</a>.)</td>
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| 10   | The case statement is finalized by the department chair. The finalized case statement, prepared and signed by the department chair and the chair of the review committee, should include the following sections:  
• A one-paragraph executive summary of the candidate’s contributions and the department’s recommendation.  
• Background and context: A description of the candidate’s area and how it fits into the department’s academic plan.  
• Summary of the review process.  
• Comparands: List of names and home institutions, with a brief rationale for each comparand.  
• External letter writers: A brief description of the logic underlying the composition of the external letter writer group, especially in cases where the candidate is multidisciplinary.  
• The intellectual case for the candidate:  
  o A summary of the candidate’s scholarly contributions.  
  o An analysis of how these contributions meet the intellectual criteria for tenure, including the impact the candidate has had on the field (e.g., whether the candidate is setting the agenda in the field), an indication of the candidate’s trajectory (how the candidate has distinguished him/herself from his/her cohort and is emerging as among the most influential figures in the field), and the candidate’s potential for future contributions. This analysis should clearly draw on both the external letters and the considered judgments of departmental faculty.  
• Teaching, advising, and service: An evaluation of teaching and advising effectiveness in a variety of settings with both undergraduate and graduate students (including a summary of student feedback solicited by the department chair) and description of service.  
• A discussion of the strengths and weaknesses of the candidate’s case as noted in the external evaluations and the internal conversations of both the review committee and the department.  
• Departmental vote: A record of the department vote, by name, with an “as of” date for the vote tally. |
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| 11   | The candidate’s dossier is prepared by the department and sent to the assistant dean for the division.  
- Signatures: An indication of the primary author of the statement.  
- Please send one electronic copy of the dossier to the assistant dean via Accellion (secure document transfer: [https://fta.fas.harvard.edu](https://fta.fas.harvard.edu)). For a full checklist of what the dossier should include, please see the dossier checklist on page 4.11.  
- Once the assistant dean has determined the dossier is complete, the department forwards to the assistant dean:  
  - 1 electronic PDF of the dossier  
  - 1 electronic PDF of student teaching evaluations  
  - 1 electronic PDF of ad hoc committee membership recommendations  
- The department also forwards to the ad hoc coordinator in the Office for Faculty Affairs:  
  - 12 hard copies of the dossier  
  - 10 hard-copy sets of publications and (in book fields) all significant reviews, and 1 electronic set (if available)  
  
Note: All electronic materials must be sent via Accellion (secure document transfer: [https://fta.fas.harvard.edu](https://fta.fas.harvard.edu)). |
| 12   | The Committee on Appointments and Promotions reviews the dossier and advises the FAS Dean on the next step for the dossier, which can include the following:  
(1) The case is sufficiently strong to forward to the President  
(2) CAP needs further information or the department needs to modify the case statement before the Dean decides whether to forward the case to the President, or  
(3) The case is not strong enough, and CAP advises the Dean to turn down the tenure case. In the latter instance, the Dean notifies the department in writing within a reasonable timeframe. |
| 13   | This review usually, but not exclusively or necessarily, takes the form of an ad hoc committee, presided over by the President or the Provost. An ad hoc review is one aspect of the decision-making process. The President or Provost may also consult with internal and external scholars who are not involved in the ad hoc review to provide greater context for the President’s deliberations. In order to protect the candidate and the integrity of the process, all aspects of the President’s deliberations, including the timing and the type of ad hoc, are strictly confidential.  
If the President decides to convene an ad hoc committee, it is assembled by the divisional dean, in collaboration with the Senior Vice Provost for Faculty Development and Diversity. The committee ordinarily consists of three active, full professors from outside Harvard, two active, full professors at Harvard (from a department other than the one making the
## Internal Promotion to Tenured Professor from a Tenure-Track Position

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<td>recommendation), the President or Provost, the Dean of the FAS, the Senior Vice Provost for Faculty Development and Diversity, and the divisional dean responsible for the case. When appropriate, an external member may be a prestigious senior researcher from a corporation or research institute, a well-established artist, or a renowned curator. The committee ordinarily hears from four faculty witnesses, including the department chair, the search committee chair, and other faculty. The candidate’s former undergraduate or graduate thesis advisors or postdoctoral advisors should not ordinarily serve as witnesses. Note: External letter writers typically do not serve on the ad hoc committee, although experts who sent no, or little, response to a department’s request for a letter may be considered. In exceptional cases, the department can include in its ad hoc committee recommendations someone who has already submitted a substantive letter.</td>
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<td>14</td>
<td>The President decides whether to approve the promotion to tenure and announces her decision</td>
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<td>After evaluating all of the information gathered throughout the process, the President makes the final decision regarding all tenure appointments that are forwarded to her for review and writes a letter with her decision to the FAS Dean.</td>
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<tr>
<td>15</td>
<td>If the decision is favorable, the offer of appointment is issued by the FAS Dean</td>
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<td>The offer letter (drafted in consultation with the divisional dean by the Office for Faculty Development) contains information on title, appointment, salary, benefits, responsibilities, research funding, leave policies, and limitations or conditions and special arrangements (including joint or affiliate appointments). The Office for Faculty Development makes any revisions to the offer letter in writing. The candidate’s acceptance of the offer must be made in writing to the FAS Dean. Note: If, at any point in the review process, the department, the FAS Dean advised by CAP, or the President determines that the case should not proceed, the department chair must notify the candidate in writing, with the draft letter to the candidate first approved by the divisional dean.</td>
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<td>16</td>
<td>If the offer is accepted, the appointment is processed in the ASPeRIN system by the Office for Faculty Affairs</td>
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<td>The Office for Faculty Development provides all documentation for processing.</td>
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### Dossier Checklist: Internal Promotion to Tenured Professor from a Tenure-Track Position

**REQUIRED CONTENTS**

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<tr>
<th>Section</th>
<th>Text on Labeled Divider Tab</th>
<th>Contents</th>
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<tr>
<td>1</td>
<td>Case Statement</td>
<td>See page 4.8 for details. Case statements must include a record of the department vote, by name, with an “as of” date for the vote tally.</td>
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<td>2</td>
<td>Authorization letter</td>
<td>The authorization letter for the review</td>
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<td>3</td>
<td><em>Curriculum vitae</em>, Statements</td>
<td>• Candidate’s <em>curriculum vitae</em> and bibliography</td>
<td>12</td>
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<td>• Teaching statement, including the list of graduate students for whom the candidate has primary responsibility</td>
<td>12</td>
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<td>• Research statement</td>
<td>12</td>
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<td>4</td>
<td>Teaching materials</td>
<td>• <em>Summary teaching chart</em>, indicating any semesters on leave</td>
<td>12</td>
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<td>• Teaching awards</td>
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<td>• A list of undergraduate and graduate theses supervised (if not already included in the CV)</td>
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<td>• Representative course syllabi</td>
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<td>Student evaluations of teaching are sent separately; see “Additional Materials” below.</td>
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<tr>
<td>5</td>
<td>External Evaluations</td>
<td>• <em>Initial inquiry letter</em> (including documentation of any initial inquiries conducted by telephone)</td>
<td>12</td>
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<td>• <em>Tenure review letter</em></td>
<td>12</td>
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<td>• A list (see Sample Table) of people (with their home institution and links to their individual website) from whom the external letters were solicited, indicating those who did and did not reply</td>
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<tr>
<td>Student Evaluations of Teaching</td>
<td>All student evaluations, with each course bookmarked and named by year, semester, course title, course number. (See the “Guide to Preparing an Electronic Tenure Dossier” for details: log in to “Information for Departments” on the Faculty Affairs website.)</td>
<td>1 PDF sent electronically to assistant dean for the division</td>
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| Publications, Reviews | • The candidate publications chosen by the department to be submitted to the ad hoc committee. E.g.,  
  o Selected significant articles and most recent articles (or other works)  
  o Significant unpublished manuscript(s)  
  o Books  
  • In book fields, all significant reviews of the candidate’s publications | 10 sets in hard copy and 1 set sent electronically (if available) to ad hoc coordinator |   |
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<th><strong>Ad Hoc Information</strong></th>
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| Information on the *ad hoc* committee | *Ad hoc* committee membership recommendations:  
  - A list from the chair proposing the names of *at least* 10 active, full professors outside the University (including names of minorities and women whenever possible) who might be asked to serve on the *ad hoc* committee. Include institution address, telephone, and e-mail information. Please note that the proposed members should not be:  
    o External evaluators (except in exceptional cases: see Step 13).  
    o Anyone who may have a conflict of interest with the case (e.g., advisers, coauthors, collaborators)  
  - The chair may also include a list of scholars that he/she believes should not be on the *ad hoc* committee, with a corresponding explanation  
  - A list of three or four non-departmental, active, full professors from any of the Harvard Faculties who might also serve on the committee  
  - The names of four departmental witnesses, including the search(review) committee chair, the department chair, and other faculty members who, in some cases, may represent a dissenting opinion | 1 PDF sent electronically to assistant dean for the division |
(4) Dossier Sample
(5) Dossier Instructions

Please Read Carefully before Submission of the Dossier:

a. CAP

The Committee on Appointments and Promotions (CAP) reviews dossiers and makes recommendations to the Dean before the Dean decides whether to forward a dossier to the President for further review. CAP is scheduled to meet most Wednesdays during the academic year (the Office for Faculty Affairs will verify dates and times), and the dossiers are delivered to each CAP member two Fridays before the next meeting.

Note: A dossier is not submitted to CAP until the ad hoc coordinator has received a substantial number of the confidential letters written to the FAS Dean by each tenured member of the department. Letters should be sent electronically to the ad hoc coordinator, ryoung@fas.harvard.edu.

b. Submission Deadlines

A preliminary copy of the dossier must be electronically submitted (through Accellion, secure document transfer: https://fta.fas.harvard.edu) to the assistant dean for the division by February 28. To facilitate storing and sharing of files, please follow the naming conventions described below in Section e., “How to Prepare an Electronic Dossier.” Any dossier received after February 28 might not be scheduled for an ad hoc review until the following fall. This includes external appointments to tenured professor.

Once the assistant dean has reviewed the dossier for completeness, the department must submit the materials listed below (see “Submission Procedures”) to the assistant dean for the division and the ad hoc coordinator, respectively. These materials should be correctly formatted, with all electronic documents sent through Accellion. CAP will be scheduled no sooner than two weeks after the final dossier is complete.

c. Submission Procedures

i. Please send the following items to the assistant dean for the division:

   a) 1 electronic PDF of the approved dossier
   b) 1 electronic PDF of student teaching evaluations
   c) 1 electronic PDF of ad hoc committee membership recommendations

ii. Please send the following items to the ad hoc coordinator in University Hall 411 (ryoung@fas.harvard.edu):

   a) 12 collated hard copies of the dossier
   b) 10 hard-copy sets of selected publications and reviews and 1 electronic copy (if available)

Note: To preserve confidentiality, departments should not use external copy services to copy external letters and the case statement.
d. How to Assemble a Hard-Copy Dossier

i. Affix to a folder a label bearing the department name and the candidate’s name. (Please use a folder instead of binding the dossier in any way.)

ii. Assemble the dossier with the seven sections (i.e., Case Statement; Authorization Letter; Curriculum vitae, Statements; Teaching Materials; External Evaluations; Publication Information; Citation Information) arranged in the order shown in the sample on page 4.14. Each of the seven sections should be stapled or clipped separate from the other sections. All pages in the dossier should be single-sided.

e. How to Prepare an Electronic Dossier

i. The electronic dossier should be a single PDF document, a replica of the hard-copy dossier with materials arranged in the same order. For assembly instructions, please see the “Guide to Preparing an Electronic Tenure Dossier” (log in to “Information for Departments” on the Faculty Affairs website) or contact the divisional assistant dean with any questions.

ii. Naming conventions:

- The file name of the electronic tenure dossier should contain alpha-numeric characters only (no dashes, commas, slashes, etc.).
- Please name the file as follows: [Last Name] [First Name] [Department Name] tenure dossier [numerical Month, Date, and Year of dossier submission: XX YY ZZ]. E.g., Smith John Psychology tenure dossier 1 4 13.
- If a dossier is revised and resubmitted, please repeat the original title, followed by “rev” and [Month of resubmission] [Date of resubmission] [Year of resubmission]. E.g., Smith John Psychology tenure dossier 1 4 13 rev 1 15 13.

iii. Please use Accellion (secure document transfer) to send the completed dossier.

f. How to Prepare a PDF of Student Evaluations of Teaching

i. Please create a single PDF containing all student evaluations of teaching. Insert a bookmark for each course so that readers can move directly to individual courses. Clearly identify each course and its bookmark with the following information: course title, course number, semester and year. For more assembly instructions, please see the “Guide to Preparing an Electronic Tenure Dossier” (log in to “Information for Departments” on the Faculty Affairs website) or contact the divisional assistant dean with any questions.

ii. Please use Accellion (secure document transfer) to send the completed document.

Note: The candidate should not solicit student letters, and any unsolicited student letters will not be included in the dossier.

Departments should keep a copy of the dossier on file for the department’s records for 5 years.
(6) Suggested Timeline for Standard Academic-Year Appointments: Departmental Review of Tenure-Track Faculty for Promotion to Tenured Professor

Note: Reviews for promotion should ordinarily be completed by the end of the penultimate year of appointment.

June/July: Prior to, or at the beginning of, candidates’ penultimate year of appointment, chairs receive letters from the assistant dean for the division indicating which tenure-track faculty (both calendar-year and academic-year appointees) are eligible for review. Chairs meet with candidates to go over the materials needed for the review.

By early September:
- Department chairs request approval of review committee membership from divisional deans. After approval, chairs appoint the review committees.
- Candidates submit their materials to departments.
- Departments compile summary teaching charts and gather materials on the candidates’ performance as advisors of undergraduates and mentors of graduate students.

September/October:
- Review committees consider the candidates’ materials and present the cases to the departments. The tenured faculty members in the departments then discuss and decide whether the cases warrant further review.
- If the departments are recommending further review, the chairs request divisional dean authorization to collect external evaluation letters, submitting for divisional dean approval drafts of the review letters, proposed recipient lists, and (if departments choose to send initial inquiries) the initial inquiry emails.
- Departments send approved letters to approved recipient lists. Departments should give letter writers at least six to eight weeks to prepare their letters (dating from the mailing of the review letter), depending on the volume of materials under review.

Early January: Expected date of replies from external scholars.

January/February:
- Tenured members of departments review dossiers and vote on whether to recommend promotions.
- If the recommendations are positive, departments finalize dossiers for submission to Faculty Affairs. Each tenured member of the department submits a confidential letter to the Dean regarding the case.

February 28: Deadline for submission of promotion dossiers to Faculty Affairs.

March-June: Review, as appropriate, by divisional deans, the Committee on Appointments and Promotions, ad hoc committees, and the President, followed by notification to candidates about the outcomes.

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4 This timeline applies to tenure-track faculty whose appointments will end on June 30. Departments may complete the process in a more compressed timeframe, if they prefer, as long as their accelerated timetable allows all parties the full measure of time for completing their tasks and all promotion dossiers are submitted to Faculty Affairs by February 28.
(7) Suggested Timeline for Calendar-Year Appointments: Departmental Review of Tenure-Track Faculty for Promotion to Tenured Professor

Note: Reviews for promotion should ordinarily be completed by the end of the penultimate year of appointment.

June/July: In the summer prior to the beginning of candidates’ penultimate year of appointment, chairs receive letters from the assistant dean for the division indicating which tenure-track faculty (both calendar-year and academic-year appointees) are eligible for review.

December/January: Prior to, or at the beginning of, candidates’ penultimate year, chairs meet with candidates to go over the materials needed for the review.

By early April:
- Department chairs request approval of review committee membership from divisional deans. After approval, chairs appoint the review committees.
- Candidates submit their materials to departments.
- Departments compile summary teaching charts and gather materials on the candidates’ performance as advisors of undergraduates and mentors of graduate students.

April/May:
- Review committees consider the candidates’ materials and present the cases to the departments. The tenured faculty members in the department then discuss and decide whether the cases warrant further review.
- If the departments are recommending further review, the chairs request divisional dean authorization to collect external evaluation letters, submitting for divisional dean approval drafts of the review letters, proposed recipient lists, and (if departments choose to send initial inquiries) the initial inquiry emails.
- Departments send approved letters to approved recipient lists. Departments should give letter writers at least six to eight weeks to prepare their letters (dating from the mailing of the review letter), depending on the volume of materials under review.

August: Expected date of replies from external scholars.

September:
- Tenured members of departments review dossiers and vote on whether to recommend promotions.
- If the recommendations are positive, departments finalize dossiers for submission to Faculty Affairs. Each tenured member of the department submits a confidential letter to the Dean regarding the case.

October 1: Deadline for submission of promotion dossiers to Faculty Affairs.

October-December: Review, as appropriate, by divisional deans, the Committee on Appointments and Promotions, ad hoc committees, and the President, followed by notification to candidates about the outcomes.

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5 This timeline applies to tenure-track faculty whose appointments will end on December 31 in a future year. Departments may complete the process in a more compressed timeframe, if they prefer, as long as their accelerated timetable allows all parties the full measure of time for completing their tasks and all promotion dossiers are submitted to Faculty Affairs by October 1.
B. External Appointment to Tenured Professor

(1) Search Flowchart: External Appointment to Tenured Professor

Department chair receives authorization from divisional dean (DD) to conduct a search. Chair submits search plan to assistant dean (AD) for approval (Step 1).

Department advertises position, requests DD approval of a short list of candidates, and invites short list candidates for campus interview (Steps 2, 3, 4).

Department requests DD approval to collect external evaluations, submitting blind letter, recipient list, and optional initial-inquiry letter to DD (Steps 5a, 5b).

Department chair sends finalized blind letter to finalized recipient list (Step 6).

Review/search committee discusses external letters and candidate materials and drafts a case statement. Department reviews case statement and all materials, discusses the case’s strengths and weaknesses, and votes on candidate (Steps 7, 8).

If vote is favorable, each tenured member of the department writes a confidential letter to the FAS Dean with views on the appointment (Step 9).

Department chair and review/search committee chair finalize candidate’s case statement. Dossier is sent to AD (Steps 10, 11).

Committee on Appointments and Promotions reviews dossier and advises Dean whether to forward it to the President and Provost for further review (Step 12).

If requested by the President, an ad hoc committee and departmental “witnesses” are assembled. The President and/or Provost review the case, and the President makes the final decision on the appointment (Steps 13, 14).

FAS Dean issues the offer of appointment, and appointment is processed in ASPERIN (Steps 15, 16).
### Steps: External Appointment to Tenured Professor

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| 1    | Each spring, the divisional dean authorizes searches for the upcoming academic year based on departments’ academic plans and ongoing conversations with the departments. After receiving the divisional dean’s authorization letter, the department submits a search plan to the divisional assistant dean for approval. The search plan should address:  
  - The names of the proposed search committee members, including the chair, who will have primary responsibility for ensuring that the search is broad, wide-ranging, and thorough and that proactive efforts are made to identify candidates who are women and minorities. The department should ask a representative of the appropriate center, institute, or initiative to serve on or consult with the search committee when there is an overlap in research interests.  
  - A copy of the draft advertisement for the position.  
  - A description of the field or area(s) of the search, as stated in the advertisement.  
  - The process by which candidates will be identified to ensure the generation of the most highly qualified and diverse pool of applicants.  
  - The space (office, studio, and/or laboratory) that will house the proposed appointment and any other important resource considerations. |
| 2    | After approval of the search plan by the divisional dean, the department advertises the position and makes inquiries at other institutions. All advertising copy must be reviewed and approved by the assistant dean for the division before it is submitted to the appropriate journals and other venues. Advertisements and inquiries should describe the position broadly, must specifically express interest in candidates who are women and minorities, and should list a date after which applications will not be considered. At least one form of the advertisement should be published in print. Advertisements should clearly state required documents and must indicate that Harvard is an Equal Opportunity/Affirmative Action employer.  
  - The dossier for the finalist must include a teaching statement and teaching materials (e.g., a teaching chart, any teaching awards, a list of undergraduate and graduate theses supervised, representative course syllabi, and teaching evaluations). The advertisement should ask all candidates to submit a teaching statement and a research statement with their original application materials. The department may request the other teaching materials only from the finalist.  
  - Candidates should not solicit student letters, and any unsolicited student letters will not be included in the final dossier.  
  - Harvard is required to solicit and record, when available, each applicant’s gender and racial/ethnic information, which is accomplished through the ARIeS system. Applicants are not required to provide demographic information. |
| 3    | The department submits a short list of candidates. The short list consists of candidates the department has determined are the most qualified for the job in terms of credentials, accomplishments, |
### External Appointment to Tenured Professor

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| for approval by the divisional dean | standing in the field, teaching experience, and field of expertise. The short list should be demographically diverse.  
**Note:** In developing a short list, if the research interests of the appointment overlap with a center, institute, or initiative, the department should take into account the views of that unit.  
The department sends the following to the divisional dean and the assistant dean for the division:  
• The names of the short list candidates.  
• The candidates’ materials (e.g., letters of application, CVs, research and teaching statements).  
• A brief summary of the search process to date.  
• An EEO chart displaying demographics data from the search. This report can be retrieved through the ARiE system. See Chapter 2 in this handbook for more information on Affirmative Action policies.  
If approval is granted, the department invites short-list candidates to campus for interviews | Candidates meet with members of the department. The visits may include formal seminars, lectures, or presentations of working papers, as well as informal meetings with faculty, graduate students, and others. The assistant dean for the division should be given a list of dates of any seminars, lectures, or presentations. |
| 5a The department requests authorization from the divisional dean to solicit external evaluation letters. With the request, the department should submit a draft of the blind letter, the recipient list (see Sample Table) and, if the department chooses to send an initial inquiry (see Step 5b) before the blind letter, a draft of the initial inquiry letter | The blind letter (see the Sample Letters section of this handbook) should include:  
• A broad description of the field of the search.  
• The criteria for appointment to a tenured position at Harvard.  
• The comparison list (see below)  
• A request that the individuals named be compared, absolutely and relatively.  
• A request for names and evaluations of other comparable candidates, including minorities and women, who in the respondent’s view may have been overlooked.  
• An indication that the University intends, to the extent permitted by law, to keep the response confidential and to make it available only to the department chair and those involved in the formal review process.  
• The deadline for receipt of responses and contact information. (Note: The department should give letter writers at least six to eight weeks to prepare their letters—dating from the mailing of the blind letter, not the initial inquiry.)  
**The comparison list:**  
• The comparison list includes four to five tenured scholars in the field; in some instances, it may be appropriate to include highly accomplished senior researchers, curators, artists, or others. The list must include at least two full professors and at least one woman. The
### External Appointment to Tenured Professor

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<td>comparison list may be taken directly from the short list or may be built around comparisons to the finalists, depending on the most appropriate course of action.</td>
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<td>• The most useful comparison list consists of scholars who themselves meet the standards for tenure within the FAS. (However, no Harvard faculty should be included on the comparison list.)</td>
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<td>• The letter should note that the individuals listed have not necessarily been asked if they are willing to be considered and that the list has been selected for the purposes of the department’s own internal evaluation.</td>
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<td>• Efforts should be made to ensure that the list is diverse and includes women and members of minority groups.</td>
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<td>• The list should be in alphabetical order and include home institution, title, year of doctorate, current rank, and a link to the scholars’ websites.</td>
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*The recipient list* (See the Sample Table in this handbook):

|      | The recipient list should include active scholars who are full professors within the field or fields in interdisciplinary cases. |
|      | • The list should be diverse, including women and members of minority groups. |
|      | • In science and engineering cases, some of the external reviewers may be prestigious senior researchers from corporations or research institutes, rather than universities. |
|      | • In certain arts and humanities cases, some of the external reviewers may be well-established museum curators or artists. |
|      | • The list (see Sample Table) should be in alphabetical order and include home institution, title, year of doctorate, current rank, and a link to the scholars’ websites. |

### 5b (Optional step, for departments choosing to send an initial inquiry)

Once the divisional dean has approved the blind letter, recipient list, and initial inquiry letter, the department chair sends the initial inquiry to scholars on the recipient list.

<p>|      | The <em>initial inquiry email</em> (see the Sample Letter section of this handbook) asks recipients if they would be willing to write a letter, requesting their answer by a specific date. |
|      | • The department writes to a number of scholars sufficient to elicit at least 12 to 15 responses for inclusion in the final dossier. Please take into account that 12 affirmative responses to the initial inquiry may not ultimately result in 12 external evaluations of the candidate. |
|      | • The inquiry email and all responses from scholars should be included in the final dossier. |
|      | • Any initial inquiries conducted by phone (and scholars’ responses) must be documented for inclusion in the final dossier. |</p>
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<td>The chair sends the blind letter to all scholars who have replied affirmatively to the initial inquiry email (see Step 5b). If the chair has chosen not to send any initial inquiries, the blind letter is sent directly to the scholars on the recipient list.</td>
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<td>• The department writes to a number of scholars sufficient to elicit at least 12 to 15 responses for inclusion in the final dossier. These letters are in addition to any letters the department might solicit from past advisors.</td>
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<td>• The names of outside scholars declining to write an evaluation should be noted in the case statement. Any explanatory emails/letters from these scholars should be included with the other external evaluations.</td>
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<td>After discussing the external letters, the search committee selects a final candidate</td>
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<td>Note: In selecting the final candidate, if the research interests of the appointment overlap with a center, institute, or initiative, the department should take into account the views of that unit.</td>
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<td>The search committee drafts a case statement; the tenured members of the department review all materials, discuss the case, and vote</td>
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<td>• The draft case statement for the candidate summarizes the committee’s conclusions, including the strengths and weaknesses of the case (see Step 10 for all of the necessary elements of the final case statement).</td>
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<td>• The department reviews the draft case statement, the external letters, and all of the candidate’s materials and discusses the strengths and weaknesses of the case. The department should also assess whether the candidate has met the criteria for tenure within the FAS. As part of this discussion, the department should assess the impact the candidate has had on the field (e.g., whether the candidate is setting the agenda in the field), the candidate’s trajectory, and the candidate’s potential for future contributions</td>
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<td>• The tenured members of the department vote on whether the case is strong enough to proceed. A favorable vote does not have to be unanimous but must comprise affirmative votes by a significant majority of the tenured faculty in the department.</td>
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<td>After a favorable vote, the chair asks each tenured member of the department, including those on the search committee, to write a confidential letter to the FAS Dean</td>
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<td>These letters express the faculty members’ views on the appointment and will be included in the candidate’s dossier to be reviewed by the Committee on Appointments and Promotions (CAP) and the ad hoc committee, as appropriate. (For inclusion in the dossier, letters should be sent electronically to the ad hoc coordinator in the Office for Faculty Affairs, <a href="mailto:ryoung@fas.harvard.edu">ryoung@fas.harvard.edu</a>.)</td>
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<td><strong>The case statement is finalized by the department chair</strong>&lt;br&gt;The finalized case statement, prepared and signed by the department chair and the chair of the search committee, should include the following sections:&lt;br&gt;• A one-paragraph executive summary of the candidate’s contributions and the department’s recommendation.&lt;br&gt;• Background and context: A description of the candidate’s area and how it fits into the department’s academic plan.&lt;br&gt;• The search process: A summary of the search process with copies of correspondence and advertisements, records of telephone conversations, and description of all efforts to identify candidates who are women and minorities; please address the demographics of the pool as displayed on the EEO chart available in ARleS.&lt;br&gt;• Comparands: List of names and home institutions, with a brief rationale for each comparand.&lt;br&gt;• External letter writers: A brief description of the logic underlying the composition of the external letter writer group, especially in cases where the candidate is multidisciplinary.&lt;br&gt;• The intellectual case for the candidate:&lt;br&gt;  o A summary of the candidate’s scholarly contributions.&lt;br&gt;  o An analysis of how these contributions meet the intellectual criteria for tenure, including the impact the candidate has had on the field (e.g., whether the candidate is setting the agenda in the field), an indication of the candidate’s trajectory, and the candidate’s potential for future contributions. This analysis should clearly draw on both the external letters and the considered judgments of departmental faculty.&lt;br&gt;• Teaching, advising, and service: An evaluation of teaching and advising effectiveness in a variety of settings with both undergraduate and graduate students, and description of service.&lt;br&gt;• A discussion of the strengths and weaknesses of the candidate’s case as noted in the external evaluations and the internal conversations of both the search committee and the department.&lt;br&gt;• Departmental vote: A record of the department vote, by name, with an “as of” date for the vote tally.&lt;br&gt;• Signatures: An indication of the primary author of the statement.</td>
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<td><strong>The candidate’s dossier is prepared by the department and sent to the assistant dean for the division</strong>&lt;br&gt;Please send one electronic copy of the dossier to the assistant dean via Accellion (secure document transfer: <a href="https://fta">https://fta</a> fas.harvard.edu). For a full checklist of what the dossier should include, please see page 4.27.&lt;br&gt;• Once the assistant dean has determined the dossier is complete, the department forwards to the assistant dean:&lt;br&gt;  o 1 electronic PDF of the dossier&lt;br&gt;  o 1 electronic PDF of student teaching evaluations&lt;br&gt;  o 1 electronic PDF of ad hoc committee membership</td>
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### External Appointment to Tenured Professor

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| 12   | The Committee on Appointments and Promotions reviews the dossier. The Committee on Appointments and Promotions (CAP) reviews the dossier and advises the FAS Dean on the next step for the dossier, which can include the following:  
(1) The case is sufficiently strong to forward to the President  
(2) CAP needs further information or the department needs to modify the case statement before the Dean decides whether to forward the case to the President, or  
(3) The case is not strong enough, and CAP advises the Dean to turn down the tenure case. In the latter case, the Dean notifies the department in writing within a reasonable timeframe. |
| 13   | The President or Provost reviews the case. This review usually, but not exclusively or necessarily, takes the form of an *ad hoc* committee, presided over by the President or the Provost. An *ad hoc* review is one aspect of the decision-making process. The President or Provost may also consult with internal and external scholars who are not involved in the *ad hoc* review to provide greater context for the President’s deliberations. In order to protect the candidate and the integrity of the process, all aspects of the President’s deliberations, including the timing and the type of *ad hoc*, are strictly confidential. If the President decides to convene an *ad hoc* committee, it is assembled by the divisional dean, in collaboration with the Senior Vice Provost for Faculty Development and Diversity. The committee ordinarily consists of three active, full professors from outside Harvard, two active, full professors at Harvard (from a department other than the one making the recommendation), the President or Provost, the Dean of the FAS, the Senior Vice Provost for Faculty Development and Diversity, and the divisional dean responsible for the case. When appropriate, an external member may be a prestigious senior researcher from a corporation or research institute, a well-established artist, or a renowned curator. In considering the *ad hoc* membership, external letter writers are ordinarily avoided because the dossier already includes the views of these scholars. The committee ordinarily hears from four faculty witnesses, including the department chair, the search committee chair, and other faculty. The candidate’s former undergraduate or graduate thesis advisors or |
### External Appointment to Tenured Professor

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<td>postdoctoral advisors should not ordinarily serve as witnesses. <strong>Note:</strong> External letter writers typically do not serve on the <em>ad hoc</em> committee, although experts who sent no, or little, response to a department’s request for a letter may be considered. In exceptional cases, the department can include in its <em>ad hoc</em> committee recommendations someone who has already submitted a substantive letter.</td>
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| 14   | The President decides whether to approve the appointment and announces her decision. After evaluating all of the information gathered throughout the process, the President makes the final decision regarding all tenure appointments and writes a letter with her decision to the FAS Dean. |

| 15   | If the decision is favorable, the offer of appointment is issued by the FAS Dean. The offer letter (drafted in consultation with the divisional dean by the Office for Faculty Development) contains information on title, appointment, salary, housing, benefits, responsibilities, research funding, leave policies, limitations or conditions, and special arrangements (including joint or affiliate appointments). The Office for Faculty Development makes any revisions to the offer letter. When appropriate, the dean for faculty development will work with a center, institute, or initiative to develop a supplementary letter for the candidate that describes the resources available through the center. The candidate’s acceptance of the offer must be made in writing to the FAS Dean. |

| 16   | If offer is accepted, the final dossier is compiled, and the appointment is processed in the ASPeRIN system by Office for Faculty Affairs. The Office for Faculty Development provides all documentation for processing, with the exception of the I-9 form, which the FAS financial administrator or the department administrator delivers by hand to the Appointments Office. The department administrator will remind the faculty member to sign electronically the *Harvard University Participation Agreement* upon his/her arrival on campus. |

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**Information Regarding External Targeted Searches:**

In rare cases, a tenured professor search may coincide with the recruitment of a specific candidate (a “targeted” search). In these instances, departments may skip steps 2 and 3 in the above process. Departments send an optional initial inquiry letter (which should *not* include the candidate’s name), followed by a blind letter. Additional materials such as *curricula vitae* and publications are not sent out with the blind letter. The department should give letter writers at least six to eight weeks to prepare their letters—dating from the mailing of the blind letter. As always, the initial inquiry letter, blind letter, and recipient list (see *Sample Table*) are reviewed by the divisional dean prior to being sent.
### REQUIRED CONTENTS

<table>
<thead>
<tr>
<th>Section</th>
<th>Text on Labeled Divider Tab</th>
<th>Contents</th>
<th>Number of Copies</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Case Statement</td>
<td>See page 4.24 for details. For an external appointment, the case statement must include a description of all efforts to identify candidates who are women and minorities. Case statements must include a record of the department vote, by name, with an “as of” date for the vote tally.</td>
<td>12</td>
</tr>
<tr>
<td>2</td>
<td>Authorization letter</td>
<td>The authorization letter for the search</td>
<td>12</td>
</tr>
<tr>
<td>3</td>
<td>Curriculum vitae, Statements</td>
<td>- Candidate’s <em>curriculum vitae</em> and bibliography</td>
<td>12</td>
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<td></td>
<td></td>
<td>- Teaching statement, including the list of graduate students for whom the candidate has primary responsibility</td>
<td>12</td>
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<td></td>
<td></td>
<td>- Research statement</td>
<td>12</td>
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<tr>
<td>4</td>
<td>Teaching materials</td>
<td>- <em>Summary teaching chart</em>, indicating any semesters on leave</td>
<td>12</td>
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<td></td>
<td></td>
<td>- Teaching awards</td>
<td>12</td>
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<td>- A list of undergraduate and graduate theses supervised (if not already included in the CV)</td>
<td>12</td>
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<td>- Representative course syllabi</td>
<td>12</td>
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<td>Student evaluations of teaching are sent separately; see “Additional Materials” below.</td>
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</tr>
<tr>
<td>5</td>
<td>External Evaluations</td>
<td>- <em>Initial inquiry letter</em> (including documentation of any initial inquiries conducted by telephone)</td>
<td>12</td>
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<td></td>
<td></td>
<td>- Blind letter</td>
<td>12</td>
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<td></td>
<td></td>
<td>- A list (see Sample Table) of people (with their home institution and links to their individual website) from whom the external letters were solicited, indicating those who did and did not reply</td>
<td>12</td>
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<td>Copies of all responses received, including those from anyone who declined to give a formal response, with English translations of any written in a foreign language and typed copies of any handwritten letters</td>
<td></td>
<td>12</td>
</tr>
</tbody>
</table>
| 6 | Publication information | A list of candidate publications chosen by the department to be submitted to the *ad hoc* committee. E.g.,  
- Selected significant articles and most recent articles (or other works)  
- Significant unpublished manuscript(s)  
- Books  
- In book fields, a list of all significant reviews of the candidate’s publications |   | 12 |
| 7 | Citation information | In table format (See Sample Citation Table), if appropriate to the field:  
- Total citation count for the candidate and comparands  
- Citation count for each of the candidate’s publications |   | 12 |

**Additional Materials**

<table>
<thead>
<tr>
<th>Item</th>
<th>Contents</th>
<th>Number of Copies</th>
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</thead>
<tbody>
<tr>
<td>Student Evaluations of Teaching</td>
<td>All student evaluations, with each course bookmarked and named by year, semester, course title, course number. (See the “Guide to Preparing an Electronic Tenure Dossier” for details: log in to “Information for Departments” on the Faculty Affairs website.)</td>
<td>1 PDF sent electronically to assistant dean for the division</td>
</tr>
</tbody>
</table>
| Publications, Reviews | The candidate publications chosen by the department to be submitted to the *ad hoc* committee. E.g.,  
- Selected significant articles and most recent articles (or other works)  
- Significant unpublished manuscript(s)  
- Books  
- In book fields, all significant reviews of the candidate’s publications | 10 sets in hard copy and 1 set sent electronically (if available) to *ad hoc* coordinator |
### Ad Hoc Information

<table>
<thead>
<tr>
<th>Item</th>
<th>Contents</th>
<th>Number of Copies</th>
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</table>
| Information on the *ad hoc* committee | *Ad hoc* committee membership recommendations:  
- A list from the chair proposing the names of *at least* 10 active, full professors outside the University (including names of minorities and women whenever possible) who might be asked to serve on the *ad hoc* committee. Include institution address, telephone, and e-mail information. Please note that the proposed members should not be:  
  o External evaluators (except in exceptional cases: see Step 13).  
  o Anyone who may have a conflict of interest with the case (e.g., advisers, coauthors, collaborators)  
- The chair may also include a list of scholars that he/she believes should not be on the *ad hoc* committee, with a corresponding explanation  
- A list of three or four non-departmental, active, full professors from any of the Harvard Faculties who might also serve on the committee  
- The names of four departmental witnesses, including the search/review committee chair, the department chair, and other faculty members who, in some cases, may represent a dissenting opinion | 1 PDF sent electronically to assistant dean for the division |
(4) Dossier Sample
(5) **Dossier Instructions**

**Please Read Carefully before Submission of the Dossier:**

a. **CAP**

The Committee on Appointments and Promotions (CAP) reviews dossiers and makes recommendations to the Dean before the Dean decides whether to forward a dossier to the President for further review. CAP is scheduled to meet most Wednesdays during the academic year (the Office for Faculty Affairs will verify dates and times), and the dossiers are delivered to each CAP member two Fridays before the next meeting.

Note: A dossier is not submitted to CAP until the ad hoc coordinator has received a substantial number of the confidential letters written to the FAS Dean by each tenured member of the department. Letters should be sent electronically to the ad hoc coordinator, ryoung@fas.harvard.edu.

b. **Submission Deadlines**

A preliminary copy of the dossier must be electronically submitted (through Accellion, secure document transfer: [https://fta.fas.harvard.edu](https://fta.fas.harvard.edu)) to the assistant dean for the division by February 28. To facilitate storing and sharing of files, please follow the naming conventions described below in Section e., “How to Prepare an Electronic Dossier.” Any dossier received after February 28 might not be scheduled for an ad hoc review until the following fall. This includes external appointments to tenured professor.

Once the assistant dean has reviewed the dossier for completeness, the department must submit the materials listed below (see “Submission Procedures”) to the assistant dean for the division and the ad hoc coordinator, respectively. These materials should be correctly formatted, with all electronic documents sent through Accellion. CAP will be scheduled no sooner than two weeks after the final dossier is complete.

c. **Submission Procedures**

i. Please send the following items to the assistant dean for the division:

   a) 1 electronic PDF of the approved dossier
   b) 1 electronic PDF of student teaching evaluations
   c) 1 electronic PDF of ad hoc committee membership recommendations

ii. Please send the following items to the ad hoc coordinator in University Hall 411 (ryyoung@fas.harvard.edu):

   a) 12 collated hard copies of the dossier
   b) 10 hard-copy sets of selected publications and reviews and 1 electronic copy (if available)

   **Note:** To preserve confidentiality, departments should not use external copy services to copy external letters and the case statement.
d. How to Assemble a Hard-Copy Dossier

i. Affix to a folder a label bearing the department name and the candidate’s name. (Please use a folder instead of binding the dossier in any way.)

ii. Assemble the dossier with the seven sections (i.e., Case Statement; Authorization Letter; *Curriculum vitae*, Statements; Teaching Materials; External Evaluations; Publication Information; Citation Information) arranged in the order shown in the sample on page 4.30. Each of the seven sections should be stapled or clipped separate from the other sections. All pages in the dossier should be single-sided.

e. How to Prepare an Electronic Dossier

i. The electronic dossier should be a single PDF document, a replica of the hard-copy dossier with materials arranged in the same order. For assembly instructions, please see the “Guide to Preparing an Electronic Tenure Dossier” (log in to “Information for Departments” on the Faculty Affairs website) or contact the divisional assistant dean with any questions.

ii. Naming conventions:

- The file name of the electronic tenure dossier should contain alpha-numeric characters only (no dashes, commas, slashes, etc.).
- Please name the file as follows: [Last Name] [First Name] [Department Name] tenure dossier [numerical Month, Date, and Year of dossier submission: XX YY ZZ]. E.g., Smith John Psychology tenure dossier 1 4 13.
- If a dossier is revised and resubmitted, please repeat the original title, followed by “rev” and [Month of resubmission] [Date of resubmission] [Year of resubmission]. E.g., Smith John Psychology tenure dossier 1 4 13 rev 1 15 13.

iii. Please use Accellion (secure document transfer) to send the completed dossier.

f. How to Prepare a PDF of Student Evaluations of Teaching

i. Please create a single PDF containing all student evaluations of teaching. Insert a bookmark for each course so that readers can move directly to individual courses. Clearly identify each course and its bookmark with the following information: course title, course number, semester and year. For more assembly instructions, please see the “Guide to Preparing an Electronic Tenure Dossier” (log in to “Information for Departments” on the Faculty Affairs website) or contact the divisional assistant dean with any questions.

ii. Please use Accellion (secure document transfer) to send the completed document.

*Note:* The candidate should not solicit student letters, and any unsolicited student letters will not be included in the dossier.

**Departments should keep a copy of the dossier on file for the department’s records for 5 years.**
5. ASSISTANT PROFESSORS, ASSOCIATE PROFESSORS, AND CONVERTIBLE INSTRUCTORS

Section Contents:

Descriptions: Assistant Professor, Associate Professor, Convertible Instructor (Page 5.2)

A. External Appointment to a Tenure-Track Position (Page 5.3)

(1) Search Flowchart (Page 5.3)
(2) Steps: External Appointment to a Tenure-Track Position (Page 5.4)
(3) Dossier Checklist: External Appointment to a Tenure-Track Position (Page 5.9)
(4) Timetable: Conversion of Convertible Instructorships to Assistant Professorships (Page 5.11)

B. Internal Promotion from Assistant Professor to Associate Professor (Page 5.12)

(1) Promotion Flowchart (Page 5.12)
(2) Steps: Internal Promotion from Assistant Professor to Associate Professor (Page 5.13)
(3) Dossier Checklist: Promotion to Associate Professor (Page 5.18)
(4) Suggested Timeline for Standard Academic-Year Appointments: Departmental Review of Tenure-Track Faculty for Promotion to Associate Professor (Page 5.19)
(5) Suggested Timeline for Calendar-Year Appointments: Departmental Review of Tenure-Track Faculty for Promotion to Associate Professor (Page 5.20)

Note: For the specific purposes of this document and its associated procedures, “divisional dean” also refers to the SEAS dean, and “department chairs” to SEAS area deans. Although SEAS faculty members follow the same policies, some procedures may vary. Therefore, members of SEAS should also consult SEAS-specific documents.

Note: All procedural questions regarding faculty hiring, reviews, promotions, and leaves should be directed to the assistant dean for the appropriate division, and the assistant dean should receive a copy of all documentation regarding these procedures. For the appropriate contact for procedural questions regarding SEAS appointments, please see the contact table on page 1.7.
Descriptions: Assistant Professor, Associate Professor, Convertible Instructor

(1) **Assistant Professor**

An assistant professorship is a tenure-track appointment held by individuals who have the promise to produce scholarship and teaching of the highest quality and who have the potential to be competitive for a tenured position in the department within seven years. All formal work for the doctorate must have been completed before the appointment as assistant professor may begin. The initial appointment of an assistant professor is ordinarily for a period of five years.

(2) **Associate Professor**

An associate professorship is a tenure-track appointment held by individuals who have demonstrated sufficient promise and achievement to qualify for tenure at a major research institution within three to five years. Appointments to this rank are ordinarily made by promotion from an assistant professorship. They are occasionally made by external appointment. Internally promoted associate professors are appointed for a term of four years. Externally appointed associate professors may be appointed for a term of three to five years depending on prior academic appointment history.

(3) **Convertible Instructor**

A convertible instructorship is a temporary position held by an individual who has been hired through a search for an assistant professor but who has not yet completed the requirements for the doctorate. He or she is appointed to an initial one-year convertible instructorship, which will be converted to an assistant professorship according to the timetable shown later in this section.

**Note:** Generally, candidates may not spend more than eight years on the tenure track. Because reviews should be completed by the end of a candidate’s penultimate year of appointment, candidates generally do not remain in a rank for the maximum appointment limits listed above.
A. External Appointment to a Tenure-Track Position

(1) Search Flowchart: External Appointment to a Tenure-Track Position

Department chair receives authorization from divisional dean (DD) to conduct a search. Chair submits search plan to divisional assistant dean for approval (Step 1).

Department advertises position, interviews candidates at professional conference(s), if applicable (Steps 2, 3).

Department requests DD approval of a short list of candidates and invites approved short-list candidates to campus (Steps 4, 5).

Department votes on final candidate (Step 6).

Department chair and search committee chair finalize candidate’s case statement. Dossier is sent to divisional assistant dean and assistant dean for faculty development (Steps 7, 8).

Assistant Professor and Convertible Instructor appointments

After final approval of the candidate from the DD, offer letter drafted and sent to finalist (Steps 9a, 10a).

Department submits final dossier to Office for Faculty Affairs and processes the appointment in ASPeRIN (Step 11a).

Associate Professor appointments

After approval of the candidate from the DD and an additional member of CAP, offer letter drafted (Steps 9b, 10b).

After final approval from the DD, offer letter sent to finalist (Step 11b).

Department submits final dossier to Office for Faculty Affairs and processes the appointment in ASPeRIN (Step 12b).
### (2) Steps: External Appointment to a Tenure-Track Position

<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
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| 1    | Each spring, the divisional dean authorizes searches for the upcoming academic year based on departments’ academic plans and ongoing conversations with the departments. After receiving the divisional dean’s authorization letter, the department submits a search plan to the divisional assistant dean for approval. The search plan should address:  
- The names of the proposed search committee members, including the chair, who will have primary responsibility for ensuring that the search is broad, wide-ranging, and thorough and that proactive efforts are made to identify candidates who are women and minorities. The department should ask a representative of the appropriate center, institute, or initiative to serve on or consult with the search committee when there is an overlap in research interests.  
- A copy of the draft advertisement for the position.  
- A description of the field or area(s) of the search, as stated in the advertisement.  
- The process by which candidates will be identified to ensure the generation of the most highly qualified and diverse pool of applicants.  
- Any potential internal candidates (i.e., graduate students or postdoctoral fellows currently in residence in the department conducting the search. In such cases, departments are urged to exercise special care to avoid favoritism or the appearance thereof).  
- The space (office, studio, and/or laboratory) that will house the proposed appointment and any other important resource considerations.  
**Note:** There is an expectation that a tenure-track search will yield an assistant professor-level candidate. |
| 2    | After approval of the search plan by the divisional dean, the department advertises the position and makes inquiries at other institutions. All advertising copy must be reviewed and approved by the assistant dean for the division before it is submitted to the appropriate journals and other venues. Advertisements and inquiries should describe the position broadly, must specifically express interest in candidates who are women and minorities, and should list a date after which applications will not be considered. At least one form of the advertisement should be published in print. Advertisements should clearly state required documents and must indicate that Harvard is an Equal Opportunity/Affirmative Action employer.  
- The dossier for the finalist must include a teaching statement and teaching materials (e.g., a teaching chart [for associate candidates] any teaching awards, a list of theses supervised, representative course syllabi, and teaching evaluations). The advertisement should ask all candidates to submit a teaching statement and a research statement with their original application materials. The department may request the other teaching materials from the shortlist candidates.  
- Candidates should not solicit student letters, and any unsolicited student letters will not be included in the final dossier. |
## External Appointment to a Tenure-Track Position

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<tr>
<th>Step</th>
<th>Explanation</th>
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<tr>
<td></td>
<td>• The dossier for the finalist must also include 3-5 letters of recommendation. The advertisement should ask candidates to submit contact information for references with their original application materials.</td>
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<td>• Harvard is required to solicit and record, when available, each applicant’s gender and racial/ethnic information, which is accomplished through the ARiE-S system. Applicants are not required to provide demographic information.</td>
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<tr>
<td>3</td>
<td>The department interviews candidates at appropriate professional conferences, if applicable</td>
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<td>4</td>
<td>The department submits a short list of candidates for approval by the divisional dean</td>
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<td>The short list consists of candidates the department has determined are the most qualified for the job in terms of credentials, accomplishments, standing in the field, teaching experience, and field of expertise. The short list should be demographically diverse.</td>
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<td>Note: In developing a short list, if the research interests of the appointment overlap with a center, institute, or initiative, the department should take into account the views of that unit.</td>
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<td>The department sends the following to the divisional dean and the assistant dean for the division:</td>
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<td>• The names of the short list candidates.</td>
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<td>• The candidates’ materials (e.g., letters of application, CV’s, research and teaching statements, and 3-5 letters of recommendation).</td>
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<td>• A brief summary of the search process to date.</td>
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<td>• An EEO chart displaying demographics data from the search. This report can be retrieved through the ARiE-S system. See Chapter 2 in this handbook for more information on Affirmative Action policies.</td>
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<tr>
<td>5</td>
<td>If approval is granted, the department invites short-list candidates to campus for interviews</td>
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<td>Candidates meet with members of the department. The visits may include formal seminars, lectures, or presentations of working papers, as well as informal meetings with faculty, graduate students, and others. The assistant dean for the division should be given the dates of the campus visits of short-list candidates.</td>
</tr>
<tr>
<td>6</td>
<td>The department votes on final proposed candidate</td>
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<td>The vote is taken in accordance with departmental procedures. Department chairs may find additional information on the “Information for Departments” section of the Faculty Affairs website.</td>
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</table>
## External Appointment to a Tenure-Track Position

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<th>Step</th>
<th>Explanation</th>
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| 7    | The case statement is finalized by the department chair and the chair of the search committee, should include the following sections:  
- Background and context: A description of the candidate’s area and how it fits into the department’s academic plan.  
- The search process: A summary of the search process with copies of correspondence and advertisements, records of telephone conversations, and description of all efforts to identify candidates who are women and minorities; please address the demographics of the pool as displayed on the EEO chart available in ARIeS.  
- The intellectual case for the candidate: A discussion of the candidate’s work and how it meets the criteria for a tenure-track position, which include: (for assistant professors) promise to produce scholarship of the highest quality and potential for tenure within 7 years.  
- An analysis of the ways in which the candidate distinguishes him or herself from the other short-list candidates.  
- Teaching, advising, and service: A description of the candidate’s teaching experience (assistant professor candidates) or an evaluation of the candidate’s teaching and advising effectiveness in a variety of settings with both undergraduate and graduate students (associate professor candidates); and description of any service activities.  
- A discussion of the strengths and weaknesses of the candidate’s case as noted in the recommendation letters and the internal conversations of both the search committee and the department.  
- Mentoring: The anticipated plan for providing suitable mentors for the candidate (especially if the candidate may hold a joint appointment) and for addressing aspects of the candidate’s professional development, particular to the intellectual role he or she is expected to play.  
- Departmental vote: A record of the department vote, by name, with an “as of” date for the vote tally.  
- Signatures: An indication of the primary author of the statement. |
| 8    | The candidate’s dossier is prepared by the department and sent to the assistant dean for the division and the assistant dean for faculty development.  
Please send to the assistant dean for the division and the assistant dean for faculty development one electronic copy of the dossier, via Accellion (secure document transfer: [https://fta.fas.harvard.edu](https://fta.fas.harvard.edu)). For a full checklist of what the dossier should include, please see page 5.9. |

If an assistant professor or convertible instructor-level finalist is identified, please follow steps 9a-11a. If an associate professor-level finalist is identified, please follow steps 9b-12b.
### Final steps for external appointment of an assistant professor or convertible instructor:

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<tr>
<th>Step</th>
<th>Explanation</th>
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| **9a** | After approval by divisional dean, an offer letter is drafted by the Office for Faculty Development.  
**Note:** Candidates with postdoctoral fellowships may defer their start date for a period of time, as discussed with and agreed upon by the divisional dean and the department chair.  
The Office for Faculty Development drafts the offer letter to the candidate in consultation with the department chair and the divisional dean. |
| **10a** | After final approval from the divisional dean, the department chair sends the offer letter to candidate.  
- Any revisions to the initial offer must be made in writing, in consultation with the Office for Faculty Development. An electronic PDF signed copy of the revised offer letter must be sent to the assistant dean for the division and the assistant dean for faculty development via Accellion (secure document transfer: [https://fta.fas.harvard.edu](https://fta.fas.harvard.edu)).  
- The candidate’s acceptance of an offer is made in writing to the chair. |
| **11a** | If the offer is accepted, the final dossier is compiled and sent to the Office for Faculty Affairs, and the appointment is processed in the ASPeRfIN system by the department  
- The department submits to the Appointments Office in the Office for Faculty Affairs the original and 1 hard copy of the final dossier, including the I-9 form, payroll documents, and signed offer letter.  
- The department sends to the assistant dean for the division and the assistant dean for faculty development via Accellion (secure document transfer: [https://fta.fas.harvard.edu](https://fta.fas.harvard.edu)) 1 electronic PDF copy of the final offer letter, signed by the department chair.  
- The department sends to the assistant dean for faculty development via Accellion (secure document transfer: [https://fta.fas.harvard.edu](https://fta.fas.harvard.edu)) 1 electronic PDF copy of the candidate’s acceptance letter.  
- The department administrator will remind the faculty member to sign electronically the [Harvard University Participation Agreement](https://fta.fas.harvard.edu) upon his/her arrival on campus. |
## Final steps for external appointment of an associate professor:

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<th>Step</th>
<th>Explanation</th>
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<tr>
<td><strong>9b</strong></td>
<td>After approval of the candidate by the divisional dean, the dossier is reviewed by an additional member of CAP. If requested by one of the reviewers, the full Committee on Appointments and Promotions may be asked to review the dossier.</td>
</tr>
<tr>
<td><strong>10b</strong></td>
<td>After approval of the dossier, an offer letter is drafted by the Office for Faculty Development. The Office for Faculty Development drafts the offer letter to the candidate in consultation with the department chair and the divisional dean. When appropriate, the dean for faculty development will work with a center, institute, or initiative to develop a supplementary letter for the candidate that describes the resources available through the center, institute, or initiative.</td>
</tr>
<tr>
<td><strong>11b</strong></td>
<td>After final approval from the divisional dean, the department chair sends the offer letter to the candidate. Any revisions to the initial offer must be made in writing, in consultation with the Office for Faculty Development. An electronic PDF signed copy of the revised offer letter must be sent to the assistant dean for the division and the assistant dean for faculty development via Accellion (secure document transfer: <a href="https://fta.fas.harvard.edu">https://fta.fas.harvard.edu</a>). The candidate’s acceptance of an offer is made in writing to the chair.</td>
</tr>
<tr>
<td><strong>12b</strong></td>
<td>If the offer is accepted, the final dossier is compiled and sent to the Appointments Office in the Office for Faculty Affairs, and the appointment is processed in the ASPeRIN system by appointing department. The department submits to the Appointments Office in the Office for Faculty Affairs the original and 1 hard copy of the final dossier, including the I-9 form, payroll documents, and signed offer letter. The department sends to the assistant dean for the division and the assistant dean for faculty development via Accellion (secure document transfer: <a href="https://fta.fas.harvard.edu">https://fta.fas.harvard.edu</a>) 1 electronic PDF copy of the final offer letter, signed by the department chair. The department sends to the assistant dean for faculty development via Accellion (secure document transfer: <a href="https://fta.fas.harvard.edu">https://fta.fas.harvard.edu</a>) 1 electronic PDF copy of the candidate’s acceptance letter. The department administrator will remind the faculty member to sign electronically the <a href="https://fta.fas.harvard.edu">Harvard University Participation Agreement</a> upon his/her arrival on campus.</td>
</tr>
</tbody>
</table>
5.9

(3) Dossier Checklist: External Appointment to a Tenure-Track Position (Assistant Professors, Associate Professors, and Convertible Instructors)

Please send an electronic copy of the preliminary dossier to the assistant dean for the division (AD) and the assistant dean in the Office for Faculty Development (AD(OFD)) via Accellion (secure document transfer: https://fta.fas.harvard.edu). To facilitate storing and sharing of files, please name the file as follows: a) alpha-numeric characters only (no dashes, commas, slashes, etc.) b) [Last Name] [First Name] [Department Name] tenure track dossier [numerical Month, Date, and Year of dossier submission: XX YY ZZ]. E.g., Smith John Psychology tenure track dossier 1 4 13. c) If a dossier is revised and resubmitted, please repeat the original title, followed by “rev” and [Month of resubmission] [Date of resubmission] [Year of resubmission]. E.g., Smith John Psychology tenure track dossier 1 4 13 rev 1 15 13.

After the offer is finalized, please submit 2 hard copies of the final dossier to the Appointments Office in the Office for Faculty Affairs: the original (paper-clipped, not stapled) and 1 photocopy (which should be stapled). All should be one-sided. Departments should keep an additional copy of the dossier on file for the department’s records for 5 years.

1. Case statement (including department vote by name). See description on page 5.6. Note: The case statement must include a description of all efforts to identify candidates who are women and minorities.

2. EEO chart displaying demographics data from the search, available through ARIS.


4. Candidate’s letter of application and any application materials.

5. Candidate’s curriculum vitae, including a bibliography.

6. Summary teaching chart (for associate candidates) indicating any semesters on leave, teaching awards, a list of theses supervised, representative course syllabi, and teaching evaluations, if applicable.

7. Teaching statement.


9. Candidate’s publications, if applicable (including those forthcoming).

10. Evidence of the candidate’s completion of the requirements for the doctorate, if the degree is not already in hand or was received in the last three months. [May be provided later for appointment to convertible instructor]

11. All (at least three) letters of recommendation.

To be added to the final dossier after the offer is finalized:

12. A copy of the offer letter and all subsequent emendations to it.

13. A copy of the candidate’s letter of acceptance.

14. All payroll documentation.

15. I-9 form.
After the offer is finalized, please send 1 electronic PDF copy of the final signed offer letter to the AD and AD(OFD) via Accellion. Please also send to the AD(OFD), via Accellion, 1 electronic PDF copy of the candidate’s acceptance letter.

Note: The candidate should not solicit student letters, and any unsolicited student letters will not be included in the dossier.
(4) Timetable: Conversion of Convertible Instructorships to Assistant Professorships

<table>
<thead>
<tr>
<th>Convertible instructorship start date</th>
<th>Doctoral requirements completed by:</th>
<th>Assistant professorship begins</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 July 1</td>
<td>October 15</td>
<td>Retroactive to July 1</td>
</tr>
<tr>
<td>2 July 1</td>
<td>February 1</td>
<td>Retroactive to January 1</td>
</tr>
<tr>
<td>3 July 1</td>
<td>June 30</td>
<td>July 1, following year</td>
</tr>
<tr>
<td>4 January 1</td>
<td>April 15</td>
<td>Retroactive to January 1</td>
</tr>
<tr>
<td>5 January 1</td>
<td>August 1</td>
<td>Retroactive to July 1</td>
</tr>
<tr>
<td>6 January 1</td>
<td>December 31</td>
<td>January 1, following year</td>
</tr>
</tbody>
</table>

Note: In cases 2, 3, 5, and 6, the time spent as convertible instructor is considered pre-doctoral and will not be counted as part of the original assistant professor appointment.

If degree requirements are not met within a year of the original appointment start date, no further appointment is possible.
B. Internal Promotion from Assistant Professor to Associate Professor

(1) Promotion Flowchart: Internal Promotion from Assistant Professor to Associate Professor

Department chair receives list of faculty scheduled for review from assistant dean (AD). Chair meets individually with candidates, discusses review process, and requests materials. Department compiles summary teaching chart (Steps 1-4).

Review committee (approved by divisional dean (DD)) considers the candidate’s materials and gauges whether the case should proceed. If the committee recommends not proceeding, the department must discuss and affirm this decision (Step 5).

Department requests DD approval to collect external evaluations, submitting promotion review letter and recipient list to DD (Step 6).

Department chair sends finalized promotion review letter and candidate materials to finalized recipient list (Step 7).

Review committee discusses external letters and candidate materials and reports to the department its views on promotion (Step 8).

Department reviews all materials, discusses the case, and votes (Step 9).

Department chair and review committee chair finalize candidate’s case statement. Dossier, including a draft letter, is sent to AD, for review by DD with a CAP subcommittee (Steps 10, 11, 12).

Department issues letter to candidate; appointment is processed in ASPeRN (Steps 13, 14).
### Steps: Internal Promotion from Assistant Professor to Associate Professor

<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
</tr>
</thead>
</table>
| 1    | Each spring, department chairs receive from the divisional assistant dean a list of faculty scheduled for review for promotion to associate professor during the next academic or calendar year.  

Note: Promotion reviews should ordinarily be completed by the end of the assistant professor’s penultimate year of appointment.  

Following completion of the steps below, departments submit promotion recommendations no later than February 28 (for appointments ending in June) or October 1 (for appointments ending in December).  

Note: This “Steps” table shows suggested timing for tenure-track faculty whose appointments end in June. The “Suggested Timelines” at the end of this chapter also show timing for appointments that end in December. |
| 2    | By the beginning of July of the candidate’s penultimate year as an assistant professor, the chair meets with the candidate to discuss the department’s review procedures and asks the candidate to provide materials by early September.  

The candidate’s materials include:  
- *Curriculum vitae*, including a complete bibliography.  
- Copies of all publications (including forthcoming) or other scholarly materials, indicating which he or she would like sent to external reviewers.  
- Teaching and advising materials, including: teaching awards, a list of undergraduate theses supervised, the graduate students for whom the candidate has primary responsibility, and representative course syllabi.  
- A teaching statement.  
- A research statement.  
- Other relevant materials, such as a list of experts in the field whom the department may wish to consult about the review or any experts the candidate feels should not be consulted, with an accompanying explanation.  
- The department chair should inform the candidate that he or she should not solicit letters from students for inclusion in these materials. |
| 3    | The chair requests divisional dean approval of a proposed review committee and, following this approval, appoints the committee.  

- The committee consists of senior faculty who will evaluate the case.  
  The request should name the committee chair and other review committee members. Former undergraduate, graduate, or postdoctoral advisors of the candidate should not chair the committee.  
- When there is an overlap in research interests, the chair should ask a representative of the appropriate center, institute, or initiative to serve on or consult with the review committee. |
| 4    | The department compiles a *summary teaching chart* and gathers information on the candidate’s performance as an adviser of  

- The summary teaching chart summarizes, in chronological order, all courses the candidate has taught, including course titles, enrollments, and overall course scores and instructor scores.  
- To gather student feedback on advising/mentoring, which should be summarized in the case statement, the department chair either speaks with or writes to the candidate’s students. If the feedback takes the form of letters, the chair should make clear that he or she plans to keep
### Internal Promotion from Assistant Professor to Associate Professor

<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
</tr>
</thead>
</table>
|      | undergraduates and mentor of graduate students | the letters confidential (although the dean may request any information regarding the case if questions arise).  
  - The chair or other designated members of the department are strongly encouraged to attend the candidate’s classes sometime during his or her tenure-track appointment. |
| 5    | The committee considers all the gathered materials and decides whether to proceed with the case | If the committee recommends not proceeding with the review, the department must discuss and affirm this decision by a recorded vote. The department chair then sends to the divisional dean the current dossier, including a record of the department vote, and a draft of the letter to the candidate. After divisional dean approval, the department gives the letter to the candidate.  
  *Note:* When a candidate opts, at any stage in the process, to withdraw his or her case from consideration, a departmental vote does not occur. Candidates wishing to withdraw their case should state this in a letter to the department chair, which the chair shares with the divisional dean. |
| 6    | If the case proceeds, the department requests authorization from the divisional dean to solicit external evaluation letters. With the request, the department should submit a draft of the review letter and the recipient list. | The review letter (see the Sample Letters section of this handbook) should include:  
  - A broad description of the candidate’s field.  
  - Identification of the candidate for promotion.  
  - The criteria for appointment to an associate professor position at Harvard.  
  - A request for a recommendation of whether the candidate merits promotion to associate professor within the FAS at Harvard.  
  - A request to compare the candidate with leading scholars in the candidate’s cohort, as identified by the recipient (ordinarily, unlike in tenure reviews, the letter soliciting external evaluations does not include a comparison list).  
  - An indication that the University intends, to the extent permitted by law, to keep the response confidential and to make it available only to the department chair and those involved in the formal review process.  
  - The deadline for receipt of responses and contact information. (Note: The department should give letter writers at least six weeks to prepare their letters—dating from the mailing of the promotion review letter—depending on the volume of materials under review.)  
  *The recipient list:*  
  - The recipient list should include tenured scholars who represent a range of views from a variety of peer institutions.  
  - The list should be diverse, including women and members of minority groups.  
  - The list should be in alphabetical order and include home institution, title, year of doctorate, current rank, and a link to the scholars’ websites. |

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**Note:** This information should ordinarily be submitted to the divisional dean in October.
## Step 7
In early November, the chair sends the review letter and candidate materials to the scholars on the recipient list. The chair requests receipt of external letters by early January.

- With the promotion review letter, the department should include the candidate’s CV, teaching statement, research statement, and a sample of the candidate’s recent or unpublished scholarship.
- The department writes to a number of scholars sufficient to elicit three to five responses for inclusion in the final dossier. These letters are in addition to any letters the department might solicit from past advisors.
- The names of outside scholars declining to write an evaluation should be noted in the case statement. Any explanatory emails/letters from these scholars should be included with the other external evaluations.

## Step 8
After discussing the external letters, the review committee reports to the department.

After reviewing the candidate’s materials (including external letters), the committee reports to the department either that the case is sufficiently strong for the department to vote on promotion or that it does not recommend promotion.

## Step 9
The senior members of the department review all materials, discuss the case, and vote (January or February).

- In discussing the case, senior members of the department should assess whether the candidate meets the criteria for associate professor, the candidate’s potential for eventual tenure promotion within the FAS, and concrete suggestions for continuing professional development.
- A favorable vote does not have to be unanimous but must comprise affirmative votes by a significant majority of the tenured faculty in the department. If an assistant professor is not recommended for promotion to associate professor, the department chair sends to the divisional dean the current dossier, including a record of the department vote, and a draft of the letter to the candidate. After divisional dean approval, the department gives the letter to the candidate. For SEAS cases in which an assistant professor will not be put forward for promotion, the SEAS dean writes to notify the candidate.

## Step 10
After a favorable vote, the case statement is finalized by the department chair.

The finalized case statement, prepared and signed by the department chair and the chair of the review committee, should include the following sections:

- A one-paragraph summary of the candidate’s contributions and the department’s recommendation.
- Background and context: A description of the candidate’s area and how it fits into the department’s academic plan.
- Summary of the review process.
- The intellectual case for the candidate:
  - A summary of the candidate’s work and an assessment of whether it meets the criteria for an associate professor appointment.
  - An assessment of how the candidate compares with leading scholars in his or her cohort, relative to both the comparands identified in external letters and others identified by departmental faculty.
### Step Explanation

- **Teaching, advising, and service:** An evaluation of teaching and advising effectiveness (including a summary of student feedback solicited by the department chair) in a variety of settings with both undergraduate and graduate students, and description of service.
- **A discussion of the strengths and weaknesses of the candidate’s case as noted in the external evaluations and the internal conversations of both the review committee and the department.**
- **An assessment of the candidate’s potential for eventual tenure promotion within the FAS.**
- **Departmental vote:** A record of the department vote, by name, with an “as of” date for the vote tally.
- **Signatures:** An indication of the primary author of the statement.

<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
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<tbody>
<tr>
<td>11</td>
<td>The candidate’s dossier is prepared by the department and sent, with a draft letter for the candidate, to the assistant dean for the division (by February 28)</td>
</tr>
<tr>
<td></td>
<td>Please send one electronic copy of the dossier, including a draft of the letter for the candidate, to the assistant dean via Accellion (secure document transfer: <a href="https://fta.fas.harvard.edu">https://fta.fas.harvard.edu</a>). For a full checklist of what the dossier should include, please see the dossier checklist on page 5.18. The letter for the candidate should state whether the faculty member has been promoted, indicating whether he or she has met the criteria for associate promotion. In the case of promotion, the letter should provide constructive feedback and impart useful insights and suggestions from the departmental discussion and external letters (anonymously quoting passages of the letters as appropriate). Furthermore, the letter should provide an indication of the candidate's strengths and weaknesses with regard to his or her potential for eventual tenure within the FAS. The letter should also offer advice for continuing professional development, including a reminder of mentoring arrangements that have been established within the department for the candidate.</td>
</tr>
<tr>
<td>12</td>
<td>The divisional dean, with a CAP subcommittee, reviews the dossier, and the divisional dean decides whether to approve the appointment</td>
</tr>
<tr>
<td></td>
<td>In some cases, the full Committee on Appointments and Promotions may be asked to review individual promotion dossiers. The divisional dean may wish to meet with the department chair to discuss the dossier and the draft letter to the candidate, if necessary. At the conclusion of the review, the divisional dean communicates feedback regarding the case to the chair, making suggestions about additional information that should be conveyed to the candidate, both formally and informally.</td>
</tr>
<tr>
<td>13</td>
<td>The department issues the final approved letter to the candidate</td>
</tr>
<tr>
<td></td>
<td>Following revisions, when necessary, and final approval by the divisional dean, the department issues the letter to the candidate. Should the department later recommend the candidate’s promotion to tenure, a copy of the letter and the materials gathered in this review may be considered by the Committee on Appointments and Promotions, in addition to the tenure dossier.</td>
</tr>
</tbody>
</table>
## Internal Promotion from Assistant Professor to Associate Professor

<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>14</td>
<td>If the promotion is approved, the appointment is processed in the ASPeriN system by the appointing department. Please send 1 electronic PDF copy of the final letter for the candidate, signed by the department chair, to the divisional dean, cc’ing the assistant dean for the division, via Accellion (secure document transfer: <a href="https://fta.fas.harvard.edu">https://fta.fas.harvard.edu</a>).</td>
</tr>
</tbody>
</table>
(3) Dossier Checklist: Promotion to Associate Professor

Please send an electronic copy of the dossier, including a draft of the letter to the candidate, to the assistant dean for the division (AD) via Accellion (secure document transfer: https://fta.fas.harvard.edu). To facilitate storing and sharing of files, please name the file as follows: a) alpha-numeric characters only (no dashes, commas, slashes, etc.) b) [Last Name] [First Name] [Department Name] tenure track dossier [numerical Month, Date, and Year of dossier submission: XX YY ZZ]. E.g., Smith John Psychology tenure track dossier 1 4 13. c) If a dossier is revised and resubmitted, please repeat the original title, followed by “rev” and [Month of resubmission] [Date of resubmission] [Year of resubmission]. E.g., Smith John Psychology tenure track dossier 1 4 13 rev 1 15 13. Departments should keep an additional copy of the dossier on file for the department’s records for 5 years.

_____ 1. Divisional assistant dean’s letter notifying the department of the candidate’s upcoming review for promotion.

_____ 2. Case statement (including department vote by name). See description on page 5.15.

_____ 3. Candidate’s curriculum vitae, including a bibliography.

_____ 4. A summary teaching chart, teaching awards, a list of undergraduate and graduate theses supervised, representative course syllabi, and one set of all available student evaluations of the candidate’s teaching.

_____ 5. Teaching statement.


_____ 7. All publications, including forthcoming (if not electronic, please provide 3 sets).

_____ 8. A copy of the review letter soliciting external evaluations and a list of all people (including home institution) to whom the letter was sent, indicating who did and did not reply.

_____ 9. Evaluations from at least three to five external scholars, with English translations of any written in a foreign language, typed copies of any handwritten letters, and any emails/letters from scholars who declined to participate in the review.

_____ 10. Any additional letters of reference from graduate or postdoctoral advisors.

_____ 11. A draft of the department chair’s letter to the candidate, informing him or her of the outcome of the review, providing constructive feedback, and assessing the candidate’s strengths and weaknesses with regard to his or her potential for eventual tenure within the FAS.

Please send 1 electronic PDF copy of the final signed letter for the candidate to the divisional dean, cc’ing the AD, via Accellion.

Note: The candidate should not solicit student letters, and any unsolicited student letters will not be included in the dossier.
(4) Suggested Timeline for Standard Academic-Year Appointments: Departmental Review of Tenure-Track Faculty for Promotion to Associate Professor

Note: Reviews for promotion should ordinarily be completed by the end of the penultimate year of appointment.

June/July: Prior to, or at the beginning of, candidates’ penultimate year of appointment, chairs receive letters from the assistant dean for the division indicating which tenure-track faculty (both calendar-year and academic-year appointees) are eligible for review. Chairs meet with candidates to go over the materials needed for the review.

By early September:
- Department chairs request approval of review committee membership from divisional deans. After approval, the chairs appoint the review committees.
- Candidates submit their materials to departments.
- Departments compile summary teaching charts and gather materials on the candidates’ performance as advisors of undergraduates and mentors of graduate students.

September to early November
- Review committees consider the candidates’ materials and decide which cases should move forward. If the committee recommends that a case not move forward, the department must discuss and affirm this decision.
- If a case moves forward, the chair requests divisional dean authorization to collect external evaluation letters, submitting for divisional dean approval a draft of the review letter and proposed recipient list.
- Departments send approved letters to approved recipient lists. The department should give letter writers at least six weeks to prepare their letters (dating from the mailing of the review letter), depending on the volume of materials under review.

Early January: Expected date of replies from external scholars.

January/February:
- Tenured members of departments review dossiers and vote on whether to recommend promotions.
- If the recommendations are positive, departments finalize dossiers for submission to Faculty Affairs. The chairs draft a letter to the candidate for inclusion in the dossier.

February 28: Deadline for submission of promotion dossiers to Faculty Affairs.

March–June: Review, as appropriate, by divisional deans and the Committee on Appointments and Promotions, followed by notification to candidates about the outcomes.

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6This timeline applies to those assistant professors whose appointments will end on June 30. Departments may complete the process in a more compressed timeframe, if they prefer, as long as their accelerated timetable allows all parties the full measure of time for completing their tasks and all promotion dossiers are submitted to Faculty Affairs by February 28.
(5) Suggested Timeline for Calendar-Year Appointments: Departmental Review of Tenure-Track Faculty for Promotion to Associate Professor

Note: Reviews for promotion should ordinarily be completed by the end of the penultimate year of appointment.

June/July: In the summer prior to the beginning of candidates’ penultimate year of appointment, chairs receive letters from the assistant dean for the division indicating which tenure-track faculty (both calendar-year and academic-year appointees) are eligible for review.

December/January: Prior to, or at the beginning of, candidates’ penultimate year, chairs meet with candidates to go over the materials needed for the review.

By early April:

• Department chairs request approval of review committee membership from divisional deans. After approval, the chairs appoint the review committees.
• Candidates submit their materials to departments.
• Departments compile summary teaching charts and gather materials on the candidates’ performance as advisors of undergraduates and mentors of graduate students.

April to early June:

• Review committees consider the candidates’ materials and decide which cases should move forward. If the committee recommends that a case not move forward, the department must discuss and affirm this decision.
• If a case moves forward, the chair requests divisional dean authorization to collect external evaluation letters, submitting for divisional dean approval a draft of the review letter and proposed recipient list.
• Departments send approved letters to approved recipient lists. The department should give letter writers at least six weeks to prepare their letters (dating from the mailing of the review letter), depending on the volume of materials under review.

August: Expected date of replies from external scholars.

September:

• Tenured members of departments review dossiers and vote on whether to recommend promotions.
• If the recommendations are positive, departments finalize dossiers for submission to Faculty Affairs. The chairs draft a letter to the candidate for inclusion in the dossier.

October 1: Deadline for submission of promotion dossiers to Faculty Affairs.

October-December: Review, as appropriate, by divisional deans and the Committee on Appointments and Promotions, followed by notification to candidates about the outcomes.

7This timeline applies to those assistant professors whose appointments will end on December 31 in a future year. Departments may complete the process in a more compressed timeframe, if they prefer, as long as their accelerated timetable allows all parties the full measure of time for completing their tasks and all promotion dossiers are submitted to Faculty Affairs by October 1.
6. SECOND-YEAR REVIEWS OF ASSISTANT AND EXTERNALLY-APPOINTED ASSOCIATE PROFESSORS

Section Contents:

A. Timetable: Second-Year Reviews of Assistant and Externally-Appointed Associate Professors (Page 6.2)

B. Steps: Second-Year Review of Assistant Professors (Page 6.3)

C. Steps: Second-Year Review of Externally-Appointed Associate Professors (Page 6.4)

Note: For the specific purposes of this document and its associated procedures, “divisional dean” also refers to the SEAS dean, and “department chairs” to SEAS area deans. Although SEAS faculty members follow the same policies, some procedures may vary. Therefore, members of SEAS should also consult SEAS-specific documents.

Note: All procedural questions regarding faculty hiring, reviews, promotions, and leaves should be directed to the assistant dean for the appropriate division, and the assistant dean should receive a copy of all documentation regarding these procedures. For the appropriate contact for procedural questions regarding SEAS appointments, please see the contact table on page 1.7.
A. Timetable: Second-Year Reviews of Assistant and Externally-Appointed Associate Professors

<table>
<thead>
<tr>
<th>Rank</th>
<th>Timing of Review</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assistant professors appointed to a five-year term</td>
<td>Assessment completed, chair’s letters submitted to divisional dean, and meeting with assistant professor conducted by the end of the second year of the appointment</td>
</tr>
<tr>
<td>Externally-appointed associate professors</td>
<td>Assessment completed, chair’s letters submitted to divisional dean, and meeting with associate professor conducted by the end of the second year of the appointment</td>
</tr>
</tbody>
</table>
B. Steps: Second-Year Review of Assistant Professors  
*Note:* Applicable to assistant professors appointed to an initial five-year term

<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1</strong></td>
<td>The department conducts the assessment in the manner it finds most productive for the tenure-track faculty member. The assessment should be completed by the end of the second year of an appointment. The primary purpose of this assessment is to ensure appropriate mentoring, foster career development, and identify early any potential concerns. Those conducting the review should discuss in specific terms whether the faculty member is receiving effective mentoring. Ordinarily, a small committee of senior colleagues reviews the assistant professor’s teaching, advising, research, and citizenship to date.</td>
</tr>
<tr>
<td><strong>2</strong></td>
<td>The department chair reports on the assessment to senior members of the department.</td>
</tr>
</tbody>
</table>
| **3** | The department chair drafts letters to the divisional dean and the assistant professor.  
- The letter to the divisional dean describes the review process and summarizes its findings.  
- The letter to the assistant professor conveys advice, including a reminder of mentoring arrangements that have been established within the department for the candidate. The divisional dean reviews the letter before it is sent.  
- The divisional dean should also receive all materials considered in the review (e.g., CV, teaching evaluations, etc.).  

Please send one electronic copy of these letters and materials to the divisional dean, cc’ing the assistant dean for the division, via Accellion (secure document transfer: [https://fta.fas.harvard.edu](https://fta.fas.harvard.edu)). |
| **4** | The department chair meets with the assistant professor and submits final documents. The purpose of this meeting is to discuss the assessment and provide advice. At the end of the meeting, the department chair gives a signed copy of the letter, which has been reviewed by the divisional dean, to the assistant professor.  
Please submit one signed copy of the final letter to the assistant professor to the assistant dean for the division. |
C. Steps: Second-Year Review of Externally-Appointed Associate Professors

<table>
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<tr>
<th>Step</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>The department conducts the assessment in the manner it finds most productive for the tenure-track faculty member. The assessment must be completed by the end of the second year of an appointment and is only applicable to those associate professors who were externally appointed. Ordinarily, a committee of senior colleagues reviews the associate professor’s teaching, advising, research, and citizenship to date. Those conducting the review should also discuss in specific terms whether the faculty member is receiving effective mentoring.</td>
</tr>
<tr>
<td>2</td>
<td>The department chair reports on the assessment to senior members of the department.</td>
</tr>
<tr>
<td>3</td>
<td>The department chair drafts letters to the divisional dean and the associate professor. The letter to the divisional dean describes the review process and summarizes its findings. The letter to the associate professor conveys advice, including a reminder of mentoring arrangements that have been established within the department for the candidate. The divisional dean reviews the letter before it is sent. The divisional dean should also receive all materials considered in the review (e.g., CV, teaching evaluations, etc.). Please send one electronic copy of these letters and materials to the divisional dean, cc’ing the assistant dean for the division, via Accellion (secure document transfer: <a href="https://fta.fas.harvard.edu">https://fta.fas.harvard.edu</a>).</td>
</tr>
<tr>
<td>4</td>
<td>The department chair meets with the associate professor. The purpose of this meeting is to discuss the assessment and provide advice. At the end of the meeting, the department chair gives a signed copy of the letter, which has been reviewed by the divisional dean, to the associate professor. Please submit one hard copy of the final letter to the associate professor to the assistant dean for the division.</td>
</tr>
</tbody>
</table>
7. MULTI-YEAR RENEWABLE APPOINTMENTS

Section Contents:

A. Full-Time Professors of the Practice (Page 7.3)
   (1) Appointment to Full-Time Professor of the Practice (Page 7.3)
      a. Description
      b. Search Flowchart
      c. Steps
      d. Dossier Checklist
   (2) Reappointment of Full-Time Professors of the Practice (Page 7.10)

B. Part-Time Professors of the Practice (Page 7.13)
   (1) Appointment to Part-Time Professor of the Practice (Page 7.13)
      a. Description
      b. Search Flowchart
      c. Steps
      d. Dossier Checklist
   (2) Reappointment of Part-Time Professors of the Practice (Page 7.20)

C. Professors in Residence (Page 7.23)
   (1) Appointment to Professor in Residence (Page 7.23)
      a. Description
      b. Search Flowchart
      c. Steps
      d. Dossier Checklist
   (2) Reappointment of Professors in Residence (Page 7.33)

D. Senior Lecturers (Page 7.36)
   (1) Appointment to Senior Lecturer (Page 7.36)
      a. Description
      b. Search Flowchart
      c. Steps
      d. Dossier Checklist
   (2) Reappointment of Senior Lecturers (Page 7.43)

E. Senior Preceptors (Page 7.46)
(1) **Appointment to Senior Preceptor (Page 7.46)**
   a. Description
   b. Search Flowchart
   c. Steps
   d. Dossier Checklist

(2) **Reappointment of Senior Preceptors (Page 7.52)**

*Note:* For the specific purposes of this document and its associated procedures, “divisional dean” also refers to the SEAS dean, and “department chairs” to SEAS area deans. Although SEAS faculty members follow the same policies, some procedures may vary. Therefore, members of SEAS should also consult SEAS-specific documents.

*Note:* All procedural questions regarding faculty hiring, reviews, promotions, and leaves should be directed to the assistant dean for the appropriate division, and the assistant dean should receive a copy of all documentation regarding these procedures. For the appropriate contact for procedural questions regarding SEAS appointments, please see the contact table on page 1.7.
A. Full-Time Professors of the Practice

(1) Appointment to Full-Time Professor of the Practice

a. Description

Professor of the practice appointments are reserved for instructors who have a national or international reputation as leaders in educational innovation and are the best in the field in terms of curriculum development, educational reform (such as leading a major curriculum reform), and pedagogy. Their expertise should be demonstrated through major contributions to the educational scholarship in their field. Candidates should ordinarily have a doctorate. Although they need not administer a large academic program, they should either chair or be closely involved in departmental or divisional curricular committees. Appointments are ordinarily made for five-year terms and are renewable contingent upon review and approval of the Dean and the Provost. Professors of the practice have voting rights in the Faculty of Arts and Sciences and voting rights as senior faculty in the department, except on decisions relating to appointments to the tenured rank.
b. Search Flowchart: Full-Time Professor of the Practice

Department chair submits search plan to divisional dean (DD) for approval (Step 1).

Department advertises position, requests DD approval of a short list of candidates, and invites short-list candidates to campus for interviews (Steps 2, 3, 4).

Department selects finalist and requests DD approval to collect external letters, submitting to DD a draft letter to recipients and a recipient list (Step 5).

Department sends finalized letter to finalized recipients (Step 6).

Department discusses external letters and candidate materials and votes. Tenured members of the department submit confidential letters to the Dean (Steps 7, 8).

Department chair and search committee chair finalize candidate’s case statement. Dossier is sent to assistant dean, for review by CAP (Steps 9, 10, 11).

Office for Faculty Affairs forwards case to Provost for approval (Step 12).

Office for Faculty Development prepares and sends offer letter; appointment is processed in ASPerIN (Steps 13, 14).
c. Steps: Appointment to Full-Time Professor of the Practice

<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
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<tbody>
<tr>
<td>1</td>
<td>The department chair writes to the divisional dean requesting authorization for a search&lt;br&gt;The search plan should address:&lt;br&gt;• The names of the proposed search committee members, including the chair, who will have primary responsibility for ensuring that the search is broad, wide-ranging, and thorough and that proactive efforts are made to identify candidates who are women and minorities. The committee should include faculty from outside the department conducting the search.&lt;br&gt;• How the anticipated appointment is expected to serve the curricular needs of the department.&lt;br&gt;• The process by which candidates will be identified to ensure the generation of the most highly qualified and diverse pool of applicants.&lt;br&gt;• The space that will house the proposed appointment.&lt;br&gt;In consultation with the FAS Dean, the divisional dean reviews individual requests in light of divisional priorities and resources (including space). If the search is authorized, the divisional dean will provide a written response to the department setting out the conditions of the search.</td>
</tr>
<tr>
<td>2</td>
<td>The department advertises the position and makes inquiries at other institutions&lt;br&gt;• All advertising copy must be reviewed and approved by the assistant dean for the division before it is submitted to the appropriate journals and other venues. Advertisements and inquiries should describe the position broadly, must specifically express interest in candidates who are women and minorities, and should list a date after which applications will not be considered. At least one form of the advertisement should be published in print. Advertisements should clearly state required documents and must indicate that Harvard is an Equal Opportunity/Affirmative Action employer.&lt;br&gt;• The dossier for the finalist must include teaching and research statements and teaching materials (e.g., a teaching chart, any teaching awards, a list of theses supervised, representative course syllabi, and teaching evaluations). The advertisement should ask all candidates to submit teaching and research statements with their original application materials. The department may request the other materials only from the finalist.&lt;br&gt;• Candidates should not solicit student letters, and any unsolicited student letters will not be included in the final dossier.&lt;br&gt;• Harvard is required to solicit and record, when available, each applicant’s gender and racial/ethnic information, which is accomplished through the ARiES system. Applicants are not required to provide demographic information.</td>
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## Appointment to Full-Time Professor of the Practice

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| 3 | The department submits a short list of candidates for approval by the divisional dean. The short list consists of candidates the department has determined are the most qualified for the job in terms of credentials, accomplishments, standing in the field, teaching experience, and field of expertise. The short list should be demographically diverse and represent a range of expertise. The department sends the following to the divisional dean and the assistant dean for the division:  
  - The names of the short list candidates.  
  - The candidates’ materials (e.g., letters of application, CVs, research and teaching statements).  
  - A brief summary of the search process to date.  
  - An EEO chart displaying demographics data from the search. This report can be retrieved through the ARIsS system. See Chapter 2 in this handbook for more information on Affirmative Action policies. |
| 4 | If approval is granted, the department invites short-list candidates to campus for interviews. Ordinarily, all candidates under serious consideration have the opportunity of a campus visit in order to meet with members of the department, in addition to the members of the search committee. |
| 5 | The department selects a final candidate and requests authorization from the divisional dean to solicit external evaluation letters. With the request, the department should submit a draft of the letter soliciting evaluations and a recipient list. The letter soliciting external evaluations should include:  
  - The criteria for appointment to a professor of the practice position at Harvard.  
  - An indication that the University intends, to the extent permitted by law, to keep the response confidential and to make it available only to the department chair and those involved in the formal review process.  
  - The deadline for receipt of responses and contact information. |
<p>| 6 | The department sends the approved letter to the scholars on the recipient list. The department writes to a number of scholars sufficient to elicit at least ten evaluative letters. The names of outside scholars declining to write an evaluation should be noted in the case statement. Any explanatory emails/letters from these scholars should be included with the other external evaluations. |
| 7 | After reviewing all of the candidate’s materials, including external letters, the department votes. The department reviews all of the materials and discusses the strengths and weaknesses of the case. The department should also assess whether the candidate has met the criteria for professor of the practice. The department votes on the proposed appointment according to its standard procedures. |</p>
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<tr>
<td>8</td>
<td>After a favorable vote, the chair asks each tenured member of the department, including those on the search committee, to write a confidential letter to the FAS Dean. These letters express the faculty members’ views on the appointment and will be included in the candidate’s dossier to be reviewed by the Committee on Appointments and Promotions. (For inclusion in the dossier, letters should be sent electronically to the <em>ad hoc</em> coordinator in the Office for Faculty Affairs, <a href="mailto:ryoung@fas.harvard.edu">ryoung@fas.harvard.edu</a>.)</td>
</tr>
</tbody>
</table>
| 9    | The case statement is finalized by the department chair. The finalized case statement, prepared and signed by the department chair and the chair of the search committee, should include the following:  
- A one-paragraph executive summary of the candidate’s contributions and the department’s recommendation.  
- Background and context: An explanation of how the appointment serves the needs of the department, how it fits in with the department’s future development, and why it is appropriate to make the appointment at the professor of the practice rank.  
- The search process: A description of the search, including how the finalist was identified; please address the demographics of the pool as displayed on the EEO chart available in ARiE S.  
- External letter writers: A brief description of the logic underlying the composition of the external letter writer group.  
- The case for the candidate: A comparison of the candidate with all other leading candidates (in particular, women and minorities) and the basis for choosing the finalist. Please include an evaluation of his or her teaching, pedagogical achievements and scholarship, and advising abilities, keeping in mind the criteria for the position.  
- A discussion of the strengths and weaknesses of the candidate’s case as noted in the external evaluations and the internal conversations of both the search committee and the department.  
- Departmental vote: A record of the department vote, by name, with an “as of” date for the vote tally.  
- Signatures: An indication of the primary author of the statement. |
| 10   | The candidate’s dossier is prepared by the department and sent to the assistant dean for the division. Please send one electronic copy of the dossier to the assistant dean via Accellion (secure document transfer: https://fta.fas.harvard.edu). For a full checklist of what the dossier should include, please see page 7.9. |
## Appointment to Full-Time Professor of the Practice

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<th>Step</th>
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<tr>
<td>11</td>
<td>The Committee on Appointments and Promotions reviews the dossier. The Committee on Appointments and Promotions (CAP) reviews the dossier and advises the FAS Dean on whether the correct process has been followed, the dossier is complete, and the case is sufficiently strong. The Dean then decides whether or not to approve the appointment and forward the case to the Provost for approval.</td>
</tr>
<tr>
<td>12</td>
<td>The Provost reviews the case. The Office for Faculty Affairs forwards the case to the Provost, who makes the final decision on whether or not to approve the appointment.</td>
</tr>
<tr>
<td>13</td>
<td>If the decision is favorable, the Office for Faculty Development prepares and issues the offer letter. The offer letter contains detailed information about the finalist’s administrative and teaching duties. It also makes clear the standards and procedures for review for reappointment.</td>
</tr>
<tr>
<td>14</td>
<td>If the offer is accepted, the appointment is processed in the ASPerIN system by the Office for Faculty Affairs. The Office for Faculty Development provides all documentation for processing, with the exception of the I-9 form, which the FAS financial administrator or the department administrator delivers by hand to the Appointments Office. The department administrator will remind the faculty member to sign electronically the Harvard University Participation Agreement upon his/her arrival on campus.</td>
</tr>
</tbody>
</table>
d. Dossier Checklist: Full-Time Professors of the Practice

Please send an electronic copy of the preliminary dossier to the assistant dean for the division (AD), via Accellion (secure document transfer: https://fta.fas.harvard.edu). To facilitate storing and sharing of files, please name the file as follows: a) alpha-numeric characters only (no dashes, commas, slashes, etc.). b) [Last Name] [First Name] [Department Name] FT POP dossier [Month, Date, and Year of dossier submission, expressed numerically: XX YY ZZ]. E.g., Smith John Psychology FT POP dossier 1 4 13. c) If a dossier is revised and resubmitted, please repeat the original title, followed by “rev” and [Month of resubmission] [Date of resubmission] [Year of resubmission]. E.g., Smith John Psychology FT POP dossier 1 4 13 rev 1 15 13. **Departments should keep an additional copy of the dossier on file for the department’s records for 5 years.**

_____ 1. Case statement (including department vote by name). See description on page 7.7.

_____ 2. The EEO chart displaying demographics data from the search, available through ARiEas.

_____ 3. The department’s request for search authorization and the divisional dean’s letter approving the search request.

_____ 4. Candidate’s **curriculum vitae.**

_____ 5. **Summary teaching chart** and teaching materials (including teaching awards, a list of theses supervised, representative course syllabi, and teaching evaluations).

_____ 6. A teaching statement.

_____ 7. A research statement.

_____ 8. A copy of the letter soliciting external evaluations and the recipient list (indicating who did and did not reply).

_____ 9. At least ten external evaluation letters.

**Note:** The candidate should not solicit student letters, and any unsolicited student letters will not be included in the dossier.
## Reappointment of Full-Time Professors of the Practice

Note: Professors of the practice appointed prior to 2010 should follow these review procedures, but reviews should be based upon the criteria for the position at the time of appointment.

<table>
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<th>Step</th>
<th>Explanation</th>
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| **1** | The department chair requests materials from the candidate during the penultimate year of appointment. Materials should include:  
- A *curriculum vitae*, including bibliography.  
- Teaching and advising materials, including: a list of theses supervised, representative course syllabi, and evidence of teaching effectiveness, such as teaching awards and evaluations.  
- A teaching statement.  
- A statement regarding his or her pedagogical scholarship, innovation, reform, and/or development.  
- Copies of the candidate’s publications from the last five years, including forthcoming publications. |
| **2** | The chair requests divisional dean approval of a proposed review committee and, following this approval, appoints the committee. The committee consists of tenured colleagues who will evaluate the case. The request should name the committee chair and other review committee members. The committee should include at least one individual from outside the program conducting the review. |
| **3** | The department compiles a *summary teaching chart* and gathers information on the candidate’s performance as a teacher and administrator, if applicable.  
- The summary teaching chart summarizes, in chronological order, all courses the candidate has taught, including course titles, enrollments, and overall course scores and instructor scores.  
- If the candidate is a director of a language program, the department should ask all instructors in the language program (e.g., senior preceptors, preceptors, TAs, TFs) to write confidential letters to the divisional dean with feedback about the candidate’s performance as an administrator of the program. The department should make clear to instructors that only the divisional dean will see the letters.  
- The review committee should:  
  - Solicit feedback from the candidate’s current and former students, as appropriate.  
  - Observe the candidate’s teaching.  
  - Review the candidate’s pedagogical scholarship, innovation, reform, and/or development. |
| **4** | The committee considers the case. The review committee should take into account all aspects of the candidate’s job description, including the candidate’s teaching, scholarship, and administrative service, if applicable. |
### Reappointment of Full-Time Professors of the Practice

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| **5** | The committee drafts a case statement and reports its findings to the department.  
The draft case statement for the candidate summarizes the committee’s conclusions, including the strengths and weaknesses of the case (see Step 8 for all of the necessary elements of the final case statement). |
| **6** | The department reviews the materials, discusses the case, and votes on the reappointment according to its standard procedures.  
A favorable vote does not have to be unanimous but must comprise affirmative votes by a significant majority of the voting faculty. If the department decides against reappointment, the department chair sends to the divisional dean the current dossier, including a record of the department vote, and a draft of the letter to the candidate and explains the department’s decision. After divisional dean approval, the department gives the letter to the candidate. |
| **7** | After a favorable vote, the chair asks each tenured member of the department, including those on the review committee, to write a confidential letter to the FAS Dean.  
These letters express the tenured faculty members’ views on the appointment and will be included in the candidate’s dossier to be reviewed by the Committee on Appointments and Promotions (CAP).  
(For inclusion in the dossier, letters should be sent electronically to the ad hoc coordinator in the Office for Faculty Affairs, ryoung@fas.harvard.edu.) |
| **8** | The department sends the candidate’s dossier, including a draft letter for the candidate, to the assistant dean for the division.  
Please send one electronic copy of the dossier, including a draft letter for the candidate, to the assistant dean via Accellion (secure document transfer: https://fta.fas.harvard.edu).  
The dossier should consist of:  
- A case statement describing the review procedures, making the case for the reappointment of the candidate, and discussing the candidate’s teaching effectiveness and pedagogical scholarship, innovation, reform, and/or development. The case statement should also include a record of the department vote, by name, with an “as of” date for the vote tally. The case statement should also indicate who authored it and be signed by both the author and the chair.  
- The candidate’s *curriculum vitae*.  
- **Summary teaching chart**.  
- A teaching statement.  
- Teaching and advising materials, including: a list of theses supervised, representative course syllabi, and evidence of teaching effectiveness, such as teaching awards and evaluations.  
- The candidate’s statement regarding pedagogical scholarship, innovation, reform, and/or development.  
- Copies of the candidate’s publications from the last five years, including forthcoming publications.  
- A draft letter to the individual, to be reviewed by the divisional dean. |
**Reappointment of Full-Time Professors of the Practice**

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<th>Step</th>
<th>Explanation</th>
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|      | discussing the review. The letter covers any concerns about performance and/or need for services that might affect the future. The letter also indicates the dates of reappointment and the schedule for the next review.  
**Note:** The candidate should not solicit student letters, and any unsolicited student letters will not be included in the dossier. |
| 9    | The Committee on Appointments and Promotions reviews the dossier  
The Committee on Appointments and Promotions (CAP) reviews the dossier and advises the Dean on whether the case warrants reappointment. The Dean then decides whether or not to approve the reappointment and forward the case to the Provost for approval. |
| 10   | The Provost reviews the case  
The Office for Faculty Affairs forwards the case to the Provost, who makes the final decision on whether or not to approve the reappointment. |
| 11   | If reappointment is authorized, the department issues a final letter to the candidate  
- The department sends 1 electronic PDF copy of the final letter for the candidate, signed by the department chair, to the divisional dean, cc’ing the assistant dean, via Accellion (secure document transfer: [https://fta.fas.harvard.edu](https://fta.fas.harvard.edu)).  
- The reappointment is processed in the ASPeRIN system by the Office for Faculty Affairs. |

**Criteria for reappointment for full-time professors of the practice appointed prior to 2010:**  
Professor of the practice appointments are reserved for scholars who have demonstrated excellence in teaching and administration. Full-time appointments to this rank usually involve ongoing responsibility for a specialized instructional program (e.g., technical or language skill). Appointments are ordinarily made for five-year terms and are renewable contingent upon review and approval of the Dean.
B. Part-Time Professors of the Practice

(1) Appointment to Part-Time Professor of the Practice

a. Description

Part-time professors of the practice are normally half-time or less than half-time appointments that are reserved for individuals who blend scholarship and professional leadership outside the academy with demonstrated excellence in teaching. These result from unique opportunities to take advantage of the expertise of individuals, usually from industry, who are located in the Boston area but whose primary employment is not at Harvard. These appointments are normally made for a period of five years and are renewable contingent upon review and approval of the Dean. Part-time professors of the practice have voting rights in the Faculty and voting rights as senior faculty in the department, except on decisions relating to appointments to the tenured rank.
### Search Flowchart: Part-Time Professor of the Practice

<table>
<thead>
<tr>
<th>Step</th>
<th>Description</th>
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<tbody>
<tr>
<td>1.</td>
<td>Department chair submits search plan to divisional dean (DD) for approval.</td>
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<tr>
<td>2.</td>
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<tr>
<td>3.</td>
<td>Department advertises position, requests DD approval of a short list of candidates, and invites short-list candidates to campus for interviews.</td>
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<td>4.</td>
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<tr>
<td>5.</td>
<td>Department selects finalist and requests DD approval to collect external letters, submitting to DD a draft letter to recipients and a recipient list.</td>
</tr>
<tr>
<td>6.</td>
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<tr>
<td>7.</td>
<td>Department sends finalized letter to finalized recipients.</td>
</tr>
<tr>
<td>8.</td>
<td>Department discusses external letters and candidate materials and votes. Tenured members of the department submit confidential letters to the dean.</td>
</tr>
<tr>
<td>9.</td>
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<tr>
<td>10.</td>
<td>Department chair and search committee chair finalize candidate’s case statement. Dossier is sent to assistant dean, for review by CAP.</td>
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<tr>
<td>11.</td>
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<tr>
<td>12.</td>
<td>Office for Faculty Affairs forwards case to Provost for approval.</td>
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<tr>
<td>13.</td>
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<tr>
<td>14.</td>
<td>Office for Faculty Development prepares and sends offer letter; appointment processed in ASPerIN.</td>
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### Steps: Appointment to Part-Time Professor of the Practice

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<td><strong>1</strong></td>
<td>The department chair writes to the divisional dean, requesting authorization for a search&lt;br&gt;<strong>Explanation:</strong> The search plan should address:&lt;br&gt;- The names of the proposed search committee members, including the chair, who will have primary responsibility for ensuring that the search is broad, wide-ranging, and thorough and that proactive efforts are made to identify candidates who are women and minorities.&lt;br&gt;- How the anticipated appointment is expected to serve the curricular needs of the department.&lt;br&gt;- The process by which candidates will be identified to ensure the generation of the most highly qualified and diverse pool of applicants.&lt;br&gt;- The space that will house the proposed appointment.&lt;br&gt;Note: Because of the special nature of part-time professor of the practice appointments, standard search and documentation procedures do not always apply.</td>
</tr>
<tr>
<td><strong>2</strong></td>
<td>The divisional dean reviews the request&lt;br&gt;In consultation with the FAS Dean, the divisional dean reviews individual requests in light of divisional priorities and resources (including space). If the search is authorized, the divisional dean will provide a written response to the department, setting out the conditions of the search.</td>
</tr>
<tr>
<td><strong>3</strong></td>
<td>The department advertises the position and makes inquiries at other institutions&lt;br&gt;- All advertising copy must be reviewed and approved by the assistant dean for the division before it is submitted to the appropriate journals and other venues. Advertisements and inquiries should describe the position broadly, must specifically express interest in candidates who are women and minorities, and should list a date after which applications will not be considered. At least one form of the advertisement should be published in print. Advertisements should clearly state required documents and must indicate that Harvard is an Equal Opportunity/Affirmative Action employer.&lt;br&gt;- The dossier for the finalist must include teaching and research statements and teaching materials (e.g., a teaching chart, any teaching awards, representative course syllabi, and teaching evaluations). The advertisement should ask all candidates to submit teaching and research statements with their original application materials. The department may request the other materials only from the finalist.&lt;br&gt;- Candidates should not solicit student letters, and any unsolicited student letters will not be included in the final dossier.&lt;br&gt;- Harvard is required to solicit and record, when available, each applicant’s gender and racial/ethnic information, which is accomplished through the ARiesS system. Applicants are not required to provide demographic information.</td>
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| 4 | The department submits a short list of candidates for approval by the divisional dean. The short list consists of candidates the department has determined are the most qualified for the job in terms of credentials, accomplishments, standing in the field, teaching experience, and field of expertise. The short list should be demographically diverse and represent a range of expertise. The department sends the following to the divisional dean and the assistant dean for the division:  
- The names of the short list candidates.  
- The candidates’ materials (e.g., letters of application, CVs, research and teaching statements).  
- A brief summary of the search process to date.  
- An EEO chart displaying demographics data from the search. This report can be retrieved through the ARiS system. See Chapter 2 in this handbook for more information on Affirmative Action policies. |
| 5 | If approval is granted, the department invites short-list candidates to campus for interviews. Ordinarily, all candidates under serious consideration have the opportunity of a campus visit in order to meet with members of the department, in addition to the members of the search committee. |
| 6 | The department selects a final candidate and requests authorization from the divisional dean to solicit external evaluation letters. With the request, the department should submit a draft of the letter soliciting evaluations and a recipient list. The letter soliciting external evaluations should include:  
- The criteria for appointment to a professor of the practice position at Harvard.  
- An indication that the University intends, to the extent permitted by law, to keep the response confidential and to make it available only to the department chair and those involved in the formal review process.  
- The deadline for receipt of responses and contact information. |
| 7 | The department sends the approved letter to the scholars on the recipient list.  
- The department writes to a number of scholars sufficient to elicit at least eight evaluative letters.  
- The names of outside scholars declining to write an evaluation should be noted in the case statement. Any explanatory emails/letters from these scholars should be included with the other external evaluations. |
| 8 | After reviewing all of the candidate’s materials, including external letters, the department votes. The department votes on the proposed appointment according to its standard procedures. |
## Appointment to Part-Time Professor of the Practice

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<th>Step</th>
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<tr>
<td>9</td>
<td>After a favorable vote, the chair asks each tenured member of the department, including those on the search committee, to write a confidential letter to the FAS Dean. These letters express the faculty members’ views on the appointment and will be included in the candidate’s dossier to be reviewed by the Committee on Appointments and Promotions. (For inclusion in the dossier, letters should be sent electronically to the ad hoc coordinator in the Office for Faculty Affairs, <a href="mailto:ryoung@fas.harvard.edu">ryoung@fas.harvard.edu</a>.)</td>
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</table>
| 10   | The case statement is finalized by the department chair. The finalized case statement, prepared and signed by the department chair and the chair of the search committee, should include the following:  
- A one-paragraph executive summary of the candidate’s contributions and the department’s recommendation.  
- Background and context: An explanation of how the appointment serves the needs of the department and why it is appropriate to make the appointment at the professor of the practice rank.  
- The search process: A description of the search, including how the finalist was identified; please address the demographics of the pool as displayed in the EEO chart available in ARlE5.  
- External letter writers: A brief description of the logic underlying the composition of the external letter writer group.  
- The case for the candidate: A comparison of the candidate with all other leading candidates (in particular, women and minorities) and the basis for choosing the finalist. Please include an evaluation of his or her teaching abilities.  
- A discussion of the strength and weaknesses of the candidate’s case, as noted in the external evaluations and the internal conversations of both the search committee and the department  
- Departmental vote: A record of the department vote, by name, with an “as of” date for the vote tally.  
- Signatures: An indication of the primary author of the statement. |
| 11   | The candidate’s dossier is prepared by the department and sent to the assistant dean for the division. Please send one electronic copy of the dossier to the assistant dean via Accellion (secure document transfer: https://fta.fas.harvard.edu). For a full checklist of what the dossier should include, please see page 7.19. |
| 12   | The Committee on Appointments and Promotions (CAP) reviews the dossier and advises the Dean on whether the correct process has been followed, the dossier is complete, and the case is sufficiently strong. The Dean then decides whether or not to approve the appointment and forward the case to the Provost for approval. |
### Appointment to Part-Time Professor of the Practice

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<tr>
<td>13</td>
<td>The Provost reviews the case. The Office for Faculty Affairs forwards the case to the Provost, who makes the final decision on whether or not to approve the appointment.</td>
</tr>
<tr>
<td>14</td>
<td>If the decision is favorable, the Office for Faculty Development prepares and issues the offer letter. The offer letter contains detailed information about the finalist’s administrative and teaching duties. It also makes clear the standards and procedures for reappointment.</td>
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<td>15</td>
<td>If the offer is accepted, the appointment is processed in the ASPeRIN system by the Office for Faculty Affairs. The Office for Faculty Development provides all documentation for processing, with the exception of the I-9 form, which the FAS financial administrator or the department administrator delivers by hand to the Appointments Office. The department administrator will remind the faculty member to sign electronically the Harvard University Participation Agreement upon his/her arrival on campus.</td>
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d. Dossier Checklist: Part-Time Professors of the Practice

Please send an electronic copy of the preliminary dossier to the assistant dean for the division (AD) via Accellion (secure document transfer: https://fta.fas.harvard.edu). To facilitate storing and sharing of files, please name the file as follows: a) alpha-numeric characters only (no dashes, commas, slashes, etc.). b) [Last Name] [First Name] [Department Name] PT POP dossier [Month, Date, and Year of dossier submission, expressed numerically: XX YY ZZ]. E.g., Smith John Psychology PT POP dossier 1 4 13. c) If a dossier is revised and resubmitted, please repeat the original title, followed by “rev” and [Month of resubmission] [Date of resubmission] [Year of resubmission]. E.g., Smith John Psychology PT POP dossier 1 4 13 rev 1 15 13. Departments should keep an additional copy of the dossier on file for the department’s records for 5 years.


_____ 2. The department’s request for search authorization and the divisional dean’s letter approving the search request.

_____ 3. The EEO chart displaying demographics data from the search, available through ARIeS.

_____ 4. Candidate’s curriculum vitae.

_____ 5. Summary teaching chart and teaching materials (including teaching awards, representative course syllabi, and teaching evaluations).

_____ 6. A teaching statement.

_____ 7. A research statement.

_____ 8. A copy of the letter soliciting external evaluations and the recipient list (indicating who did and did not reply).

_____ 9. At least eight external evaluation letters.

Note: The candidate should not solicit student letters, and any unsolicited student letters will not be included in the dossier.
(2) **Reappointment of Part-Time Professors of the Practice**

<table>
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<th>Step</th>
<th>Explanation</th>
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</table>
| 1    | The department chair requests materials from the candidate during the penultimate year of appointment. Materials should include:  
  • A *curriculum vitae*, including bibliography.  
  • Teaching and advising materials, including: a list of theses supervised, if applicable, representative course syllabi, and evidence of teaching effectiveness, such as teaching awards and evaluations.  
  • A teaching statement.  
  • A research statement, including a summary of the candidate’s outside professional activities in the last five years. |
| 2    | The chair requests divisional dean approval of a proposed review committee and, following this approval, appoints the committee. The committee consists of tenured colleagues who will evaluate the case. The request should name the committee chair and other review committee members. The committee should include at least one individual from outside the program conducting the review. |
| 3    | The department compiles a [summary teaching chart](#) and gathers information on the candidate’s performance as a teacher. The summary teaching chart summarizes, in chronological order, all courses the candidate has taught, including course titles, enrollments, and overall course scores and instructor scores. The review committee should:  
  • Solicit feedback from the candidate’s current and former students, as appropriate.  
  • Observe the candidate’s teaching. |
| 4    | The committee considers the case. The review committee should take into account all aspects of the candidate’s job description, including the candidate’s teaching and scholarship. |
| 5    | The committee drafts a case statement and reports its findings to the department. The draft case statement for the candidate summarizes the committee’s conclusions, including the strengths and weaknesses of the case (see Step 8 for all of the necessary elements of the final case statement). |
| 6    | The department reviews the materials and votes on the reappointment according to its standard procedures. A favorable vote does not have to be unanimous but must comprise affirmative votes by a significant majority of the voting faculty. If the department decides against reappointment, the department chair sends to the divisional dean the current dossier, including a record of the department vote, and a draft of the letter to the candidate and explains the department’s decision. After divisional dean approval, the department gives the letter to the candidate. |
### Reappointment of Part-Time Professors of the Practice

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<th>Step</th>
<th>Explanation</th>
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<td>7</td>
<td>After a favorable vote, the chair asks each tenured member of the department, including those on the review committee, to write a confidential letter to the FAS Dean. These letters express the tenured faculty members’ views on the promotion and will be included in the candidate’s dossier to be reviewed by the Committee on Appointments and Promotions (CAP). (For inclusion in the dossier, letters should be sent electronically to the <em>ad hoc</em> coordinator in the Office for Faculty Affairs, <a href="mailto:ryoung@fas.harvard.edu">ryoung@fas.harvard.edu</a>.)</td>
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</table>
| 8    | The department sends the candidate’s dossier, including a draft letter for the candidate, to the assistant dean for the division. Please send one electronic copy of the dossier, including a draft letter for the candidate, to the assistant dean via Accellion (secure document transfer: https://fta.fas.harvard.edu). The dossier should consist of:  
- A case statement describing the review procedures, making the case for the reappointment of the candidate, and discussing the candidate’s teaching effectiveness. The case statement should also include a record of the department vote, by name, with an “as of” date for the vote tally. The case statement should also indicate who authored it and be signed by both the author and the chair.  
- The candidate’s *curriculum vitae*.  
- Summary teaching chart.  
- A teaching statement.  
- A research statement, including a summary of the candidate’s outside professional activities in the last five years.  
- Teaching and advising materials, including: a list of theses supervised, if applicable, representative course syllabi, and evidence of teaching effectiveness, such as teaching awards and evaluations.  
- A draft letter to the individual, to be reviewed by the divisional dean, discussing the review. The letter covers any concerns about performance and/or need for services that might affect the future. The letter also indicates the dates of reappointment and the schedule for the next review.  

*Note:* The candidate should not solicit student letters, and any unsolicited student letters will not be included in the dossier. |
<p>| 9    | The Committee on Appointments and Promotions reviews the dossier and advises the Dean on whether the case warrants reappointment. The Dean then decides whether or not to approve the reappointment and forward the case to the Provost for approval. |</p>
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<tr>
<td>10</td>
<td>The Provost reviews the case. The Office for Faculty Affairs forwards the case to the Provost, who makes the final decision on whether or not to approve the reappointment.</td>
</tr>
<tr>
<td>11</td>
<td>If reappointment is authorized, the department issues a final letter to the candidate. • The department sends 1 electronic PDF copy of the final letter for the candidate, signed by the department chair, to the divisional dean, cc’ing the assistant dean, via Accellion (secure document transfer: <a href="https://fta.fas.harvard.edu">https://fta.fas.harvard.edu</a>). • The reappointment is processed in the ASPeRIN system by the Office for Faculty Affairs.</td>
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C. Professors in Residence

(1) Appointment to Professor in Residence

a. Description

Professor in residence appointments are reserved for senior scholars who, ordinarily, have held senior, tenured professorial appointments at another academic institution and (1) fulfill a well-defined but potentially time-limited programmatic or administrative need; (2) have the capacity to make significant contributions to the FAS throughout the term of their appointments; and (3) have had a considerable impact on their field, including demonstrated excellence in teaching and research. Appointments to this rank are made for a term of up to five years with approval from the Dean and the Provost. These appointments are renewable for one additional five-year term contingent upon review and approval of the Dean and the Provost. Professors in residence have voting rights in the Faculty of Arts and Sciences and voting rights as senior faculty in the department, except on decisions relating to appointments to the tenured rank.
b. Search Flowchart: Professor in Residence

Department submits search plan to divisional dean (DD) for approval; after approval by the DD, approval is then sought from the Provost (Step 1).

Department advertises position, requests DD approval of a short list of candidates, and invites short-list candidates to campus for interviews (Steps 2, 3, 4).

Department requests DD approval to collect external letters, submitting a draft blind letter, recipient list, and optional initial-inquiry letter to DD. Department sends finalized blind letter to finalized recipients (Steps 5a, 5b, 6).

Search committee discusses external letters and candidate materials and drafts a case statement for the finalist (Step 7, 8).

Department reviews case statement and all materials, discusses the case’s strengths and weaknesses, and votes on candidate (Step 8).

If vote is favorable, each tenured member of the department writes a confidential letter to the FAS Dean with his/her views on the appointment (Step 9).

Department chair and search committee chair finalize candidate’s case statement. Dossier is sent to assistant dean (Steps 10, 11).

Committee on Appointments and Promotions reviews dossier and advises Dean whether to forward it to the Provost for further review (Step 12).

Provost reviews the case and makes the final decision on the appointment (Step 13).

FAS Dean issues the offer of appointment; appointment is processed in ASPeRIN (Steps 14, 15).
c. Steps: Appointment to Professor in Residence

**Note:** The appointment process for professors in residence closely resembles the appointment process for external appointments to tenure.

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</table>
| 1    | The department chair writes to the divisional dean requesting authorization for a professor in residence search.  
   The search plan should address:  
   - A description of the field or area(s) of the search and a description of the importance of the subfield being requested to the discipline as a whole and how it fits into the department’s academic plan.  
   - How the anticipated appointment is expected to serve the curricular needs of the department, including the teaching and advising of undergraduate and graduate students, and whether the appointment will be coterminous with a senior administrative position.  
   - Why this position is best served by a term-limited professorial appointment.  
   - The names of the proposed search committee members, including the chair, who will have primary responsibility for ensuring that the search is broad, wide-ranging, and thorough and that proactive efforts are made to identify candidates who are women and minorities. The department should ask a representative of the appropriate center, institute, or initiative to serve on or consult with the search committee when there is an overlap in research interests.  
   - A copy of the draft advertisement for the position.  
   - The process by which candidates will be identified to ensure the generation of the most highly qualified and diverse pool of applicants.  
   - The space (office, studio, and/or laboratory) that will house the proposed appointment and any other important resource considerations.  
   In consultation with the FAS Dean, the divisional dean reviews individual requests in light of divisional priorities and resources, including space. If the deans decide to pursue the appointment, they will seek approval to proceed from the Provost. |
| 2    | After authorization from the Provost and divisional dean, the department advertises the position and makes inquiries at other institutions.  
   All advertising copy must be reviewed and approved by the assistant dean for the division before it is submitted to the appropriate journals and other venues. Advertisements and inquiries should describe the position broadly, must specifically express interest in candidates who are women and minorities, and should list a date after which applications will not be considered. At least one form of the advertisement should be published in print. Advertisements should clearly state required documents and must indicate that Harvard is an Equal Opportunity/Affirmative Action employer.  
   - The dossier for the finalist must include teaching and research |
### Appointment to Professor in Residence

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| 3.00 | The department submits a short list of candidates for approval by the divisional dean. The short list consists of candidates that the department has determined are the most qualified for the job in terms of credentials, accomplishments, standing in the field, teaching experience, and field of expertise. The short list should be demographically diverse. The department sends the following to the divisional dean and the assistant dean for the division:  
- The names of the short list candidates.  
- The candidates’ materials (e.g., letters of application, CVs, research and teaching statements).  
- A brief summary of the search process to date.  
- An EEO chart displaying demographics data from the search. This report can be retrieved through the ARiEeS system. See Chapter 2 in this handbook for more information on Affirmative Action policies. |
| 4.00 | If approval is granted, the department invites short-list candidates to campus for interviews. Candidates meet with members of the department. The visits may include formal seminars, lectures, or presentations of working papers, as well as informal meetings with faculty, graduate students, and others. The assistant dean for the division should be given a list of dates of any seminars, lectures, or presentations. |
| 5a   | The department requests authorization from the divisional dean to solicit external evaluation letters. With the request, the department should submit a draft of the blind letter, the recipient list (see Sample Table), The blind letter (see the Sample Letters section of this handbook) should include:  
- A broad description of the field of the search.  
- The criteria for appointment to a professor in residence position at Harvard.  
- The comparison list (see below).  
- A request that the individuals named be compared, absolutely and relatively.  
- A request for names and evaluations of other comparable candidates, |
### Step 5b

(Optional step, for departments choosing to send an initial inquiry) **Explanation**

The initial inquiry email (see the Sample Letter section of this handbook) asks recipients if they would be willing to write a letter, requesting their answer by a specific date.

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<td>and, if the department chooses to send an initial inquiry (see Step 5b) before the blind letter, a draft of the initial inquiry letter</td>
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<td>including minorities and women, who in the respondent’s view may have been overlooked.</td>
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<td>• An indication that the University intends, to the extent permitted by law, to keep the response confidential and to make it available only to the department chair and those involved in the formal review process.</td>
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<td>• The deadline for receipt of responses and contact information. (Note: The department should give letter writers at least six to eight weeks to prepare their letters—dating from the mailing of the blind letter, not the initial inquiry.)</td>
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<td>The comparison list:</td>
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<td>• The comparison list includes four to five tenured scholars in the field; in some instances, it may be appropriate to include highly accomplished senior researchers, curators, artists, or others. The list must include at least two full professors, and at least one woman. The comparison list may be taken directly from the short list or may be built around comparisons to the finalists, depending on the most appropriate course of action.</td>
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<td>• The letter should note that the individuals listed have not necessarily been asked if they are willing to be considered and that the list has been selected for the purposes of the department’s own internal evaluation.</td>
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<td>• Efforts should be made to ensure that the list is diverse and includes women and members of minority groups.</td>
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<td>• The list should be in alphabetical order and include home institution, title, year of doctorate, current rank, and a link to the scholars’ websites.</td>
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<td>The recipient list (see the Sample Table in this handbook):</td>
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<td>• The recipient list should include active scholars who are full professors within the field (or fields, in interdisciplinary cases).</td>
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<td>• The list should be diverse, including women and members of minority groups.</td>
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<td>• In science and engineering cases, some of the external reviewers may be prestigious senior researchers from corporations or research institutes, rather than universities.</td>
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<td></td>
<td>• In certain arts and humanities cases, some of the external reviewers may be well-established museum curators or artists.</td>
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<tr>
<td></td>
<td>• The list (see Sample Table) should be in alphabetical order and include home institution, title, year of doctorate, current rank, and a link to the scholars’ websites.</td>
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### Appointment to Professor in Residence

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| **inquiry)** | Once the divisional dean has approved the blind letter, recipient list, and initial inquiry letter, the department chair sends the initial inquiry to scholars on the recipient list.  
- The department writes to a number of scholars sufficient to elicit at least 12 to 15 evaluations for inclusion in the final dossier. These letters are in addition to any letters the department might solicit from past advisors. Please take into account that 12 affirmative responses to the initial inquiry may not ultimately result in 12 external evaluations of the candidate.  
- The inquiry email and all responses from scholars should be included in the final dossier.  
- Any initial inquiries conducted by phone (and scholars’ responses) must be documented for inclusion in the final dossier. |
| **6** | The chair sends the blind letter to all scholars who have replied affirmatively to the initial inquiry email (see Step 5b). If the chair has chosen not to send any initial inquiries, the blind letter is sent directly to the scholars on the recipient list.  
- The department writes to a number of scholars sufficient to elicit at least 12 to 15 responses for inclusion in the final dossier. These letters are in addition to any letters the department might solicit from past advisors and collaborators.  
- The names of outside scholars declining write an evaluation should be noted in the case statement. Any explanatory emails/letters from these scholars explaining that they could/would not participate in the review should be included with the other external evaluations. |
| **7** | After discussing the external letters, the search committee selects a final candidate.  
*Note:* In selecting the final candidate, if the research interests of the appointment overlap with a center, institute, or initiative, the department should take into account the views of that unit. |
| **8** | The search committee drafts a case statement; the tenured members of the department review all materials, discuss the case, and vote.  
- The draft case statement for the candidate summarizes the committee’s conclusions, including the strengths and weaknesses of the case (see Step 10 for all of the necessary elements of the final case statement).  
- The department reviews the draft case statement, the external letters, and all of the candidate’s materials and discusses the strengths and weaknesses of the case. The department should also assess whether the candidate has met the criteria for professor in residence. As part of this discussion, the department should assess the impact the candidate has had on the field and the candidate’s potential for future contributions.  
- The tenured members of the department vote on whether the case is strong enough to proceed. A favorable vote does not have to be unanimous but must comprise affirmative votes by a significant majority of the tenured faculty in the department. |
### Appointment to Professor in Residence

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<td>9</td>
<td>After a favorable vote, the chair asks each tenured member of the department, including those on the search committee, to write a confidential letter to the FAS Dean. These letters express the faculty members’ views on the appointment and will be included in the candidate’s dossier to be reviewed by the Committee on Appointments and Promotions (CAP) and the Provost. A dossier is not submitted to CAP for initial review until a substantial number of letters from the tenured members of the department are received. (For inclusion in the dossier, letters should be sent electronically to the ad hoc coordinator in the Office for Faculty Affairs, <a href="mailto:ryoung@fas.harvard.edu">ryoung@fas.harvard.edu</a>.)</td>
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| 10   | The case statement is finalized by the department chair. The finalized case statement, prepared and signed by the department chair and the chair of the search committee, should include the following sections:  
  - A one-paragraph executive summary of the candidate’s contributions and the department’s recommendation.  
  - Background and context: A description of the candidate’s area and how it fits into the department’s academic plan (and, if applicable, administrative needs) and why this position is best served by a term-limited professorial appointment.  
  - The search process: A summary of the search process with copies of correspondence and advertisements, records of telephone conversations, and description of all efforts to identify candidates who are women and minorities; please address the demographics of the pool as displayed on the EEO chart available in ARiESe.  
  - Comparands: List of names and home institutions, with a brief rationale for each comparand.  
  - External letter writers: A brief description of the logic underlying the composition of the external letter writer group, especially in cases where the candidate is multidisciplinary.  
  - The intellectual case for the candidate:  
    - A summary of the candidate’s scholarly contributions.  
    - An analysis of how these contributions meet the intellectual criteria for professor in residence, including the impact the candidate has had on the field and the candidate’s potential for future contributions. This analysis should clearly draw on both the external letters and considered judgments of departmental faculty.  
  - Teaching, advising, and service: An evaluation of teaching and advising effectiveness in a variety of settings with both undergraduate and graduate students, and description of service.  
  - A discussion of the strengths and weaknesses of the candidate’s case as noted in the external evaluations and the internal conversations of both the search committee and the department. |
# Appointment to Professor in Residence

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<td>11</td>
<td>The candidate’s <strong>dossier</strong> is prepared by the department and sent to the assistant dean for the division.</td>
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<td>• Please send one electronic copy of the dossier to the assistant dean via Accellion (secure document transfer: <a href="https://fta.fas.harvard.edu">https://fta.fas.harvard.edu</a>). For a full checklist of what the dossier should include, please see page 7.32.</td>
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<td>• The submission deadline is February 28 for appointments beginning July 1 and October 1 for appointments beginning on January 1.</td>
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<td>12</td>
<td>The Committee on Appointments and Promotions reviews the dossier.</td>
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<td>The Committee on Appointments and Promotions (CAP) reviews the dossier and advises the FAS Dean on the next step for the dossier, which can include the following:</td>
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<td>(1) The case is sufficiently strong to forward to the Provost</td>
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<td>(2) CAP needs further information or the department needs to modify the case statement before the Dean decides whether to forward the case to the Provost, or</td>
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<td>(3) The case is not strong enough, and CAP advises the Dean to turn down the professor in residence case. In the latter case, the Dean notifies the department in writing within a reasonable timeframe.</td>
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<td>13</td>
<td>The Provost reviews the case.</td>
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<td>The Office for Faculty Affairs forwards the case to the Provost, who makes the final decision on whether or not to approve the appointment.</td>
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<td>14</td>
<td>If the decision is favorable, the offer letter is issued by the FAS Dean.</td>
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<td>The offer letter (drafted in consultation with the divisional dean by the Office for Faculty Development) contains information on title, appointment, salary, responsibilities, etc. The Office for Faculty Development makes any revisions to the offer letter. When appropriate, the dean for faculty development will work with a center, institute, or initiative to develop a supplementary letter for the candidate that describes the resources available through the center. The candidate’s acceptance of the offer must be made in writing to the FAS Dean.</td>
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<tr>
<td>15</td>
<td>If offer is accepted, the appointment is processed in the ASPeRIN system by Office for Faculty Affairs.</td>
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<td>The Office for Faculty Development provides all documentation for processing, with the exception of the I-9 form, which the FAS financial administrator or the department administrator delivers by hand to the Appointments Office. The department administrator will remind the faculty member to sign electronically the <a href="https://fta.fas.harvard.edu">Harvard University Participation Agreement</a> upon his/her arrival on campus.</td>
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Professor in Residence Targeted Searches

In rare cases, a professor in residence search may coincide with the recruitment of a specific candidate (a “targeted” search). In these instances, departments may skip steps 2 and 3 in the above process. Departments send an optional initial inquiry letter (which should not include the candidate’s name), followed by a blind letter. Additional materials such as *curricula vitae* and publications are not sent out with the blind letter. The department should give letter writers at least six to eight weeks to prepare their letters—dating from the mailing of the blind letter. As always, the initial inquiry letter, blind letter, and recipient list (see [Sample Table](#)) are reviewed by the divisional dean prior to being sent.
d. Dossier Checklist: Professors in Residence

Please send an electronic copy of the preliminary dossier to the assistant dean for the division (AD), via Accellion (secure document transfer: https://fta.fas.harvard.edu). To facilitate storing and sharing of files, please name the file as follows: a) alpha-numeric characters only (no dashes, commas, slashes, etc.). b) [Last Name] [First Name] [Department Name] PIR dossier [Month, Date, and Year of dossier submission, expressed numerically: XX YY ZZ]. E.g., Smith John Psychology PIR dossier 1 4 13. c) If a dossier is revised and resubmitted, please repeat the original title, followed by “rev” and [Month of resubmission] [Date of resubmission] [Year of resubmission]. E.g., Smith John Psychology PIR dossier 1 4 13 rev 1 15 13. Departments should keep an additional copy of the dossier on file for the department’s records for 5 years.

1. Case statement (including department vote by name). See description on page 7.29.
2. The EEO chart displaying demographics data from the search, available through ARieS.
3. The department’s request for search authorization, the divisional dean’s letter approving the search request, and the Provost’s letter approving the search request.
4. Candidate’s curriculum vitae and bibliography.
5. Summary teaching chart and teaching materials (including teaching awards, list of undergraduate and graduate theses supervised, representative course syllabi, and teaching evaluations).
6. A teaching statement, including the number of graduate students for whom the candidate had primary responsibility (required only if the candidate knows he/she is under consideration for the appointment).
7. A research statement.
8. A copy of the optional initial inquiry letter, if used, the blind letter (including the comparison list), and the recipient list (see Sample Table) (indicating who did and did not reply). See description on page 7.26.
9. Copies of all responses to the optional initial inquiry letter, if used, and responses to the blind letter, including those from anyone who declined to give a formal response, with English translations of any written in a foreign language and typed copies of any handwritten letters.
10. A list of all publications.
11. Total citation count for the candidate and comparands (please use the Sample Citation Table, if appropriate to the field, in Chapter 15).
12. Citation count for each of the candidate’s publications.
13. Selected significant articles and most recent articles, major books, significant unpublished manuscripts, and important reviews of the candidate’s major publications.

Note: The candidate should not solicit student letters, and any unsolicited student letters will not be included in the dossier.
(2) Reappointment of Professors in Residence

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| 1    | The department chair requests materials from the candidate during the penultimate year of appointment. Materials should include:  
• A curriculum vitae, including bibliography.  
• Teaching and advising materials, including: a list of undergraduate and graduate theses supervised, representative course syllabi, and evidence of teaching effectiveness, such as teaching awards and evaluations.  
• A teaching statement.  
• A research statement.  
• A statement regarding administrative duties, if appropriate.  
• Copies of the candidate’s publications from the last five years, including forthcoming publications. |
| 2    | The chair requests divisional dean approval of a proposed review committee. After approval from both the divisional dean and the Provost, the chair appoints the committee. The request must explain why the position is still needed and why it is still unwise to fill the slot with a scholar accorded the guarantee of tenure. The committee consists of tenured colleagues who will evaluate the case. The request should name the committee chair and other review committee members. The committee should include at least one individual from outside the program conducting the review. If the deans decide to pursue the reappointment, they will seek approval from the Provost. |
| 3    | Department compiles a summary teaching chart and gathers information on the candidate’s performance as an adviser of undergraduates and mentor of graduate students.  
• The summary teaching chart summarizes, in chronological order, all courses the candidate has taught, including course titles, enrollments, and overall course scores and instructor scores.  
• The review committee should:  
o Solicit feedback from the candidate’s current and former students, as appropriate.  
o Observe the candidate’s teaching. |
| 4    | The committee considers the case. The review committee should take into account all aspects of the candidate’s job description, including the candidate’s teaching, scholarship, and administrative service, if appropriate. |
| 5    | The committee drafts a case statement and reports its findings to the department. The draft case statement for the candidate summarizes the committee’s conclusions, including the strengths and weaknesses of the case (see Step 8 for all of the necessary elements of the final case statement). |
### Reappointment of Professors in Residence

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<td>6</td>
<td>The department reviews the materials, discusses the case, and votes on the reappointment according to its standard procedures. A favorable vote does not have to be unanimous but must comprise affirmative votes by a significant majority of the voting faculty. If the department decides against reappointment, the department chair sends to the divisional dean the current dossier, including a record of the department vote, and a draft of the letter to the candidate and explains the department’s decision. After divisional dean approval, the department gives the letter to the candidate.</td>
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<td>After a favorable vote, the chair asks each tenured member of the department, including those on the review committee, to write a confidential letter to the FAS Dean. These letters express the tenured faculty members’ views on the reappointment and will be included in the candidate’s dossier to be reviewed by the Committee on Appointments and Promotions (CAP). (For inclusion in the dossier, letters should be sent electronically to the ad hoc coordinator in the Office for Faculty Affairs, <a href="mailto:ryoung@fas.harvard.edu">ryoung@fas.harvard.edu</a>.)</td>
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</table>
| 8    | The department sends the candidate’s dossier, including a draft letter to the candidate, to the assistant dean for the division. Please send one electronic copy of the dossier, including a draft letter to the candidate, to the assistant dean via Accellion (secure document transfer: https://fta.fas.harvard.edu). The dossier should consist of:  
  - A case statement describing the review procedures, making the case for the reappointment of the candidate, and discussing the candidate’s teaching and advising effectiveness (including a summary of student feedback solicited by the department chair). The case statement should also include a record of the department vote, by name, with an “as of” date for the vote tally. The case statement should also indicate who authored it and be signed by both the author and the chair.  
  - The candidate’s curriculum vitae.  
  - Summary teaching chart  
  - A teaching statement.  
  - Teaching and advising materials, including a list of undergraduate and graduate theses supervised, representative course syllabi, and evidence of teaching effectiveness, such as teaching awards and evaluations.  
  - A research statement.  
  - Copies of the candidate’s publications from the last five years, including forthcoming publications.  
  - A draft letter to the individual, to be reviewed by the divisional dean, discussing the review. The letter covers any concerns about performance and/or need for services that might affect the future. |
### Reappointment of Professors in Residence

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<th>Step</th>
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<tr>
<td><strong>Note:</strong> The candidate should not solicit student letters, and any unsolicited student letters will not be included in the dossier.</td>
<td></td>
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<tr>
<td><strong>9</strong> The Committee on Appointments and Promotions reviews the dossier</td>
<td>The Committee on Appointments and Promotions (CAP) reviews the dossier and advises the Dean on whether the case warrants reappointment. The Dean then decides whether or not to approve the reappointment and forwards the case to the Provost for final review.</td>
</tr>
<tr>
<td><strong>10</strong> The Provost reviews the case</td>
<td>The Office for Faculty Affairs forwards the case to the Provost, who makes the final decision on whether or not to approve the reappointment.</td>
</tr>
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</table>
| **11** If reappointment is authorized, the department issues a final letter to the candidate | - The department sends 1 electronic PDF copy of the final letter for the candidate, signed by the department chair, to the divisional dean, cc’ing the assistant dean, via Accellion (secure document transfer: [https://fta.fas.harvard.edu](https://fta.fas.harvard.edu)).  
  - The reappointment is processed in the ASPeRIN system by the Office for Faculty Affairs. |
D. Senior Lecturers

(1) Appointment to Senior Lecturer

a. Description

These appointments are reserved for instructors who have demonstrated excellence in teaching. Qualifications for appointment ordinarily include a doctorate. Senior lecturers ordinarily have taught within the ladder ranks at a university or peer undergraduate institution. They may also be well-established, practicing artists. Appointments are made for a term of up to five years and are renewable contingent upon review and approval of the divisional dean. Senior Lecturers have voting rights in the Faculty of Arts and Sciences and in the department, except on decisions relating to ladder appointments.
b. Search Flowchart: Senior Lecturer

1. Department chair submits search plan to divisional dean (DD) for approval (Step 1).
2. Department advertises position, requests DD approval of a short list of candidates, and invites short-list candidates to campus for interviews (Steps 2, 3, 4).
3. Department selects finalist and requests DD approval to collect external letters, submitting to DD a draft letter to recipients and a recipient list (Step 5).
4. Department sends finalized letter to finalized recipients, discusses external letters and candidate materials, and drafts a case statement (Step 6).
5. Department discusses case statement and all materials and votes (Step 7).
6. Department chair and search committee chair finalize candidate's case statement. Dossier is sent to assistant dean, for review by CAP (Steps 8, 9, 10).
7. Office for Faculty Development prepares letter, which is issued by the divisional dean; appointment is processed in ASPerIN (Steps 11, 12).
### Steps: Appointment to Senior Lecturer

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| 1    | The department chair writes to the divisional dean requesting authorization for a search. The search plan should address:  
- How the anticipated appointment is expected to serve the curricular needs of the department.  
- Any administrative duties the candidate will be expected to perform and whether the lectureship will be held in conjunction with another position in the FAS.  
- The names of the search committee chair (who will have primary responsibility for ensuring that the search is broad, wide-ranging, and thorough and that proactive efforts are made to identify candidates who are women and minorities) and other members of the search committee. The committee must consist of at least 3 senior faculty members.  
- The process by which candidates will be identified to ensure the generation of the most highly qualified and diverse pool of applicants.  
- The space that will house the proposed appointment.  

The divisional dean reviews individual requests in light of divisional priorities and resources (including space). If the search is authorized, the divisional dean will provide a written response to the department, setting out the conditions of the search. |
| 2    | The department advertises the position and makes inquiries at other institutions. All advertising copy must be reviewed and approved by the assistant dean for the division before it is submitted to the appropriate journals and other venues. Advertisements and inquiries should describe the position broadly, must specifically express interest in candidates who are women and minorities, and should list a date after which applications will not be considered. At least one form of the advertisement should be published in print. Advertisements should clearly state required documents and must indicate that Harvard is an Equal Opportunity/Affirmative Action employer.  
- The dossier for the finalist must include teaching and research statements and teaching materials (e.g., a teaching chart, any teaching awards, representative course syllabi, and teaching evaluations). The advertisement should ask all candidates to submit teaching and research statements with their original application materials; the department may request the other materials only from the finalist.  
- Candidates should not solicit student letters, and any unsolicited student letters will not be included in the final dossier.  
- The dossier for the finalist must also include at least five external evaluation letters. The advertisement may ask candidates to submit with their original application materials contact information for writers of recommendation letters; in addition, the department should solicit at least three letters from outside scholars either at the short-list stage or |
## Appointment to Senior Lecturer

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| 3 | The department submits a short list of candidates for approval by the divisional dean. The short list consists of candidates the department has determined are the most qualified for the job in terms of credentials, accomplishments, standing in the field, teaching experience, and field of expertise. The short list should be demographically diverse. The department sends the following to the divisional dean and the assistant dean for the division:  
- The names of the short list candidates.  
- The candidates’ materials (e.g., letters of application, CVs, research and teaching statements).  
- A brief summary of the search process to date.  
- An EEO chart displaying demographics data from the search. This report can be retrieved through the ARiE system. See Chapter 2 in this handbook for more information on Affirmative Action policies. |
| 4 | If approval is granted, the department invites short-list candidates to campus for interviews. Candidates meet with members of the department. The visits may include formal seminars, lectures, or master classes, as well as informal meetings with faculty, graduate students, and others. The assistant dean for the division should be given a list of dates of any seminars, lectures, or master classes. |
| 5 | The department selects a final candidate and requests authorization from the divisional dean to solicit external evaluation letters. With the request, the department should submit a draft of the letter soliciting evaluations and a recipient list. The finalist’s dossier must include at least five evaluative letters. The letter soliciting external evaluations should include:  
- The criteria for appointment to a senior lecturer position at Harvard.  
- An indication that the University intends, to the extent permitted by law, to keep the response confidential and to make it available only to the department chair and those involved in the formal review process.  
- The deadline for receipt of responses and contact information. |
| 6 | The department sends the approved letter to the scholars on the recipient list, reviews the external letters received, and  
- The department writes to a number of scholars sufficient to elicit at least five evaluative letters (including the candidate’s recommendation letters) for inclusion in the final dossier.  
- The names of outside scholars declining to write an evaluation should be noted in the case statement. Any explanatory emails/letters from |
### Appointment to Senior Lecturer

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<th>Explanation</th>
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| **drafts a case statement for the finalist** | these scholars should be included with the other external evaluations.  
• The draft case statement for the candidate summarizes the department’s conclusions, including the strengths and weaknesses of the case (see Step 8 for all of the necessary elements of the final case statement). |
| **After reviewing all of the candidate’s materials, the department votes** | • The department reviews the draft case statement, all evaluative letters, and all of the candidate’s materials and discusses the strengths and weaknesses of the case. The department should also assess whether the candidate has met the criteria for senior lecturer.  
• The department votes on the proposed appointment according to its standard procedures. |
| **After a favorable vote, the case statement is finalized by the department chair** | The finalized case statement, prepared and signed by the department chair and the chair of the search committee, should include the following:  
• Background and context: An explanation of how the appointment serves the needs of the department and how it fits in with the department’s future development and why it is appropriate to make the appointment at the senior lecturer rank.  
• The search process: A description of the search, including how the finalist was identified; please address the demographics of the pool as displayed on the EEO chart available in ARiE S.  
• The case for the candidate: A comparison of the candidate with all other leading candidates (in particular, women and minorities) and the basis for choosing the finalist. Please include a discussion of the candidate’s expertise and teaching abilities, as well as administrative experience, if applicable.  
• A discussion of the strengths and weaknesses of the candidate’s case as noted in the external evaluations and the internal conversations of both the search committee and the department.  
• Departmental vote: A record of the department vote, by name, with an “as of” date for the vote tally.  
• Signatures: An indication of the primary author of the statement. |
| **The candidate’s dossier is prepared by the department and sent to the assistant dean for the division** | Please send one electronic copy of the dossier to the assistant dean via Accellion (secure document transfer: https://fta.fas.harvard.edu). For a full checklist of what the dossier should include, please see page 7.42. |
| **The Committee on Appointments and Promotions reviews the dossier** | The Committee on Appointments and Promotions (CAP) reviews the dossier and advises the FAS Dean on whether the case warrants appointment. |
## Appointment to Senior Lecturer

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<td><strong>11</strong></td>
<td>If the decision is favorable, the offer letter is issued by the divisional dean. The offer letter (drafted in consultation with the divisional dean by the Office for Faculty Development) contains information on title, appointment, salary, responsibilities, etc. The Office for Faculty Development makes any revisions to the offer letter. When appropriate, the dean for faculty development will work with a center, institute, or initiative to develop a supplementary letter for the candidate that describes the resources available through the Center. The candidate's acceptance of the offer must be made in writing to the divisional dean.</td>
</tr>
<tr>
<td><strong>12</strong></td>
<td>If the offer is accepted, the appointment is processed in the ASPeRIN system by the Office for Faculty Affairs. OFD submits all documentation for processing, with the exception of the I-9 form, which the FAS financial administrator or the department administrator delivers by hand to the Appointments Office. The department administrator will remind the faculty member to sign electronically the <a href="#">Harvard University Participation Agreement</a> upon his/her arrival on campus.</td>
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d. Dossier Checklist: Senior Lecturers

Please send an electronic copy of the preliminary dossier to the assistant dean for the division (AD), via Accellion (secure document transfer: https://fta.fas.harvard.edu). To facilitate storing and sharing of files, please name the file as follows: a) alpha-numeric characters only (no dashes, commas, slashes, etc.). b) [Last Name] [First Name] [Department Name] Sr Lecturer dossier [Month, Date, and Year of dossier submission, expressed numerically: XX YY ZZ]. E.g., Smith John Psychology Sr Lecturer dossier 1 4 13. c) If a dossier is revised and resubmitted, please repeat the original title, followed by “rev” and [Month of resubmission] [Date of resubmission] [Year of resubmission]. E.g., Smith John Psychology Sr Lecturer dossier 1 4 13 rev 1 15 13. Departments should keep an additional copy of the dossier on file for the department’s records for 5 years.

_____ 1. Case statement (including department vote by name). See description on page 7.40
_____ 2. The EEO chart displaying demographics data from the search, available through ARiE5.
_____ 3. The department’s request for search authorization and the divisional dean’s letter approving the search request.
_____ 4. Candidate’s curriculum vitae.
_____ 5. Summary teaching chart and teaching materials (e.g., teaching awards, representative course syllabi, and teaching evaluations).
_____ 6. A teaching statement.
_____ 7. A research statement.
_____ 8. A copy of the letter soliciting external evaluations and the recipient list (indicating who did and did not reply).
_____ 9. At least five external evaluation letters.

Note: The candidate should not solicit student letters, and any unsolicited student letters will not be included in the dossier.
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<th>Step</th>
<th>Explanation</th>
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<tr>
<td><strong>1</strong></td>
<td>The department chair requests materials from the candidate during the penultimate year of appointment. Materials should include: &lt;ul&gt; &lt;li&gt;A <em>curriculum vitae</em>, including bibliography.&lt;/li&gt; &lt;li&gt;Teaching and advising materials, including: a list of theses supervised, representative course syllabi, and evidence of teaching effectiveness, such as teaching awards and evaluations.&lt;/li&gt; &lt;li&gt;A teaching statement.&lt;/li&gt; &lt;li&gt;A statement regarding administrative duties, accomplishments, and supervisory responsibilities.&lt;/li&gt; &lt;/ul&gt;</td>
</tr>
<tr>
<td><strong>2</strong></td>
<td>The chair requests divisional dean approval of a proposed review committee and, following this approval, appoints the committee. The committee should consist of tenured colleagues who will evaluate the case. The request should name the committee chair and other review committee members. The committee should include at least one individual from outside the program conducting the review.</td>
</tr>
<tr>
<td><strong>3</strong></td>
<td>The department compiles a <a href="#">summary teaching chart</a> and gathers information on the candidate’s performance as a teacher and administrator, if applicable. &lt;ul&gt; &lt;li&gt;The summary teaching chart summarizes, in chronological order, all courses the candidate has taught, including course titles, enrollments, and overall course scores and instructor scores.&lt;/li&gt; &lt;li&gt;If the candidate is a director of a language program, the department should ask all instructors in the language program (e.g., senior preceptors, preceptors, TAs, TFs) to write confidential letters to the divisional dean with feedback about the candidate’s performance as an administrator of the program. The department should make clear to instructors that only the divisional dean will see the letters.&lt;/li&gt; &lt;li&gt;The review committee should:&lt;ul&gt; &lt;li&gt;Solicit feedback from the candidate’s current and former students, as appropriate.&lt;/li&gt; &lt;li&gt;Observe the candidate’s teaching.&lt;/li&gt; &lt;li&gt;Review the candidate’s teaching evaluations.&lt;/li&gt; &lt;li&gt;Evaluate the candidate’s administrative and supervisory capabilities, as appropriate.&lt;/li&gt; &lt;/ul&gt;&lt;/li&gt; &lt;/ul&gt;</td>
</tr>
<tr>
<td><strong>4</strong></td>
<td>The committee considers the case. The review committee should take into account all aspects of the candidate’s job description, including the candidate’s teaching and administrative service, if applicable.</td>
</tr>
<tr>
<td><strong>5</strong></td>
<td>The committee decides if the case is sufficiently strong to warrant reappointment, drafts a case statement, and The draft case statement for the candidate summarizes the committee’s conclusions, including the strengths and weaknesses of the case (see Step 7 for all of the necessary elements of the final case statement).</td>
</tr>
<tr>
<td>Step</td>
<td>Explanation</td>
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<tr>
<td>6.00</td>
<td>Members of the department review the materials, discuss the case, and vote on the reappointment. If the department decides against reappointment, the department chair sends to the divisional dean the current dossier, including a record of the department vote, and a draft of the letter to the candidate and explains the department’s decision. After divisional dean approval, the department gives the letter to the candidate.</td>
</tr>
<tr>
<td>7.00</td>
<td>After a favorable vote, the department sends the dossier to the assistant dean for the division. Please send one electronic copy of the dossier to the assistant dean via Accellion (secure document transfer: <a href="https://fta.fas.harvard.edu">https://fta.fas.harvard.edu</a>). The dossier should include: - A case statement describing the review procedure and making the case for the reappointment of the candidate. It includes an evaluation of the candidate’s teaching ability and contributions to the department, as well as a record of the department vote, by name, with an “as of” date for the vote tally. The case statement should also indicate who authored it and be signed by both the author and the chair. - The candidate’s <em>curriculum vitae</em>. - <a href="https://www.example.com">Summary teaching chart</a>. - A teaching statement. - Teaching and advising materials, including: a list of theses supervised, representative course syllabi, and evidence of teaching effectiveness, such as teaching awards and evaluations. - The candidate’s statement regarding administrative duties, accomplishments, and supervisory responsibilities. - A draft letter to the individual, to be reviewed by the divisional dean, discussing the review. The letter covers any concerns about performance and/or need for services that might affect the future. The letter also indicates the dates of reappointment and the schedule for the next review. <strong>Note:</strong> The candidate should not solicit student letters, and any unsolicited student letters will not be included in the dossier.</td>
</tr>
<tr>
<td>8.00</td>
<td>The divisional dean, with a CAP subcommittee, reviews the dossier, and the divisional dean decides whether to approve the reappointment. In some cases, the full Committee on Appointments and Promotions may be asked to review individual reappointment dossiers.</td>
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Reappointment of Senior Lecturers

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<th>Explanation</th>
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<tbody>
<tr>
<td>9</td>
<td>Following approval by the divisional dean, the department issues the final signed letter to the candidate</td>
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- The department sends 1 electronic PDF copy of the final letter for the candidate, signed by the department chair, to the divisional dean, cc’ing the assistant dean, via Accellion (secure document transfer: [https://fta.fas.harvard.edu](https://fta.fas.harvard.edu)).
- The reappointment is processed in the ASPeRIN system by the Office for Faculty Affairs. |
E. Senior Preceptors

(1) Appointment to Senior Preceptor

a. Description

In addition to teaching, senior preceptors assume administrative responsibility for language, skill-oriented, or other special instruction and for training preceptors in their areas. Ordinarily, such an appointment is made only in an area where there are multiple sections to administer. Usually, only one such appointment is made for any one language program. Ordinarily, appointments begin on July 1st and are made for five-year terms, which are renewable contingent upon review and approval of the divisional dean.
b. Search Flowchart: Senior Preceptor

Department chair submits search plan to divisional dean (DD) for approval (Steps 1, 2).

Department advertises position, reviews candidates’ materials, and drafts a case statement for the finalist (Steps 3, 4).

Department discusses case statement and all materials and votes (Step 5).

Department chair and search committee chair finalize candidate’s case statement. Dossier, including a draft offer letter, is sent to assistant dean, for review by DD with a CAP subcommittee (Steps 6, 7, 8).

Department issues offer letter to candidate; appointment is processed in ASPeRIN (Steps 9, 10).
c. Steps: Appointment to Senior Preceptor

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<th>Step</th>
<th>Explanation</th>
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| 1    | The department chair writes to the divisional dean requesting authorization for a search  

The search plan should address:  
- The names of the search committee chair, who will have primary responsibility for ensuring that the search is broad, wide-ranging, and thorough and that proactive efforts are made to identify candidates who are women and minorities, and other members of the search committee. The committee must consist of at least 3 senior and/or ladder faculty members.  
- How the anticipated appointment is expected to serve the needs of the department.  
- The space that will house the proposed appointment.  

| 2    | The divisional dean reviews the request  

The divisional dean reviews individual requests in light of divisional priorities and resources (including space). If the search is authorized, the divisional dean will provide a written response to the department, setting out the conditions of the search.  

| 3    | The department advertises the position and makes inquiries at other institutions  

- All advertising copy must be reviewed and approved by the assistant dean for the division before it is submitted to the appropriate journals and other venues. Advertisements and inquiries should describe the position broadly, must specifically express interest in candidates who are women and minorities, and should list a date after which applications will not be considered. At least one form of the advertisement should be published in print. Advertisements should clearly state required documents and must indicate that Harvard is an Equal Opportunity/Affirmative Action employer.  
- The dossier for the finalist must include a teaching statement and teaching materials (e.g., a teaching chart, any teaching awards, representative course syllabi, and teaching evaluations). The advertisement should ask all candidates to submit a teaching statement with their original application materials. The department may request the other materials later in the process.  
- Candidates should not solicit student letters and any unsolicited student letters will not be included in the final dossier.  
- The dossier for the finalist must also include at least three letters of recommendation. The advertisement should ask candidates to submit contact information for references with their original application materials.  
- Harvard is required to solicit and record, when available, each applicant’s gender and racial/ethnic information, which is accomplished through the ARIeS system. Applicants are not required to provide demographic information.  

### Appointment to Senior Preceptor

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<td>4</td>
<td>The department reviews the candidates’ materials and drafts a case statement for the finalist. The draft case statement for the candidate summarizes the department’s conclusions, including the strengths and weaknesses of the case (see Step 6 for all of the necessary elements of the final case statement).</td>
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| 5    | After reviewing all of the candidate’s materials, the department votes:  
- The department reviews the draft case statement, all letters of recommendation (of which there must be at least three), and all of the candidate’s materials and discusses the strengths and weaknesses of the case. The department should also assess whether the candidate has met the criteria for senior preceptor.  
- The department votes according to its standard procedures. |
| 6    | After a favorable vote, the case statement is finalized by the department chair. The finalized case statement, prepared and signed by the department chair and the chair of the search committee, should include the following:  
- Background and context: An explanation of how the appointment serves the needs of the department and how it fits in with the department’s future development, and why this need can be met better by a senior preceptor appointment than by annual appointments at the preceptor level.  
- The search process: A description of the search, including how the finalist was identified; please address the demographics of the pool as displayed on the EEO chart available in ARiES.  
- The case for the candidate: A comparison of the candidate with all other leading candidates (in particular, women and minorities) and the basis for choosing the finalist. Please include a discussion of the candidate’s expertise and teaching abilities, as well as administrative experience.  
- Departmental vote: A record of the department vote, by name, with an “as of” date for the vote tally.  
- Signatures: An indication of the primary author of the statement. |
| 7    | The candidate’s dossier is prepared by the department and sent, with a draft offer letter, to the assistant dean for the division. Please send one electronic copy of the dossier, including a draft offer letter, to the assistant dean via Accellion (secure document transfer: [https://fta.fas.harvard.edu](https://fta.fas.harvard.edu)). For a full checklist of what the dossier should include, please see [page 7.51](#). |
| 8    | The divisional dean, with a CAP subcommittee, reviews the dossier, and the divisional dean decides whether to approve the appointment. |
# Appointment to Senior Preceptor

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<td>9</td>
<td>If the decision is favorable, the offer letter is sent to the candidate. Acceptances of the offers should be made in writing to the department chair.</td>
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| 10   | If the offer is accepted, the appointment is processed in the ASPerIN system by the department.  
- The department submits 2 hard copies of the final dossier (excluding teaching evaluations), including the I-9 form, payroll documents, and signed offer letter, to the Appointments Office in the Office for Faculty Affairs.  
- The department sends 1 electronic PDF copy of the candidate’s acceptance letter to the assistant dean for the division. Please use Accellion (secure document transfer: [https://fta.fas.harvard.edu](https://fta.fas.harvard.edu)).  
- The department administrator will remind the faculty member to sign electronically the [Harvard University Participation Agreement](https://fta.fas.harvard.edu) upon his/her arrival on campus. |
d. Dossier Checklist: Senior Preceptors

Please send an electronic copy of the preliminary dossier, including a draft offer letter, to the assistant dean for the division (AD), via Accellion (secure document transfer: https://fta.fas.harvard.edu). To facilitate storing and sharing of files, please name the file as follows: a) alpha-numeric characters only (no dashes, commas, slashes, etc.). b) [Last Name] [First Name] [Department Name] Sr Preceptor dossier [Month, Date, and Year of dossier submission, expressed numerically: XX YY ZZ]. E.g., Smith John Psychology Sr Preceptor dossier 1 4 13. c) If a dossier is revised and resubmitted, please repeat the original title, followed by “rev” and [Month of resubmission] [Date of resubmission] [Year of resubmission]. E.g., Smith John Psychology Sr Preceptor dossier 1 4 13 rev 1 15 13.

After the offer is finalized, please submit 2 hard copies of the final dossier (excluding teaching evaluations) to the Appointments Office in the Office for Faculty Affairs: the original (paper-clipped, not stapled) and 1 photocopy (which should be stapled). Both hard copies should be one-sided. Departments should keep an additional copy of the dossier on file for the department’s records for 5 years.

1. Case statement (including department vote by name). See description on page 7.49.
2. The EEO chart displaying demographics data from the search, available through ARieS.
3. The department’s request for search authorization and the divisional dean’s letter approving the search request.
4. Candidate’s curriculum vitae.
5. Summary teaching chart and teaching materials (including teaching awards, representative course syllabi, and teaching evaluations).
6. A teaching statement.
7. All (at least three) letters of recommendation.

To be added to the final dossier after the appointment is finalized:

8. A copy of the offer letter, which includes information about the responsibilities of the position and the standard and timing of review for renewal, and all subsequent emendations to it.
9. A copy of the candidate’s letter of acceptance.
10. All payroll documentation.
11. I-9 form.

After the offer is finalized, please send, via Accellion, 1 electronic PDF copy of the candidate’s acceptance letter to the assistant dean for the division.

Note: The candidate should not solicit student letters, and any unsolicited student letters will not be included in the dossier.
(2) **Reappointment of Senior Preceptors**

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| 1    | The department chair requests materials from the candidate during the penultimate year of appointment. Materials should include:  
• *Curriculum vitae.*  
• Teaching and advising materials, including representative course syllabi and evidence of teaching effectiveness, such as teaching awards and evaluations.  
• A teaching statement.  
• A statement regarding administrative duties, accomplishments, and supervisory responsibilities. |
| 2    | The chair requests divisional dean approval of a proposed review committee and, following this approval, appoints the committee. The committee should include at least two tenured faculty members and at least one individual from outside the program conducting the review. The request should name the committee chair and other review committee members. |
| 3    | The department compiles a summary teaching chart and gathers information on the candidate’s performance as a teacher and administrator, if applicable.  
• The summary teaching chart summarizes, in chronological order, all courses the candidate has taught, including course titles, enrollments, and overall course scores and instructor scores.  
• The review committee should:  
  o Solicit feedback from the candidate’s current and former students, as appropriate.  
  o Solicit feedback from the candidate’s teaching fellows, teaching assistants, and/or preceptors under his/her supervision, as appropriate.  
  o Observe the candidate’s teaching.  
  o Review the candidate’s teaching evaluations.  
  o Evaluate the candidate’s administrative and supervisory capabilities. |
<p>| 4    | The committee considers the case. The review committee should take into account all aspects of the candidate’s job description, including the candidate’s teaching and administrative service, if applicable. |
| 5    | The committee decides if the case is sufficiently strong to warrant reappointment, drafts a case statement, and reports its findings to the department. The draft case statement for the candidate summarizes the committee’s conclusions, including the strengths and weaknesses of the case (see Step 7 for all of the necessary elements of the final case statement). |</p>
<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
</tr>
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<tbody>
<tr>
<td>6</td>
<td>Members of the department review the materials, discuss the case, and vote on the reappointment. If the department decides against reappointment, the department chair sends to the divisional dean the current dossier, including a record of the department vote, and a draft of the letter to the candidate and explains the department’s decision. After divisional dean approval, the department gives the letter to the candidate.</td>
</tr>
</tbody>
</table>
| 7 | After a favorable vote, the department sends the dossier, including a draft letter for the candidate, to the assistant dean for the division. Please send one electronic copy of the dossier, including a draft letter for the candidate, to the assistant dean via Accellion (secure document transfer: https://fta.fas.harvard.edu). The dossier should consist of:  
   • A case statement describing the review procedures and making the case for the reappointment of the candidate. It includes an evaluation of the candidate’s teaching ability and contributions to the department, as well as a record of the department vote, by name, with an “as of” date for the vote tally. The case statement should also indicate who authored it and be signed by both the author and the chair.  
   • The candidate’s curriculum vitae.  
   • Summary teaching chart.  
   • A teaching statement.  
   • Teaching and advising materials, including: representative course syllabi and evidence of teaching effectiveness, such as teaching awards and evaluations.  
   • The candidate’s statement regarding administrative duties, accomplishments, and supervisory responsibilities.  
   • A draft letter to the individual, to be reviewed by the divisional dean, discussing the review. The letter covers any concerns about performance and/or need for services that might affect the future. The letter also indicates the dates of reappointment and the schedule for the next review.  
   Note: The candidate should not solicit student letters, and any unsolicited student letters will not be included in the dossier. |
| 8 | The dossier is reviewed by the divisional dean. The department sends 1 electronic PDF copy of the final letter for the candidate, signed by the department chair, to the divisional dean, cc’ing the assistant dean, via Accellion (secure document transfer: https://fta.fas.harvard.edu). The department sends 1 hard copy of the final letter for the candidate, signed by the department chair, to the Appointments Office in the Office for Faculty Affairs. |
| 9 | Following approval by the divisional dean, the department issues the final signed letter to the candidate and processes the reappointment in ASPeRIN. |
8. MULTI-YEAR NON-RENEWABLE LECTURESHIPS

Section Contents:

A. Appointment to Benjamin Peirce Fellow (Page 8.2)
   (1) Description
   (2) Search Flowchart
   (3) Steps
   (4) Dossier Checklist

B. Appointment to Briggs-Copeland Lecturer (Page 8.7)
   (1) Description
   (2) Search Flowchart
   (3) Steps
   (4) Dossier Checklist

Note: For the specific purposes of this document and its associated procedures, “divisional dean” also refers to the SEAS dean, and “department chairs” to SEAS area deans. Although SEAS faculty members follow the same policies, some procedures may vary. Therefore, members of SEAS should also consult SEAS-specific documents.

Note: All procedural questions regarding faculty hiring, reviews, promotions, and leaves should be directed to the assistant dean for the appropriate division, and the assistant dean should receive a copy of all documentation regarding these procedures. For the appropriate contact for procedural questions regarding SEAS appointments, please see the contact table on page 1.7.
A. Appointment to Benjamin Peirce Fellow

(1) Description

A Benjamin Peirce Fellowship is a non-tenure-track position in the Department of Mathematics that is held by scholars who possess significant promise as researchers and a strong record of teaching undergraduate or graduate students. The appointment of a Benjamin Peirce Fellow, which carries the status of assistant professor, is for a period of three years. Benjamin Peirce Fellowships are not renewable; however, those who choose to take an unpaid leave for a term or a year during their appointments may be given the option of staying another term or year at Harvard depending on curricular needs and budget constraints. Benjamin Peirce Fellows are expected to have completed all requirements for the doctorate before their appointment start date. In addition to their research activities, Benjamin Peirce Fellows are ordinarily expected to teach, advise, and perform limited departmental service.
(2) Search Flowchart: Benjamin Peirce Fellows

Department writes to the divisional dean (DD) seeking authorization for a search (Steps 1, 2).

Department advertises position, reviews candidates, and selects a finalist (Steps 3, 4).

Department chair and search committee chair finalize candidate’s case statement. Dossier is sent to divisional assistant dean and assistant dean for faculty development (Steps 5, 6).

DD reviews materials (Step 7).

Office for Faculty Development prepares offer letter, which is issued by the department; appointment is processed in ASPeRIN (Steps 7, 8).
### Steps: Appointment to Benjamin Peirce Fellow

<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
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</thead>
<tbody>
<tr>
<td>1</td>
<td>The department chair writes to the divisional dean, requesting authorization for a search. The letter should specify the curricular need for the appointment and the specific field sought.</td>
</tr>
<tr>
<td>2</td>
<td>The divisional dean reviews the request. The divisional dean reviews individual requests in light of divisional priorities and resources (including space). If the search is authorized, the divisional dean will provide a written response to the department, setting out the conditions of the search.</td>
</tr>
<tr>
<td>3</td>
<td>The department advertises the position and makes inquiries at other institutions. All advertising copy must be reviewed and approved by the assistant dean for the division before it is submitted to the appropriate journals and other venues. Advertisements and inquiries should describe the position broadly, must specifically express interest in candidates who are women and minorities, and should list a date after which applications will not be considered. At least one form of the advertisement should be published in print. Advertisements should clearly state required documents and must indicate that Harvard is an Equal Opportunity/Affirmative Action employer. The dossier for the finalist must include a teaching statement and teaching materials (e.g., any teaching awards, representative course syllabi, and teaching evaluations). The advertisement should ask all candidates to submit teaching and research statements with their original application materials. The department may request the other materials later in the process. The dossier for the finalist must also include 3 letters of recommendation. The advertisement should ask candidates to submit contact information for references with their original application materials. Harvard is required to solicit and record, when available, each applicant’s gender and racial/ethnic information. Applicants are not required to provide demographic information.</td>
</tr>
<tr>
<td>4</td>
<td>The department follows its standard procedures to review candidate(s).</td>
</tr>
<tr>
<td>5</td>
<td>The case statement is finalized by the department chair. The finalized case statement, prepared and signed by the department chair and the chair of the search committee, should include the following: A description of the search, including procedures for establishing a list of candidates, steps taken to identify candidates who are women and</td>
</tr>
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</table>

8.4
### Appointment to Benjamin Peirce Fellow

<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
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</thead>
</table>
| 5    | minorities (e.g., copies of advertisements and letters expressing interest in candidates who are women and minorities), total number of applicants, and a description of the review procedures used in the department. Please address the demographics of the pool as displayed on the EEO chart.  
- A comparison of the candidate with all other leading candidates (in particular, women and minorities), and the basis for choosing the finalist. Please include a description of his or her teaching qualifications.  
- A description of what the candidate will teach. |
| 6    | The candidate’s dossier is prepared by the department and sent to the assistant dean for the division and the assistant dean for faculty development  
- Please send one electronic copy of the dossier to the assistant dean for the division and the assistant dean for faculty development via Accellion (secure document transfer: [https://fta.fas.harvard.edu](https://fta.fas.harvard.edu)). For a full checklist of what the dossier should include, please see page 8.6. |
| 7    | After approval by the divisional dean, the department issues the offer letter to the candidate  
- The Office for Faculty Development drafts the offer letter to the candidate in consultation with the department chair and the divisional dean. |
| 8    | If the offer is accepted, the appointment is processed in the ASPeRIN system by the department  
- The department sends 1 electronic PDF copy of the final dossier and signed offer letter to the Appointments Office in the Office for Faculty Affairs via Accellion (secure document transfer: [https://fta.fas.harvard.edu](https://fta.fas.harvard.edu)), and delivers the I-9 form and payroll documents by hand to the Appointments Office. Note: This copy is in addition to that submitted to the assistant deans in Step 6.  
- The department administrator will remind the faculty member to sign electronically the [Harvard University Participation Agreement](https://fta.fas.harvard.edu) upon his/her arrival on campus. |
(4) Dossier Checklist: Benjamin Peirce Fellows

Please send an electronic copy of the preliminary dossier to the assistant dean for the division (AD) and the assistant dean in the Office for Faculty Development (AD(OFD)) via Accellion (secure document transfer: https://fta.fas.harvard.edu). To facilitate storing and sharing of files, please name the file as follows: a) alphanumeric characters only (no dashes, commas, slashes, etc.). b) [Last Name] [First Name] [Department Name] Benjamin Peirce dossier [Month, Date, and Year of dossier submission, expressed numerically: XX YY ZZ]. E.g., Smith John Mathematics Benjamin Peirce dossier 1 4 13. c) If a dossier is revised and resubmitted, please repeat the original title, followed by “rev” and [Month of resubmission] [Date of resubmission] [Year of resubmission]. E.g., Smith Mathematics Benjamin Peirce dossier 1 4 13 rev 1 15 13.

After the offer is finalized, please send an electronic PDF copy of the final dossier to the Appointments Office in the Office for Faculty Affairs via Accellion. **Departments should keep an additional copy of the dossier on file for the department’s records for 5 years.**

_____ 2. The EEO chart displaying demographics data from the search.
_____ 3. The department’s request for search authorization and the divisional dean’s letter approving the search request.
_____ 4. The candidate’s letter of application.
_____ 5. The candidate’s curriculum vitae, including bibliography.
_____ 6. Teaching materials (including teaching awards, representative course syllabi, and teaching evaluations).
_____ 7. A teaching statement.
_____ 8. A research statement.
_____ 9. 3 letters of recommendation.
_____ 10. Evidence of the candidate’s completion of the requirements for the doctorate, if the degree is not in hand or was received in the last three months.

**To be added after the appointment is finalized:**

_____ 11. A copy of the offer letter and all subsequent emendations to it.
_____ 12. A copy of the candidate’s letter of acceptance.
_____ 13. All payroll documentation.

Note: The candidate should not solicit student letters, and any unsolicited student letters will not be included in the dossier.
B. Appointment to Briggs-Copeland Lecturer

(1) Description

A Briggs-Copeland Lectureship is a non-tenure-track position in the Department of English that is held by practicing writers who have shown tangible promise in fiction, verse, or belles lettres and who also possess marked gifts as teachers. This appointment is for a period of five years and is not renewable.
(2) Search Flowchart: Briggs-Copeland Lecturer

Department chair writes to the divisional dean (DD) seeking authorization for a search (Steps 1, 2).

Department advertises position, reviews candidates, including campus interviews, and selects a finalist (Steps 3, 4).

Department chair and search committee chair finalize candidate’s case statement. Dossier is sent to divisional assistant dean and assistant dean for faculty development (Step 5, 6).

DD reviews materials (Step 7).

Office for Faculty Development prepares offer letter, which is issued by department; appointment is processed in ASPerIn (Steps 7, 8).
### Steps: Appointment to Briggs-Copeland Lecturer

<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
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</thead>
<tbody>
<tr>
<td>1</td>
<td>The department chair writes to the divisional dean requesting authorization for a search. The letter should discuss the curricular need for the appointment.</td>
</tr>
<tr>
<td>2</td>
<td>The divisional dean reviews the request. The divisional dean reviews individual requests in light of divisional priorities and resources (including space). If the search is authorized, the divisional dean will provide a written response to the department, setting out the conditions of the search.</td>
</tr>
<tr>
<td>3</td>
<td>The department advertises the position and makes inquiries at other institutions. All advertising copy must be reviewed and approved by the assistant dean for the division before it is submitted to the appropriate journals and other venues. Advertisements and inquiries should describe the position broadly, must specifically express interest in candidates who are women and minorities, and should list a date after which applications will not be considered. At least one form of the advertisement should be published in print. Advertisements should clearly state required documents and must indicate that Harvard is an Equal Opportunity/Affirmative Action employer. The dossier for the finalist must include a teaching statement and teaching materials (e.g., any teaching awards, representative course syllabi, and teaching evaluations). The advertisement should ask all candidates to submit a teaching statement with their original application materials. The department may request the other materials later in the process. The dossier for the finalist must also include 3-5 letters of recommendation. The advertisement may ask candidates to submit contact information for references with their original application materials. Harvard is required to solicit and record, when available, each applicant’s gender and racial/ethnic information, which is accomplished through the ARIeS system. Applicants are not required to provide demographic information.</td>
</tr>
<tr>
<td>4</td>
<td>The department follows its standard procedures to review candidate(s). It is expected that all candidates under serious consideration will have the opportunity of a campus visit in order to meet with members of the department in addition to the members of the search committee.</td>
</tr>
<tr>
<td>5</td>
<td>The case statement is finalized by the department chair. The finalized case statement, prepared and signed by the department chair and the chair of the search committee, should include the following: A description of the search, including procedures for establishing a list of candidates, steps taken to identify candidates who are women and...</td>
</tr>
<tr>
<td>Step</td>
<td>Explanation</td>
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</tbody>
</table>
|      | minorities (e.g., copies of advertisements and letters expressing interest in candidates who are women and minorities), total number of applicants, and a description of the review procedures used in the department. Please address the demographics of the pool as displayed on the EEO chart available in ARiES.  
  - A comparison of the candidate with all other leading candidates (in particular, women and minorities) and the basis for choosing the finalist. Please include a description of his or her teaching qualifications.  
  - A description of what the candidate will teach. |
| 6    | The candidate’s dossier is prepared by the department and sent to the assistant dean for the division with a copy to the assistant dean for faculty development  
      | Please send one electronic copy of the dossier to the assistant dean for the division and the assistant dean for faculty development via Accellion (secure document transfer: https://fta.fas.harvard.edu). For a full list of what the dossier should include, please see page 8.11. |
| 7    | After approval by the divisional dean, the department issues the offer letter to the candidate  
      | The Office for Faculty Development drafts the offer letter to the candidate in consultation with the department chair.  
      | Any revisions to the initial offer must be made in writing, in consultation with the Office for Faculty Development. An electronic PDF signed copy of the revised offer letter must be sent to the assistant dean for the division and the assistant dean for faculty development via Accellion (secure document transfer: https://fta.fas.harvard.edu).  
      | The candidate’s acceptance of an offer of appointment is made in writing to the department chair. |
| 8    | If the offer is accepted, the appointment is processed in the ASPeRIN system by the department  
      | The department sends 1 electronic PDF copy of the dossier and signed offer letter to the Appointments Office in the Office for Faculty Affairs via Accellion (secure document transfer: https://fta.fas.harvard.edu), and delivers the I-9 form and payroll documents by hand to the Appointments Office. Note: This copy is in addition to that submitted to the assistant deans in Step 6.  
      | The department administrator will remind the faculty member to sign electronically the Harvard University Participation Agreement upon his/her arrival on campus. |
(4) **Dossier Checklist: Briggs-Copeland Lecturers**

Please send an electronic copy of the preliminary dossier to the assistant dean for the division (AD) and the assistant dean in the Office for Faculty Development (AD(OFD)) via Accellion (secure document transfer: [https://fta.fas.harvard.edu](https://fta.fas.harvard.edu)). To facilitate storing and sharing of files, please name the file as follows: a) alpha-numeric characters only (no dashes, commas, slashes, etc.). b) [Last Name] [First Name] [Department Name] Briggs Copeland dossier [Month, Date, and Year of dossier submission, expressed numerically: XX YY ZZ]. E.g., Smith John English Briggs Copeland dossier 1 4 13. c) If a dossier is revised and resubmitted, please repeat the original title, followed by “rev” and [Month of resubmission] [Date of resubmission] [Year of resubmission]. E.g., Smith John English Briggs Copeland dossier 1 4 13 rev 1 15 13.

After the offer is finalized, please send an electronic PDF copy of the final dossier to the Appointments Office in the Office for Faculty Affairs via Accellion. **Departments should keep an additional copy of the dossier on file for the department’s records for 5 years.**


_____ 2. The EEO chart displaying demographics data from the search, available through ARiE'S.

_____ 3. The department’s request for search authorization and the divisional dean’s letter approving the search request.

_____ 4. Candidate’s *curriculum vitae*, including bibliography.

_____ 5. Teaching materials (including teaching awards, course syllabi, and teaching evaluations).

_____ 6. A teaching statement.

_____ 7. 3-5 letters of recommendation.

**To be added after the appointment is finalized:**

_____ 8. A copy of the offer letter and all subsequent emendations to it.

_____ 9. A copy of the candidate’s letter of acceptance.

_____ 10. All payroll documentation.

_____ 11. I-9 form.

**Note:** The candidate should not solicit student letters, and any unsolicited student letters will not be included in the dossier.
9. LECTURERS, PRECEPTORS, AND COLLEGE FELLOWS

Section Contents:

A. [Schedule: Review and Reappointment for Lecturers and Preceptors (Page 9.3)]

B. Lecturers (Page 9.4)
   (1) [Appointment to Lecturer (Page 9.4)]
      a. Description
      b. Search Flowchart
      c. Steps
      d. Dossier Checklist
   (2) [First-Year Review of Lecturers (Page 9.9)]
   (3) [Additional Reappointments of Lecturers with Annual Appointments (Page 9.10)]

C. Dependent Lecturers (Page 9.11)
   (1) [Appointment to Dependent Lecturer (Page 9.11)]
      a. Description
      b. Search Flowchart
      c. Steps: Appointment to Dependent Lecturer With a Full-Time Administrative, Research, or Curatorial Position
      d. Steps: Appointment to Dependent Lecturer With a Part-Time Administrative, Research, or Curatorial Position
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D. Preceptors (Page 9.17)
   (1) [Appointment to Preceptor (Page 9.17)]
      a. Description
      b. Search Flowchart
      c. Steps
      d. Dossier Checklist
   (2) [First-year Review of Preceptors (Page 9.22)]
   (3) [Reappointments of Preceptors (Page 9.23)]
      a. Additional Reappointments of Preceptors with Annual Appointments
      b. Reappointment of Preceptors Into a Multi-Year Term

E. College Fellows (Page 9.26)
   (1) [Appointment to College Fellow (Page 9.26)]
a. **Description**
b. **Search Flowchart**
c. **Steps**
d. **Dossier Checklist**

(2) **Reappointment of College Fellows (Page 9.31)**

**Note:** For the specific purposes of this document and its associated procedures, “divisional dean” also refers to the SEAS dean, and “department chairs” to SEAS area deans. Although SEAS faculty members follow the same policies, some procedures may vary. Therefore, members of SEAS should also consult SEAS-specific documents.

**Note:** All procedural questions regarding faculty hiring, reviews, promotions, and leaves should be directed to the assistant dean for the appropriate division, and the assistant dean should receive a copy of all documentation regarding these procedures. For the appropriate contact for procedural questions regarding SEAS appointments, please see the contact table on page 1.7.
A. Schedule: Review and Reappointment for Lecturers and Preceptors

<table>
<thead>
<tr>
<th></th>
<th>Year 1</th>
<th>Year 2</th>
<th>Year 3</th>
<th>Year 4</th>
<th>Year 5</th>
<th>Year 6</th>
<th>Year 7</th>
<th>Year 8</th>
<th>…</th>
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<tr>
<td>Lecturer: Annual</td>
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<td>Lecturer: Multi-year</td>
<td>F</td>
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<tr>
<td>Preceptor: Annual</td>
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<td>Preceptor: Multi-year</td>
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F=first-year review; A=annual review (after the first year); M=multi-year review

Notes:
- In years where there is no scheduled first-year review or review for reappointment, departments should conduct their own annual review of the lecturer or preceptor, following departmental protocols.
- All reviews should be completed by February 28 (for those appointed on July 1).
- Ordinarily, multi-year appointments for lecturers and preceptors begin on July 1.
- All lecturers and preceptors must undergo a first-year review to be eligible to teach in the following academic year.
- Non-dependent lecturers and preceptors must adhere to the FAS eight-year rule, unless they are lecturers holding annual appointments on or after July 1, 2010, who have not accumulated 3.0 annual lecturer FTEs within eight years. In these circumstances, lecturers who have reached the eight-year limit may be appointed at the equivalent of up to one half-course per year, under the appropriate conditions, until they have accumulated 3.0 annual lecturer FTEs.
B. Lecturers

(1) Appointment to Lecturer

a. Description

A lectureship is a short-term, non-tenure-track position that is held by individuals who serve as course heads for courses that would otherwise be taught by tenure-track or tenured faculty. Lecturers must ordinarily hold a doctorate by the time the appointment begins. All lecturer appointments must be based in a department or degree committee. Common practice is to make an appointment in one department or degree committee only. Within one academic year, the total FTE for all appointments held by a lecturer ordinarily will not exceed 1.0 FTE. Lecturers may be appointed in one of two ways:

- Into an annual appointment: Lecturers with annual appointments may be reappointed until they have accumulated a maximum of 3.0 annual lecturer FTE. (One half-course is equivalent to 0.25 annual FTE). These appointments may be spread over multiple years.
- Into one non-renewable three-year term (with Years 2 and 3 contingent upon a successful review after the first semester of teaching), beginning July 1.
b. Search Flowchart: Lecturer

- Department discusses with the divisional dean (DD) the need for the appointment and requests authorization (Step 1).
  - Department starts search process and advertises position if appropriate (Step 2).
  - Department reviews candidates and selects finalist (Step 3).
  - Dossier, including a draft offer letter, is sent to assistant dean for approval (Step 4).
  - Department issues letter to candidate (Step 5).
  - Department submits final dossier to Office for Faculty Affairs and processes the appointment in ASPeRIN (Step 6).
### c. Steps: Appointment to Lecturer (annual or multi-year appointments)

<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
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<tbody>
<tr>
<td><strong>1</strong></td>
<td>The department chair discusses the curricular need for the appointment with the divisional dean and requests authorization. If the department is requesting a multi-year lecturer appointment, the chair needs to describe and justify the curricular need for such an appointment. After approval is granted, the department begins the search process if a search is required. No search is required for appointments to teach a maximum of one half-course in one year in any one instructional unit (0.25 annual FTE).</td>
</tr>
<tr>
<td><strong>2</strong></td>
<td>For appointments where a search is required, the department advertises the position and makes inquiries at other institutions. All advertising copy must be reviewed and approved by the assistant dean for the division before it is submitted to the appropriate journals and other venues. Advertisements and inquiries should describe the position broadly, must specifically express interest in candidates who are women and minorities, and should list a date after which applications will not be considered. At least one form of the advertisement should be published in print. Advertisements should clearly state required documents and must indicate that Harvard is an Equal Opportunity/Affirmative Action employer. The dossier for the finalist must include 3-5 letters of recommendation. The advertisement should ask candidates to submit contact information for references with their original application materials. Harvard is required to solicit and record, when available, each applicant’s gender and racial/ethnic information, which is accomplished through the ARIeS system. Applicants are not required to provide demographic information.</td>
</tr>
<tr>
<td><strong>3</strong></td>
<td>For appointments where a search is required, departments follow their standard procedures to review candidate(s) for appointment.</td>
</tr>
<tr>
<td><strong>4</strong></td>
<td>The department sends the candidate’s dossier, including a draft offer letter, to the divisional assistant dean for review and approval. Please send one electronic copy of the dossier, including a draft offer letter, to the assistant dean via Accellion (secure document transfer: <a href="https://fta.fas.harvard.edu">https://fta.fas.harvard.edu</a>). For a full checklist of what the dossier should include, please see page 9.8. For those appointments in which a search is required, a case statement, written by the chair, should also be included and should address: A description of the search, including procedures for establishing a list of candidates, steps taken to identify candidates who are women and minorities (e.g., copies of advertisements and letters expressing interest in candidates who are women and minorities), total number of applicants, a description of the review procedures used in the...</td>
</tr>
</tbody>
</table>
Appointment to Lecturer (annual or multi-year appointments)

<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
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</table>
|      | department, and the reason a multi-year appointment was necessary (if applicable). Please address the demographics of the pool as displayed on the EEO chart available in ARies.  
• A comparison of the candidate with all other leading candidates (in particular, women and minorities), and the basis for choosing the finalist. Please include a description of his or her teaching qualifications.  
• A description of what the candidate will teach. |
| 5    | If approval is granted, the department issues the offer letter (annual/multi-year) to the candidate  
The offer letter should clearly state the standards and timing of review for reappointment, if applicable. |
| 6    | If the offer is accepted, the appointment is processed in the ASPeRIN system by the department  
• The department submits 1 electronic PDF copy of the final dossier and signed offer letter to the Appointments Office in the Office for Faculty Affairs via Accellion (secure document transfer: [https://fta.fas.harvard.edu](https://fta.fas.harvard.edu)), and delivers the I-9 form and payroll documents by hand to the Appointments Office. Note: This copy is in addition to that submitted to the assistant dean for the division in Step 4.  
• The department sends 1 electronic PDF copy of the signed offer letter and 1 electronic PDF copy of the candidate’s acceptance letter to the assistant dean for the division. Please use Accellion (secure document transfer: [https://fta.fas.harvard.edu](https://fta.fas.harvard.edu)).  
• The department administrator will remind the faculty member to sign electronically the [Harvard University Participation Agreement](https://fta.fas.harvard.edu) upon his/her arrival on campus. |
d. Dossier Checklist: Lecturers

Please send an electronic copy of the preliminary dossier, including a draft offer letter, to the assistant dean for the division (AD) via Accellion (secure document transfer: https://fta.fas.harvard.edu). To facilitate storing and sharing of files, please name the file as follows: a) alpha-numeric characters only (no dashes, commas, slashes, etc.). b) [Last Name] [First Name] [Department Name] Lecturer dossier [Month, Date, and Year of dossier submission, expressed numerically: XX YY ZZ]. E.g., Smith John Psychology Lecturer dossier 1 4 13. c) If a dossier is revised and resubmitted, please repeat the original title, followed by “rev” and [Month of resubmission] [Date of resubmission] [Year of resubmission]. E.g., Smith John Psychology Lecturer dossier 1 4 13 rev 1 15 13.

After the offer is finalized, please send an electronic PDF copy of the final dossier to the Appointments Office in the Office for Faculty Affairs via Accellion. Departments should keep an additional copy of the dossier on file for the department’s records for 5 years.

For all lecturer appointments:

_____ 1. A copy of the department’s request for the search authorization and a copy of the divisional dean’s letter authorizing the search.

_____ 2. Candidate’s curriculum vitae (including bibliography).

_____ 3. 3-5 letters of recommendation, and any other application materials (e.g., cover letter).

_____ 4. A copy of the offer letter (annual/multi-year) and all subsequent emendations to it.

_____ 5. A copy of the candidate’s letter of acceptance.

_____ 6. All payroll documentation.

_____ 7. I-9 form.

For those appointments for which a search is required, additional materials include:


_____ 9. The EEO chart displaying demographics data from the search, available through ARiEiS.

After the offer is finalized, please send 1 electronic PDF copy of the final signed offer letter and 1 electronic PDF copy of the candidate’s signed acceptance letter to the assistant dean for the division via Accellion.

Note: The candidate should not solicit student letters, and any unsolicited student letters will not be included in the dossier.
First-Year Reviews of Lecturers (reviews should be completed by February 28 of the lecturer’s first year of appointment)

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<th>Step</th>
<th>Explanation</th>
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</table>
| 1    | The department chair requests materials from the candidate at the end of the first semester of teaching. Materials include:  
- A curriculum vitae.  
- Teaching materials, including representative course syllabi and evidence of teaching effectiveness, such as teaching awards and evaluations. |
| 2    | The department chair (or his/her designee) considers the case. The department chair (or his/her designee) should solicit confidential feedback from the candidate’s students, as appropriate, and should observe the candidate’s teaching. |
| 3    | If the chair decides the case warrants reappointment (or continuation of appointment, in the case of a multi-year appointment), the department compiles materials to send to the assistant dean for the division. Please send one electronic copy of each of the items listed below to the assistant dean via Accellion (secure document transfer: https://fta.fas.harvard.edu):  
- A summary of the review, written by the chair, which describes the review procedures, summarizes the findings of the review, evaluates the candidate’s teaching abilities, and makes the case for the reappointment (or continuation of appointment, in the case of multi-year appointments) of the candidate.  
- A draft letter for the individual, to be reviewed by the assistant dean for the appropriate division, discussing the review. The letter covers any concerns about performance and/or need for services that might affect the future. For lecturers with an annual appointment, the letter should also specify when the next review would take place.  
- Materials considered in the review, including:  
  - The candidate’s curriculum vitae.  
  - Teaching materials, including representative course syllabi and evidence of teaching effectiveness, such as teaching awards and evaluations. |
| 4    | The dossier is reviewed by the assistant dean for the division, in consultation with the divisional dean. The divisional dean makes the final decision regarding reappointment of the candidate (in the case of annual appointments) or continuation of the candidate (in the case of a multi-year appointment). |

Note: The candidate should not solicit student letters.
First-Year Reviews of Lecturers

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<th>Step</th>
<th>Explanation</th>
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<tr>
<td>5</td>
<td>Following approval by the divisional dean, the department issues the final signed letter to the candidate and processes the reappointment in ASPeRIN (no reappointment is needed in the case of a multi-year appointment)</td>
</tr>
</tbody>
</table>

The department sends to the assistant dean for the division via Accellion (secure document transfer: [https://fta.fas.harvard.edu](https://fta.fas.harvard.edu)):
- 1 electronic PDF copy of the final letter for the candidate, signed by the department chair
- 1 electronic PDF copy of the departmental summary of the review.

(3) Additional Reappointments of Lecturers with Annual Appointments (reviews should be completed by February 28)

For reappointment beyond the first year for lecturers with annual appointments, the department must first request and receive authorization for the FTE from the divisional dean. If authorized, the department reviews the lecturer’s performance and assesses its curricular needs each year. The department submits to the assistant dean for the division 1 electronic copy of the lecturer’s teaching evaluations and 1 electronic copy of a draft letter of reappointment that includes dates of reappointment, teaching duties, salary, and an accounting of the individual’s remaining eligibility within the lecturer rank. Please send these materials via Accellion (secure document transfer: [https://fta.fas.harvard.edu](https://fta.fas.harvard.edu)).

Once the assistant dean has approved the reappointment and offer letter, the department sends it to the candidate and processes the reappointment in ASPeRIN. An electronic PDF copy of the signed reappointment letter is sent to the assistant dean for the division and to the Appointments Office in the Office for Faculty Affairs via Accellion.
C. Dependent Lecturers

(1) Appointment to Dependent Lecturer

a. Description

A dependent lectureship is a position that is held in conjunction with an administrative, research, or curatorial post within the University. The position upon which the lectureship is dependent must be at least half time. Like non-dependent lectureships, dependent lectureships are non-tenure-track positions that are held by individuals who serve as course heads for courses that would otherwise be taught by tenure-track or tenured faculty. Dependent lecturers must hold a doctorate. The appointment is annual. The title is held only for the term in which the dependent lecturer is teaching. All lecturer appointments must be based in a department or degree committee.
b. Search Flowchart: Dependent Lecturer

Department chair ensures that conditions are met to hire a dependent lecturer and receives authorization for the appointment from the divisional dean (Step 1 full-time/part-time).

**Dependent lecturer with a full-time administrative, research, or curatorial position**

Department consults with head of candidate’s administrative unit (Step 2).

Department/degree program drafts offer letter and sends it with the candidate’s *curriculum vitae* to the assistant dean for review (Step 3).

Department issues offer letter to candidate, submits letters and *curriculum vitae* to Office for Faculty Affairs, and enters the appointment in ASPerIN (Steps 4, 5).

**Dependent lecturer with a part-time administrative, research, or curatorial position**

Department drafts offer letter and sends it with the candidate’s *curriculum vitae* to the assistant dean for review (Step 2).

Department issues offer letter to candidate, submits letters and *curriculum vitae* to Office for Faculty Affairs, and enters the appointment in ASPerIN (Steps 3, 4).
c. Steps: Appointment to Dependent Lecturer with a Full-Time Administrative, Research, or Curatorial Position

<table>
<thead>
<tr>
<th>Step</th>
<th>Description</th>
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| 1    | The department chair ensures that conditions are met to hire a dependent lecturer to teach and discusses the curricular need for the appointment with the assistant dean for the division. **Note:** No search is required for dependent lectureships. The conditions include the following:  
• The course must be part of the department or degree committee’s curricular plan.  
• The department must approve the appointment through standard departmental procedures.  
• The individual must be eligible to hold the title lecturer within the FAS (including holding a doctorate).  
The assistant dean for the division must provide authorization for the appointment. |
| 2    | The department approaches the head of the candidate’s administrative unit. The administrative unit, in consultation with the appropriate human resources office for administrative positions and with the assistant dean for research positions, determines whether it can accommodate the department’s desire for the candidate to teach. **Note:** In the case of research appointments, the department should secure the approval of the PI and, if appropriate, the funding agency. |
| 3    | The department or degree program sends a draft offer letter and the candidate’s *curriculum vitae* to the assistant dean for the division. The letter outlines the agreement reached between the department and the administrative unit regarding the responsibilities of the position and arrangements for compensation. Please send one electronic copy of the draft offer letter and the candidate’s *CV* to the assistant dean via Accellion (secure document transfer: [https://fta.fas.harvard.edu](https://fta.fas.harvard.edu)), for review and approval. |
| 4    | If approval is granted, the department issues the offer letter to candidate. |
| 5    | If the offer is accepted, the appointment is processed in the ASPerIN system by the department.  
• The department sends to the Appointments Office in the Office for Faculty Affairs via Accellion (secure document transfer: [https://fta.fas.harvard.edu](https://fta.fas.harvard.edu)):  
  o 1 electronic PDF copy of the signed offer letter.  
  o 1 electronic PDF copy of a letter describing what the candidate will teach; the letter indicates that this position will be dependent on an administrative, research, or curatorial position.  
  o 1 electronic PDF copy of the candidate’s *curriculum vitae*.  
• The department sends to the divisional assistant dean via Accellion. |
## Appointment to Dependent Lecturer with a Full-Time Administrative, Research, or Curatorial Position

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<td>(secure document transfer: <a href="https://hta.fas.harvard.edu">https://hta.fas.harvard.edu</a>) 1 electronic PDF copy of the candidate’s acceptance letter.</td>
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<td></td>
<td>• The department administrator will remind the faculty member to sign electronically the <a href="https://hta.fas.harvard.edu">Harvard University Participation Agreement</a> upon his/her arrival on campus.</td>
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</table>
### d. Steps: Appointment to Dependent Lecturer with a Part-Time Administrative, Research, or Curatorial Position

<table>
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<th>Step</th>
<th>Explanation</th>
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| **1** | The department chair ensures that conditions are met to hire a dependent lecturer to teach and discusses the curricular need for the appointment with the assistant dean for the division. **Note:** No search is required for dependent lectureships. The conditions include:  
  - The course must be part of the department or degree committee’s curricular plan.  
  - The department must approve the appointment through standard departmental procedures.  
  - The individual is eligible to hold the title lecturer within the FAS (including holding a doctorate).  
  - The assistant dean for the division must provide written authorization for the appointment. |
| **2** | The department sends a draft offer letter and the candidate’s *curriculum vitae* to the assistant dean for the division. Please send one electronic copy of the draft offer letter and the candidate’s *CV* to the assistant dean via Accellion (secure document transfer: [https://fta.fas.harvard.edu](https://fta.fas.harvard.edu)), for review and approval. |
| **3** | If approval is granted, the department issues the offer letter to the candidate. |
| **4** | If the offer is accepted, the appointment is processed in the ASPeRIN system by the department.  
  - The department sends to the Appointments Office in the Office for Faculty Affairs via Accellion (secure document transfer: [https://fta.fas.harvard.edu](https://fta.fas.harvard.edu)):  
    - 1 electronic PDF copy of the signed offer letter.  
    - 1 electronic PDF copy of a letter describing what the candidate will teach; the letter indicates that this position will be dependent on an administrative, research, or curatorial position.  
    - 1 electronic PDF copy of the candidate’s *curriculum vitae*.  
  - The department sends to the divisional assistant dean via Accellion (secure document transfer: [https://fta.fas.harvard.edu](https://fta.fas.harvard.edu)) 1 electronic PDF copy of the candidate’s acceptance letter.  
  - The department administrator will remind the faculty member to sign electronically the [Harvard University Participation Agreement](https://issance.harvard.edu) upon his/her arrival on campus. |
(2) Reappointments of Dependent Lecturers

Dependent lecturers are reviewed and reappointed in one of two ways:

- In conjunction with the administrative, staff, curatorial, or research position into which they were hired (if this position has specific review procedures that include the individual’s teaching responsibilities).
- Following the review and reappointment schedule for lecturers hired with annual appointments.
D. Preceptors

(1) Appointment to Preceptor

a. Description

Preceptors are teachers who provide language, skill-oriented, or other special instruction. They may not offer instruction of a general nature or be in charge of courses of a non-departmental nature such as those offered by the General Education and Freshman Seminar programs. Appointments are made on an annual basis or may be for an initial term of three years (with Years 2 and 3 contingent upon a successful review after the first year of teaching), followed by a term of up to five years, dependent upon the individual’s remaining eligibility within the FAS eight-year rule. (Please see the “Review and Reappointment” schedule on page 9.3.) Previous appointments in other non-tenured instructional ranks in the Faculty of Arts and Sciences will reduce the potential maximum of eight years accordingly. Any appointment, full-time or fractional within an academic year, is counted as one year of service. Multi-year preceptor appointments should begin on July 1.
b. Search Flowchart: Preceptor

Department requests written authorization from the divisional dean (DD) (Step 1).

Department starts search process and advertises position if appropriate (Step 2).

Department reviews candidates and selects finalist (Step 3).

Dossier, including a draft offer letter, is sent to assistant dean for approval (Step 4).

Department issues letter to candidate (Step 5).

Department submits final dossier to Office for Faculty Affairs and processes the appointment in ASPeRIN (Step 6).
## c. Steps: Appointment to Preceptor

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<th>Step</th>
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<tr>
<td><strong>1</strong></td>
<td>The department chair writes to the assistant dean for the division requesting authorization for a search. The letter should discuss the curricular need for the appointment and whether the proposed appointment is annual or a multi-year appointment. After approval is granted, the department begins the search process if a search is required. No search is required for appointments to teach a maximum of one half-course in one year (up to 0.25 annual FTE).</td>
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</table>
| **2** | After approval from the assistant dean for the division, the department advertises the position and makes inquiries at other institutions (if a search is required).  
- All advertising copy must be reviewed and approved by the assistant dean for the division before it is submitted to the appropriate journals and other venues. Advertisements and inquiries should describe the position broadly, must specifically express interest in candidates who are women and minorities, and should list a date after which applications will not be considered. At least one form of the advertisement should be published in print. Advertisements should clearly state required documents and must indicate that Harvard is an Equal Opportunity/Affirmative Action employer.  
- The dossier for the finalist must include 3-5 letters of recommendation. The advertisement should ask candidates to submit contact information for references with their original application materials.  
- Harvard is required to solicit and record, when available, each applicant’s gender and racial/ethnic information, which is accomplished through the ARIeS system. Applicants are not required to provide demographic information. |
| **3** | For appointments where a search is required, departments follow their standard procedures to review candidate(s) for appointment. |
| **4** | The department sends the candidate’s dossier, including a draft offer letter, to the divisional assistant dean for review and approval. Please send one electronic copy of the dossier, including a draft offer letter, to the assistant dean via Accellion (secure document transfer: https://fta.fas.harvard.edu). For a full checklist of what the dossier should include, please see page 9.21.  
For those appointments in which a search is required, a case statement, written by the chair, should also be included and should address:  
- A description of the search, including procedures for establishing a list of candidates, steps taken to identify candidates who are women and minorities (e.g., copies of advertisements and letters expressing interest in candidates who are women and minorities), total number of applicants, a description of the review procedures used in the |
# Appointment to Preceptor

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|      | department, and the reason a multi-year appointment was necessary (if applicable). Please address the demographics of the pool as displayed on the EEO chart available in ARiES.  
• A comparison of the candidate with all other leading candidates (in particular, women and minorities), and the basis for evaluating his or her professional expertise and teaching ability.  
• A description of what the candidate will teach. |
| 5    | If approval is granted, the department issues the offer letter (annual/multi-year) to the candidate  
In addition to basic information, the letter includes information about teaching responsibilities for the year, the standard for reappointment (including performance, curricular need, the availability of funds, and the approval of the assistant dean for the division), and the timing and procedures for review for reappointment, if applicable. |
| 6    | If the offer is accepted, the appointment is processed in the ASPerIN system by the department  
• The department sends 1 electronic PDF copy of the final dossier and signed offer letter to the Appointments Office in the Office for Faculty Affairs via Accellion (secure document transfer: [https://fta.fas.harvard.edu](https://fta.fas.harvard.edu)), and delivers the I-9 form and payroll documents by hand to the Appointments Office. **Note:** This copy is *in addition* to that submitted to the assistant dean for the division in Step 4.  
• The department sends to the divisional assistant dean via Accellion (secure document transfer: [https://fta.fas.harvard.edu](https://fta.fas.harvard.edu)) 1 electronic PDF copy of the signed offer letter and 1 electronic PDF copy of the candidate’s acceptance letter.  
• The department administrator will remind the faculty member to sign electronically the [Harvard University Participation Agreement](https://fta.fas.harvard.edu) upon his/her arrival on campus. |
d. **Dossier Checklist: Preceptors**

Please send an electronic copy of the preliminary dossier, including a draft offer letter, to the assistant dean for the division (AD) via Accellion (secure document transfer: [https://fta.fas.harvard.edu](https://fta.fas.harvard.edu)). To facilitate storing and sharing of files, please name the file as follows: a) alpha-numeric characters only (no dashes, commas, slashes, etc.). b) [Last Name] [First Name] [Department Name] Preceptor dossier [Month, Date, and Year of dossier submission, expressed numerically: XX YY ZZ]. E.g., Smith John Psychology Preceptor dossier 1 4 13. c) If a dossier is revised and resubmitted, please repeat the original title, followed by “rev” and [Month of resubmission] [Date of resubmission] [Year of resubmission]. E.g., Smith John Psychology Preceptor dossier 1 4 13 rev 1 15 13.

After the offer is finalized, please send an electronic PDF copy of the final dossier to the Appointments Office in the Office for Faculty Affairs via Accellion. **Departments should keep an additional copy of the dossier on file for the department’s records for 5 years.**

**For all appointments:**

_____ 1. A copy of the department’s request for the search authorization and a copy of the divisional dean’s letter authorizing the search.

_____ 2. The candidate’s *curriculum vitae* (including bibliography).

_____ 3. 3-5 letters of recommendation, and any other application materials (e.g., cover letter).

_____ 4. A copy of the offer letter (*annual/multi-year*) and all subsequent emendations to it.

_____ 5. A copy of the candidate’s letter of acceptance.

_____ 6. All payroll documentation.

_____ 7. I-9 form.

**For those appointments for which a search is required, additional materials include:**


_____ 9. The EEO chart displaying demographics data from the search, available through ARiES.

**After the offer is finalized, please send 1 electronic PDF copy of the final signed offer letter and 1 electronic PDF copy of the candidate’s signed acceptance letter to the assistant dean for the division via Accellion.**

**Note:** The candidate should not solicit student letters, and any unsolicited student letters will not be included in the dossier.
First-Year Reviews of Preceptors (must be completed by February 28 of the preceptor’s first year of appointment)

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<th>Step</th>
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| 1    | The department chair requests materials from the candidate at the end of the first semester. Materials include:  
- A *curriculum vitae*.  
- Teaching materials, including representative course syllabi and evidence of teaching effectiveness, such as teaching awards and evaluations. |
| 2    | The department chair (or his/her designee) considers the case. The department chair (or his/her designee) should solicit feedback from the candidate’s students, as appropriate, and should observe the candidate’s teaching. |
| 3    | If the chair decides the case warrants reappointment (or continuation of appointment in the case of multi-year appointments), the department compiles materials to send to the assistant dean for the appropriate division. Please send one electronic copy of each of the items below to the assistant dean via Accellion (secure document transfer: https://fta.fas.harvard.edu):  
- A summary of the review, written by the chair, which describes the review procedures, summarizes the findings of the review, evaluates the candidate’s teaching abilities, and makes the case for the reappointment of the candidate (or continuation of the appointment in the case of multi-year appointments).  
- A draft letter for the individual, to be reviewed by the assistant dean for the appropriate division, discussing the review. The letter covers any concerns about performance and/or need for services that might affect the future. The letter should also specify when the next review for reappointment would take place.  
- Materials considered in the review, including:  
  - The candidate’s *curriculum vitae*.  
  - Teaching materials, including course syllabi and evidence of teaching effectiveness, such as teaching awards and evaluations. |
| 4    | The dossier is reviewed by the assistant dean for the division, in consultation with the divisional dean. The divisional dean makes the final decision regarding whether or not to reappoint the candidate (in the case of an annual appointment) or continue the candidate (in the case of a multi-year appointment). |

Note: The candidate should not solicit student letters.
(3) Reappointments of Preceptors

a. Additional Reappointments of Preceptors with Annual Appointments (must be completed by February 28)

For reappointment beyond the first year for preceptors with annual appointments, the department must first request and receive authorization for the FTE from the divisional dean. If authorized, the department reviews the preceptor’s performance and assesses its curricular needs. The department submits to the assistant dean for the division 1 electronic copy of the preceptor’s teaching evaluations and 1 electronic copy of a draft letter of reappointment that includes dates of reappointment, teaching duties, salary, and an accounting of the individual’s remaining eligibility within the preceptor rank and within the FAS’s eight-year rule. Please send these materials via Accellion (secure document transfer: https://fta.fas.harvard.edu).

Once the assistant dean has approved the reappointment and offer letter, the department sends it to the candidate and processes the reappointment in ASPeRIN. An electronic PDF copy of the signed reappointment letter is sent to the assistant dean for the division and to the Appointments Office in the Office for Faculty Affairs via Accellion.
b. **Reappointment of Preceptors into a Multi-Year Term (must be completed by February 28 of the preceptor’s third preceptorial year)**

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| 1    | The department chair requests materials from the candidate during the penultimate year of appointment. Materials should include:  
- *Curriculum vitae.*  
- Teaching and advising materials, including representative course syllabi and evidence of teaching effectiveness, such as teaching awards and evaluations.  
- A teaching statement. |
| 2    | The chair requests divisional dean approval of a proposed review committee and, following this approval, appoints the committee. The request should name the committee chair and other review committee members. The committee should include at least one individual from outside the program conducting the review. |
| 3    | The department compiles a [summary teaching chart](#) and gathers information on the candidate’s performance as a teacher.  
- The summary teaching chart summarizes, in chronological order, all courses the candidate has taught, including course titles, enrollments, and overall course scores and instructor scores.  
- The review committee should:  
  o Solicit feedback from the candidate’s current and former students, as appropriate.  
  o Observe the candidate’s teaching.  
  o Review the candidate’s teaching evaluations. |
| 4    | The committee considers the case. The review committee should take into account all aspects of the candidate’s job description. |
| 5    | The committee drafts a case statement and decides if the case is sufficiently strong to warrant reappointment. The draft case statement for the candidate summarizes the committee’s conclusions, including the strengths and weaknesses of the case (see Step 6 for all of the necessary elements of the final case statement), and makes a recommendation regarding reappointment of the candidate. The department chair must sign off on this recommendation. If the committee does not feel the case warrants reappointment, the chair sends to the divisional dean a draft of the letter to the candidate and explains the committee’s decision. After divisional dean approval, the department gives the letter to the candidate. |
| 6    | The department sends the candidate’s materials, including a draft letter to the candidate, to the assistant dean for the division. Please send one electronic copy of the dossier, including a draft letter for the candidate, to the assistant dean via Accellion (secure document transfer: [https://fta.fas.harvard.edu](https://fta.fas.harvard.edu)). The dossier includes:  
- A case statement describing the review procedures and making the case for the reappointment of the candidate. It includes an evaluation of the candidate’s teaching ability and contributions to the department. The case statement should also indicate who authored it and be signed. |
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<td>by both the author and the chair.</td>
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<tr>
<td></td>
<td>• The candidate’s <em>curriculum vitae</em>.</td>
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<tr>
<td></td>
<td>• Summary teaching chart.</td>
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<tr>
<td></td>
<td>• A teaching statement.</td>
</tr>
<tr>
<td></td>
<td>• Teaching and advising materials, including representative course syllabi and evidence of teaching effectiveness, such as teaching awards and evaluations.</td>
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<tr>
<td></td>
<td>• A draft letter for the individual, to be reviewed by the divisional dean, discussing the review. The letter covers any concerns about performance and/or need for services that might affect the future. The letter also indicates the dates of reappointment and remaining years of eligibility to hold the position.</td>
</tr>
<tr>
<td>Note:</td>
<td>The candidate should not solicit student letters, and any unsolicited student letters will not be included in the dossier.</td>
</tr>
<tr>
<td>7</td>
<td>The dossier is reviewed by the assistant dean for the division, in conjunction with the divisional dean</td>
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<tr>
<td>8</td>
<td>Following approval by the divisional dean, the department issues the final signed letter to the candidate and processes the reappointment in ASPeRIN</td>
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<tr>
<td></td>
<td>The department sends to the divisional assistant dean and to the Appointments Office in the Office for Faculty Affairs via Accellion (secure document transfer: <a href="https://fta.fas.harvard.edu">https://fta.fas.harvard.edu</a>) 1 electronic PDF copy of the final letter for the candidate, signed by the department chair.</td>
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E. College Fellows

(1) Appointment to College Fellow

a. Description

A College Fellowship is a short-term, non-tenure-track position that is held by exceptional scholars who have recently completed their doctoral work and have demonstrated excellence in teaching. In addition to pursuing their own research, College Fellows serve as course heads for courses that would otherwise be taught by tenure-track or tenured faculty. College Fellows must have completed all requirements for the doctorate prior to the appointment start date. College Fellowships are one-year positions with the possibility of renewal for one additional year contingent on performance, position availability, and curricular need. College Fellows receive mentoring on both pedagogy and career development.
b. Search Flowchart: College Fellows

Department discusses with the divisional dean (DD) the need for the appointment and requests authorization (Step 1).

Search process is started; Office for Faculty Affairs advertises position (Step 2).

Department reviews candidates and selects finalist (Step 3).

Dossier, including a draft offer letter, is sent to assistant dean for approval (Step 4).

Department issues letter to candidate (Step 5).

Department submits final dossier to Office for Faculty Affairs and processes the appointment in ASPeRIN (Step 6).
### c. Steps: Appointment to College Fellow

<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1</strong></td>
<td>The department chair discusses the curricular need for the appointment with the divisional dean and requests authorization. <strong>If approved, the divisional dean will provide the department with written authorization for the appointment.</strong></td>
</tr>
<tr>
<td><strong>2</strong></td>
<td>The Office for Faculty Affairs advertises the position and sends candidates’ application materials to the department for review. <strong>All advertising copy must be reviewed and approved by the assistant dean for the division before it is submitted to the appropriate journals and other venues. Advertisements and inquiries should describe the position broadly, must specifically express interest in candidates who are women and minorities, and should list a date after which applications will not be considered. At least one form of the advertisement should be published in print. Advertisements should clearly state required documents and must indicate that Harvard is an Equal Opportunity/Affirmative Action employer.</strong>&lt;br&gt;<strong>The dossier for the finalist must include 3 letters of recommendation. The advertisement should ask candidates to submit contact information for references with their original application materials.</strong>&lt;br&gt;<strong>Harvard is required to solicit and record, when available, each applicant’s gender and racial/ethnic information, which is accomplished through the ARiEs system. Applicants are not required to provide demographic information.</strong>&lt;br&gt;<strong>Departments are strongly encouraged to advertise the position in field-specific venues.</strong></td>
</tr>
<tr>
<td><strong>3</strong></td>
<td>Departments follow their standard procedures to review candidate(s) for appointment.</td>
</tr>
<tr>
<td><strong>4</strong></td>
<td>Department sends the candidate’s dossier, including a draft offer letter, to the divisional assistant dean for review and approval. <strong>Please send one electronic copy of the dossier, including a draft offer letter, to the assistant dean via Accellion (secure document transfer: <a href="https://fta.fas.harvard.edu">https://fta.fas.harvard.edu</a>). For a full checklist of what the dossier should include, please see page 9.30.</strong>&lt;br&gt;The dossier includes:&lt;br&gt;<strong>Draft offer letter.</strong>&lt;br&gt;<strong>College Fellows application form.</strong>&lt;br&gt;<strong>An EEO chart displaying demographics data from the search. This report can be retrieved through the ARiEs system. See Chapter 2 in this handbook for more information on Affirmative Action policies.</strong></td>
</tr>
</tbody>
</table>
## Appointment to College Fellow

<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
</tr>
</thead>
</table>
| • A cover letter that describes the applicant’s experience and interest in the position.  
• Candidate’s curriculum vitae.  
• A research statement.  
• A teaching statement describing the applicant’s teaching philosophy, goals, methods, and prior experience.  
• Teaching materials, including representative course syllabi and evidence of teaching effectiveness (e.g., teaching awards and evaluations).  
• 3 letters of recommendation for the candidate.  
• Candidate’s doctoral verification.  
Note: The appointment will not be finalized until verification of doctoral completion is received from the candidate’s home institution. The two forms of acceptable documentation include either a certificate of completion from the degree-granting institution or a letter from the institution’s registrar. Such documentation should state that all requirements for the doctorate have been successfully completed and should verify the date the degree has been or will be conferred. If the candidate received his or her degree from Harvard, written verification from the chair or director of graduate studies, on department letterhead, may suffice.  
• (Applicable only for those candidates who have not yet received the doctorate) A letter from the candidate’s advisor confirming that he/she will receive the doctorate prior to the appointment start date.  
• A copy of the department’s request for the search authorization and a copy of the divisional dean’s letter authorizing the search. |
| 5 | If approval is granted, the department issues the offer letter to the candidate |
| 6 | If the offer is accepted, the appointment is processed in the ASPeRIN system by the department  
• The department sends 1 electronic PDF copy of the dossier and signed offer letter to the Appointments Office in the Office for Faculty Affairs via Accellion (secure document transfer: https://fta.fas.harvard.edu), and delivers the I-9 form and payroll documents by hand to the Appointments Office. Note: This copy is in addition to that submitted to the assistant dean for the division in Step 4.  
• The department sends to the divisional assistant dean via Accellion (secure document transfer: https://fta.fas.harvard.edu) 1 electronic PDF copy of the candidate’s acceptance letter.  
• The department administrator will remind the faculty member to sign electronically the Harvard University Participation Agreement upon his/her arrival on campus. |
d. Dossier Checklist: College Fellows

Please send an electronic copy of the preliminary dossier, including a draft offer letter, to the assistant dean for the division (AD) via Accellion (secure document transfer: https://fta.fas.harvard.edu). To facilitate storing and sharing of files, please name the file as follows: a) alpha-numeric characters only (no dashes, commas, slashes, etc.). b) [Last Name] [First Name] [Department Name] College Fellow dossier [Month, Date, and Year of dossier submission, expressed numerically: XX YY ZZ]. E.g., Smith John Psychology College Fellow dossier 1 4 13. c) If a dossier is revised and resubmitted, please repeat the original title, followed by “rev” and [Month of resubmission] [Date of resubmission] [Year of resubmission]. E.g., Smith John Psychology College Fellow dossier 1 4 13 rev 1 15 13.

After the offer is finalized, please send an electronic PDF copy of the final dossier to the Appointments Office in the Office for Faculty Affairs via Accellion. **Departments should keep an additional copy of the dossier on file for the department’s records for 5 years.**

For all College Fellow appointments:

1. The EEO chart displaying demographics data from the search, available through ARJes.
2. A copy of the department’s request for the search authorization and a copy of the divisional dean’s letter authorizing the search.
3. College Fellows application form.
4. The candidate’s curriculum vitae, including bibliography.
5. A cover letter that describes the applicant’s experience and interest in the position.
6. Teaching materials (including teaching awards, representative course syllabi, and teaching evaluations).
7. A teaching statement describing the applicant’s teaching philosophy, goals, methods, and prior experience.
8. A research statement.
9. 3 letters of recommendation.
10. Verification of doctoral completion from the candidate’s home institution.
11. (Applicable only for those candidates who have not yet received the doctorate.) A letter from the fellow’s advisor confirming that he/she will receive his/her doctorate prior to the appointment start date.

**To be added after the appointment is finalized:**

12. A copy of the offer letter and all subsequent emendations to it.
13. A copy of the candidate’s letter of acceptance.
14. All payroll documentation.
15. I-9 form.

**After the appointment is finalized, please send 1 electronic PDF copy of the candidate’s signed acceptance letter to the assistant dean for the division via Accellion (secure document transfer: https://fta.fas.harvard.edu).** Note: The candidate should not solicit student letters, and any unsolicited student letters will not be included in the dossier.
(2) Reappointment of College Fellows

Reappointment of the College Fellowship for a second year is contingent on performance, position availability, and curricular need. The department requests authorization for the reappointment from the divisional dean. After receipt of authorization, the department sends to the assistant dean for the division 1 electronic copy of the fellow’s teaching evaluations and 1 electronic copy of a draft letter of reappointment that includes dates of reappointment, teaching duties, salary, and an accounting of the individual’s remaining eligibility within the FAS’s eight-year rule. Please send these materials via Accellion (secure document transfer: https://fta.fas.harvard.edu).

Once the assistant dean for the division has approved the draft letter, the department sends it to the candidate and processes the reappointment in ASPerIN. An electronic PDF copy of the signed reappointment letter is sent to the Appointments Office in the Office for Faculty Affairs via Accellion.
10. JOINT AND AFFILIATE APPOINTMENTS

Section Contents:

A. Joint Appointments (Page 10.2)
   (1) Joint Appointments (Page 10.2)
      a. Description
      b. Appointment Processes
   (2) Zero-FTE Self-Assessments (Page 10.4)

B. Affiliate Appointments (Page 10.4)
   (1) Affiliate Appointments (Page 10.4)
      a. Description
      b. Appointment Process
   (2) Reviews of Affiliate Appointments (Page 10.5)

Note: For the specific purposes of this document and its associated procedures, “divisional dean” also refers to the SEAS dean, and “department chairs” to SEAS area deans. Although SEAS faculty members follow the same policies, some procedures may vary. Therefore, members of SEAS should also consult SEAS-specific documents.

Note: All procedural questions regarding faculty hiring, reviews, promotions, and leaves should be directed to the assistant dean for the appropriate division, and the assistant dean should receive a copy of all documentation regarding these procedures. For the appropriate contact for procedural questions regarding SEAS appointments, please see the contact table on page 1.7.
A. Joint Appointments

(1) Joint Appointments

a. Description

A joint appointment may arise in three different circumstances:

i. As the result of an authorized joint search (either within the FAS or in conjunction with another School).
ii. When a search conducted by a single department produces a candidate whose scholarly profile suggests the desirability of a joint appointment at the time of hire.
iii. When a faculty member’s research and teaching evolve significantly beyond the boundaries of his or her department, suggesting the desirability of a joint appointment.

Joint appointments may be made between FAS departments, between an FAS department and SEAS, between an FAS department and another FAS ladder-faculty-appointing unit, or between an FAS department and another Faculty or University-wide ladder-faculty-appointing unit.

Faculty members holding joint appointments are voting members, according to rank, in both units and enjoy privileges and responsibilities in each. For this reason, both units involved in the appointment must agree to the terms of the appointment; both units should ensure, at the time of appointment, that the FTE allocation and the responsibilities for teaching, advising, and departmental service in each unit are clearly defined. Ordinarily, the level of responsibility should reflect the fraction of the FTE being shared. Each jointly appointed faculty member has a primary department, which is identified at the time of hire or promotion. The primary department takes responsibility for a faculty member in administrative matters (e.g., initiating reviews and collecting activity reports). Ordinarily, a faculty member may only hold a titled appointment as professor in a unit if he or she has a full or joint appointment within the unit.

Special Considerations: Assistant and Associate Professors

In all cases involving joint appointments of tenure-track faculty, the process for subsequent promotion review(s) must be clearly defined, documented, and communicated to the appointee and departments at the time of the joint appointment. Both appointing units should be formally involved in these reviews. The primary department is ultimately responsible for ensuring that reviews take place in a timely manner. Both units must vote on the promotion, regardless of the FTE.

Because working towards possible tenure is already a significant demand on a tenure-track faculty member’s time, the chairs of both units should work together in consultation with the divisional dean(s) to ensure that the jointly appointed tenure-track faculty member is not

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8This includes all FAS departments, SEAS, History and Literature, Folklore and Mythology, Study of Religion, Social Studies, and Women, Gender, and Sexuality.
overburdened with administrative and/or teaching responsibilities and that he or she is being appropriately mentored regarding these issues.

b. Appointment Processes

There are three paths to a joint appointment. The appointment process in each case is described below.

Note: If an FAS department anticipates offering a joint appointment to a tenured professor from another Harvard Faculty, the deans of the two Faculties must be advised of the possibility early in the process and must approve the final proposal before any agreements are finalized.

i. An authorized joint search (either within the FAS or in conjunction with another School).

The two departments should work with the divisional dean(s) to form a joint search committee and then follow standard search procedures as outlined in this handbook. If the search involves another School, the divisional dean will coordinate with the School to ensure that the appropriate process is followed. The final dossier will need to include votes from both units. For tenured appointments, the dossier should also include confidential letters from both units.

ii. A search conducted by a single department produces a candidate whose scholarly profile suggests the desirability of a joint appointment at the time of hire.

The department conducting the search should consult with its divisional dean about the possibility of a joint appointment with an additional unit and the appropriate process to follow.

iii. A faculty member’s research and teaching evolve significantly beyond the boundaries of his or her department, suggesting the desirability of a joint appointment.

The faculty member discusses the possibility of a joint appointment with the chair of the additional unit. The chair of the additional unit may then convene a departmental meeting for a discussion and a vote. If the vote is favorable, the chair of the additional unit confers with the chair of the faculty member’s home unit. The chair of the home unit then reports to his or her department about the proposal for sharing the FTE.

The chair of the additional unit then writes to the FAS Dean, providing a rationale for the appointment, a summary of the departmental discussion and vote, an indication that the home chair has been consulted, and a proposal for how the FTE will be shared between the units. The chair of the home department also writes to the FAS Dean in favor of the joint appointment.
The FAS Dean then writes to the faculty member confirming the joint appointment and the faculty member’s new title. The Office for Faculty Affairs enters and processes the appointment in ASPeRIn.

(2) Zero-FTE Self-Assessments

Faculty members holding a zero-FTE joint appointment may find, over time, that the responsibilities owed to their primary department make it difficult to adequately contribute to their joint unit. For this reason, faculty members holding zero-FTE appointments will be requested by the chair of their joint unit to undertake a self-assessment of their activity every five years. This assessment provides an opportunity for faculty members with zero-FTEs to consider whether they can continue to perform the duties agreed upon at the time of their appointment and whether they wish to continue to be jointly appointed. This is a decision made entirely by the faculty member holding the zero-FTE appointment.

B. Affiliate Appointments

(1) Affiliate Appointments

a. Description

An affiliate appointment is made to acknowledge a faculty member’s association with another FAS ladder-faculty-appointing unit or another Faculty, if appropriate. All FAS ladder-faculty-appointing units may offer affiliate appointments. This association may include teaching, student supervision, and research collaborations that are substantial but do not warrant a permanent joint appointment. Affiliations are made for a circumscribed term, usually three to five years. Affiliates will be listed in the affiliate section of the unit’s masthead for the duration of their appointment.

Affiliate faculty may attend departmental faculty meetings and vote on issues determined by the unit. The list of issues upon which affiliates have a right to vote should be enumerated in a letter from the chair, which is shared with the Dean, before the appointment is made. The unit is free, of course, to subsequently ask the affiliate to vote on additional issues. Affiliate status does not, however, confer voting rights beyond the unit (e.g., regular meetings of the Faculty).

If a unit proposes to offer an affiliate appointment to a faculty member from another unit, it is expected to carefully consider the rationale for the invitation. There needs to be a clear understanding concerning the individual’s involvement in the academic unit, such as whether he or she will offer courses, advise students, or serve on committees.

Tenured affiliate members of a unit do not have the right to vote on tenure appointments but may be invited to vote on individual cases.

9This includes all FAS departments, SEAS, History and Literature, Folklore and Mythology, Study of Religion, Social Studies, and Women, Gender, and Sexuality.
Special Considerations: Assistant and Associate Professors

Affiliate appointments for assistant and associate professors are seldom made, due to the additional burdens they may impose on tenure-track faculty. Any unit wishing to propose an affiliate appointment for a tenure-track member of the Faculty will first consult with the Office for Faculty Affairs.

Special Considerations: Tenured Professors

An affiliate appointment for a tenured professor may encompass a variety of arrangements but does not include a titled appointment as Professor in the department offering affiliate status.

b. Appointment Process

Note: If an FAS unit anticipates offering affiliate status to a tenured professor from another Harvard Faculty, the deans of the two Faculties must discuss the proposal before any agreements are finalized.

The faculty member discusses the possibility of an affiliate appointment with the chair of the additional unit. The chair of the additional unit may then convene a departmental meeting for a discussion and a vote. If the vote is favorable, the chair of the additional unit confers with the chair of the faculty member’s home unit. The chair of the additional unit then writes to the divisional dean, providing a rationale for the affiliation, a summary of the departmental discussion and vote, an indication that the home chair has been consulted, the parameters of the affiliation, and the length of term. The chair also gives the divisional dean a draft of the letter to the prospective faculty member, outlining the terms of the affiliation and specifying that the affiliation has been confirmed with the home unit. If the divisional dean approves the affiliate appointment and the draft letter, then the chair of the additional unit sends the letter to the faculty member, copying the chair of the home unit and the assistant dean for the division. The Office for Faculty Affairs enters and processes the appointment in ASPerIN.

(2) Reviews of Affiliate Appointments

In the penultimate year of the faculty member’s affiliate appointment, the unit offering affiliate status reviews the intellectual rationale for the appointment and the level of the affiliate’s involvement. The unit then either requests that the affiliation be renewed or advises the FAS Dean that it will terminate.
11. VISITING FACULTY

Section Contents:

Description: Visiting Faculty (Page 11.2)

A. Appointment of Visiting Faculty (Page 11.3)

B. Reappointment of Visiting Faculty (Page 11.4)

Note: For the specific purposes of this document and its associated procedures, “divisional dean” also refers to the SEAS dean, and “department chairs” to SEAS area deans. Although SEAS faculty members follow the same policies, some procedures may vary. Therefore, members of SEAS should also consult SEAS-specific documents.

Note: All procedural questions regarding faculty hiring, reviews, promotions, and leaves should be directed to the assistant dean for the appropriate division, and the assistant dean should receive a copy of all documentation regarding these procedures. For the appropriate contact for procedural questions regarding SEAS appointments, please see the contact table on page 1.7.
Description: Visiting Faculty

A visiting appointment is a short-term, non-tenure-track teaching position that is held by an individual who ordinarily continues to hold a tenure-track or tenured position at another academic institution. It is ordinarily expected that visiting faculty members, if paid by Harvard, will be on unpaid leave from their home institutions. In rare instances of significant curricular need, however, faculty members from Boston-area institutions may be appointed as visitors in the FAS, even when they continue to teach full-time at their home institution. In such cases, it is expected that the faculty members will have gained approval from the relevant administrative units at their home institutions in advance. Departments or degree committees may make such appointments as a short-term measure to help meet the curricular needs of the appointing unit in a given term or year. Visiting faculty may serve as course heads for courses that would otherwise be taught by tenure-track or tenured faculty.

When appointing visitors, departments are expected to give priority to scholars who are at the early stages of their careers. The titles for visiting faculty members will be at the same ranks as the tenure-track or tenured positions they hold at their home institutions. Individuals holding non-ladder faculty ranks or those visiting from non-academic institutions (e.g., a research institute) are ordinarily appointed as visiting lecturers. All questions about appropriate titles for visitors should be referred to the Office for Faculty Affairs before an invitation is extended.

Visiting appointments are annual, ordinarily limited to a maximum of three years within a ten-year period, whether full- or part-time. The three years need not be consecutive. The title is held only for the term in which the visiting faculty member is teaching.

Note: Members of the FAS and University community are expected to familiarize themselves with, and conform to, Harvard policies on teaching, research, and service, as appropriate to their position. Please see Chapter 2, “FAS and University Policies,” for more information.

In keeping with Harvard University’s Intellectual Property policies (http://www.otd.harvard.edu/resources/policies/IP/) and other research policies, all visitors and departmental affiliates must submit an electronic PDF of a signed hard copy of one of two Harvard University Visitor Participation Agreements (http://otd.harvard.edu/resources/agreements/participationVisitor/, if affiliated with an organization, or http://otd.harvard.edu/resources/agreements/participationVisitor/VPAsinglesignature/indexesinglesignature.php, if unaffiliated with an organization), before their arrival on campus.

If not receiving any form of payment from Harvard, visitors and departmental affiliates should also submit an electronic PDF of a signed hard copy of the Acknowledgement of Risk and Release for Non-Harvard Personnel Using Harvard Research and Instructional Laboratory Facilities form, before their arrival on campus.
## A. Appointment of Visiting Faculty

<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>The department chair writes to the divisional dean requesting approval for a visiting appointment. The letter should discuss the curricular need for the appointment. No search is required for these appointments; however, departments should take care when making such appointments to consider a diverse pool, broadly conceived, of potential short-term visiting faculty members, to meet the appointing unit’s and students’ curricular needs.</td>
</tr>
<tr>
<td>2</td>
<td>Following approval from the divisional dean, the department follows its standard procedures to review candidate(s) for appointment.</td>
</tr>
<tr>
<td>3</td>
<td>The department sends a draft offer letter and the candidate’s curriculum vitae to the assistant dean for the division. Please send one electronic copy of the draft offer letter and the candidate’s CV to the assistant dean via Accellion (secure document transfer: <a href="https://fta.fas.harvard.edu">https://fta.fas.harvard.edu</a>).</td>
</tr>
<tr>
<td>4</td>
<td>After approval from the divisional dean, the department issues the offer letter to the candidate.</td>
</tr>
<tr>
<td>5</td>
<td>If the offer is accepted, the department processes the appointment in the ASPeRIN system. The department sends the items below to the Appointments Office in the Office for Faculty Affairs via Accellion (secure document transfer: <a href="https://fta.fas.harvard.edu">https://fta.fas.harvard.edu</a>), and delivers the I-9 form and payroll documents by hand to the Appointments Office.</td>
</tr>
<tr>
<td></td>
<td>• 1 electronic PDF copy of a cover letter explaining the reasons for the appointment and describing the teaching duties. Note: For endowed visiting positions to which visitors are appointed regularly, the cover letter should also include a list of other candidates considered and the reasons for selecting the candidate.</td>
</tr>
<tr>
<td></td>
<td>• 1 electronic PDF copy of the department’s request for the search authorization and 1 electronic PDF copy of the divisional dean’s letter authorizing the search.</td>
</tr>
<tr>
<td></td>
<td>• 1 electronic PDF copy of the candidate’s curriculum vitae.</td>
</tr>
<tr>
<td></td>
<td>• 1 electronic PDF copy of the signed offer letter.</td>
</tr>
<tr>
<td></td>
<td>• 1 electronic PDF of a signed hard copy of the Visitor Participation Agreement (for affiliated or unaffiliated individuals).</td>
</tr>
<tr>
<td></td>
<td>• 1 electronic PDF of a signed hard copy of the <a href="https://fta.fas.harvard.edu">Acknowledgement of Risk and Release for Non-Harvard Personnel Using Harvard Research and Instructional Laboratory Facilities</a> form (if not receiving any form of payment from Harvard).</td>
</tr>
</tbody>
</table>
B. Reappointment of Visiting Faculty

Visiting faculty members are not ordinarily reappointed in consecutive years. If a department or degree committee wishes to pursue a reappointment, they should review the visiting faculty member’s performance and discuss the curricular need and FTE availability with the Office for Faculty Affairs before any offer is extended.
12. RETIRED PROFESSORS

Section Contents:

Descriptions: Professors Emeriti, Research Professor (Page 12.2)

A. Privileges for Professors Emeriti (Page 12.3)

Note: For the specific purposes of this document and its associated procedures, “divisional dean” also refers to the SEAS dean, and “department chairs” to SEAS area deans. Although SEAS faculty members follow the same policies, some procedures may vary. Therefore, members of SEAS should also consult SEAS-specific documents as well.

Note: All procedural questions regarding faculty hiring, reviews, promotions, and leaves should be directed to the assistant dean for the appropriate division, and the assistant dean should receive a copy of all documentation regarding these procedures. For the appropriate contact for procedural questions regarding SEAS appointments, please see the contact table on page 1.7.
Descriptions: Professors Emeriti, Research Professor

(1) Professors Emeriti

A faculty member assumes the *emeritus/a* status upon retirement when he or she (a) retires from a tenured faculty position and (b) has reached the age of 60 or more. If these two conditions are met, the faculty member’s title automatically becomes Professor of [Department], *Emeritus/a* upon retirement. If the individual held an endowed chair while active, that title also carries forward with the *Emeritus/a* designation. This appointment remains active for the professor’s lifetime.

(2) Research Professor

In accordance with FAS policies, the title “Research Professor” is available to individuals eligible for, or already holding, *emeritus/a* status. This title can be held for the five years immediately following retirement. Individuals who prefer this title, in lieu of the regular title of Professor *Emerita* or Professor *Emeritus*, should write to the Dean of the Faculty annually to state their planned research activities for the coming year.

The research professor title supersedes the regular title of Professor *Emerita* or Professor *Emeritus* during the period in which it is held, but research professors are eligible for all the privileges listed for Professors Emeriti below. In the absence of the annual request for appointment, on specific request from the individual or at the end of the five-year period, the faculty member’s title will revert to the standard *emeritus* designation.

Information regarding salary and benefits of Research Professors is available from the FAS Financial Office, at 617-495-1525.
A. Privileges for Professors Emeriti

(1) Teaching

Professors Emeriti are welcome to teach one half-course per year after retirement. There are a variety of venues in which Professors Emeriti can teach:

a. Emeriti may offer Freshman Seminars and House Seminars and are encouraged to contact the Committee on Freshman Seminars.
b. Emeriti may offer departmental courses at the invitation of the department chair and approval by the divisional dean.
c. Emeriti may also offer General Education courses and are encouraged to contact the Program in General Education.

An honorarium is paid for course instruction. The level of this honorarium is determined annually by the FAS administration.

At the invitation of departments or concentrations, Emeriti are also welcome to offer individual or group tutorials and may supervise undergraduate theses.

(2) Graduate Advising

Professors Emeriti are welcome to continue to work with graduate students already under their supervision, although they may not take on newly enrolled students after retirement. Professors Emeriti are also welcome to conduct general examinations for continuing and newly enrolled graduate students.

(3) Library Privileges

Professors Emeriti have continued access to all libraries and online resources. In addition, they may sponsor up to three individuals for the privilege of research assistant.

(4) Email and IT

Professors Emeriti maintain FAS email accounts and network access. They may continue to make use of services provided by Harvard University Information Technology, including desktop support, research computing, hosting, and other services as needed while working in space provided by the FAS. They also continue to be able to use their Harvard ID card to make use of Harvard’s computer and associated purchase programs.

(5) Space

a. Offices

Professors Emeriti are provided with office space (although not necessarily that which they
occupied before retirement) for traditional academic and pedagogical purposes, within
departmental and divisional guidelines.

b. Library studies
Professors Emeriti holding library studies and actively pursuing stack-centered research may
continue to use a library study. Every effort will be made to allow Emeriti who are actively
engaged in library research to continue to use the studies they held at retirement, but under
some circumstances, they may be asked to transfer to other studies.

As with other members of the faculty, study-sharing arrangements and short-term loans
(when Emeriti are temporarily away from Cambridge) are made in consultation with the
Committee on Library Studies.

All other library study regulations and protections that apply to the full-time faculty also
apply to Professors Emeriti.

c. Laboratories
The FAS welcomes the continued research activity of Professors Emeriti. The allocation of
laboratory space will be based on the policies of the academic divisions or SEAS. Space
considerations being satisfied, Professors Emeriti may continue their research, primarily with
postdoctoral collaborators, funded by research grants.

(6) Research and Administrative Support

a. Research support
Upon retirement, previously accumulated funds in the faculty member’s FAS research
account continue to be available to Professors Emeriti.

Professors Emeriti continue to enjoy the right to secure funds for sponsored research.
Although the University places no restrictions on the source of funds, academic divisions or
SEAS may do so as part of their oversight of sponsored research. For example, academic
divisions or SEAS may wish to establish the principle that Professors Emeriti can accept only
peer-reviewed sponsored projects.

Resident Professors Emeriti are eligible to apply for grants from Harvard faculty travel funds
under the same rules that apply to full-time faculty.

b. Administrative support
Although Professors Emeriti ordinarily do not continue to have access to personal
administrative support, they may make use of departmental resources to help prepare letters
of recommendation for students and former students. Other administrative needs may be
addressed at the discretion of the department.
(7) Departmental and Other Administrative Service

Professors Emeriti are welcome to attend FAS Faculty Meetings as guests.

Professor Emeriti continue to receive newsletters, catalogs, and faculty-wide mailings (unless they request that their names be deleted from the mailing list) and to be invited to departmental colloquia, lectures, and professional and social functions.

(8) Compensation

There are limits on the amount of compensation retired faculty can receive from the institution without jeopardizing their status as “retired.” Please contact the Harvard Benefits Group at 617-496-4001 for further information.


13. RESEARCH APPOINTMENTS

Section Contents:

A. Research Appointments Summary Table (Page 13.2)
B. Fellows (doctorate not required) (Page 13.4)
C. Postdoctoral Fellows (Page 13.6)
D. Research Associates (Page 13.9)
E. Research Fellows (Page 13.12)
F. Senior Research Fellows (Page 13.14)
G. Visiting Scholars (Page 13.19)
H. Associates (Page 13.21)

Note: For the specific purposes of this document and its associated procedures, “divisional dean” also refers to the SEAS dean, and “department chairs” to SEAS area deans. Although SEAS faculty members follow the same policies, some procedures may vary. Therefore, members of SEAS should also consult SEAS-specific documents.

Note: All procedural questions regarding faculty hiring, reviews, promotions, and leaves should be directed to the assistant dean for the appropriate division, and the assistant dean should receive a copy of all documentation regarding these procedures. For the appropriate contact for procedural questions regarding SEAS appointments, please see the contact table on page 1.7.
## A. Research Appointments Summary Table

<table>
<thead>
<tr>
<th>Appointment Type</th>
<th>Definition</th>
<th>P.I. Rights?</th>
<th>Doctorate Required?</th>
<th>Search Required?</th>
<th>Appointment Type</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Fellows</strong> (doctorate not required)</td>
<td>This appointment is made to enable the nominee to engage in individual research opportunities under the sponsorship of a principal investigator, an academic department, or an affiliated center within the Faculty of Arts and Sciences.</td>
<td>No</td>
<td>No</td>
<td>No</td>
<td>Annual</td>
</tr>
<tr>
<td><strong>Postdoctoral Fellows</strong></td>
<td>This appointment is made to enable the individual to continue his or her studies under the general supervision of one or more Harvard faculty members.</td>
<td>No (with very limited exceptions)</td>
<td>Yes</td>
<td>Varies</td>
<td>Annual</td>
</tr>
<tr>
<td><strong>Research Associates</strong></td>
<td>This appointment is made to secure the paid professional services of an individual in support of research projects directed by one or more faculty members. Ordinarily, individuals receiving this appointment will have had at least three years of postdoctoral experience and will possess a doctoral degree at the time of appointment.</td>
<td>Co-P.I. rights on projects in which they play a major role</td>
<td>Yes</td>
<td>Varies</td>
<td>Annual</td>
</tr>
<tr>
<td><strong>Research Fellows</strong></td>
<td>This appointment is made in areas where extensive postdoctoral experience prior to junior faculty appointment is the norm and accords recent recipients of doctoral degrees a modicum of independence in conducting research under the auspices of departments or centers (this appointment is currently)</td>
<td>Yes (with certain restrictions)</td>
<td>Yes</td>
<td>Yes</td>
<td>5 years</td>
</tr>
<tr>
<td>Role</td>
<td>Description</td>
<td>Yes (with certain restrictions; see FAS RAS “Managing Your Research”)</td>
<td>No</td>
<td>Yes</td>
<td>Unspecified</td>
</tr>
<tr>
<td>-----------------------------</td>
<td>------------------------------------------------------------------------------</td>
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<td>----</td>
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</tr>
<tr>
<td><strong>Senior Research Fellows</strong></td>
<td>This appointment enables the individual greater independence in carrying out independent research necessary to the programs of several Harvard faculty members.</td>
<td>Yes (with certain restrictions; see FAS RAS “Managing Your Research”)</td>
<td>No</td>
<td>Yes</td>
<td>Unspecified</td>
</tr>
<tr>
<td><strong>Visiting Scholars</strong></td>
<td>This appointment is made to enable an individual, ordinarily on paid leave from a scholarly post elsewhere, to carry out his or her own work in association with a Harvard faculty member or members.</td>
<td>No</td>
<td>No</td>
<td>No</td>
<td>Annual</td>
</tr>
<tr>
<td><strong>Associates</strong></td>
<td>This appointment allows for an unpaid affiliation with the FAS, in furtherance of a well-defined, specific institutional objective.</td>
<td>n/a</td>
<td>No</td>
<td>No</td>
<td>Annual</td>
</tr>
</tbody>
</table>
B. Fellows (doctorate not required)

(1) **Description**

This appointment is made to enable the nominee to engage in individual research opportunities under the sponsorship of a principal investigator, an academic department, or an affiliated center within the Faculty of Arts and Sciences.

The appointment is made for a minimum of 3 months and is not to exceed 12 months. Individuals may hold this appointment for no more than 3 consecutive years. Although the nominee will not be required to have obtained a doctoral degree, appropriate academic credentials and a previous body of research work must be presented to justify the appointment. Fellows may not be designated as “principal investigator” or “project director.” Appointments to this rank are not permissible for individuals performing work-for-hire under the supervision of a faculty member. Such individuals are instead hired as professional research staff. Questions about appropriate appointment categories can be discussed with the FAS Offices of Faculty Affairs and Human Resources.

**Note:** Members of the FAS and University community are expected to familiarize themselves with, and conform to, Harvard policies on teaching, research, and service, as appropriate to their position. Please see Chapter 2, “FAS and University Policies,” for more information.


If not receiving any form of payment from Harvard, visitors and departmental affiliates should also submit an electronic PDF of a signed hard copy of the **Acknowledgement of Risk and Release for Non-Harvard Personnel Using Harvard Research and Instructional Laboratory Facilities** form, before their arrival on campus.

(2) **Salary**

This position may be paid or unpaid. If paid, it is considered to be a stipendiary position.

(3) **Appointment/Search Procedures**

No search is required.
(4) Documentation Requirements

The department must submit the following to the Appointments Office in the Office for Faculty Affairs via Accellion (secure document transfer: [https://fta.fas.harvard.edu](https://fta.fas.harvard.edu)):

a. 1 electronic PDF copy of a signed statement from the chair, department administrator, or principal investigator, on department letterhead, describing the title, appointment dates, need for the appointment, and research the nominee will undertake during the appointment.
b. 1 electronic PDF copy of a statement about any costs the appointment may generate, such as office space, equipment, and materials, and how these will be covered.
c. 1 electronic PDF copy of the nominee’s *curriculum vitae*.
d. 1 electronic PDF of a signed hard copy of the [Visitor Participation Agreement](https://fta.fas.harvard.edu) (for affiliated individuals) or [Visitor Participation Agreement](https://fta.fas.harvard.edu) (for unaffiliated individuals).
e. 1 electronic PDF of a signed hard copy of the [Acknowledgement of Risk and Release for Non-Harvard Personnel Using Harvard Research and Instructional Laboratory Facilities](https://fta.fas.harvard.edu) form (if not receiving any form of payment from Harvard).
C. Postdoctoral Fellows

(1) **Description**

This appointment is made to enable the individual to continue his or her studies under the general supervision of one or more Harvard faculty members. Designated supervisors will ordinarily hold the rank of professor, associate professor, assistant professor, Senior Research Fellow, or Bauer Fellow in the FAS Center for Systems Biology, or Rowland Institute Research Fellow.

To hold an appointment at this rank, the candidate must have received a doctoral degree at the time of appointment. Ordinarily, the candidate will have earned a doctorate recently. The appointment is made annually and may not exceed 12 months. Individuals may ordinarily serve in this category, whether full- or part-time, for a maximum of three years. Postdoctoral fellows may not be designated as “principal investigator” or “project director” without the explicit approval of the divisional dean (as noted in the FAS online publication “Managing Your Research”). Please see [http://www.postdoc.harvard.edu/](http://www.postdoc.harvard.edu/) for additional information about postdoctoral fellow appointments.

**Note:** Members of the FAS and University community are expected to familiarize themselves with, and conform to, Harvard policies on teaching, research, and service, as appropriate to their position. Please see Chapter 2, “FAS and University Policies,” for more information.

In keeping with Harvard University’s Intellectual Property policies ([http://www.otd.harvard.edu/resources/policies/IP/](http://www.otd.harvard.edu/resources/policies/IP/)) and other research policies, faculty and researchers are expected to sign electronically the [Harvard University Participation Agreement](http://www.otd.harvard.edu/resources/policies/IP/) upon their arrival on campus.

If not receiving any form of payment from Harvard, postdoctoral fellows should also submit an electronic PDF of a signed hard copy of the [Acknowledgement of Risk and Release for Non-Harvard Personnel Using Harvard Research and Instructional Laboratory Facilities](http://www.otd.harvard.edu/resources/policies/IP/) form, before their arrival on campus.

(2) **Salary**

The appointment may be on Harvard payroll (“paid” category), or funded independently (“unpaid” category). Unpaid positions include those on fellowships that are paid directly to the fellow and those on the payroll of another institution. Paid appointments may be as internal, employee postdoctoral fellows (when the postdoctoral fellow is supported by research grants and contracts under the direction of a Harvard Principal Investigator) or as external, stipendiary postdoctoral fellows (when a fellowship is awarded to a postdoctoral fellow and is managed by Harvard University, with the fellow paid through Harvard).

(3) **Appointment/Search Procedures**

No search is required for:
a. Unpaid appointments.
b. Appointments to be paid through postdoctoral research fellowships awarded directly to the fellow.
c. Non-renewable employee postdoctoral fellow appointments.
d. Appointments of individuals who are continuing work begun while graduate students at Harvard.
e. Appointments of individuals who move to Harvard as part of an ongoing research team under the supervision of a newly-appointed tenure-track or tenured faculty member.
f. Appointments involving transfer from “unpaid” to “paid” status when there is a temporary need to prevent the interruption of research due to lapses in outside funding.
g. Appointments in cases where a faculty member or principal investigator is acting as formal supervisor of a successful grant application that is essentially the work of the candidate and entirely dependent upon his/her employment.

A search is required for all other appointments. Some departments may find it convenient to place an annual advertisement in an appropriate professional journal indicating the general availability of positions in their areas. Other suggested recruitment methods include advertising each position, posting open positions on the department’s webpage, and consulting rosters of minority and women candidates. Advertising copy indicates that Harvard is an Equal Opportunity/Affirmative Action employer and inquiries must specifically express interest in minority and women candidates. Care should be taken to avoid language that could be construed as discriminatory with regard to age.

(4) Documentation Requirements

The department must submit items a.-f. below to the Appointments Office in the Office for Faculty Affairs via Accellion (secure document transfer: https://fta.fas.harvard.edu) and deliver item g. to the Appointments Office by hand:

a. 1 electronic PDF copy of a recommendation letter (signed by the department laboratory director, department administrator, or principal investigator, on department letterhead) briefly explaining the title, dates of appointment, and purpose of the appointment and including the following:
   i. The name of the departmental sponsor and the source and amount of financial support.
   ii. If no search was required, the basis for exemption.
   iii. If a search was required, the recommendation should also include:
       a) A statement describing the steps taken to identify minority and women candidates. 
       b) A description of how the candidate was located. 
       c) A description of how many minority and women candidates applied or were considered. 
       d) If the candidate is not a minority or a woman, the reasons for not choosing the leading minority and woman candidates. 
       e) Copies of all advertisements.

b. 1 electronic PDF copy of an EEO chart displaying demographics data from the search, available through ARieS.
c. 1 electronic PDF copy of the candidate’s *curriculum vitae*.
d. 1 electronic PDF copy of doctoral degree verification (required for candidates who have received their degree within one year of the effective start date). If an incoming post-doc has received a doctoral degree within 12 months of the start date of his or her appointment, verification is required. Acceptable verification is either a certificate of completion from the degree-granting institution or a letter from the institution’s Registrar. Such documentation should state that all requirements for the degree have been successfully completed and should verify the date the degree has been or will be conferred. If the candidate received his or her degree from Harvard, written verification from the chair or director of graduate studies, on department letterhead, may suffice.
e. 1 electronic PDF copy of an offer letter/letter of agreement between the candidate and principal investigator (See sample letters for [benefits-eligible](#) and [non-benefits-eligible](#) candidates).
g. Original, completed I-9 form. (If the appointment is paid as an employee, an I-9 form is required for a first appointment or after a break in service of one year or more. Note: If a valid I-9 is already on file, this is indicated in the recommendation letter.)
D. Research Associates

(1) Description

This appointment is made to secure the paid professional services of an individual in support of research projects directed by one or more faculty members. Individuals receiving this appointment will possess a doctoral degree at the time of appointment and ordinarily will have had at least three years of postdoctoral experience.

The appointment is made annually, is not to exceed 12 months, and is ordinarily full-time. If a part-time appointment is requested, justification must be given, and the recommending body must endorse the request. Particular attention must be given to the nature of the other affiliation, if any, due to possible conflicts of interest or commitment and to ensure appropriate effort reporting, as well as any other issues that may arise.

Research associates may not be designated as “principal investigator” or “project director.” They may, however, be designated as co-principal investigator on projects on which they play a major role and on which another individual with PI privileges serves as principal investigator.

Associate professors may not hold an appointment at this rank for 24 months following the termination of their last faculty appointment, except during the summer months immediately following their termination (in order to allow them to fulfill commitments to their grants). Reappointment in this rank beyond eight years requires review, with subsequent reviews at five-year intervals thereafter. Part-time appointments or nonconsecutive appointments for a fraction of a year will ordinarily count as a one-year appointment for determining eligibility for a renewal or a review date. Prior Harvard appointments in other research categories or in faculty instructional ranks will be counted toward the eight years.

The Office for Faculty Affairs, in consultation with the Committee on Research Policy, will monitor appointments in this category regularly, reviewing numbers in rank, length of service, salary ranges, etc.

Note: Members of the FAS and University community are expected to familiarize themselves with, and conform to, Harvard policies on teaching, research, and service, as appropriate to their position. Please see Chapter 2, “FAS and University Policies,” for more information.

In keeping with Harvard University’s Intellectual Property policies (http://www.otd.harvard.edu/resources/policies/IP/) and other research policies, faculty and researchers are expected to sign electronically the Harvard University Participation Agreement upon their arrival on campus.

(2) Salary

Appointees must be paid more than a nominal salary.
(3) Appointment/Search Procedures

No search is required for:

a. Reclassifications from appointments as postdoctoral fellows.
b. Appointments to be paid through postdoctoral research fellowships awarded directly to the fellow.
c. Non-renewable employee research associate appointments.
d. Appointments of individuals who are continuing work begun while graduate students at Harvard.
e. Appointments of individuals who move to Harvard as part of an ongoing research team under the supervision of a newly-appointed ladder or senior faculty member.
f. Appointments involving transfer from unpaid to paid status when there is a temporary need to prevent the interruption of research due to lapses in outside funding.
g. Appointments in cases when a faculty member or principal investigator is acting as formal supervisor of a successful grant application that is essentially the work of the candidate and entirely dependent upon his/her employment.

A search is required for all other appointments. Some departments may find it convenient to place an annual advertisement in an appropriate professional journal indicating the general availability of positions in their areas. Other suggested recruitment methods include advertising each position, posting open positions on the department’s webpage, making direct inquiries of appropriate individuals, and consulting rosters of minority and women candidates. Advertising copy indicates that Harvard is an Equal Opportunity/Affirmative Action employer, and inquiries must specifically express interest in minority and women candidates. Care should be taken to avoid language that could be construed as discriminatory with regard to age.

(4) Documentation Requirements

The department must submit items a. and b. below to the Appointments Office in the Office for Faculty Affairs via Accellion (secure document transfer: https://fta.fas.harvard.edu) and deliver item c. to the Appointments Office by hand:

a. 1 electronic PDF copy of recommendation letter (signed by the department laboratory director, department administrator, or principal investigator on department letterhead), briefly explaining the title, dates of appointment, and purpose of the appointment and including the following:
   i. An appointment form including the name of the departmental sponsor and the source of financial support.
   ii. The candidate’s *curriculum vitae*.
   iii. If no search was required, the basis for exemption.
   iv. If a search was required, the recommendation should also include:
      a) A statement describing the steps taken to identify minority and women candidates.
      b) A description of how the candidate was located.
      c) A description of how many minority and women candidates applied or were considered.
d) If the candidate is not a minority or a woman, the reasons for not choosing the leading minority and woman candidates.

e) Copies of all advertisements.

b. 1 electronic PDF copy of offer letter/letter of agreement between the candidate and principal investigator.

c. Completed I-9 form. (If the appointment is paid as an employee, an I-9 form is required for a first appointment or after a break in service of one year or more. Note: If a valid I-9 is already on file, this is indicated in the recommendation letter.)

(5) Reappointment beyond Eight Years

Reappointment beyond the eighth year in this rank will be permitted only after a formal review by the appropriate department or center and with subsequent approval by the appropriate divisional dean. For this review (and subsequent reviews at five-year intervals thereafter), the department chair or center director sends the following information to the divisional dean for review via Accellion (secure document transfer: https://fta.fas.harvard.edu):

a. 1 electronic PDF copy of curriculum vitae, including details of the candidate’s Harvard affiliation.

b. 1 electronic PDF copy of an evaluation of the research associate’s professional qualifications by a representative departmental committee and the materials on which the committee’s evaluation is based. The materials include 3-5 comparative evaluations of the appointee by outside experts.

c. 1 electronic PDF copy of endorsement of the recommendation by the faculty member with whom the appointee will work, including an indication of the expected length of the project and the stability of its funding.

d. 1 electronic PDF copy of an assessment of other employment opportunities available to the research associate and an indication of why the Harvard appointment is professionally attractive.

e. 1 electronic PDF copy of the following: Ordinarily, research associate appointments are full-time. If an exception is required, justification must be given, and the recommending body must endorse the request. Particular attention must be given to the nature of the other affiliation, if any.
E. Research Fellows

(1) Description

This appointment is made in areas where extensive postdoctoral experience prior to junior faculty appointment is the norm and accords recent recipients of doctoral degrees a modicum of independence in conducting research under the auspices of departments or centers (this appointment is currently restricted to the FAS Center for Systems Biology, the Rowland Institute, and the Society of Fellows).

Research fellows are eligible for limited principal investigator privileges. The divisional dean will specify limitations, including mechanisms for review of substance, and space and resource commitments, with advice from the Committee on Research Policy where appropriate. P.I. rights for Bauer Fellows at the Center for Systems Biology require the approval of the Director of the Bauer Fellows Program. P.I. rights for Rowland Fellows require the approval of the Director of the Rowland Institute. P.I. rights for Junior Fellows in the Society of Fellows require the approval of the Chair of the Society of Fellows.

Individuals may serve in this category, whether full- or part-time, on an annual basis, for a maximum of five years. Appointees will be eligible for appointment to junior faculty positions but not to other categories of research appointments. (Ordinarily, in calculating the number of years of service in the non-tenured instructional ranks for which an individual is eligible, no more than two years of service in the professional research ranks of the Faculty of Arts and Sciences, full- or part-time, may be excluded.)

Note: Members of the FAS and University community are expected to familiarize themselves with, and conform to, Harvard policies on teaching, research, and service, as appropriate to their position. Please see Chapter 2, “FAS and University Policies,” for more information.

In keeping with Harvard University’s Intellectual Property policies (http://www.otd.harvard.edu/resources/policies/IP/) and other research policies, faculty and researchers are expected to sign electronically the Harvard University Participation Agreement upon their arrival on campus.

(2) Salary

Research fellows must be paid more than a nominal salary through Harvard.

(3) Appointment/Search Procedures

Searches for appointments to this rank must be authorized, in advance, by the divisional dean, who will stipulate search procedures and oversight mechanisms with due concern for breadth of the selection process and the relationship of research fellows to junior faculty and to those holding other categories of research appointments. A signed letter from the department chair, department administrator, or principal investigator (on department letterhead) describing the terms and conditions of the appointment must be received by the Appointments Office in the
Office for Faculty Affairs via Accellion (secure document transfer: https://fta.fas.harvard.edu) before the appointment can be finalized.

(4) **Documentation Requirements**

The department must submit the following to the Appointments Office in the Office for Faculty Affairs via Accellion (secure document transfer: https://fta.fas.harvard.edu):

a. 1 electronic PDF copy of the research fellow’s *curriculum vitae*.
b. 1 electronic PDF copy of a description of the search process, including how the leading candidates were identified and who else was considered for the appointment (notably any leading women and minorities, if applicable).
c. 1 electronic PDF copy of the letter of agreement between the research fellow and the director or PI, as appropriate.
d. 1 electronic PDF copy of the EEO chart displaying demographics data from the search, available through ARieS.
F. Senior Research Fellows

(1) Description

This appointment provides the individual, paid through Harvard, greater independence in carrying out independent research necessary to the programs of several Harvard faculty members. The current interpretation by the Committee on Research Policy of the legislation governing the appointment of Senior Research Fellows recognizes, in effect, two categories:

a. Senior Research Fellows who, while more independent than research associates, participate in or perform services necessary for the research programs of two or more faculty. This type of Senior Research Fellow does not usually have principal investigator rights.

b. Senior Research Fellows who conduct research necessary to the department that does not require close faculty supervision. This type of Senior Research Fellow will almost always have certain principal investigator rights. Principal investigator rights will ordinarily be granted to an individual working under the direction of two or more faculty members only if there is some compelling reason why the faculty supervisors cannot serve equally well as principal investigators on the contracts or grants that support the individual’s research. Additional documentation is needed if it is proposed that the appointee be given broader principal investigator privileges to satisfy departmental need and research missions.

The appointment is of unspecified duration and implies that the University anticipates a continuing need for the individual’s services, but in the event that the need disappears and no suitable alternative employment is available within the University, the appointment may be terminated on twelve months notice, or less if specified by prior written agreement. It is ordinarily full time; exceptions must be justified. Under no circumstances will such an appointment be made for a project or program wholly dependent upon the presence or continuing interest of a single faculty member.

The Office for Faculty Affairs, in conjunction with the divisional deans and the Dean of SEAS, will monitor appointments in this category regularly, reviewing numbers in rank, length of service, salary ranges, etc.

Note: Members of the FAS and University community are expected to familiarize themselves with, and conform to, Harvard policies on teaching, research, and service, as appropriate to their position. Please see Chapter 2, “FAS and University Policies,” for more information.

In keeping with Harvard University’s Intellectual Property policies (http://www.otd.harvard.edu/resources/policies/IP/) and other research policies, faculty and researchers are expected to sign electronically the Harvard University Participation Agreement upon their arrival on campus.

(2) Salary

Senior Research Fellows are paid monthly and should be paid more than a nominal salary.
(3) Search Flowchart: Senior Research Fellow (SRF)

Request for search authorization made to divisional dean (DD), specifying the area or field, any scholar under consideration, the chair of the search committee, and faculty members (3-4 individuals) who will serve on it (Step 1).

After DD approves the search, chair of search committee requests letters of reference from 8-10 external professionals (Steps 2, 3).

Search committee reviews all materials (including external letters), reports to the department; department votes and submits dossier to DD (Step 4).

DD, with CAP subcommittee, reviews the dossier; DD decides whether to approve the appointment (Step 5).

If all evaluations are positive, DD issues offer letter to candidate (Steps 6, 7).
<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
</tr>
</thead>
</table>
| 1    | Department chair writes to the divisional dean requesting authorization for the appointment. Letter should address:  
- The field or area of field.  
- How the anticipated appointment is expected to serve the needs of the department.  
- The identification of space (office and/or studio) to house the proposed appointee and any other important resource considerations.  
- The name of the search committee chair, who will have primary responsibility for ensuring that the search follows proper process, and the names of the three or four senior faculty members who will serve on the committee. |
| 2    | Divisional dean reviews request. In consultation with the FAS Dean, the divisional dean reviews individual requests in light of divisional priorities and resources (including space). If the search is authorized, the divisional dean writes to the department, setting out the conditions of the search. |
| 3    | Once the divisional dean has approved the search, the search committee sends out letters to obtain eight to ten letters of reference from external professionals in the field. The content of the letter must be discussed with the relevant assistant dean for faculty affairs and approved by the divisional dean. The letter must include a request to identify minority or women candidates who might be suitable for the position. |
| 4    | Search committee reviews letters and the case and reports to the department. The senior members of the department vote on the case. After a favorable vote, the dossier is sent to the divisional dean. In SEAS cases, the committee reports to the entire senior faculty, who then vote on the case. After the members of the search committee have reviewed all materials related to the appointment, the chair of the search committee reports to the department. The senior members of the department (or the entire senior faculty, in SEAS cases) vote on the case. After a favorable vote, the dossier is sent to the divisional dean. The dossier includes:  
- The case for appointing the nominee, including an analysis of the professional evaluations of the nominee by eminent scholars in the discipline and a comparison of the nominee’s professional qualifications with those carrying out the best research in the field.  
- Any minority and women candidates who were mentioned and, if the nominee is not a minority or a woman, the reasons for not choosing the leading minority and woman nominees.  
- Evidence that the nominee has sufficient independence, stature, and national reputation in his or her field to qualify for a tenured professorial appointment at a major research university. |
<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>5</td>
<td>The divisional dean, with a CAP subcommittee, reviews the dossier, and the divisional dean decides whether to approve the appointment. The two faculty members of CAP advise the divisional dean on whether the correct process has been followed, the dossier is complete, and the case is sufficiently strong. The divisional dean then decides whether or not to approve the appointment. If the appointment is approved, it is forwarded to the Office for Faculty Affairs.</td>
</tr>
<tr>
<td>6</td>
<td>If approval is granted, the Office for Faculty Affairs prepares the offer letter for the divisional dean’s signature. The Office for Faculty Affairs drafts the offer letter to the candidate in consultation with the department chair. 1 electronic PDF copy of the final offer letter, signed by the divisional dean, is sent to the Office for Faculty Affairs via Accellion (secure document transfer: <a href="https://fta.fas.harvard.edu">https://fta.fas.harvard.edu</a>). Any revisions to the initial offer must be made in writing, in consultation with the Office for Faculty Affairs. 1 electronic PDF of a signed copy of the revised offer letter must be sent to the Office for Faculty Affairs via Accellion (secure document transfer: <a href="https://fta.fas.harvard.edu">https://fta.fas.harvard.edu</a>). The candidate’s acceptance of an offer of appointment is made in writing to the department chair, who sends 1 electronic PDF copy to the Office for Faculty Affairs via Accellion (secure document transfer: <a href="https://fta.fas.harvard.edu">https://fta.fas.harvard.edu</a>).</td>
</tr>
</tbody>
</table>

Appointment to Senior Research Fellow

- A discussion of:
  - The availability of research space.
  - Any potential incremental costs to the budget of the Faculty.
  - All special facilities or equipment needed for the research program, whether or not they will be provided by Harvard.
  - The availability of funds to pay the nominee’s salary for one year should research funding be lost.
  - A record of the department vote, by name.
- A description of any plans to recommend the nominee for teaching and identification of the source of teaching funds.
- Justification for any plans to offer a part-time appointment and a careful examination of the nature of the individual’s other affiliations, if any. The possibility of conflicts of interest, conflicts of commitment, and potential problems regarding proprietary rights to research results must be considered with particular care. Requests for exceptions must be endorsed by the recommending department.
- Departmental policies governing the approval of research topics, student progress, and degrees, if it is anticipated that graduate students will work under the nominee’s direction.
- A *curriculum vitae*, including details of the nominee’s Harvard affiliation, if any, and a complete publication list.
# Appointment to Senior Research Fellow

<table>
<thead>
<tr>
<th>Step</th>
<th>Explanation</th>
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</thead>
<tbody>
<tr>
<td>7</td>
<td>If offer is accepted, the final dossier is compiled and sent to the Office for Faculty Affairs, and the appointment is processed in the ASPeRIN system by the department</td>
</tr>
<tr>
<td></td>
<td>- The department sends 1 electronic PDF copy of the dossier and signed offer letter to the Appointments Office in the Office for Faculty Affairs via Accellion (secure document transfer: <a href="https://fta.fas.harvard.edu">https://fta.fas.harvard.edu</a>), and delivers the I-9 form and payroll documents by hand to the Appointments Office.</td>
</tr>
<tr>
<td></td>
<td>- The department administrator will remind the faculty member to sign electronically the <a href="https://fta.fas.harvard.edu">Harvard University Participation Agreement</a> upon his/her arrival on campus.</td>
</tr>
</tbody>
</table>
G. Visiting Scholars

(1) Description

This appointment is made to enable an individual, ordinarily a ladder faculty member on paid leave from another institution, to carry out his or her own work in association with a Harvard faculty member or members. The expectation is that regular interaction will occur between the visiting scholar and his or her Harvard faculty sponsor.

The appointment is made for a minimum of three months and is not to exceed 12 months. Individuals may hold this appointment for no more than two consecutive years. Part-time appointments or non-consecutive appointments for a fraction of a year will ordinarily count as a one-year appointment in determining eligibility for renewal. Individuals are eligible for reappointment after a lapse of three years. Exceptions to these restrictions require the prior written approval of the Office for Faculty Affairs. Visiting scholars may not be designated as “principal investigator” or “project director.”

Note: Members of the FAS and University community are expected to familiarize themselves with, and conform to, Harvard policies on teaching, research, and service, as appropriate to their position. Please see Chapter 2, “FAS and University Policies,” for more information.

In keeping with Harvard University’s Intellectual Property policies (http://www.otd.harvard.edu/resources/policies/IP/) and other research policies, all visitors and departmental affiliates must submit an electronic PDF of a signed hard copy of one of two Harvard University Visitor Participation Agreements (http://otd.harvard.edu/resources/agreements/participationVisitor/, if affiliated with an organization, or http://otd.harvard.edu/resources/agreements/participationVisitor/VPAsinglesignature/indexsinglesignature.php, if unaffiliated with an organization), before their arrival on campus.

If not receiving any form of payment from Harvard, visitors and departmental affiliates should also submit an electronic PDF of a signed hard copy of the Acknowledgement of Risk and Release for Non-Harvard Personnel Using Harvard Research and Instructional Laboratory Facilities form, before their arrival on campus.

(2) Salary

The appointment may be paid or unpaid.

(3) Appointment/Search Procedures

No search is required, but every prospective visiting scholar must have a Harvard faculty sponsor.
(4) Documentation Requirements

The department must submit the following to the Appointments Office in the Office for Faculty Affairs via Accellion (secure document transfer: https://fta.fas.harvard.edu):

a. 1 electronic PDF copy of a signed letter from the faculty sponsor, on department letterhead, indicating the reason for the appointment, the type of work in which the visitor will be engaged, the visitor’s home institution and title (and the U.S. equivalent, if applicable), any arrangements for space, I.T., and other resources, and the faculty sponsor’s commitment to meet regularly with the visiting scholar.

b. 1 electronic PDF copy of an offer letter from the department chair or center director, on department letterhead, outlining the terms of the appointment and confirming that the chair/director supports the appointment and, if applicable, that appropriate physical space will be provided. The letter should also ask the individual to sign the appropriate Visitor Participation Agreement. If the visiting scholar is not receiving any form of payment from Harvard, he/she should also be asked to sign the Acknowledgement of Risk and Release for Non-Harvard Personnel Using Harvard Research and Instructional Laboratory Facilities form.

c. 1 electronic PDF copy of the visitor’s curriculum vitae.

d. An electronic PDF of a signed hard copy of the Visitor Participation Agreement (if affiliated with an organization) or Visitor Participation Agreement (if unaffiliated with an organization).

H. Associates

(1) Description

This appointment allows for an unpaid affiliation with the Faculty of Arts and Sciences, in furtherance of a well-defined, specific institutional objective.

The appointment is annual. It is intended primarily for use in museums, centers, and departments, but may also be used elsewhere if a special need for such appointees can be demonstrated. Reappointment in this rank beyond five years requires review by the recommending unit and approval by the divisional dean; such reviews must be repeated at five-year intervals thereafter, should a particular appointee serve so long. Part-time appointments or non-consecutive appointments for a fraction of a year will count as a year’s appointment in determining eligibility for a renewal or a review date.

Note: Members of the FAS and University community are expected to familiarize themselves with, and conform to, Harvard policies on teaching, research, and service, as appropriate to their position. Please see Chapter 2, “FAS and University Policies,” for more information.

In keeping with Harvard University’s Intellectual Property policies (http://www.otd.harvard.edu/resources/policies/IP/) and other research policies, all visitors and departmental affiliates must submit an electronic PDF of a signed hard copy of one of two Harvard University Visitor Participation Agreements (http://otd.harvard.edu/resources/agreements/participationVisitor/, if affiliated with an organization, or http://otd.harvard.edu/resources/agreements/participationVisitor/VPAsinglesignature/indexsignature.php, if unaffiliated with an organization), before their arrival on campus.

If not receiving any form of payment from Harvard, visitors and departmental affiliates should also submit an electronic PDF of a signed hard copy of the Acknowledgement of Risk and Release for Non-Harvard Personnel Using Harvard Research and Instructional Laboratory Facilities form, before their arrival on campus.

(2) Salary

This appointment is always unpaid.

(3) Appointment/Search Procedures

No search is required.

(4) Documentation Requirements

The department must submit the following to the Appointments Office in the Office for Faculty Affairs via Accellion (secure document transfer: https://fta.fas.harvard.edu):
a. 1 electronic PDF copy of a signed statement from the chair, department administrator, or principal investigator, on department letterhead describing the appointment title, dates, the reason for the appointment, a description of the role (or proposed research program) the nominee will assume in the museum, center, or department, and a description of any costs the appointment may generate, such as office space, equipment, and materials, and how these costs will be covered.

b. 1 electronic PDF copy of the nominee’s curriculum vitae.

c. An electronic PDF of a signed hard copy of the Visitor Participation Agreement (for affiliated individuals) or Visitor Participation Agreement (for unaffiliated individuals).

14. SUPERVISED APPOINTMENTS

Section Contents:

A. Teaching Fellows (Page 14.2)

B. Teaching Assistants (Page 14.2)

Note: For the specific purposes of this document and its associated procedures, “divisional dean” also refers to the SEAS dean, and “department chairs” to SEAS area deans. Although SEAS faculty members follow the same policies, some procedures may vary. Therefore members of SEAS should also consult SEAS-specific documents as well.

Note: All procedural questions regarding faculty hiring, reviews, promotions, and leaves should be directed to the assistant dean for the appropriate division, and the assistant dean should receive a copy of all documentation regarding these procedures. For the appropriate contact for procedural questions regarding SEAS appointments, please see the contact table on page 1.7.
A. Teaching Fellows

(1) Description

Teaching fellows serve as section leaders and tutors under the supervision of faculty members who serve as heads of instruction for specific courses and thus have ultimate responsibility for all aspects of the course, including grading. Teaching fellow appointments are reserved exclusively for individuals registered as candidates for an advanced degree at Harvard (thus, an undergraduate may not serve as a teaching fellow).

Appointments are effective only for the term of teaching and are part-time. Individual graduate schools may have specific limitations on the fraction of time and the number of years that their degree candidates may serve as teaching fellows.

(2) Appointment Process

Approval to appoint a teaching fellow is granted by the Office of Undergraduate Education (OUE). Every spring the OUE prompts departments to submit requests for course sections for the coming academic year. Once a course is allocated a section, the department will identify a teaching fellow for the appointment. FAS policy requires that eligible graduate students in their third and fourth years be considered for the appointment before any other graduate student or instructor. Appointments must be endorsed by the relevant department chair and the dean of the candidate’s graduate school and reviewed by the Graduate School of Arts and Sciences.

Departments may contact the Office of Undergraduate Education for further details on the appointment process. Information on teaching fellowships is also available on the “Teaching Fellows” page in the “Resources for Current Students” section of the Graduate School of Arts and Sciences website: http://www.gsas.harvard.edu/current_students/current_students.php.

B. Teaching Assistants

(1) Description

Teaching assistants engage in the same kinds of supervised instruction as teaching fellows, but they are not enrolled as candidates for an advanced degree in the University. They may or may not hold a doctorate.

Appointments are made annually, are effective only during the term of teaching, are generally part-time, and are ordinarily limited to four academic years, dependent upon the individual’s remaining eligibility within the FAS eight-year rule. A one-semester appointment counts as one year. In unusual circumstances in which need and competence in teaching can be demonstrated, departments may recommend a teaching assistant for up to six years. Please note that teaching assistant appointments count towards an individual’s eligibility under the FAS eight-year rule.
(2) Appointment Process

Candidates are selected by course heads on the basis of teaching ability and other criteria. No formal search is required.

Information on teaching assistantships is also available on the Office of Undergraduate Education website:  

(3) Salary

The salary is based on a two-step scale that is set annually. Teaching assistants are paid at the junior rate unless they have completed two years of study toward an advanced degree relevant to the teaching assignment, or taught two years at the university level.

(4) Documentation Requirements

The department must submit the following to the Graduate School of Arts and Sciences:

a. A letter certifying the candidate’s teaching competence and related qualifications and indicating the basis on which judgments are made.

b. A description of the teaching duties.

c. A curriculum vitae that includes a description of the candidate's current occupation.

d. A statement that the pool of qualified GSAS students has been exhausted.

e. The appointment form.

f. The I-9 form (for a first appointment or after a break in service of one year or more). Note: If a valid I-9 is already on file, this is indicated on the appointment form.
15. SAMPLE FORMS, LETTERS, AND ADS

*The forms, letters, and ads are available in Word format on the Faculty Affairs website. Please do not modify the summary teaching charts.

Section Contents:

A. Sample Summary Teaching Charts (Page 15.3)
B. Sample Table of External Letter-Writers (Page 15.5)
C. Sample Citation Table (Page 15.6)
D. Sample Inquiry to Other Institutions (Page 15.7)
E. Sample Initial Inquiry to External Letter-Writers (Page 15.8)
F. Sample Blind Letter (Page 15.9)
G. Sample Tenure Review Letter (Page 15.11)
H. Sample Letter to External Letter-Writers for Promotion to Associate Professor (Page 15.13)
I. Sample Letter to External Letter-Writers for Appointment to Senior Lecturer (Page 15.14)
J. Sample Ad for Tenured Professor (Page 15.15)
K. Sample Ad for Open-Rank Position (Page 15.16)
L. Sample Ad for Tenure-Track Professor (Page 15.17)
M. Sample Ad for Senior Preceptor (Page 15.18)
N. Sample Ad for Lecturer (Page 15.19)
O. Sample Ad for Preceptor (Page 15.20)
P. Sample Lecturer Offer Letters (Page 15.21)
Q. Sample Preceptor Offer Letters (Page 15.25)
R. Sample Visiting Professor Offer Letter (Page 15.30)
S. Sample Postdoctoral Fellow (Benefits-Eligible) Offer Letter (Page 15.32)
T. Sample Postdoctoral Fellow (Non-Benefits-Eligible) Offer Letter (Page 15.34)
U. Sample Research Associate Offer Letter (Page 15.35)
V. Sample Visiting Scholar Offer Letter (Page 15.36)
W. Sample Senior Research Fellow Review Letter (Page 15.38)

Note: For the specific purposes of this document and its associated procedures, divisional dean also refers to the SEAS dean, and department chairs to SEAS area deans. Although SEAS faculty members follow the same policies, some procedures may vary. Therefore, members of SEAS should also consult SEAS-specific documents.
Note: All procedural questions regarding faculty hiring, reviews, promotions, and leaves should be directed to the assistant dean for the appropriate division, and the assistant dean should receive a copy of all documentation regarding these procedures. For the appropriate contact for procedural questions regarding SEAS appointments, please see the contact table on page 1.7.
A. SAMPLE SUMMARY TEACHING CHART

**INTERNAL**

Note: Please fill in chart in chronological order; do not organize chart by course title.

<table>
<thead>
<tr>
<th>Course Number</th>
<th>Course Title</th>
<th>Term and Year</th>
<th>Co-Teacher Name(s)</th>
<th>Enrollment</th>
<th>Q Individual Student Evals Included</th>
<th>Q Score: &quot;Professor&quot;</th>
<th>Q Score: &quot;Course Overall&quot;</th>
</tr>
</thead>
<tbody>
<tr>
<td>HIST 123</td>
<td>History of Antarctica</td>
<td>Fall 2005</td>
<td></td>
<td>146 2 8 156</td>
<td>Yes Yes</td>
<td>4.7</td>
<td>4.5</td>
</tr>
<tr>
<td>HIST 125</td>
<td>History of Cartography</td>
<td>Fall 2005</td>
<td></td>
<td>125 6 4 135</td>
<td>Yes Yes</td>
<td>4.8</td>
<td>4.6</td>
</tr>
<tr>
<td>On leave</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>HIST 123</td>
<td>History of Antarctica</td>
<td>Fall 2006</td>
<td></td>
<td>155 4 6 165</td>
<td>Yes Yes</td>
<td>4.8</td>
<td>4.6</td>
</tr>
<tr>
<td>HIST 125</td>
<td>History of Cartography</td>
<td>Spring 2007</td>
<td></td>
<td>160 8 7 175</td>
<td>Yes Yes</td>
<td>4.9</td>
<td>4.7</td>
</tr>
</tbody>
</table>
**SAMPLE SUMMARY TEACHING CHART**  
*EXTERNAL*

**Note:** Please fill in chart in chronological order; do not organize chart by course title.

<table>
<thead>
<tr>
<th>Course Number</th>
<th>Course Title</th>
<th>Term and Year</th>
<th>Co-Teacher Name(s)</th>
<th>Enrollment</th>
<th>Summary Sheets Included</th>
<th>Individual Student Evals Included</th>
<th>Overall Instructor Score (include highest possible score)</th>
<th>Overall Course Score (include highest possible score)</th>
</tr>
</thead>
<tbody>
<tr>
<td>HIST 123</td>
<td>History of Antarctica</td>
<td>Fall 2005</td>
<td></td>
<td>146</td>
<td>2</td>
<td>8</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>HIST 125</td>
<td>History of Cartography</td>
<td>Fall 2005</td>
<td></td>
<td>125</td>
<td>6</td>
<td>4</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>On leave</td>
<td>---</td>
<td>---</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>HIST 123</td>
<td>History of Antarctica</td>
<td>Fall 2006</td>
<td></td>
<td>155</td>
<td>4</td>
<td>6</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>HIST 125</td>
<td>History of Cartography</td>
<td>Spring 2007</td>
<td></td>
<td>160</td>
<td>8</td>
<td>7</td>
<td>Yes</td>
<td>Yes</td>
</tr>
</tbody>
</table>
B. SAMPLE TABLE OF EXTERNAL LETTER-WRITERS

<table>
<thead>
<tr>
<th>Name of External Letter-Writer</th>
<th>Did Letter-Writer Indicate He/She Would Write a Letter?</th>
<th>Letter of Evaluation Received</th>
</tr>
</thead>
<tbody>
<tr>
<td>Current Rank/Title</td>
<td>[Yes/ No/ No response]</td>
<td>[Yes/No]</td>
</tr>
<tr>
<td>Home Institution</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Year of Doctorate (if available)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Individual’s website</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

[List names in alphabetical order]
### C. SAMPLE CITATION TABLE: CANDIDATE AND COMPARANDS

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
<th>University</th>
<th>Year of Doctorate</th>
<th>Total Number of Publications</th>
<th>Total Number of Citations for All Publications</th>
<th>Average Number of Citations per Paper</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
D. SAMPLE INQUIRY TO OTHER INSTITUTIONS

<<Date>>

«MrMrs» «FirstName» «LastName»
«Title»
«Address»
«University»
«City», «State»
«PostalCode»
«Country»

Dear Professor «LastName»,

As you may know, the Department of [DEPARTMENT NAME] is conducting a search for a senior faculty member in [FIELD]. It would be very helpful to have your nominations and suggestions for such an appointment, particularly women or minority candidates who might not have previously come to our attention.

Professorial appointments at Harvard are reserved for scholars of the first order of eminence. Our foremost criteria for appointment are: scholarly achievement and impact on the field, evidence of intellectual leadership and creative accomplishment, potential for future accomplishments, teaching and advising effectiveness in a variety of settings with both undergraduate and graduate students, and the individual’s potential contributions to the University and broader scholarly communities. We seek to tenure faculty who are setting the agenda in their field and who have the commitment and capacity to remain at the forefront of their field. We would be grateful if you were able to give us your assessment of the past accomplishments and likely future contributions of those individuals you regard as the top four or five candidates for such a position.

We know that responding to this request is an additional burden on your time, but there is no adequate substitute for informed judgments from professionals in the field. We greatly appreciate your help and will keep your response confidential to the extent permitted by law, making it available only to the senior members of the department and those directly involved in the formal review process.

It would be most helpful if we could receive your reply by [DATE]. If you need additional time or if you have any questions, please contact me at [PHONE] or our department administrator at [PHONE].

Sincerely,

Chair, Search Committee
E. SAMPLE INITIAL INQUIRY TO EXTERNAL LETTER-WRITERS

Initial inquiries may be sent by email. Any initial inquiries conducted by telephone must be documented; that documentation forms part of the final dossier.

<<Date>>

«MrMrs» «FirstName» «LastName»
«Title»
«Address»
«University»
«City», «State»
«PostalCode»
«Country»

Dear Professor «LastName»,

I write to ask if you would be willing to assist the Department of [DEPARTMENT NAME] at Harvard University in [a search to appoint a tenured professor in [FIELD]/an internal tenure promotion review for Professor [NAME]].

We find external evaluations from authorities in the field invaluable in assessing our [candidates’/candidate’s] qualifications, and we would greatly appreciate your views. If you are willing to assist in this [search/review], we will send you a letter with further information. In either case, please let us know by email whether you are willing to participate; it would be most helpful to hear from you by [DATE].

Thank you very much for considering this request.

Sincerely,

Chair, Department of [DEPARTMENT NAME]
F. SAMPLE BLIND LETTER

<<Date>>

«MrMrs» «FirstName» «LastName»
«Title»
«Address»
«University»
«City», «State»
«PostalCode»
«Country»

Dear Professor «LastName»,

[If initial inquiry was sent: “Thank you for your response. As you know,”] Our department is engaged in a search for a scholar to fill a tenured full professorship in the field of [FIELD]. We would greatly appreciate your assistance in this effort.

Our foremost criteria for appointment are: scholarly achievement and impact on the field, evidence of intellectual leadership and creative accomplishment, potential for future accomplishments, teaching and advising effectiveness in a variety of settings with both undergraduate and graduate students, and the individual’s potential contributions to the University and broader scholarly communities. We seek to tenure faculty who are setting the agenda in their field and who have the commitment and capacity to remain at the forefront of their field.

It would be extremely helpful to our deliberations if you could compare, based on our tenure criteria, the following scholars (listed alphabetically), both in absolute terms and relative to one another. Even if you are not familiar with the work of all of those on the list, we would still be interested in your views on those whose work you do know. An individual’s appearance on the list below implies nothing about his or her willingness to entertain an offer from Harvard; for that reason, we ask that you keep this letter confidential. Additionally, if you have affiliations with any of the scholars, please include these in your response. If we have overlooked any leading scholar(s) who should be included, please add them to your comparison. We would also welcome comparisons with any emerging scholars who work in this field.

AAA, University of WWW (TITLE, DOCTORATE YEAR AND INSTITUTION, WEBSITE LINK)
BBB, University of SSS (TITLE, DOCTORATE YEAR AND INSTITUTION, WEBSITE LINK)
DDD, DDD University (TITLE, DOCTORATE YEAR AND INSTITUTION, WEBSITE LINK)
RRR, University of FFF (TITLE, DOCTORATE YEAR AND INSTITUTION, WEBSITE LINK)
ZZZ, TTT University (TITLE, DOCTORATE YEAR AND INSTITUTION, WEBSITE LINK)
We will make every effort to keep your response confidential to the extent permitted by law and
to make it available only to the senior members of the [DEPARTMENT NAME] and those directly
involved in the formal review process.

[Include this paragraph if no initial inquiry was sent:] Please let us know by email whether you
plan to write a letter. If you are willing to write a letter, it would be most helpful to receive it by [DATE].
If it would speed the process, we would welcome receiving an electronic copy of your letter, with a
signed hard copy following later.

[Include this paragraph if initial inquiry was sent:] It would be most helpful to receive your letter
by [DATE]. If it would speed the process, we would welcome receiving an electronic copy of your letter,
with a signed hard copy following later.

Thank you very much for your help with this important task.

Sincerely,

Chair, Department of [DEPARTMENT NAME]
G. SAMPLE TENURE REVIEW LETTER

<<Date>>

<<FirstName>> <<LastName>>
<<Title>>
<<Address>>
<<University>>
<<City>>, <<State>> <<Postal Code>>
<<Country>>

Dear Professor <<LastName>>,

[If initial inquiry was sent: “Thank you for your response. As you know,""] We write to ask for your advice as we consider Professor [NAME] for promotion to tenure in the field of [FIELD] in the Department of [DEPARTMENT NAME]. We would greatly appreciate your assessment of Professor [NAME]’s contributions and your recommendation as to whether or not Professor [NAME] should receive a tenured appointment at Harvard. If you have personal or professional connections with Professor [NAME], please indicate that in your response.

Our foremost criteria for tenure are: scholarly achievement and impact on the field, evidence of intellectual leadership and creative accomplishment, potential for future accomplishments, teaching and advising effectiveness in a variety of settings with both undergraduate and graduate students, and contributions to the University and the broader scholarly community. We seek to tenure faculty who are setting the agenda in their field, who are emerging as among the most influential figures in that field, and who have the commitment and capacity to remain at the forefront of their field.

As you may know, Harvard has a system in which all tenured faculty hold the rank of professor. In your response, we request that you focus on the important question of tenure, given the criteria above, and not professorial rank.

Based on our tenure criteria, we ask that you compare Professor [NAME] with the scholars listed below. Because we are interested in Professor [NAME]’s current impact on the field, as well as [his/her] future trajectory, we have listed scholars in a range of career stages, from recently tenured to some of the most influential figures in the field. We ask that you keep the career stage of each scholar in mind as you undertake these comparisons. To aid your evaluation, we have enclosed a copy of Professor [NAME]’s curriculum vitae, teaching statement, research statement, a link to [his/her] website, [FOR BOOK FIELDS, INSERT “reviews,”] and a sampling of [his/her] scholarly work.

Since this is a tenure review of an internal candidate, none of the other scholars listed below are under consideration for this position. Individuals on this list are not aware that we have included their names in this review process: for that reason, we ask that you keep this letter confidential. If you have affiliations with any of these scholars, please include these in your response. If we have overlooked any leading scholar(s) who should be included, please add them to your comparison. We would also welcome comparisons with any emerging scholars who work in this field.
• AAA, Associate Professor, University of WWW (DOCTORATE YEAR AND INSTITUTION)
• BBB, Professor, University of SSS (DOCTORATE YEAR AND INSTITUTION)
• CANDIDATE FOR PROMOTION, Associate Professor, Harvard University (DOCTORATE YEAR AND INSTITUTION)
• RRR, Associate Professor, University of FFF (DOCTORATE YEAR AND INSTITUTION)
• ZZZ, Professor, TTT University (DOCTORATE YEAR AND INSTITUTION)

We will make every effort to keep your response confidential to the extent permitted by law and to make it available only to the senior members of the [DEPARTMENT NAME] and those directly involved in the formal review process.

[If no initial inquiry was sent: “Please let us know by email at [EMAIL ADDRESS] if you will be able to assist us in the evaluation process. If so,”] It would be most helpful to receive your letter by [DATE]. If it would speed the process, we would welcome receiving an electronic copy of your letter, with a signed hard copy following.

Thank you for your assistance with this important task.

Sincerely,

Chair, Department of [DEPARTMENT NAME]
H. SAMPLE LETTER TO EXTERNAL LETTER-WRITERS FOR
PROMOTION TO ASSOCIATE PROFESSOR

<<Date>>

«MrMrs» «FirstName» «LastName»
«Title»
«Address»
«University»
«City», «State»
«PostalCode»
«Country»

Dear Professor «LastName»,

We write to ask for your advice as we consider Assistant Professor [NAME] for promotion to the rank of associate professor in the Department of [DEPARTMENT NAME]. Please note that, in the Faculty of Arts and Sciences, associate professorships are untenured. We would greatly appreciate it if you would be willing to provide a confidential assessment of Professor [NAME]’s scholarly contributions and promise, as well as a specific recommendation as to whether or not Professor [NAME] should be promoted. We have enclosed a copy of Professor [NAME]’s curriculum vitae, research statement, teaching statement, and a selection of [his/her] work to assist you in your evaluation. If you have personal or professional connections with Professor [NAME], please indicate that in your response.

Within the Faculty of Arts and Sciences at Harvard, the standard for promotion to associate professor is “sufficient promise and achievement to qualify for tenure at a major institution within three to five years.” We would also appreciate hearing your views on Professor [NAME]’s eventual prospects for achieving tenure at Harvard and any measures that [he/she] could take to increase [his/her] impact in the [FIELD] in particular and in [AREA] more broadly.

As part of this assessment, we also seek a frank comparative evaluation of Professor [NAME]’s scholarly record relative to that of [his/her] cohort of scholars in the field of [FIELD]. For this reason, we would be grateful if you would identify the leading scholars at a comparable career stage and indicate where Professor [NAME] stands relative to them.

We will make every effort to keep your response confidential to the extent permitted by law and to make it available only to the senior members of the [DEPARTMENT NAME] and those directly involved in the formal review process.

Please let us know by email whether you plan to write a letter. If you are willing to write a letter, it would be most helpful to receive it by [DATE]. If it would speed the process, we would welcome receiving an electronic copy of your letter, with a signed hard copy following later.

Thank you very much for your help with this important task.

Sincerely,

Chair, Department of [DEPARTMENT NAME]

Enclosures
I. SAMPLE LETTER TO EXTERNAL LETTER-WRITERS FOR APPOINTMENT TO SENIOR LECTURER

<<Date>>

<<FirstName>> <<LastName>>
<<Title>>
<<Address>>
<<University>>
<<City>> <<State>>
<<Postal Code>>
<<Country>>

Dear Professor <<LastName>>,

We write to ask for your advice as we consider [NAME] for appointment to the rank of senior lecturer in the Department of [DEPARTMENT NAME]. In the Faculty of Arts and Sciences at Harvard, senior lecturer appointments are made primarily on the basis of demonstrated excellence in teaching. [His/Her] scholarly work is also a significant consideration. Ordinarily, a senior scholar will hold a doctorate and will have taught within the ladder ranks at another university or undergraduate institution. A senior lectureship is an untenured position.

We would greatly appreciate it if you would be willing to provide a confidential assessment of [NAME]’s scholarly contributions and teaching abilities, as well as a specific recommendation as to whether or not [he/she] should be appointed as a senior lecturer in the field of [FIELD]. We have enclosed a copy of our job posting and [NAME]’s curriculum vitae for your reference. If you have personal or professional connections with [NAME], please indicate that in your response.

We will make every effort to keep your response confidential to the extent permitted by law and to make it available only to the senior members of the Department of [DEPARTMENT NAME] and those directly involved in the formal appointment process.

Please let us know by email whether you are willing to write a letter. If you are, it would be most helpful for us to receive the letter by [DATE]. If it would speed the process, we would welcome receiving an electronic copy of your letter, with a signed hard copy following later. Please send your letter or correspondence to [CONTACT NAME, EMAIL ADDRESS, MAILING ADDRESS FOR HARD-COPY LETTER].

Thank you very much for your help with this important task.

Sincerely,

Chair, Department of [DEPARTMENT NAME]

Enclosures
J. SAMPLE AD FOR TENURED PROFESSOR

TENURED PROFESSOR
Harvard University
Faculty of Arts and Sciences
Department of [DEPARTMENT NAME]

Position Description: The Department of [DEPARTMENT NAME] seeks to appoint a tenured professor in [BROAD FIELD], with an emphasis on [MORE NARROW FIELD]. The appointment is expected to begin on [DATE]. The professor will teach and advise at the undergraduate and graduate levels.

Keywords:* faculty, instructor, tenure, professor, senior
Boston, Cambridge, Massachusetts, MA, Northeast, New England
[Fields: Any plausible synonyms for the specific field or discipline of the faculty position should be listed. For example, for a search in plant biology, the following keywords might be included: botany, plant science, plant biodiversity, systematics, organismic biology, phylogenetics, and ecology.]

Basic Qualifications: Candidates are required to have a doctorate.

Additional Qualifications: Demonstrated excellence in teaching and research is desired. Candidates should also evince intellectual leadership and impact on the field and potential for significant contributions to the department, University, and wider scholarly community.

Special Instructions: Please submit the following materials through the ARJeS portal (http://academicpositions.harvard.edu), no later than [DATE]:

1. Cover letter
2. Curriculum Vitae
3. Teaching statement
4. Research statement

Harvard is an Equal Opportunity/Affirmative Action employer. Applications from women and minorities are strongly encouraged.

Contact Information: [CHAIR OF SEARCH COMMITTEE], Search Committee, Department of [DEPARTMENT NAME], Faculty of Arts and Sciences, Harvard University, Cambridge, MA 02138.

Contact Email: [EMAIL ADDRESS]

[*In order to improve the searchability of online job advertisements, it is helpful to include keywords within the position description section of the online posting. These keywords should capture various terms for which job seekers might search for title/rank, location, and field/discipline of the position but that are not included in the position description.]
K. SAMPLE AD FOR OPEN-RANK POSITION

TENURE-TRACK OR TENURED PROFESSOR

Harvard University
Faculty of Arts and Sciences
Department of [DEPARTMENT NAME]

Position Description: The Department of [DEPARTMENT NAME] seeks to appoint a tenure-track or tenured professor in [BROAD FIELD], with an emphasis on [MORE NARROW FIELD]. The appointment is expected to begin on [DATE]. The appointee will teach and advise at the undergraduate and graduate levels.

Keywords:*
assistant, associate, faculty, instructor, tenure track, tenure, professor
Boston, Cambridge, Massachusetts, MA, Northeast, New England
[Fields: Any plausible synonyms for the specific field or discipline of the faculty position should be listed. For example, for a search in plant biology, the following keywords might be included: botany, plant science, plant biodiversity, systematics, organismic biology, phylogenetics, and ecology.]

Basic Qualifications: Doctorate or terminal degree in [FIELD] or related discipline required by the time the appointment begins.

Additional Qualifications: Demonstrated excellence in teaching and research is desired. Candidates for a tenured appointment should also evince intellectual leadership and impact on the field and potential for significant contributions to the department, University, and wider scholarly community.

Special Instructions: Please submit the following materials through the ARIsE portal (http://academicpositions.harvard.edu), no later than [DATE]:

1. Cover letter
2. Curriculum Vitae
3. Teaching statement
4. Research statement
5. Candidates for a tenure-track position are also required to submit names and contact information of 3-5 references (three letters of recommendation are required, and the application is complete only when all three letters have been submitted).

Harvard is an Equal Opportunity/Affirmative Action employer. Applications from women and minorities are strongly encouraged.

Contact Information: [CHAIR OF SEARCH COMMITTEE], Search Committee, Department of [DEPARTMENT NAME], Faculty of Arts and Sciences, Harvard University, Cambridge, MA 02138.

Contact Email: [EMAIL ADDRESS]

[*In order to improve the searchability of online job advertisements, it is helpful to include keywords within the position description section of the online posting. These keywords should capture various terms for which job seekers might search for title/rank, location, and field/discipline of the position but that are not included in the position description.]
L. SAMPLE AD FOR TENURE-TRACK PROFESSOR

TENURE-TRACK PROFESSOR

Harvard University
Faculty of Arts and Sciences
Department of [DEPARTMENT NAME]

**Position Description:** The Department of [DEPARTMENT NAME] seeks to appoint a tenure-track professor in [BROAD FIELD], with an emphasis on [MORE NARROW FIELD]. The appointment is expected to begin on [DATE]. The tenure-track professor will be responsible for teaching at the undergraduate and graduate levels, [DESCRIPTION OF COURSE LOAD, SUBJECTS OF INSTRUCTION, OTHER DUTIES IF APPLICABLE].

**Keywords:**
assistant, associate, faculty, instructor, tenure track
Boston, Cambridge, Massachusetts, MA, Northeast, New England

[Fields: Any plausible synonyms for the specific field or discipline of the faculty position should be listed. For example, for a search in plant biology, the following keywords might be included: botany, plant science, plant biodiversity, systematics, organismic biology, phylogenetics, and ecology.]

**Basic Qualifications:** Doctorate or terminal degree in [FIELD] or related discipline required by the time the appointment begins.

**Additional Qualifications:** Demonstrated excellence in teaching is desired.

**Special Instructions:** Please submit the following materials through the ARieS portal ([http://academicpositions.harvard.edu](http://academicpositions.harvard.edu)), no later than [DATE]:

1. Cover letter
2. Curriculum Vitae
3. Teaching statement
4. Research statement
5. Names and contact information of 3-5 references (three letters of recommendation are required, and the application is complete only when all three letters have been submitted)
6. Publications, if applicable

Harvard is an Equal Opportunity/Affirmative Action employer. Applications from women and minorities are strongly encouraged.

**Contact Information:** [CHAIR OF SEARCH COMMITTEE], Search Committee, Department of [DEPARTMENT NAME], Faculty of Arts and Sciences, Harvard University, Cambridge, MA 02138.

**Contact Email:** [EMAIL ADDRESS]

[*In order to improve the searchability of online job advertisements, it is helpful to include keywords within the position description section of the online posting. These keywords should capture various terms for which job seekers might search for title/rank, location, and field/discipline of the position but that are not included in the position description.*]
M. SAMPLE AD FOR SENIOR PRECEPTOR

SENIOR PRECEPTOR IN [SUBJECT OF INSTRUCTION]

Harvard University
Faculty of Arts and Sciences
Department of [DEPARTMENT NAME]

**Position Description:** The Department of [DEPARTMENT NAME] seeks applications for a senior preceptor in [SUBJECT OF INSTRUCTION]. The appointment is expected to begin on [DATE]. The senior preceptor will be responsible for teaching [DESCRIPTION OF COURSE LOAD, SUBJECTS OF INSTRUCTION AND LEVELS OF INSTRUCTION]; administrative duties include [CITE TRAINING/SUPERVISION OF INSTRUCTORS AND OTHER DUTIES, AS APPROPRIATE]. The position is for five years and renewable contingent upon performance, enrollments, and curricular need.

Keywords:*  
faculty, instructor, lecturer, language, linguistics  
Boston, Cambridge, Massachusetts, MA, Northeast, New England

[Fields: Any plausible synonyms for the specific field or discipline of the faculty position should be listed. For example, for a search in plant biology, the following keywords might be included: botany, plant science, plant biodiversity, systematics, organismic biology, phylogenetics, and ecology.]

**Basic Qualifications:** The successful applicant should have experience in teaching and administering [SUBJECT OF INSTRUCTION], and [DESCRIBE NECESSARY AREAS/LEVELS OF EXPERTISE AND OTHER SKILLS, e.g., “have native or near-native proficiency in [FOREIGN LANGUAGE]”].

**Additional Qualifications:** [DESCRIBE ANY ADDITIONAL QUALIFICATIONS.] A strong doctoral record is preferred.

**Special Instructions:** Please submit the following documents through the ARIeS portal ([http://academicpositions.harvard.edu](http://academicpositions.harvard.edu)), no later than [DATE]:

1. Cover letter
2. **Curriculum Vitae**
3. Teaching statement
4. [If requesting teaching materials with the original application: “Teaching materials (e.g., teaching chart listing courses taught; representative syllabi; teaching evaluations.”]
5. Names and contact information of at least three references (three letters of recommendation are required, and the application is complete only when all three letters have been submitted)

Harvard University is an Equal Opportunity/Affirmative Action employer. Applications from women and minorities are strongly encouraged.

**Contact Information:** [NAME, MAILING ADDRESS]  
**Contact Email:** [EMAIL ADDRESS]

[*In order to improve the searchability of online job advertisements, it is helpful to include keywords within the position description section of the online posting. These keywords should capture various terms for which job seekers might search for title/rank, location, and field/discipline of the position but that are not included in the position description.*]
N. SAMPLE AD FOR LECTURER

ANNUAL OR MULTI-YEAR APPOINTMENT

LECTURER IN [FIELD]

Harvard University
Faculty of Arts and Sciences
Department of [DEPARTMENT NAME]

**Position Description:** The Department of [DEPARTMENT NAME] seeks applications for a lecturer in [FIELD]. The appointment is expected to begin on [DATE]. The lecturer will be responsible for [DESCRIPTION OF COURSE LOAD, SUBJECTS OF INSTRUCTION AND LEVELS OF INSTRUCTION, OTHER DUTIES IF APPLICABLE].

The position is [CHOOSE ONE: “for one year.” OR “for three years, with the second two years contingent on a satisfactory performance review during the first year.”]

**Keywords:**
- faculty
- instructor
- Boston, Cambridge, Massachusetts, MA, Northeast, New England
- [Fields: Any plausible synonyms for the specific field or discipline of the faculty position should be listed. For example, for a search in plant biology, the following keywords might be included: botany, plant science, plant biodiversity, systematics, organismic biology, phylogenetics, and ecology.]

**Basic Qualifications:** Doctorate in [FIELD] or related discipline ordinarily required by the time the appointment begins.

**Additional Qualifications:** Demonstrated excellence in teaching is desired.

**Special Instructions:** Please submit the following materials through the ARJeS portal ([http://academicpositions.harvard.edu](http://academicpositions.harvard.edu)), no later than [DATE]:

1. Cover letter
2. *Curriculum Vitae*
3. Names and contact information of three to five references (three letters of recommendation are required, and the application is complete only when all three letters have been submitted)

Harvard is an Equal Opportunity/Affirmative Action employer. Applications from women and minorities are strongly encouraged.

**Contact Information:** [NAME, MAILING ADDRESS]

**Contact Email:** [EMAIL ADDRESS]

[*In order to improve the searchability of online job advertisements, it is helpful to include keywords within the position description section of the online posting. These keywords should capture various terms for which job seekers might search for title/rank, location, and field/discipline of the position but that are not included in the position description.]
O. SAMPLE AD FOR PRECEPTOR

ANNUAL OR MULTI-YEAR APPOINTMENT

PRECEPTOR IN [SUBJECT OF INSTRUCTION]

Harvard University
Faculty of Arts and Sciences
Department of [DEPARTMENT NAME]

Position Description: The Department of [DEPARTMENT NAME] seeks applications for a preceptor in [SUBJECT OF INSTRUCTION]. The appointment is expected to begin on [DATE]. The preceptor will be responsible for [DESCRIPTION OF COURSE LOAD, SUBJECTS OF INSTRUCTION AND LEVELS OF INSTRUCTION, OTHER DUTIES IF APPLICABLE.]

The position is for [CHOOSE ONE: “one year, renewable on a yearly basis for up to eight years, contingent on performance, enrollments, curricular need, and divisional dean approval.” OR “three years, renewable for a term of up to five years, contingent on performance, curricular need, position availability, and divisional dean approval.”]

Keywords:* faculty, instructor, lecturer
Boston, Cambridge, Massachusetts, MA, Northeast, New England

[Fields: Any plausible synonyms for the specific field or discipline of the faculty position should be listed. For example, for a search in plant biology, the following keywords might be included: botany, plant science, plant biodiversity, systematics, organismic biology, phylogenetics, and ecology.]

Basic Qualifications: The successful applicant should have experience in teaching [SUBJECT OF INSTRUCTION], and [DESCRIBE NECESSARY AREAS/LEVELS OF EXPERTISE AND OTHER SKILLS, e.g., “have native or near-native proficiency in [FOREIGN LANGUAGE]”].

Additional Qualifications: [DESCRIBE ANY ADDITIONAL QUALIFICATIONS.] A strong doctoral record is preferred.

Special Instructions: Please submit the following materials through the ARIeS portal (http://academicpositions.harvard.edu), no later than [DATE]:

1. Cover letter
2. Curriculum Vitae
3. Names and contact information of three to five references (three letters of recommendation are required, and the application is complete only when all three letters have been submitted)

Harvard University is an Equal Opportunity/Affirmative Action employer. Applications from women and minorities are strongly encouraged.

Contact Information: [NAME, MAILING ADDRESS]
Contact Email: [EMAIL ADDRESS]

[*In order to improve the searchability of online job advertisements, it is helpful to include keywords within the position description section of the online posting. These keywords should capture various terms for which job seekers might search for title/rank, location, and field/discipline of the position but that are not included in the position description.]
P. SAMPLE LECTURER OFFER LETTER

ANNUAL APPOINTMENT

<<Date>>

«MrMrs» «FirstName» «LastName»
«Title»
«Address»
«University»
«City», «State»
«PostalCode»
«Country»

Dear «Name»,

I am delighted to put in writing our offer to you to join us as Lecturer on [SUBJECT] in the Department of [DEPARTMENT NAME] at Harvard for the fall term of the 20[XX]-20[XX] academic year to teach [NUMBER] courses in [FIELD]. Your appointment will begin on [DATE] and end on [DATE]. Fall classes begin on [DAY, DATE], and conclude on [DAY, DATE], and spring classes begin on [DAY, DATE], and conclude on [DAY, DATE]. Please note that faculty members are expected to be available through the final examination period, which ends on [DAY, DATE].

Our understanding is that you will teach [X undergraduate lecture courses] on ____________, and [a junior seminar] on _____________. This represents [XXX] of an annual FTE. We assume that you will also be willing to consult informally with our graduate students about a variety of topics, to read their proposals and occasional chapters, to share your insights and suggestions with them, and to take part in the Ph.D. oral exam process if needed. We also would like you to evaluate up to three undergraduate senior honors theses and we may call upon you, if needed, to advise up to two undergraduate theses. [DUTIES CAN BE EDITED TO FIT NEEDS.]

The Harvard International Office (HIO) helps individuals secure status in which to work at Harvard. As the regulations permit, the HIO will assist you in the process of obtaining temporary visa status. We are obligated to mention, however, that any appointment at Harvard is contingent upon obtaining appropriate visa status and that the government is the final arbiter of all immigration-related cases.

Your compensation for this position will be $[XX,XXX]. This is based on a full-time equivalent salary of $[YY,YYY]. You will also be eligible for benefits at Harvard: medical and dental insurance; life insurance; long-term disability insurance; and two flexible benefit programs for dependent care expenses and medical care expenses. Most of the benefit plans require a contribution from participants for coverage. Please note that you must enroll in benefits within thirty days of the start-date of your appointment. As you must first complete your I-9 form in person, on Harvard’s campus, please contact [NAME OF DEPARTMENT ADMINISTRATOR], the Department Administrator, as soon as possible, to arrange a visit to complete the I-9. Once your completed I-9 has been processed, you will be able to enroll in benefits.
All incoming faculty and researchers at Harvard University will be asked to review and sign an electronic version of the Harvard University Participation Agreement, which is designed to help carry out the Harvard University Intellectual Property Policy and other research policies. Please review and electronically sign the Participation Agreement upon your arrival to campus.

As you know, this is a one-year appointment with the possibility of renewal contingent upon your performance, the continuing need for the position in the department, and the approval of the divisional dean. The position is currently renewable up to the limit imposed by the FAS. Renewal is not automatic; evaluations take place annually and take into account class visits and/or videotaping, student evaluations, and collegial relations. Desirable qualities are excellence in classroom teaching, readiness to contribute to the courses through materials preparation and assistance to graduate students, accessibility to students who need extra help, and a willingness to learn new approaches and techniques and to work on any areas that might need improvement. [NAME] will be happy to speak with you at any time about your performance.

Along with my colleagues, I look forward to your joining us in the fall. Please formally respond to this letter at your convenience. If you have any questions, feel free to contact me at [PHONE NUMBER] or [EMAIL ADDRESS] or the department administrator, [NAME], at [PHONE NUMBER] or [EMAIL ADDRESS]. I look forward to hearing from you soon.

Sincerely,

Chair, Department of [DEPARTMENT NAME]

cc: [ASSISTANT DEAN]
[DEPARTMENT ADMINISTRATOR]
SAMPLE LECTURER OFFER LETTER
MULTI-YEAR APPOINTMENT

<<Date>>

«MrMrs» «FirstName» «LastName»
«Title»
«Address»
«University»
«City», «State»
«PostalCode»
«Country»

Dear «Name»,

I am delighted to put in writing our offer to you to join us as Lecturer on [SUBJECT] in the Department of [DEPARTMENT NAME] at Harvard for the fall term of the 20[XX]-20[XX] academic year to teach [NUMBER] courses in [FIELD]. As you know, this is a three-year position, with the second two years contingent upon a successful performance review after your first semester of teaching. Your appointment will begin on [DATE] and end on [DATE]. Fall classes in the 20[XX]-20[XX] academic year begin on [DAY, DATE], and conclude on [DAY, DATE], and spring classes begin on [DAY, DATE], and conclude on [DAY, DATE]. Please note that faculty members are expected to be available through the final examination period, which ends on [DAY, DATE].

Our understanding is that you will teach [X undergraduate lecture courses] on ____________, [a junior seminar] on ____________. We assume that you will also be willing to consult informally with our graduate students about a variety of topics, to read their proposals and occasional chapters, to share your insights and suggestions with them, and to take part in the Ph.D. oral exam process if needed. We also would like you to evaluate up to three undergraduate senior honors theses, and we may call upon you, if needed, to advise up to two undergraduate theses. [DUTIES CAN BE EDITED TO FIT NEEDS.]

The Harvard International Office (HIO) helps individuals secure status in which to work at Harvard. As the regulations permit, the HIO will assist you in the process of obtaining temporary visa status. We are obligated to mention, however, that any appointment at Harvard is contingent upon obtaining appropriate visa status and that the government is the final arbiter of all immigration-related cases.

Your compensation for this position will be $[XX,XXX]. This is based on a full-time equivalent salary of $[YY,YYY]. You will also be eligible for benefits at Harvard: medical and dental insurance; life insurance; long-term disability insurance; and two flexible benefit programs for dependent care expenses and medical care expenses. Most of the benefit plans require a contribution from participants for coverage. Please note that you must enroll in benefits within thirty days of the start-date of your appointment. As you must first complete your I-9 form in person, on Harvard’s campus, please contact [NAME OF DEPARTMENT ADMINISTRATOR], the Department Administrator, as soon as possible, to arrange a visit to complete the I-9. Once your completed I-9 has been processed, you will be able to enroll in benefits.
All incoming faculty and researchers at Harvard University will be asked to review and sign an electronic version of the Harvard University Participation Agreement, which is designed to help carry out the Harvard University Intellectual Property Policy and other research policies. Please review and electronically sign the Participation Agreement upon your arrival to campus.

Your first-year review will take into account class visits and/or videotaping, student evaluations, and collegial relations. You will be assessed based on excellence in classroom teaching, readiness to contribute to the courses through materials preparation and assistance to graduate students, accessibility to students who need extra help, and a willingness to learn new approaches and techniques and to work on any areas that might need improvement. [NAME] will be happy to speak with you at any time about your performance. In addition to the first-year review, the department will assess your teaching throughout the term of your appointment. If it is determined that your performance is not satisfactory, the appointment may be terminated without notice.

Along with my colleagues, I look forward to your joining us in the fall. Please formally respond to this letter at your convenience. If you have any questions, feel free to contact me at [PHONE NUMBER] or [EMAIL ADDRESS] or the department administrator, [NAME], at [PHONE NUMBER] or [EMAIL ADDRESS]. I look forward to hearing from you soon.

Sincerely,

Chair, Department of [DEPARTMENT NAME]

cc:  [ASSISTANT DEAN]
     [DEPARTMENT ADMINISTRATOR]
Q. SAMPLE PRECEPTOR OFFER LETTER

ANNUAL APPOINTMENT

<<Date>>

«MrMrs» «FirstName» «LastName»
«Title»
«Address»
«University»
«City», «State»
«PostalCode»
«Country»

Dear «Name»,

It gives me great pleasure to invite you to join the Department of [DEPARTMENT NAME] as a Preceptor in [FIELD], effective on [DATE]. You are an outstanding candidate for this position, and we are delighted that you are interested in joining our department. Your appointment will begin on [DATE] and end on [DATE]. Fall classes begin on [DAY, DATE], and conclude on [DAY, DATE], and spring classes begin on [DAY, DATE], and conclude on [DAY, DATE]. Please note that faculty members are expected to be available through the final examination period, which ends on [DAY, DATE]. As we have discussed, you will be teaching [COURSES].

The Harvard International Office (HIO) helps individuals secure status in which to work at Harvard. As the regulations permit, the HIO will assist you in the process of obtaining temporary visa status. We are obligated to mention, however, that any appointment at Harvard is contingent upon obtaining appropriate visa status and that the government is the final arbiter of all immigration-related cases.

This position follows a prescribed salary scale with a first step of $[XX,XXX] per annum. You will also be eligible for benefits at Harvard: medical and dental insurance; life insurance; long-term disability insurance; and two flexible benefit programs for dependent care expenses and medical care expenses. Most of the benefit plans require a contribution from participants for coverage. Please note that you must enroll in benefits within thirty days of the start-date of your appointment. As you must first complete your I-9 form in person, on Harvard’s campus, please contact [NAME OF DEPARTMENT ADMINISTRATOR], the Department Administrator, as soon as possible, to arrange a visit to complete the I-9. Once your completed I-9 has been processed, you will be able to enroll in benefits.

All incoming faculty and researchers at Harvard University will be asked to review and sign an electronic version of the Harvard University Participation Agreement, which is designed to help carry out the Harvard University Intellectual Property Policy and other research policies. Please review and electronically sign the Participation Agreement upon your arrival to campus.

As you know, this is a one-year appointment with the possibility of renewal contingent upon your performance, enrollments, curricular need, and the approval of the divisional dean. The position is currently renewable up to a limit of eight years total. Renewal is not automatic; evaluations take place annually and take into account class visits and/or videotaping, student evaluations, and collegial relations. If it is determined that your performance is not satisfactory, the appointment may be terminated without notice. Desirable qualities are excellence in classroom teaching, readiness to contribute to the courses...
through materials preparation and assistance to graduate students, accessibility to students who need extra help, and a willingness to learn new approaches and techniques and to work on any areas that might need improvement. [NAME] will be happy to speak with you at any time about your performance.

[We would like you to participate in this year’s orientation for new language instructors, which typically begins on the day after Labor Day and continues over several days before the semester begins. [NAME] will send you a schedule of the orientation activities, placement exams, and course meetings sometime in August.]

Once again, let me say how pleased I am to be making you this offer. We very much hope you will accept this offer and join us for next year. Please formally respond to this letter at your convenience.

Sincerely,

Chair, Department of [DEPARTMENT NAME]

cc:  [ASSISTANT DEAN]
     [DEPARTMENT ADMINISTRATOR]
SAMPLE PRECEPTOR OFFER LETTER
MULTI-YEAR APPOINTMENT

<<Date>>

«MrMrs» «FirstName» «LastName»
«Title»
«Address»
«University»
«City», «State»
«PostalCode»
«Country»

Dear «Name»,

It gives me great pleasure to invite you to join the Department of [DEPARTMENT NAME] as a Preceptor in [FIELD], effective on [DATE]. You are an outstanding candidate for this position, and we are delighted that you are interested in joining our department. As you know, this is a three-year position, with the second two years contingent upon a successful performance review after your first semester of teaching. Your appointment will begin on [DATE] and end on [DATE]. Fall classes begin on [DAY, DATE], and conclude on [DAY, DATE], and spring classes begin on [DAY, DATE], and conclude on [DAY, DATE]. Please note that faculty members are expected to be available through the final examination period, which ends on [DAY, DATE]. As we have discussed, you will be teaching [COURSES].

The Harvard International Office (HIO) helps individuals secure status in which to work at Harvard. As the regulations permit, the HIO will assist you in the process of obtaining temporary visa status. We are obligated to mention, however, that any appointment at Harvard is contingent upon obtaining appropriate visa status and that the government is the final arbiter of all immigration-related cases.

This position follows a prescribed salary scale with a first step of $[XX,XXX] per annum. You will also be eligible for benefits at Harvard: medical and dental insurance; life insurance; long-term disability insurance; and two flexible benefit programs for dependent care expenses and medical care expenses. Most of the benefit plans require a contribution from participants for coverage. Please note that you must enroll in benefits within thirty days of the start-date of your appointment. As you must first complete your I-9 form in person, on Harvard’s campus, please contact [NAME OF DEPARTMENT ADMINISTRATOR], the Department Administrator, as soon as possible, to arrange a visit to complete the I-9. Once your completed I-9 has been processed, you will be able to enroll in benefits.

All incoming faculty and researchers at Harvard University will be asked to review and sign an electronic version of the Harvard University Participation Agreement, which is designed to help carry out the Harvard University Intellectual Property Policy and other research policies. Please review and electronically sign the Participation Agreement upon your arrival to campus.

This position is currently renewable for an additional five years, contingent upon a successful performance review in your third year and subject to curricular need, position availability, and the
approval of the divisional dean. Both your first-year review and your third-year review will take into account class visits and/or videotaping, student evaluations, and collegial relations. You will be assessed based on excellence in classroom teaching, readiness to contribute to the courses through materials preparation and assistance to graduate students, accessibility to students who need extra help, and willingness to learn new approaches and techniques and to work on any areas that might need improvement. [NAME] will be happy to speak with you at any time about your performance. In addition to the first- and third-year reviews, the department will assess your teaching throughout the term of your appointment. If it is determined that your performance is not satisfactory, the appointment may be terminated without notice.

[We would like you to participate in this year’s orientation for new language instructors, which typically begins on the day after Labor Day and continues over several days before the semester begins. [NAME] will send you a schedule of the orientation activities, placement exams, and course meetings sometime in August.]

Once again, let me say how pleased I am to be making you this offer. We very much hope you will accept this offer and join us for next year. Please formally respond to this letter at your convenience.

Sincerely,

Chair, Department of [DEPARTMENT NAME]

cc: [ASSISTANT DEAN]
[DEPARTMENT ADMINISTRATOR]
SAMPLE PRECEPTOR OFFER LETTER
MULTI-YEAR APPOINTMENT, FOLLOWING A SUCCESSFUL REVIEW

<<Date>>

<<MrMrs>> «FirstName» «LastName»
«Title»
«Address»
«University»
«City», «State»
«PostalCode»
«Country»

Dear «Name»,

It gives me great pleasure to provide this offer of reappointment as Preceptor in [FIELD] in the Department of [DEPARTMENT NAME] for a term of five years, from [DATE] to [DATE]. Throughout the past [NUMBER] of years, you have been an outstanding addition to [DEPARTMENT], and we look forward to continuing to work with you in the years ahead.

As we have discussed, you will be teaching [COURSES]. Your salary for the 20[XX]-20[XX] academic year will be $[XX,XXX]. You will continue your eligibility for benefits at Harvard. As the regulations permit, the Harvard International Office (HIO) will continue to assist you in the process of securing temporary visa status. We are obligated to mention, however, that any appointment at Harvard is contingent upon maintaining appropriate visa status and that the government is the final arbiter of all immigration-related cases.

I also want to provide feedback on your performance as assessed in the formal review of your work the department undertook this year. I appreciate your contributions to our curriculum, especially […] Perhaps the most noteworthy aspect of your teaching has been […] Students found […] In the coming year, it will be important that you improve […] I would be glad to talk with you about your performance at any time.

We will continue to assess your teaching on an ongoing basis. If it is determined that your performance is not satisfactory, the appointment may be terminated without notice. As you know, the Faculty of Arts and Sciences limits the number of years an individual can hold non-ladder teaching appointments to eight years. Thus, at the conclusion of your appointment on [DATE], you will no longer be eligible to hold non-ladder teaching positions in the FAS.

Once again, let me say how pleased I am to be making you this offer. We very much hope you will accept this offer and continue working with us. Please formally respond to this letter at your convenience.

Sincerely,

Chair, Department of [DEPARTMENT NAME]

cc: [ASSISTANT DEAN]
[DEPARTMENT ADMINISTRATOR]
R. SAMPLE VISITING PROFESSOR OFFER LETTER

<<Date>>

«MrMrs» «FirstName» «LastName»
«Title»
«Address»
«University»
«City», «State»
«PostalCode»
«Country»

Dear Professor «LastName»,

The Department of [DEPARTMENT NAME] would like to offer you an appointment with us as Visiting [Assistant/Associate] Professor of [DISCIPLINE] for the 20[XX]-20[XX] academic year. Your appointment will begin on [DATE] and end on [DATE]. Fall classes begin on [DAY, DATE], and conclude on [DAY, DATE], and spring classes begin on [DAY, DATE], and conclude on [DAY, DATE]. Please note that faculty are expected to be available through the final examination period, which ends on [DAY, DATE]. If you are able to accept our offer, you will be participating in undergraduate [and graduate] instruction, offering [NUMBER] courses in the department at a salary of $[XX,XXX]. We also expect that you will be involved in advising and other academic activities at the graduate and undergraduate level and will take an active part in the life of the department.

The Harvard International Office (HIO) helps individuals secure status in which to work at Harvard. As the regulations permit, the HIO will assist you in the process of obtaining temporary visa status. We are obligated to mention, however, that any appointment at Harvard is contingent upon obtaining appropriate visa status and that the government is the final arbiter of all immigration-related cases.

You will be eligible for benefits at Harvard: medical and dental insurance, life insurance, long-term disability insurance, and two flexible benefit programs that cover dependent care expenses and medical care expenses. In addition, we will be happy to reimburse you for the cost of [relocation/travel expenses/a round-trip economy-class airfare] to Boston up to $[XXX], based upon receipts. Please note that you must enroll in benefits within thirty days of the start-date of your appointment. As you must first complete your I-9 form in person, on Harvard’s campus, please contact [NAME OF DEPARTMENT ADMINISTRATOR], the Department Administrator, as soon as possible, to arrange a visit to complete the I-9. Once your completed I-9 has been processed, you will be able to enroll in benefits.

We very much hope that you will be able to accept this invitation and to spend what we think will be a very fruitful semester at Harvard. Please let us know your decision at your earliest convenience. If you accept this appointment, please review and submit, before your arrival on campus, an electronic PDF of a signed hard copy of the Harvard University Visitor Participation Agreement, which is designed to help carry out the Harvard University Intellectual Property Policy and other research policies: [IF THE INDIVIDUAL IS AFFILIATED WITH A UNIVERSITY, RESEARCH INSTITUTION, HOSPITAL, COMPANY, OR OTHER ORGANIZATION, INSERT: http://otd.harvard.edu/resources/agreements/participationVisitor/]. IF UNAFFILIATED WITH ANY OF
THESE ORGANIZATIONS, INSERT:  

If you have any questions, feel free to contact me at [PHONE NUMBER] or [EMAIL ADDRESS] or the department administrator, [NAME], at [PHONE NUMBER] or [EMAIL ADDRESS]. I look forward to hearing from you soon.

Sincerely,

Chair, Department of [DEPARTMENT NAME]

cc: [ASSISTANT DEAN]  
[DEPARTMENT ADMINISTRATOR]
Dr. <<FirstName>><<LastName>>
<<Address>>
<<City>>, <<State>>
<<Postal Code>>
<<Country>>

Dear Dr. <<LastName>>,

This letter confirms your academic appointment as a postdoctoral fellow in the Department of [DEPARTMENT NAME] at Harvard University, beginning [DATE] and ending on [DATE]. Your term appointment is renewable for up to three years, with reappointments dependent on continued funding and satisfactory performance. If it is determined that your performance is not satisfactory, the appointment may be terminated before the appointment end date. You will be under the direct supervision of Dr. [FACULTY NAME] and will be expected to adhere to all university rules and requirements relevant to your position.

The Harvard International Office (HIO) helps individuals secure status in which to work at Harvard. As the regulations permit, the HIO will assist you in the process of obtaining temporary visa status. We are obligated to mention, however, that any appointment at Harvard is contingent upon obtaining appropriate visa status and that the government is the final arbiter of all immigration-related cases.

This will be a paid, benefits-eligible position. You will receive $[SALARY/STIPEND AMOUNT] during the initial appointment period and will be eligible for Harvard University’s comprehensive medical, dental, vision, and other benefits. Attached, you will find a chart listing the benefits for which you are eligible. Please note that you must enroll in benefits within thirty (30) days of the start-date of your appointment. As you must first complete your I-9 form in person, on Harvard’s campus, please contact [NAME OF DEPARTMENT ADMINISTRATOR], the Department Administrator, as soon as possible, to arrange a visit to complete the I-9. Once your completed I-9 has been processed, you will be able to enroll in benefits.

All incoming faculty and researchers at Harvard University will be asked to review and sign an electronic version of the Harvard University Participation Agreement, which is designed to help carry out the Harvard University Intellectual Property Policy and other research policies. Please review and electronically sign the Participation Agreement upon your arrival to campus.

You will earn vacation time at a rate of 1.67 days per month of completed service. In accordance with FAS policies, you are required to use all accrued vacation prior to the scheduled end of your term appointment. If you should fail to use your accrued vacation days before the end of your term appointment, you will not be paid out for any unused days; in addition, in the event that your appointment is renewed, or your appointment status changes, you will not be allowed to carry over any unused vacation days.
Both before you reach campus and once you arrive, you will have access to resources through the FAS Office of Postdoctoral Affairs. Be sure to review the Office website at http://www.postdoc.harvard.edu and contact them with any questions you might have about your impending appointment.

Your work on [RESEARCH TOPIC] is important and timely research. Formalities aside, we are enthusiastic about having you join the lab and are looking forward to working with you. Please contact me if you have any questions regarding the terms of your appointment.

Sincerely,

[NAME]
[TITLE]
[DEPARTMENT]
T. SAMPLE POSTDOCTORAL FELLOW (NON-BENEFITS ELIGIBLE) OFFER LETTER

<<Date>>

Dr. <<FirstName>><<LastName>>
<<Address>>
<<City>>, <<State>>
<<Postal Code>>
<<Country>>

Dear Dr. <<LastName>>,

This letter confirms your academic appointment as a postdoctoral fellow in the Department of [DEPARTMENT NAME] at Harvard University, beginning [DATE] and ending on [DATE]. Your term appointment is renewable for up to three years, with reappointments dependent on continued funding and satisfactory performance. If it is determined that your performance is not satisfactory, the appointment may be terminated before the appointment end date. You will be under the direct supervision of Dr. [FACULTY NAME] and will be expected to adhere to all university rules and requirements relevant to your position.

The Harvard International Office (HIO) helps individuals secure status in which to work at Harvard. As the regulations permit, the HIO will assist you in the process of obtaining temporary visa status. We are obligated to mention, however, that any appointment at Harvard is contingent upon obtaining appropriate visa status and that the government is the final arbiter of all immigration-related cases.

Your position will be funded directly from your fellowship from [FUNDER NAME]. This position will not be eligible for Harvard University benefits. You will earn vacation time at a rate of 1.67 days per month of completed service. In accordance with FAS policies, you are required to use all accrued vacation days before the end of your term appointment. If you should fail to use your accrued vacation days before the end of your term appointment, you will not be paid out for any unused days; in addition, in the event that your appointment is renewed, or your appointment status changes, you will not be allowed to carry over any unused vacation days.

All incoming faculty and researchers at Harvard University will be asked to review and sign an electronic version of the Harvard University Participation Agreement, which is designed to help carry out the Harvard University Intellectual Property Policy and other research policies. Please review and electronically sign the Participation Agreement upon your arrival to campus. [IF THE INDIVIDUAL IS NOT RECEIVING ANY FORM OF PAYMENT FROM HARVARD: Please also submit an electronic PDF of a signed hard copy of the Acknowledgement of Risk and Release for Non-Harvard Personnel Using Harvard Research and Instructional Laboratory Facilities form, before your arrival on campus.]

Both before you reach campus and once you arrive, you will have access to resources through the FAS Office of Postdoctoral Affairs. Be sure to review the Office website at http://www.postdoc.harvard.edu and contact them with any questions you might have about your impending appointment.

Your work on [RESEARCH TOPIC] is important and timely research. Formalities aside, we are enthusiastic about having you join the lab and are looking forward to working with you. Please contact me if you have any questions regarding the terms of your appointment.

Sincerely,

[NAME]
[TITLE] [DEPARTMENT]
U. SAMPLE RESEARCH ASSOCIATE OFFER LETTER

<<Date>>

«MrMrs» «FirstName» «LastName»
«Title»
«Address»
«University»
«City», «State»
«PostalCode»
«Country»

Dear «Name»,

This letter confirms your academic appointment as a research associate in the [DEPARTMENT/CENTER] at Harvard University from [DATE] through [DATE]. This appointment may be renewed annually, with reappointments dependent on continued funding and satisfactory performance. If it is determined that your performance is not satisfactory, the appointment may be terminated before the appointment end date. You will be under the direct supervision of [PI NAME] and will be expected to adhere to all university rules and requirements relevant to your position.

The Harvard International Office (HIO) helps individuals secure status in which to work at Harvard. As the regulations permit, the HIO will assist you in the process of obtaining temporary visa status. We are obligated to mention, however, that any appointment at Harvard is contingent upon obtaining appropriate visa status and that the government is the final arbiter of all immigration-related cases.

This will be a paid, benefits-eligible position. You will receive [$ AMOUNT] during the initial appointment period and will be eligible for Harvard University’s comprehensive medical and dental benefits. Please note that you must enroll in benefits within thirty days of the start-date of your appointment. As you must first complete your I-9 form in person, on Harvard’s campus, please contact [NAME OF DEPARTMENT ADMINISTRATOR], the Department Administrator, as soon as possible, to arrange a visit to complete the I-9. Once your completed I-9 has been processed, you will be able to enroll in benefits.

All incoming faculty and researchers at Harvard University will be asked to review and sign an electronic version of the Harvard University Participation Agreement, which is designed to help carry out the Harvard University Intellectual Property Policy and other research policies. Please review and electronically sign the Participation Agreement upon your arrival to campus.

You will earn vacation time at a rate of 1.67 days per month of completed service. In accordance with FAS policies, you are required to use all accrued vacation prior to the scheduled end of your term appointment. If you should fail to use your accrued vacation days before the end of your term appointment, you will not be paid out for any unused days; in addition, in the event that your appointment is renewed or your appointment status changes, you will not be allowed to carry over any unused vacation days.

Your work on [SUBJECT] in collaboration with Professor [NAME] is important and timely research. Formalities aside, we are enthusiastic about having you join our lab and are looking forward to working with you. Please contact [LAB/DEPARTMENT ADMINISTRATOR] if you have any questions regarding the terms of your appointment.

Sincerely,

[NAME] [TITLE] [DEPARTMENT]
V. SAMPLE VISITING SCHOLAR OFFER LETTER

<<Date>>

<<FirstName>> <<LastName>>
<<Title>>
<<City>>, <<State>>
<<Postal Code>>
<<Country>>

Dear <<Name>>,

I am delighted to offer you a Visiting Scholar appointment in the [DEPARTMENT NAME/CENTER NAME] in the Faculty of Arts and Sciences at Harvard. Your appointment will begin on [DATE] and end on [DATE]. Your appointment is intended to facilitate work with faculty in [AREA], in particular with Professor[s] [NAME(S)]. The research will focus on [BRIEF DESCRIPTION]. During your appointment, you are expected to adhere to university rules and regulations applicable to research appointments.

The Harvard International Office (HIO) helps individuals secure status in which to work at Harvard. As the regulations permit, the HIO will assist you in the process of obtaining temporary visa status. We are obligated to mention, however, that any appointment at Harvard is contingent upon obtaining appropriate visa status and that the government is the final arbiter of all immigration related cases.

This appointment will be [paid/unpaid] and is [benefits-eligible/not benefits-eligible]. [IF PAID: “You will receive $ {XX,XXX} during the appointment period.”] [IF THE POSITION COMES WITH BENEFITS: “Please note that you must enroll in benefits within thirty days of the start-date of your appointment. As you must first complete your I-9 form in person, on Harvard’s campus, please contact {NAME OF DEPARTMENT ADMINISTRATOR} as soon as possible, to arrange a visit to complete the I-9. Once your completed I-9 has been processed, you will be able to enroll in benefits.”]

[IF APPLICABLE, DESCRIBE SPACE ARRANGEMENTS. E.g., “The department will provide office/lab space for the duration of your visit.” OR “Unfortunately, due to lack of space I cannot guarantee you a desk/lab space for the duration of your visit.”]

[IF THE POSITION MAY BE RENEWED: “The appointment is eligible for renewal. Individuals may hold a Visiting Scholar appointment for no more than two consecutive years.”]

If you accept this appointment, please review and submit, before your arrival on campus, an electronic PDF of a signed hard copy of the Harvard University Visitor Participation Agreement, which is designed to help carry out the Harvard University Intellectual Property Policy and other research policies: [IF THE INDIVIDUAL IS AFFILIATED WITH A UNIVERSITY, RESEARCH INSTITUTION, HOSPITAL, COMPANY, OR OTHER ORGANIZATION, INSERT: http://otd.harvard.edu/resources/agreements/participationVisitor/. IF UNAFFILIATED WITH ANY OF THESE ORGANIZATIONS, INSERT: http://otd.harvard.edu/resources/agreements/participationVisitor/VPAsinglesignature/indexsinglesignature]
[IF THE INDIVIDUAL IS NOT RECEIVING ANY FORM OF PAYMENT FROM HARVARD: Please also submit an electronic PDF of a signed hard copy of the Acknowledgement of Risk and Release for Non-Harvard Personnel Using Harvard Research and Instructional Laboratory Facilities form, before your arrival on campus.]

The [DEPARTMENT NAME/CENTER NAME] is looking forward to a fruitful collaboration with you. We are very pleased to work with you in addressing some of the most interesting questions in [RESEARCH AREA].

With best wishes,

[NAME]
Chair, [DEPARTMENT NAME]
<<Date>>

«MrMrs» «FirstName» «LastName»
«Title»
«Address»
«University»
«City», «State»
«PostalCode»
«Country»

Dear Professor «LastName»,

I would like your help in evaluating the qualifications of Dr. [NAME], currently a [TITLE, INSTITUTION]. We are examining the appropriateness of appointing Dr. [NAME] to the position of Senior Research Fellow, the highest non-faculty research position at the University. The criteria for this appointment are sufficient independence, stature, and national reputation in the field to qualify for a tenured appointment at a major research university.

Professional evaluations by colleagues outside the University are essential to the rigorous process by which Senior Research Fellows are appointed. We would greatly appreciate your appraisal of the scope and quality of Dr. [NAME]’s research and your comparison of [his/her] work with that of tenured appointees at a similar career stage and experience at major research universities engaged in research in [FIELD]. We would also appreciate your bringing to our attention minority or women candidates who might be suitable for this position.

I know it takes considerable time and effort to respond to requests such as this, and I greatly appreciate your help in this important matter. A copy of Dr. [NAME]’s curriculum vitae, including a list of publications, is enclosed for your reference. We will keep your response confidential to the extent permitted by law and make it available only to the senior members of our department and to those directly involved in the formal review process. A reply by [DATE] would aid our deliberations. Thank you in advance for your help.

Sincerely,

Chair, Department of [DEPARTMENT NAME]