Arts, Sciences & Engineering Non-tenure Faculty Guidelines
(Applies to appointments with primary teaching responsibilities)

Instructional Track Faculty
The Instructional Track in Arts, Sciences & Engineering is available for individuals engaged principally in undergraduate teaching (e.g., classroom instruction, individual mentoring, pedagogy) and who play significant roles in shaping and managing undergraduate programs. Faculty in these positions have appointments that range from 9 to 12 months, depending on the distribution of responsibilities. Appointments are multi-year with the possibility of promotion to higher ranks based on the criteria below.

Instructional track faculty have broad rights as full participants in the undergraduate affairs of their departments and in the undergraduate-related activities in Arts, Sciences and Engineering.

The Instructional Track provides the titles of Assistant Professor, Associate Professor, and Professor.

Faculty in this track have all the obligations and privileges described in the Faculty Handbook unless noted to the contrary in this document.

Principal Duties
Instructional track faculty are expected to be engaged in undergraduate teaching and mentoring, and with the development and management of undergraduate programs and degree requirements. As is the case for tenure-track faculty, teaching loads and other duties are set by the department chair with the approval of the dean.

Instructional track faculty are expected to remain conversant with advances in their field and be engaged in disciplinary research or performance to the extent that it equips them for supervising undergraduate projects and independent study. Such research may be part of a faculty member’s duties.

Faculty in the instructional track will not be eligible for academic leave of absences, which are intended principally to strengthen disciplinary research and scholarship. Faculty will have access to support for professional development (e.g., attending conferences).

Committees and Service
The table in Appendix A summarizes eligibility for committee service in AS&E.

Departmental – Instructional track faculty should as far as possible be full participants in the life of their departments or programs and be encouraged and expected to serve on departmental committees relating to undergraduate education. Such faculty are eligible to participate in departmental recruitment committees and on promotion committees for faculty within their track. Instructional track faculty are not eligible for appointment as department chairs.

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1 While not specifically prohibited, most faculty in this track will not teach Ph.D. students or manage graduate programs. The Dean’s Office generally considers Ph.D. education the responsibility of tenure track faculty.
School/College – Instructional track faculty are eligible to serve in general faculty meetings of the Faculty Council. They are also eligible to participate in College committees related to undergraduate education (e.g., Curriculum Committee, Board of Academic Honesty, Administrative Committee). At the discretion of the dean, they may be invited to participate in committees related to graduate education or other school matters. Three years of service at the rank of Assistant Professor is a pre-requisite for appointment to School and College committees; for this reason, instructional track faculty may serve on these committees only after renewal of their initial three-year appointment (see later on duration of appointments).

University – The involvement of instructional track faculty in committees and governance at the University level (e.g., Faculty Senate) will be guided by the rules and regulations of those bodies. Instructional track faculty will be subject to University rules on participation in doctoral committees.

General Criteria for Appointment and Promotion in the Instructional Track – All Ranks
(See additional information below for rank-specific requirements)

- Terminal degree (e.g., Ph.D.) or professional equivalent. Dean’s approval required, following department/program recommendation.
- Primarily full-time, but part-time allowed in exceptional cases. Benefits eligibility based on employment status.
- Initial appointment term for three years; reappointment will typically be for four years. There is no guarantee of reappointment for any rank. Reappointment within the track is based on satisfactory performance (see next bullet) and departmental and School need.
- Annual review, which includes a discussion with departmental chair and materials provided in one’s Faculty Activity Report (FAR).
- No “up-or-out” provision for promotion or maximum time within rank.
- No possibility of conversion from this track to a tenure-track position (but no restriction on applying for tenure-track positions). A faculty member in this track who is subsequently appointed to a position in the tenure track would not be considered to have had any ‘time in rank’ for the purposes of calculating allowable years of service per the Faculty Handbook.
- National search typically required for new appointments.
- Letters of support for initial appointment and promotion within the track: Refer to guidelines below. Templates with suggested wording for referee letter requests for promotion to Associate Professor NT and Professor NT are included below.

Criteria for Initial Appointment and Promotion
Assistant Professor (instruction)
In addition to the general criteria outlined above, this appointment requires:

- Clear potential for success in teaching undergraduates, including strong interest in curriculum design and innovative pedagogies.
- Past success in collaborating with colleagues and with assisting in the management of academic programs.
- A record of scholarly achievement related to a core academic discipline and/or specialized expertise in industry (e.g., demonstrated involvement and practice in the field).
- PhD required, or highest degree per discipline
**Associate Professor (instruction)**
In addition to the general criteria outlined above, this appointment requires:
- Minimum of six years in previous rank, or equivalent experience.
- Record of excellence in classroom teaching, mentoring undergraduates, and in the development of new curricula and innovative pedagogies.
- Proven effectiveness in collaborating with colleagues and assisting in the management of academic programs. Record of service on departmental, school or University committees and/or governance activities.
- Continued engagement with a core academic discipline, with proven success in translating this knowledge of field into the classroom and other educational activities.

**Professor (instruction)**
In addition to the general criteria outlined above, this appointment requires:
- Minimum of six years in previous rank, or equivalent experience.
- Sustained record of excellence in classroom teaching, mentoring undergraduates, and in the development of new curricula and innovative pedagogies. Proven success in mentoring students and faculty on best practices in pedagogy.
- Proven effectiveness in collaborating with colleagues and assisting in the management of academic programs. Strong record of service on departmental, school or University committees and/or governance activities.
- Continued engagement with a core academic discipline, with proven success in translating this knowledge of field into the classroom and other educational activities. Evidence of excellent standing as an educator (e.g., presentations at national conferences, strong record of publications on pedagogical issues, significant innovations to existing and/or new curricula).

**Relationship of Instructional Track Titles to other Non-Tenured Faculty Appointments (Lecturer/Sr. Lecturer)**
The instructional track described here supersedes the previous AS&E definition (pre-2017-2018) for non-tenure track faculty in the Assistant/Associate/Professor positions.

In addition to those in the instructional track, full-time faculty who have primary teaching responsibilities hold functional titles such as lecturer and senior lecturer. To distinguish from the instructional track, these are referred to as ‘teaching track faculty’. These individuals are hired to teach for a limited term without expectation of other service to the department or University. Those who hold the title of lecturer and senior lecturer may be considered for conversion to the instructional track, with appropriate length of service, positive review and appropriate recommendation from their department chair.

Adjunct faculty appointments remain for those individuals contracted to teach on a per course basis. These appointments may also be used for individuals with independent professional careers and for whom formal affiliation will mutually benefit the department and the individuals.

Faculty holding research appointments (e.g., Scientist, Engineer) may teach courses in their disciplines and supervise undergraduate research; as in the past, these instructional contributions will be reflected through the additional title of lecturer.
Annual Review for determination of Reappointment, Promotion or Non-renewal for those with multi-year appointment

Instructional track and teaching faculty with multi-year appointments are required to complete a FAR (Faculty Activity Report) annually for activities during the previous calendar year. FARs are reviewed by one’s respective department chair/program director. These faculty should be included in the director/chair’s evaluations of faculty and annual report provided to the respective school dean.

Timeline for review of materials for reappointment or recommended promotion:

- Chairs/program directors conduct a review on each full-time faculty member (instructional and teaching) who hold a multi-year appointment.
- Required materials (see Appendix C below) are submitted to the Dean’s office 16 months before the end of a faculty member’s appointment. For example, for someone with an end date of June 30, 2022 materials are submitted no later than February of 2021. This allows time for review of materials by the Dean’s office, construction of contract renewal, promotion notification or notice of non-reappointment one year before the contract end date.
- Similar to the reappointment process for tenure track faculty, renewal of appointment would not change the initial appointment term. Therefore, in the example above the individual with an end date of June 30, 2022 would receive a letter to confirm continuation of their appointment for X years, however, the new term would be added on after the original end date. For example, a first appointment is for three years from July 1, 2019 through June 30, 2022. Notification is provided no later than May of 2021 that the appnt would renew for an additional 4 years which would extend the end date to June 30, 2026.
- When a promotion is recommended and approved, the promotion takes effect immediately at the beginning of the upcoming academic year. In the example above, if the individual were being promoted to Associate Professor, the effective date would be July 1, 2021 and would not be delayed until the end of the current appointment term.

Information regarding non-renewal:

Non-tenure faculty with the title of instructor, assistant professor, associate professor or professor are required written notification of renewal (or non-renewal) as required in the University Faculty Handbook (page 21) http://www.rochester.edu/provost/assets/PDFs/Faculty_handbook.pdf

Directly from the University Faculty Handbook July 2020, page 22:

Notification of Reappointment or Termination of an instructor, assistant professor, associate professor, or professor on an appointment of two years or less must be notified in writing, five months before the appointment expires, whether or not they are to be reappointed. An assistant professor, associate professor, or professor without tenure whose total appointments at these ranks exceed two years must be notified in writing, not later than one year before the appointment expires, whether or not they are to be reappointed. Failure to receive notification does not entitle a faculty member to reappointment, promotion, or tenure. If they have not been notified, the dean or director of the school should be informed, and a prompt response will be provided. (If a prompt response is not obtained, the faculty member should consult with the provost or the president.) If the response is to inform the individual of termination, then the termination shall not be sooner than five months from the sending of the response in
the case of individuals on appointments of two years or less, or one year in the case of individuals whose total appointments at these ranks exceed two years.

**Non-tenure Faculty with one-year or two-year appointments**

One-year and two-year non-tenure faculty appointments must contain verbiage to confirm that the appointment will terminate upon its end date, unless discussion of a new appointment is initiated before the end date. The one-year and two-year faculty offer letter template on the AS&E intranet for use by all programs and departments contains the following language. Faculty with a one or two-year appointment are not required to complete a Faculty Activity Report as multi-year appointed faculty are.

*Your appointment will expire on xx date (this date is one year/two years from the effective date of the appointment). Should there be an opportunity to discuss a new contract your department chair/program director will be in contact with you prior to the end of your appointment.*
Example of timeline for faculty member with end date June 2022

Late Summer/ early Fall 2020
The Faculty Affairs office for AS&E will confirm with each program/department the list of non-tenure faculty who have multi-year appointments whose contract end dates are June 2022. This communication is to be sure the Deans’ office and department records are in sync. Departments should keep their own internal timeline of review of faculty, which may start before the late summer/early fall correspondence from Faculty Affairs.

The department chair/program director will oversee review of each faculty member for determination of reappointment, promotion if applicable or notice of non-renewal. There is no required timeline for promotion of non-tenure faculty.

Spring 2021 - No later than February 1, 2021
Departments upload appropriate documentation for each faculty member in a folder created and shared by Faculty Affairs in BOX.

No later than April 1, 2021
The relevant school dean will complete review.

No later than May 1, 2021
Correspondence (reappointment, promotion or non-renewal letter) will be sent to faculty for signature with a copy to programs/departments. Department chairs/directors will be consulted with regard to terms of a new contract letter with regard to teaching and other responsibilities.

No later than May 15, 2021
Return of signed letters will be required by mid-May.

No later than May 31, 2021
Departments send appropriate reappointment, promotion or termination (faculty 510) form to the Deans’ Office for processing by emailing the form and signed offer letter to ASE_FACPDforms@lists.rochester.edu

The Faculty Affairs Office will provide the Provost’s office materials for non-tenure faculty members in the rank of Associate or Full Professor so that Provost approval can be granted as required. For appointments over one year in length, the faculty member will receive a confirmation letter from the Provost. The Faculty Affairs Office will send a copy of this Provost letter by email to the department administrator/chair/program director for departmental records.

The Provost reviews appointment actions on a monthly basis throughout the academic year, and usually during each summer month. It is important that the timeline above is followed so that submission of materials to the Provost is not delayed and in turn the faculty member’s promotion/possible salary delayed beyond July 1.
Suggested Wording for Referee Letter Requests

The following two letter templates contain suggested wording to aid in the solicitation of internal letters of support for promotion to Associate Professor (non-tenure) of Instruction and promotion to Professor (non-tenure) of Instruction.

Associate Professor (non-tenure) of Instruction (internal candidate)

Dear _____:

_______, currently an Assistant Professor (non-tenure) of Instruction in the Department of ______/__________ Program, is being considered for promotion to Associate Professor (non-tenure) of Instruction. I am writing to ask your help in assessing Professor ______’s performance in his/her role. I would be very grateful for your frank analysis of the candidate’s academic activities.

If you are able to advise us, it would be especially helpful if your letter could address the following, commenting on both strengths and weaknesses:

- Teaching: The effectiveness of his/her classroom teaching, mentoring of undergraduates, and development of new curricula and innovative pedagogies.
- Discipline: Assessment of Professor ____’s engagement with his/her core academic discipline, and translation of this knowledge into the classroom and other educational activities.
- Service: Professor ____’s collaboration with colleagues and assistance in the management of academic programs as well as his/her record of service on departmental, school, or University committees and/or governance activities.

I enclose his/her curriculum vitae as well as a statement that describes his/her contributions to the department or program, engagement in academic discipline and any expansion of duties and responsibilities.

I realize that this request may be an imposition, but, as you know, assessments of the kind we hope you will be able to provide are essential components of a proper review for promotion.

I thank you in advance for your willingness to assist in this review. Please send your assessment by _____________. Your reply will, of course, remain confidential within our review process.

Sincerely,
Professor (non-tenure) of Instruction (internal candidate)

Dear ______:

______, currently an Associate Professor (non-tenure) of Instruction in the Department of ________ /_______ Program, is being considered for promotion to Professor (non-tenure) of Instruction. I am writing to ask your help in assessing Professor ___'s performance in his/her role. I would be very grateful for your frank analysis of the candidate's academic activities.

If you are able to advise us, it would be especially helpful if your letter could address the following, commenting on both strengths and weaknesses:

• Teaching: The effectiveness and success of his/her classroom teaching, mentoring undergraduates, and development of new curricula and innovative pedagogies.
• Discipline: Assessment of Professor ____’s continued engagement with his/her core academic discipline, and translation of this knowledge into the classroom and other educational activities.
• Service: Professor ____’s collaboration with colleagues and assistance in the management of academic programs as well as demonstration of a strong record of service on the departmental, school, or University committees and/or governance activities.

I enclose his/her curriculum vitae as well as a statement that describes his/her contributions to the department or program, engagement in academic discipline, and any expansion of duties and responsibilities.

I realize that this request may be an imposition, but, as you know, assessments of the kind we hope you will be able to provide are essential components of a proper review for promotion.

I thank you in advance for your willingness to assist in this review. Please send your assessment by ______. Your reply will, of course, remain confidential within our review process.

Sincerely,
Appendix A: Eligibility for AS&E Committee Service

<table>
<thead>
<tr>
<th>Committee</th>
<th>Eligibility for faculty in instructional track</th>
</tr>
</thead>
<tbody>
<tr>
<td>Departmental faculty meetings</td>
<td>Eligible</td>
</tr>
<tr>
<td>Departmental academic program committees</td>
<td>Eligible</td>
</tr>
<tr>
<td>Departmental student recruitment committees</td>
<td>Eligible</td>
</tr>
<tr>
<td>Departmental promotion committees</td>
<td>Eligible, if reviewing faculty in instructional track</td>
</tr>
<tr>
<td>Faculty Council</td>
<td>Eligible, after 3 years of service (same as tenure-track)</td>
</tr>
<tr>
<td>AS&amp;E Committee on Graduate Students</td>
<td>Not eligible, unless as exception</td>
</tr>
<tr>
<td>College Administrative Committee</td>
<td>Eligible, after initial (two-year) appointment</td>
</tr>
<tr>
<td>College Board on Academic Honesty</td>
<td>Eligible</td>
</tr>
<tr>
<td>College Committee on Study Abroad</td>
<td>Eligible, after initial (two-year) appointment</td>
</tr>
<tr>
<td>College Internship Committee</td>
<td>Eligible, after initial (two-year) appointment</td>
</tr>
<tr>
<td>College Curriculum Committee</td>
<td>Eligible, after initial (two-year) appointment</td>
</tr>
<tr>
<td>College Writing Committee</td>
<td>Eligible, after initial (two-year) appointment</td>
</tr>
<tr>
<td>College Committee on Interdisciplinary Programs</td>
<td>Eligible, after initial (two-year) appointment</td>
</tr>
<tr>
<td>Doctoral committees</td>
<td>No, unless as exception approved by University Dean of Graduate Studies</td>
</tr>
</tbody>
</table>
Appendix B: Non-tenure Instructional/Non-tenure Teaching Job Codes

Job code descriptors below include attributes such as T = Teaching, S = Service. These job codes require the attributes assigned, although individuals in them may participate in research.

The instructional track makes use of these job codes:

- Job code 0110: Asst Prof: T, S. Functional title: Assistant Professor (of instruction).
- Job code 0111: Assoc Prof: T, S. Functional title: Associate Professor (of instruction).
- Job code 0012: Professor: T, S. Functional title: Professor (of instruction).

Appointments for full-time teaching faculty make use of these job codes:


Conversion of teaching appointments is an administrative process. Conversion does not automatically carry a salary increase, which would need to be justified separately.

Conversion Options for Faculty in Non-Tenured Positions from Lecturer/Sr. Lecturer to the Instructional Track

<table>
<thead>
<tr>
<th>Senior Lecturer</th>
<th>1. If qualified, can be considered for conversion to Associate Professor.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2. If qualified can be considered for promotion to Professor.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Lecturer or FT Instructor</th>
<th>1. If qualified, can be considered for conversion to Assistant Professor.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2. If qualified can be considered for promotion to Associate Professor.</td>
</tr>
</tbody>
</table>
Appendix C:
Materials required at each rank for initial appointment, reappointment and promotion.

Each set of materials must be accompanied by a recommendation letter from the department chair to the relevant school dean. Should review be conducted and a decision is made not to renew, the chair/director must write a narrative to the respective school dean to outline the reasons for non-renewal, and what evaluation took place to come to the decision. Any recommendation needs to include the process by which the individual was reviewed by faculty at the appropriate rank.

Each year, the Faculty Affairs Office will create departmental folders in BOX, and a folder for each Instructional or teaching faculty member for materials to be uploaded for dean review.

<table>
<thead>
<tr>
<th>Rank</th>
<th>Initial appointment at rank</th>
<th>Reappointment at same rank in same department</th>
<th>Promotion to next rank (Asst to Associate or Associate to Full)</th>
</tr>
</thead>
</table>
| Assistant Professor | 1. Current CV.  
3. Detailed description of proposed duties.  
4. Teaching record.  
2. 2-3 letters of recommendation.                                                                                                                                 | 1. Current CV.  
3. Teaching and service record since appointed as Asst Prof.  
4. Written recommendation from the program director/department chair to include process by which faculty at the same rank reviewed the reappt.  
2. Satisfactory faculty activity report reviewed by the department chair. | 1. Current CV.  
2. 2-3 internal letters from those at rank of associate professor or higher that include attestation to teaching skills or other duties.  
3. Written statement from candidate describing contributions to department/program, engagement in academic discipline and any expansion of duties and responsibilities.  
4. List of courses taught with enrollments each year for the past 3 years and evaluations. |
| Associate Professor | 1. Current CV.  
3. Teaching record/evaluations.  
4. Written statement from candidate to describe engagement in academic discipline.  
2. 3-5 letters of recommendation.                                                                                                                                 | 1. Current CV.  
3. Teaching and service record since promoted or initial appt as associate professor.  
4. Written recommendation from the program director/department chair to include process by which faculty at the same rank reviewed the reappt.  
2. Satisfactory faculty activity report reviewed by the department chair. | 1. Current CV.  
2. 2-3 internal letters from those at the rank of full professor to include attestation to teaching skills or other duties.  
3. Written statement from candidate describing contributions to department/program, engagement in academic discipline and any expansion of duties and responsibilities.  
4. List of courses taught since with enrollments each year for the past 3 years and evaluations. |
| Professor           | 1. Current CV.  
3. Teaching record/evaluations.  
4. Written statement from candidate  
2. 3-5 letters of recommendation.                                                                                                                                 | 1. Current CV.  
3. Teaching and service record since promoted or initial appt as associate professor.  
2. Satisfactory faculty activity report reviewed by the department chair. | N/A                                                                  |
<table>
<thead>
<tr>
<th>Rank</th>
<th>Initial appointment at rank</th>
<th>Reappointment at same rank in same department</th>
<th>Promotion to next rank</th>
</tr>
</thead>
</table>
| Lecturer     | 1. Current CV.  
2. Teaching statement.  
3. 2-3 letters of recommendation to attest to teaching skills. | 1. Current CV.  
2. Satisfactory faculty activity report reviewed by the department chair.  
3. List of courses taught with enrollments, and course evaluations, peer evaluation where appropriate.  
4. Written recommendation from the program director/department chair to include process by which faculty at the same rank reviewed the reappt | 1. Current CV.  
2. 2-3 internal letters from those at rank of Sr. Lecturer or higher to attest to teaching skills and peer-based evaluation of teaching where appropriate.  
3. Written statement from candidate to describe continued pedagogical development.  
4. List of courses taught since with enrollments each year for the past 3 years and evaluations. |
| Sr. Lecturer | 1. Current CV.  
2. Teaching statement.  
3. 2-3 letters of recommendation to attest to teaching skills. | 1. Current CV.  
2. Satisfactory faculty activity report reviewed by the department chair.  
3. List of courses taught with enrollments, and course evaluations. | N/A |
peer evaluation where appropriate.

4. Written recommendation from the program director/department chair to include process by which faculty at the same rank reviewed the reappt

Revision dates:

Revision July 2019: Addition of suggested wording for internal referee letters and updated service eligibility table, update eligibility within track and relationship to other non-tenure appointments.

Revision October 2019: Approved by AS&E Faculty Steering Committee and Faculty Council
Page 1: Clarification of appointments that range from 9 to 12 months.
Page 3: Relationship to other full-time non-tenure faculty appointment titles
Page 4: Annual review and reappointment/promotion materials guidance
Pages 6-7: Edits to Appendix A and B – Committee service and appropriate conversions current (instead of proposed from original revision document)

Revision February 2020: Inclusion of materials required for appointment, reappointment and promotion to include already approved (current) process.

Revision August 2020: Add reappointment timeline, initial instructional track term three years, one and two-year appt term non-renewal language