

Policy on Joint Appointments

Office of the Provost

Washington University

Introduction

Recognizing that the research and teaching interests of faculty often extend beyond the boundaries of a single discipline or school and that new knowledge can be created when interdisciplinary issues are addressed, Washington University is committed to providing a structure and environment in which such efforts can thrive. In some cases, this end will be best achieved by a formal arrangement in which a tenured or tenure track faculty member holds a joint appointment in two or more units with separate budgets and administrative offices. It is important that procedures and a general policy for such joint appointments be clearly spelled out to facilitate the intellectual productivity that is the goal of these appointments and to insure fairness and clear understanding for all the parties that are involved. Each unit should agree to the appointment with the understanding that, while the arrangement might be reviewed periodically and revised by mutual consent of all involved, it is intended to be a durable commitment by secondary units as well as by the tenure home.

For the purpose of this document, the term *joint appointment* refers to positions that have the following features:

- They require a distribution of effort across more than one department, program, center and/or school, and each unit provides funding or other support in the form of salary, office or laboratory space.
- The person appointed has certain responsibilities to each unit. These can include, but may not be limited to, research, teaching, service, or clinical practice, depending on the nature of the units involved.
- Within each unit, the faculty member has certain rights and privileges. These can include, but may not be limited to, the right to participate in the faculty governance process, to vote, to be considered for or hold tenure, and to take appropriate leaves.

So construed, the concept of a joint appointment pertains to contributions to salary and other costs by two or more schools and to the distribution of a faculty member's responsibilities and rights across those schools. It will be necessary in all cases to be clear about the precise distribution of effort and privileges for jointly appointed faculty. These may involve various ratios, e.g. 50%/50%, 75%/25%, etc. However, the policy does not apply to courtesy appointments in which the division is 100%/0%, nor does it apply to joint appointments within

a school. The policy only applies to tenured and tenure track faculty. It is not intended to be applied retroactively or entail a review of existing arrangements.

Procedures

Each joint appointment must be guided by a detailed memorandum of understanding that specifies the expectations of the schools and departments with regard to teaching, research, and service, the allocation of salary and research support, provision for office and laboratory space (as required), annual review procedures, the tenure process and tenure home, the administrative home, start up expenses, benefits, sabbatical leave policies, allocation of research grant monies, and term of appointment. The memorandum should adhere to the policies articulated below and be signed by the heads of each unit. It should be approved by the Provost, and a copy should be provided to the jointly appointed faculty.

Promotion and Tenure

A basic principle for joint appointments is that a single department in one school (or a single school when the school has no departments) must be designated as the tenure home, except in special circumstances described below. Tenure shall not be divided across schools, even if the appointment is viewed as 50/50. In many cases, the natural unit in which tenure will be gained is the one that is identified as having primary administrative responsibilities (payroll, etc.). For appointments requiring laboratory space, the administrative home will usually be the unit in which the laboratory is physically located, although in some cases it may be located elsewhere in the interest of institutional efficiency. Only the administrative home will have access to its systems necessary for processing payroll, purchasing, and external grants. Promotion and tenure proceedings will be governed by the requirements and policies in the school in which the tenure home is located. Thus the case for promotion or promotion with tenure will be heard by the committee that advises the Dean regarding such cases in that school. The probationary period and the policy governing pre-tenure sabbatical leaves will also be that which obtains in the tenure home. However, the following special arrangements should be made:

- The memorandum of understanding should state clearly the expectations regarding research and publication for tenure and promotion. Advice should be solicited from experts in the relevant fields.
- Progress toward promotion or promotion with tenure should be evaluated internally by the departments involved (or in accordance with standard procedures in schools without departments) and described in a letter to the faculty member annually. There should also be an interim review half-way through the probationary period for which external letters of evaluation are solicited. The selection of referees for this purpose and the review should be made with input from each school in which the appointment is held.

- The selection of referees for the promotion case itself should also be made with input from each school. The heads of the departments involved (or other representatives of schools with no departments) should present the case for promotion or promotion with tenure to the committee responsible for advising the Dean of the school in which tenure line is located.
- Each school and department in which the appointment is held should agree to abide by the decision regarding promotion and tenure.
- The faculty member will have the right to request *retreat*, that is, a change in the division of the appointment such that one school becomes the site of her or his whole position, or there is a substantial shifting of responsibilities. If this request is granted during the probationary period, the division may result in a new tenure home, the policies of which would then apply. After the probationary period, tenure must be approved in accordance with the policies of the new home. If the new tenure home has a longer standard tenure clock, probation may be extended for the remaining years at the request of the faculty member. If it has a shorter probationary period, the tenure decision must be made in the new home prior to the change. Any change in the nature of the joint appointment must be endorsed by the Deans of each school in which the appointment is held and approved by the Provost.
- For appointments made initially without tenure, a mentoring committee should be constituted which includes tenured faculty from each department/school involved in the appointment. The committee will make an annual report to the department Chairs or School Deans at the time that salary recommendations are made.
- Exceptions to the principle of a single tenure home may be made for joint appointments with tenure only under the following special circumstances: (a) when someone is being recruited for a tenured position, and dividing tenure across schools is necessary for the recruitment effort; or (b) when dividing tenure is necessary to retain a tenured member of our faculty. In such cases, the option to divide tenure must be endorsed by the Provost, and tenure must be approved individually by each of the schools in which the candidate is to be tenured in accordance with the school's standard procedures. For faculty hired as associate professors with tenure, subsequent promotion to full professor must also be approved individually by each school. When tenure is divided, the administrative home and operative leave policies must be specified in the memorandum of understanding.

Salary and Term of Appointment

Total annual salary and the amounts to be contributed to it by each school will be agreed upon by the department chairs (or in accordance with standard practice in schools without departments) and approved by the Deans in the schools, as well as by the Provost. Often the contributions will be in accordance with the ratio that defines the rights and responsibilities in each school (50/50, 75/25, etc.). In some cases, institutional considerations may lead to a

different model for salary contributions. The Chairs of each department (or other appropriate representatives of each school) will confer annually regarding salary recommendations. They will make recommendations individually to their respective Deans regarding the portion of the total salary they provide. The increments recommended need not be the same. Every 5 years of employment, the Provost will review the contribution of each school to the total salary to determine if the amounts accurately reflect the nature of the joint appointment and actual division of teaching and research.

The amount of salary that must be covered by research grants will also be determined by each school with respect to the portion of the salary that it provides. How grant income is to be credited will be specified in the memorandum of understanding.

Every jointly appointed faculty will have a single term of appointment (e.g. for 9 or 12 months), which will be specified in the memorandum of understanding. The same term will apply in each school in which the appointment is held.

Indirect Costs

The facilities portion of indirect costs recovered will usually be credited to the school that provides laboratory space in which the research is being conducted. In some cases, other arrangements may be made, for instance, when one school compensates another for use of laboratory facilities. The administrative portion will be divided in accordance with administrative responsibilities assumed by each school. In some cases, grants will be administered by a unit other than the administrative home reasons of institutional efficiency. These arrangements should be spelled out in the memorandum of understanding.

Teaching Load

The total teaching load for the faculty member will be determined by pro-rating the teaching load that would be expected in each school in accordance with the division of the appointment. For example, if the appointment is half time in a school in which a 2-2 load is expected and half time in a school in which no teaching is expected, the faculty member will have a 1-1 or 2-0 teaching load, as the particular circumstances require. Course loads may vary across schools because courses have different structures or contact hours in different schools; and teaching expectations may also vary across departments within a school, as well as among individual faculty members within departments, as a result of different research and administrative responsibilities or special recruitment histories. As a result, the target figure in each school that is pro-rated need not be the same in every case. The concept of pro-ration simply implies that, whatever teaching load is determined to be appropriate for each school, it should be weighted in accordance with the division of responsibilities that defines the joint appointment generally; 50/50, 75/25 etc.

Rights and Responsibilities

Voting rights and access to school-specific honors and awards will be accorded to anyone who holds at least a 25% appointment in a school. Such rights will not be had with less than a 25%

appointment. Because voting rights may vary within a school, depending on the level of appointment, the venue, or the type of decision to be made, the term 'voting rights' should be understood to mean 'rights in accordance with the opportunities to vote that are normally allocated,' given the level of the joint appointment and standard practices within the schools. The rights in question are school specific. For decisions taken on University-wide issues, for instance, through the Faculty Senate, each jointly appointed faculty member shall have a single vote. Faculty with joint appointments will also be expected to serve on committees in the two departments and schools to an extent that is in line with standard practices in each school, but qualified in each case by the way the appointment is divided. Because service expectations are not easily quantified, joint appointments can sometimes result in more than the appropriate percentage of service work in each school. To protect against that, the heads of each department (or other appropriate officers in schools without departments) should pay special attention to the responsibilities that the faculty member has taken on when annual salary recommendations are made to the Deans.

Procedures for Dispute Resolution

Grievances by a faculty member holding a joint appointment will follow the customary procedures established by the University and/or the relevant school(s). For school-level issues, the procedures of the school in which the tenure home is located generally will apply, unless the issue primarily or solely involves the other school in which the joint appointment is held. If necessary, the Provost may ask the Executive Committee of the Faculty Senate Council either to review the matter and make a recommendation to the Provost or to appoint an ad hoc committee to do so.

Conclusion

The nature of joint appointments is such that no policy will be able to provide for every detail and nuance of individual cases. In the spirit of encouraging the novelty and enterprise that are characteristic of interdisciplinary research while striving for consistency, two final points should be made: First, any substantive variations from the policies articulated above or from the initial memorandum of understanding should be made in writing and by mutual agreement of the faculty member and the participating department chairs and deans. Second, the particulars should be crafted in the spirit of collaboration and innovation that motivate joint appointments, with consideration given to the practical exigencies of the case and under a general constraint of good sense.