

# THE REPORT OF THE FACULTY OF ARTS AND SCIENCES FASTAP REVIEW COMMITTEE

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## PART I: BACKGROUND

### 1. PREAMBLE

Appointment, promotion, and tenure procedures embody, in a set of structures, values that animate the university's centuries-old mission and its modern, daily life. Through the recruitment and cultivation of an outstanding faculty, the university can ensure excellence in research and teaching across the various areas of human inquiry. By selecting and sustaining scholars who stand at the forefront of their academic fields, who are committed and effective teachers and mentors, and who are engaged citizens of the university and of their scientific and scholarly communities, Yale can best fulfill its mission in the world—to create, preserve and disseminate knowledge.

The process of articulating appointment, promotion, and tenure structures that support these goals has unfolded over the last half-century. In Yale's Faculty of Arts and Sciences, a trio of committees chaired by Professors Robert Dahl (1965), James Tobin (1981) and John Hartigan (1996) codified and standardized criteria for excellence in scholarship and set in place thoughtful procedures for faculty searches, appointments and promotions that served the FAS for 40 years. And yet, in 2005 Yale remained the only university in the country without a genuine tenure track.

In 2005, Provost Andrew Hamilton appointed a committee, chaired by Professor Jon Butler (then Dean of the Graduate School of Arts and Sciences) and Professor Peter Salovey (then Dean of Yale College) to reconsider FAS tenure and appointments structures in light of new forces coming to bear on the university. As Provost Hamilton wrote, these included “shifts in national tenure and appointment patterns, generational shifts within the professoriate, the desire to have a faculty as varied as the student body we recruit, [and] tensions between the demands of an academic position and those of family and personal life.”

That committee's work resulted, in 2007, in what is widely known as the FASTAP report, which introduced profound changes in the tenure and promotion structures in Yale's Faculty of Arts and Sciences, and in those of Yale's professional schools which adopted its policies. The 2007 FASTAP report (FASTAP '07) introduced two crucial elements into Yale's promotion and tenure process. First, resource questions became detached from questions of promotion to tenure, finally putting Yale into line with virtually every other American college and university. Second, Yale's tenure clock was reduced from 10 years (with consideration in year 9) to 9 years (with consideration in year 8<sup>1</sup>), leaving Yale's clock only one to two years longer than those of its peers, rather than its previous three. In introducing these changes, the FASTAP '07 committee noted that they were essential to “enabl[ing] Yale to compete nationally and internationally” for junior faculty of the highest caliber.

But the effects of these changes, though salutary, did not fully meet the twenty-first century pressures that Provost Hamilton enumerated in his charge; some of these have intensified, and new concerns—for example, about the effectiveness of mentoring and about Yale's post-2007 record of recruiting, retaining, and promoting a diverse faculty—have joined them. We outline the findings of our research and extensive conversation with the community on these and other points in the report below and in the appendices that accompany it.

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<sup>1</sup> Any faculty member who is granted Child-Rearing Leave is granted a corresponding extension to their promotion and tenure clock. A detailed description of these policies can be found in the [Yale Faculty Handbook](#), section III.F (“Maximum Time in the Non-Tenured Ranks”).

The FASTAP Review Committee believes that these challenges can be met with key revisions to the FASTAP '07 structures and through thoughtful implementation of a set of updated policies encoded in what we call FASTAP '16. The key changes are threefold: a shortening of the tenure clock from 9 years (with consideration in year 8) to 8 years (with consideration in year 7); the elimination of the rank of associate professor on Term; and the introduction of a fourth-year review designed to produce substantive, in-depth consideration of and feedback on a faculty member's work. In the pages below, we describe these changes and explain their rationale.

In introducing these changes, we have been attentive to ways in which such structures form an ecosystem. An excellent faculty is built on excellent hiring, effective support, high expectations, and strong mentorship; we see these elements as crucial accompaniments of a shortened clock. Engaged and thoughtful junior hiring has been a palpable outcome of the 2007 reforms, and FASTAP '16 reaffirms the importance of a careful and imaginative process of identifying and recruiting outstanding new faculty. FASTAP '16 also sets into place an in-depth review for tenure-track faculty, to take place during the faculty member's fourth year, which will provide direct and substantive feedback that can propel that work forward and alert scholars to both the challenges and opportunities ahead. Here, as throughout the FASTAP '16 process, assessments from the departments and the Tenure Appointment Committees (TACs) are expected to be rigorous, honest, humane, and open to the scholarly innovation that we expect of our rising generation of faculty.

The committee urges all members of the community—individual faculty, department chairs, divisional promotion committees, and the staff of the FAS Dean's and the Provost's offices--to build a culture of collective responsibility for maintaining the high standards that define our mission. The impact of these policies on the quality of the faculty and on other key features such as the ratio of tenured to untenured faculty will be determined by the community's collective practice of the policies recommended here and the interpretation of the language of the standard.

As the balance is struck in every system of promotion and tenure between mentorship and assessment, between nurturing talent and judging its fruits, it will be crucial to make the new system work for the benefit not only of those who gain tenure at Yale but also for those who do not, who will go on to do important work elsewhere. Constructive and realistic support for faculty is in the best interests of both the candidate and the university. We seek a system that is both rigorous and fair, both demanding and humane – one that provides candid feedback, that displays openness to innovation and a commitment to excellence, and that honors and supports the enterprise and varied trajectories of scholarship itself.

## 2. COMMITTEE MEMBERSHIP

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### A. OVERVIEW

The FASTAP Review Committee was appointed on January 22, 2015 by Provost Benjamin Polak. (<http://fastap-review.yale.edu/>). Chaired by FAS Dean Tamar Gendler, the committee included the FAS divisional directors and five other tenured members of the FAS faculty. In addition, the deans of the Divinity School and the School of Forestry & Environmental Studies, schools whose promotions and tenure policies follow those of FASTAP '07, were also appointed. The full review committee met regularly throughout the spring semester of 2015.

In the fall of 2015, an FAS faculty subcommittee was formed, chaired by Professor Amy Hungerford. The FAS faculty subcommittee met throughout academic year 2015-16, as described in section 3 below.

The report that follows is a report of the FAS faculty subcommittee, joined by the FAS Dean, and offers recommendations to the Faculty of Arts and Sciences.

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## B. 2015 FASTAP REVIEW COMMITTEE

The membership of the FASTAP Review Committee was as follows:<sup>2</sup>

Richard Bribiescas: *Deputy Provost for Faculty Development and Diversity; Professor of Anthropology*

Peter Crane: *Carl W. Knobloch Jr. Dean of the School of Forestry & Environmental Studies; Professor, School of Forestry & Environmental Studies; professor of Ecology & Evolutionary Biology and Geology & Geophysics (through summer 2016)*

John Dovidio: *Dean of Academic Affairs, Faculty of Arts and Sciences; Carl Iver Howland Professor of Psychology*

Tamar Szabó Gendler (Committee Chair): *Dean of the Faculty of Arts and Sciences; Vincent J. Scully professor of Philosophy; Professor of Psychology and Cognitive Science*

Alan Gerber: *Social Science Divisional Director (through spring 2016); Social Science Divisional Dean (from fall 2016); Chair of the Social Sciences Advisory Committee; Charles C. & Dorathea S. Dilley Professor of Political Science; Professor, School of Public Health, Institution for Social and Policy Studies and Cowles Foundation*

Amy Hungerford (Faculty Subcommittee Chair): *Humanities Divisional Director (through spring 2016); Humanities Divisional Dean (from fall 2016); Chair of the Humanities Advisory Committee; Master of Morse College (through spring 2015); Professor of English and American Studies*

Naomi Lamoreaux: *Chair of the Department of History; Stanley B. Resor Professor of Economics and History*

Kathryn Lofton: *Chair of the Program in Women's, Gender and Sexuality Studies (through spring 2015); Chair of the Department of Religious Studies (from fall 2015); Senator, FAS Faculty Senate (from fall 2015); FAS Deputy Dean for Diversity and Faculty Development (from fall 2016); Professor of Religious Studies & American Studies, Professor of History; Professor of Divinity*

Scott Miller: *Chair of the Department of Chemistry (through spring 2015); FAS Science Divisional Director (from fall 2015); Chair of the Physical Sciences Advisory Committee (from fall 2015); Irénée du Pont Professor of Chemistry*

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<sup>2</sup> Anna Pyle, a member of the original FASTAP committee in 2005-07, served on the present committee during the spring term of 2015, and was replaced by John Dovidio for the remainder of the committee's work. The faculty subcommittee formed in the fall of 2015 met without Deans Gendler, Crane, and Sterling.

Anna Marie Pyle: *William Edward Gilbert Professor of Molecular, Cellular & Developmental Biology; Investigator Howard Hughes Medical Institute; Professor of Chemistry*

Greg Sterling: *Reverend Henry L. Slack Dean of the Yale Divinity School; Lillian Claus Professor of New Testament; Professor of Religious Studies*

T. Kyle Vanderlick: *Dean of the School of Engineering & Applied Science; Thomas E. Golden, Jr. Professor of Chemical & Environmental Engineering*

The committee was staffed by Karen Anderson: *Associate Provost for Academic Resources and Faculty Development*

### 3. CONSULTATION PROCESS

In preparing its report, the committee engaged in extensive consultation with a wide range of FAS faculty, and with numerous counterparts at peer institutions. In this section, we describe these consultations.

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#### A. SPRING 2015 OUTREACH TO YALE FAS

The following broad engagements with the FAS community took place during the spring of 2015:

- *Website form:* an anonymous form to submit comments was posted at <http://fastap-review.yale.edu/submit-comments>, and all FAS ladder faculty (tenured and untenured) received repeated invitations to contribute to the conversation through this form. Between January 22 and March 20, 2015, 40 faculty submitted comments through this website. All comments were collated, and shared with the full FAS Review Committee.
- *Direct email:* FAS faculty who preferred to communicate with the committee directly by email were invited to write to members of the FASTAP review committee. 18 faculty sent emails as a result of these solicitations, and their contents were shared with the committee as a whole.
- *Open houses:* A series of open houses, open to all FAS ladder faculty, were announced by email and listed on the FASTAP review website. These meetings were hosted by subcommittees to collect faculty feedback in a collegial town-hall setting:
  - Feb 5, 2015, Connecticut Hall: 15 faculty attended
  - Feb 9, 2015, Sloane Physics Lab: 7 faculty attended
  - Feb 12, 2015, Luce Hall: 5 faculty attended
  - 27 faculty participated in total in these Open House meetings
- *Formal meetings with the FAS Dean:* The FAS Dean solicited direct feedback from faculty at the following meetings:
  - March 2 and 3, 2015: FAS chairs meetings (a total of 55 FAS faculty attended these meetings)
  - March 4, 2015: JPBO meeting (72 FAS faculty attended this meeting)

- *Individual meetings in person or by phone:* Outreach officer Kathryn Lofton held individual consultations in person or by telephone with 72 faculty members during the spring of 2015.

While it is difficult to gauge precisely the degree of overlap across these groups, we estimate that feedback was collected from more than 200 faculty in the course of this spring 2015 consultation process.

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## B. SPRING 2015 OUTREACH TO OTHER UNIVERSITIES

- *Interviews with other universities:* Also during Spring 2015, members of the FASTAP review committee conducted in-depth interviews with current and former faculty and administrators from Brown, Carnegie Mellon, Chicago, Columbia, Cornell, Duke, Harvard, MIT, Penn and Princeton. The committee gathered extensive information from additional universities through various channels, conducting research in universities' published documents, consulting confidential comparative data available to Yale as a participating member of the Association of American Universities Data Exchange (AAUDE), and interviewing faculty and administrators who had recently come to Yale from elsewhere who could offer an insider's account of other universities' processes.

A table summarizing tenure and promotion practices at peer universities can be found in Appendix 4.

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## C. FALL 2015-SPRING 2016 MEETINGS AND CONSULTATIONS

The following events took place during the 2015-16 academic year:

- *Faculty subcommittee:* In the fall of 2015, a faculty subcommittee of the FASTAP Review Committee, chaired by Amy Hungerford, met weekly to develop a detailed set of proposals that were responsive to the concerns articulated during the spring 2015 consultation process.
- *Presentations to dean and department chairs:* A draft of these proposals was shared with the FAS Dean on February 1, 2016, and with FAS department chairs at the monthly FAS Chairs meetings on February 7 and 8, 2016. The recommendations were revised in response to their suggestions.
- *Presentations to FAS Senate, professional school deans, and president and provost:* The revised version of these proposals was shared with the FAS Senate Faculty Advancement Committee and the Chair and Deputy-Chair of the FAS Senate on March 3, 2016; with Deans Greg Sterling and Peter Crane (members of the full review committee), and with the President and Provost on March 3, 2016, and further revised in response to their suggestions.
- *FAS faculty town hall:* On March 11, 2016, a set of Draft Recommendations was shared with all ladder faculty in the FAS. On March 31, 2016, a town-hall meeting, open to all FAS ladder faculty, was held to discuss the proposal, and community comment continued via email in the following days. In response to FAS faculty suggestions, the proposal was modified during two additional meetings of the subcommittee in April, resulting in the April 24, 2016 version.

- *FAS Senate meeting:* The FAS Senate discussed the recommendations of April 24<sup>th</sup> in a meeting on May 19, 2016.
- *On-line consultation process:* The April 24<sup>th</sup> version of the recommendations was posted on Classes v2 for FAS faculty comment throughout the summer. A reminder was sent to faculty on July 13, 2016 to advise on the timeline for commenting, review, and voting. Commenting, as announced in this email, closed on July 22, 2016. A total of two FAS faculty members posted comments on the draft.
- *Announcement of voting date:* A voting date of September 15, 2016 was announced in the July 13, 2016 communication, and faculty were notified that the final version of the recommendations would be distributed in advance of the meeting, on September 1, 2016.
- *Continuing consultation with FAS Senate:* In July, the faculty subcommittee leadership consulted with the FAS Senate leadership about a final round of consultation with the Senate.
- *Continuing consultation with FAS Dean:* In August, the faculty subcommittee met twice for a final round of revisions. These revisions were reviewed, updated and finalized by the FAS Dean in consultation with the faculty subcommittee.
- *Final consultation with FAS Senate:* This final version was circulated to the Executive Council and Faculty Advancement Committee of the FAS Senate for comment in the third week of August. Their comments informed final revisions to the recommendations, resulting in the present version of the proposal, prepared for circulation to all FAS ladder faculty on September 1, 2016.
- *Faculty vote:* On September 15, 2016, the present version of the proposal is to be presented to the full FAS ladder faculty for a vote.

## PART II: REPORT & RECOMMENDATIONS

### 4. BACKGROUND

#### A. MANDATE FOR REVIEW OF FASTAP '07

When the Faculty of Arts and Sciences Tenure and Appointments Policy (FASTAP) went into effect in 2007, the report suggested that there be a review in ten years. (The original 2007 FASTAP report can be found [here](#).)

Changes in Yale's FAS decanal structure in the fall of 2015 created an opportunity for renewed focus on promotion and tenure processes that coincided with a general sense that the FAS faculty were eager to consider FASTAP slightly sooner than the originally mandated deadline. With this opportunity in mind, the Provost charged a committee, chaired by the FAS Dean, to begin the review in January of 2015. (A list of committee members can be found in section I.2.B above.)

The committee was asked to “articulate a process and set of standards for ladder faculty appointments, promotions, and tenure that will secure Yale's continuing place in the world wide intellectual community as a leader in the creation, preservation, and dissemination of knowledge.” (The committee's full charge can be found [here](#).)

#### B. FAS COMMUNITY VIEW OF FASTAP '07 AS A REPLACEMENT FOR THE OLDER SYSTEM

The FASTAP policies approved by the FAS faculty in 2007 transformed the tenure process and departmental culture in many parts of the FAS and throughout the university. In extensive consultations with the FAS community (see previous section for details), the review committee heard that the FASTAP '07 system was an extraordinary improvement over the old one. To be sure, some individuals looked with favor upon the old system, expressing nostalgia for a practice that one might imagine could uphold greater excellence at the point of tenure.

But the FAS ladder faculty consensus, tenured and untenured, was that one of the 2007 review's main outcomes--detaching resource issues from consideration for promotion to tenure--was an essential step forward. Under the 2007 FASTAP policy, each junior faculty member was not just guaranteed a slot, but was also eligible for two full years of leave within a slightly shortened 9-year tenure clock (the older system had a 10-year clock). This leave was praised as an incentive in our effort to recruit new faculty. Faculty members who spoke to us were clear: FASTAP was a profound revision and should be respected for what it accomplished.

#### C. AREAS OF FAS COMMUNITY CONCERN WITH FASTAP '07

The question that emerged in FAS community consultation during our 2015 conversations was whether the 9-year tenure clock, three promotions, and two years of leave have served Yale as well as they can. Community consultation revealed 7 broad areas of concern shared across ranks, from

tenure-track candidates to senior faculty and deans. While these do not exhaust the concerns expressed, they represent the most commonly articulated issues.

- **Length of tenure clock**

Many FAS faculty expressed the opinion that the tenure clock remains too long at 9 years (with the review in year 8). This is widely believed to impact our ability to retain faculty at the advanced assistant level, and to be a liability in recruitment when we compete with other institutions with shorter clocks. Yale's nine-year tenure clock opened up a window in which excellent scholars could be recruited away with an earlier offer of tenure.

- **Diversity**

Members of the FAS community expressed concern that the current system makes it difficult to retain and promote faculty who are underrepresented minorities and those who work at the intersections of traditional fields.

- **Dissatisfaction with nature of associate on term review**

Many FAS faculty expressed the view that the standards and norms of the associate on term review were unclear and inconsistently applied across units, and between departments and the TACs. The difficulty of obtaining outside letters for the review was cited as a burden for departments and a liability for candidates. People noted the promotion renders candidates ill-suited for the job market should their tenure case be denied. It was observed that if the associate on term review takes place in the sixth year, the candidate has very little time to improve their dossier prior to tenure review.

- **Understanding of the standards for evaluation**

FAS community feedback revealed frustration with interpreting the standard for Associate on Term: was it a straw vote for tenure, such that candidates judged not to be on track for tenure should be denied promotion at the earlier stage? Or was it an independent evaluation, looking for scholarship, teaching and service deserving of promotion in accordance to the stated standard, regardless of the candidate's perceived chances at tenure?

- **Teaching within the context of mentoring, review, and professional development**

Members of the FAS community commented that the current two-year leave structure makes it difficult for untenured faculty to gain adequate experience and development in the classroom, especially in divisions with lower teaching loads. Because the TACs and departments value teaching in the review of tenure cases, this was considered a liability for candidates as well as a failure to uphold Yale's core mission of teaching excellence.

- **External letters: Difficulty of obtaining**

With up to three reviews requiring outside letters in a candidate's field, people noted that it was difficult to obtain the required letters even at promotions to and within tenured ranks. It is widely thought to be challenging to obtain letters for promotion from associate with tenure to full professor with tenure, when the stakes for the candidate and the institution appear to be lower.

- **Mentoring**

Because units have differed in their understanding of the promotion standards, publishing expectations, and relative emphasis on the three areas of evaluation—research, teaching, and service--mentoring of junior faculty was cited as inconsistent at best, and misleading at

worst. Mentoring for junior faculty with significant service burdens—and departments’ requests that junior faculty take on such burdens—has been cited as a particular problem.

- **Community—effects on morale**

Lack of clarity and consistency in the application of standards in promotions has damaged morale despite the improvements of the FASTAP system relative to the older system. That is, despite the clear commitment of the resource base necessary to promote a member of the junior faculty to tenure, the path to tenure was not clear.

Section 5 of this document describes the recommendations of the FASTAP Review Committee in light of these concerns.

## 5. FASTAP '16 RECOMMENDATIONS

Readers should particularly note the following:

- *Unmentioned is unchanged:* The sections that follow present only recommendations that alter current practice. For aspects of the tenure and promotion process that are not explicitly addressed, current practice would be followed.
- The faculty will be voting to approve the policies found in sections 5 and 6. A summary of these policies can be found in the comparative table in Appendix 1. The remainder of the report constitutes discussion, additional recommendations of the committee, and background data.

### A. PROMOTION AND TENURE TIMELINE UNDER FASTAP '16

The promotion and tenure timeline under FASTAP '16 will be as follows:

- The maximum time one may remain employed in the FAS untenured ladder ranks at Yale will be 8 years<sup>3</sup>. (*Under the current FASTAP '07 rules, this maximum time is 9 years.*)
- The initial FAS assistant professor contract will be for five years. The first review, for reappointment (without tenure) at the level of (advanced) assistant professor will occur no later than year 4. (*Under the current FASTAP '07 rules, the first assistant professor renewal takes place no later than year 3, and the review for Associate professor on Term (AOPN) takes place no later than year 6.*)
- The second review, for tenure and promotion to the rank of FAS associate professor with tenure or Full professor will occur no later than year 7 (8-year clock). (*Under the current FASTAP '07 rules, this review takes place no later than year 8 (9-year clock).*)

This timetable situates Yale at the high end of peer institutions. Harvard has an 8-year clock (review in year 7). Stanford’s tenure reviews take place no later than year 6 (7-year clock); Princeton’s take place

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<sup>3</sup> As noted in footnote 1, any faculty member who is granted Child-Rearing Leave is granted a corresponding extension to their promotion and tenure clock. A detailed description of these policies can be found in the [Yale Faculty Handbook](#), section III.F (“Maximum Time in the Non-Tenured Ranks”).

no later than the fall of year 6 (6- or 7-year clock). No major institution whose tenure standards we surveyed has a tenure clock of longer than 8 years (review in year 7); the modal tenure clock at Research-I institutions is 7 years (review in year 6).

As is true under FASTAP '07, a faculty member may be brought up for promotion early if the candidate, department, and FAS Dean's Office agree that the review is timely and appropriate, given the scholar's particular accomplishments and trajectory.

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## B. LEAVES UNDER FASTAP '16

The pre-tenure leave policy under FASTAP '16 will be as follows:

- FAS faculty members will be eligible for 3 terms of leave before tenure review. At least one term and no more than two terms must be taken before the first review. Otherwise, the timing of the leaves will be arranged by individual candidates in consultation with their chair and the FAS Dean's Office, who will provide guidelines about recommended leave patterns. *(Under the current FASTAP '07 rules, faculty members who are promoted are eligible for 4 semesters of leave during their first 16 semesters at Yale; under the revised rules, faculty who are promoted would be eligible for 3 semesters of leave during their first 14 semesters at Yale.)*
- At the request of the candidate, and with the permission of the department and the FAS Dean's office, pre-tenure one-semester leaves may be taken as full year half-time teaching. *(This provision does not exist under current FASTAP '07 rules.)*
- Faculty members who are not reappointed as assistant professor in the fourth year will not be eligible for the post-promotion leave. *(This same provision applies under the current FASTAP '07 rules.)*

This leave schedule preserves Yale's place among peer institutions as having the most generous policy for paid junior faculty leave. Harvard guarantees one term at full pay and one term unpaid during the first 4-year pre-tenure appointment period, to be taken as early as year 2; the same policy applies in the second pre-tenure appointment period. Stanford offers one quarter off at full pay or two at half pay after 12 quarters of service; after 24 quarters: two off at full pay or three at 69.44%; after 36 quarters: three off at full pay. Princeton offers one semester at full pay or full year at half after the first 3-year appointment.

No major institution whose pre-tenure leave schedule we surveyed offers more than two semesters of guaranteed paid leave to pre-tenured faculty. Many guarantee none or offer one term during the pre-tenure years (Brown, Chicago, Columbia, Cornell, Duke, and Penn).

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## C. INITIAL APPOINTMENT UNDER FASTAP '16

As in the current system, candidates for initial appointment to tenure-track positions at Yale will be selected "with the objective of appointing the finest and most promising faculty."

The following points are meant to clarify this policy, echoing similar language in the 2007 FASTAP report:

*Candidates hired at the assistant professor level should exhibit the potential for significant research and scholarly publications; their work should exhibit qualities that give the department grounds to think that, if this potential is realized, then by the time the candidate is considered for tenure, their work would significantly extend the boundaries of their disciplines, such that the candidate will stand among the foremost leaders in their field in the world.*

*Candidates hired at the assistant professor level should demonstrate excellent prospects for effective and creative teaching and mentoring, and display the potential for a career of engaged departmental, professional and university citizenship.*

The 2007 FASTAP report set in place a system of oversight for initial appointments, which has been partially realized. In implementing FASTAP '16, an appropriate balance between departmental autonomy and central oversight will need to be struck to ensure that in the process of identifying and selecting faculty candidates, appropriate attention is paid to issues of diversity and excellence.

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#### D. REVIEW FOR REAPPOINTMENT AS ASSISTANT PROFESSOR IN THE FOURTH YEAR UNDER FASTAP '16

Under FASTAP '16, ladder faculty will be reviewed no later than the fourth year of their appointment for reappointment as assistant professor (advanced). (The rank of associate professor on Term will no longer be used as part of the promotion process<sup>4</sup>.) The reappointment review will conclude with detailed feedback for the candidate outlining strengths, weaknesses, and opportunities for growth. This is not a pro forma review with expectations of an automatic pass; it is the occasion for substantive assessment of the candidate's work to date.

The review process will include: the preparation of a formal dossier by the candidate; detailed consideration of the candidate's materials by the department; a vote in the department in accordance with departmental policies; and a review and vote by the Tenure Appointments Committee.

The standard for reappointment will be as follows:

*Reappointment as assistant professor (advanced) requires that the candidate demonstrate measurable progress towards the criteria for tenure in research, teaching, and service.*

The review for reappointment will include professional appraisal of the candidate's scholarship from arms' length reviewers outside of Yale who work in the candidate's area of research. (See Section 7, "Notes on Implementation," for discussion of this point.) *(Under current FASTAP rules, reappointment as assistant professor in year 3 of the initial appointment requires no external component of evaluation; the promotion to associate professor on Term requires the solicitation of at least 6 letters from outside the university; in typical cases, 7-10 such letters are currently solicited.)*

Evaluators in a given case will be directed to assess the strengths and weaknesses of the candidate's research, teaching, and service, and will be asked to recommend steps the candidate can take to prepare in the coming years for the tenure review, given Yale's commitment to tenuring only those

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<sup>4</sup> As is the practice at some of our peers, the title of associate on term may be used in the exceptional case when an external candidate for appointment already holds the title of associate professor at their current institution but is not initially appointed with tenure at Yale.

who are leaders in their broadly-defined fields, whose scholarly work significantly extends the boundaries of their disciplines, whose teaching and mentoring are of the highest caliber, and who show deep engagement with their department, with their discipline, and with the university more broadly.

To provide candidates with broad feedback about their progress from the perspectives of scholars across the division, reappointment cases approved by the department will be considered and must be approved by the appropriate Tenure Appointments Committee.

At the conclusion of the review, candidates will receive feedback from both the department and the TAC regarding the substance of their scholarship and the degree to which they have demonstrated early signs of success in the three areas that will be evaluated in the tenure review. Feedback will take the form of candid assessments of candidates' work and plans in these areas.

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## E. REVIEW FOR PROMOTION TO TENURE UNDER FASTAP '16

Under FASTAP '16, the following tenure standard and descriptions of tenured ranks will hold:

*Tenure at Yale is awarded to scholars who stand among the foremost leaders in the world in a broad field of knowledge. It is reserved for candidates whose published work significantly extends the horizons of their discipline(s). A tenure appointment is a permanent, forward-looking commitment, and therefore requires evidence of an ongoing and ambitious research agenda.*

*An assessment of candidates' leadership is based on the impact, at the very highest levels, of their research and peer-reviewed scholarship. Excellent teaching and engaged University and professional citizenship within and beyond a department or program are also expected. Tenure at Yale may be awarded at the associate or full professor rank.*

*Associate professors are expected to build upon the accomplishments that earned them their permanent appointments, so that within a reasonable period of time their body of work will merit their consideration for full professor.*

*The title of full professor is earned by those individuals who have a body of distinguished achievements in their record of research, with a commensurate national and international reputation, and who (continue to) display the excellence in teaching and service that is expected of all tenured professors at Yale.*

Review for tenure will require a dossier of at least 10 outside letters to ensure a fair and thorough appraisal of the candidate's scholarly record. *(Under the current system, Yale requires only 7 such letters; the average number at peer institutions is between 10 and 11.)*

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## F. PROMOTION WITHIN THE TENURED RANKS UNDER FASTAP '16

Under FASTAP '16, review for promotion from associate professor with tenure to full professor in the FAS will not have to occur at any specific time in the faculty member's contract. Typically, it will occur between three and five years after the initial promotion, with subsequent review in unsuccessful cases typically conducted no earlier than three years thereafter.

The review for this promotion will include professional appraisal of the candidate's scholarship from arms' length reviewers outside of Yale who work in the candidate's area of research. Cases receiving a positive departmental vote will be reviewed by the relevant Tenure and Promotion committee.

The current version of the Faculty Handbook allows the Provost, in exceptional cases, to promote a faculty member to full professor without a departmental process after seven years. The FASTAP '16 policies would not alter this discretionary provision.

All FAS faculty members eligible to retire from Yale with emeritus/a status under University policies will retire at the rank of professor emeritus/a.

## 6. TRANSITION AND IMPLEMENTATION

### A. TRANSITION PROCESS

If the faculty votes to accept the FASTAP '16 provisions, the following transition process will apply:

- FAS ladder faculty hired after their adoption date would be bound by these FASTAP '16 provisions, rather than by existing FASTAP '07 structure and policies.
- FAS ladder faculty hired under the original FASTAP system may elect to be considered either (a) under existing FASTAP '07 rules, or (b) under FASTAP '16 rules as long as they have not yet taken more than three terms of research leave.
- For transition purposes, it may be necessary to grant a one-year contract extension for faculty in the middle years of the assistant professor rank to enable their switch from the old to new review calendar. This is restricted to candidates who are up for reappointment in 2017-18.
- Untenured FAS faculty who have already taken four terms of research leave will be reviewed under existing FASTAP '07 rules.
- Tenured associate professors promoted under previous tenure and promotion policies may choose to be evaluated for promotion to full professor under the FASTAP '16 policies. Such promotions may begin in 2017-18.

### B. IMPLEMENTATION ADVISORY COMMITTEE

- *Implementation Advisory Committee:* In the event that these policies are adopted, an Implementation Advisory Committee will be appointed. The charge of the committee will be to advise the FAS Dean on initial procedures for carrying out the new FASTAP '16 policies.
  - The Implementation Advisory Committee will convene for a period of one academic year to develop detailed procedures by which the FASTAP '16 policies will be implemented (e.g., the number of letters requested from referees, types of materials that can be considered as forms of external input to cases, content of materials to be provided for a case).

- The Implementation Advisory Committee will consist of faculty members serving in the FAS Dean's Office, and three other members of the faculty appointed by the FAS Dean from nominations received from the FAS Senate.
- In formulating its recommendations, the committee will consult widely with department chairs, members of the FAS Senate, TAC members both past and present, and colleagues across the FAS.
- The Implementation Committee will make recommendations to the FAS Dean, whose responsibility it will be to effectively administer the FASTAP '16 policies.
- *Review within a decade:* FASTAP '16 and its implementation should be reviewed by the FAS Dean no later than ten years subsequent to the date of its adoption. Attention will need to be paid to the policies' impact on the ratio of tenured to untenured faculty and to the quality of the faculty tenured and retained under them.

## 7. NOTES ON IMPLEMENTATION

The Implementation Advisory Committee will offer detailed recommendations concerning each of the following:

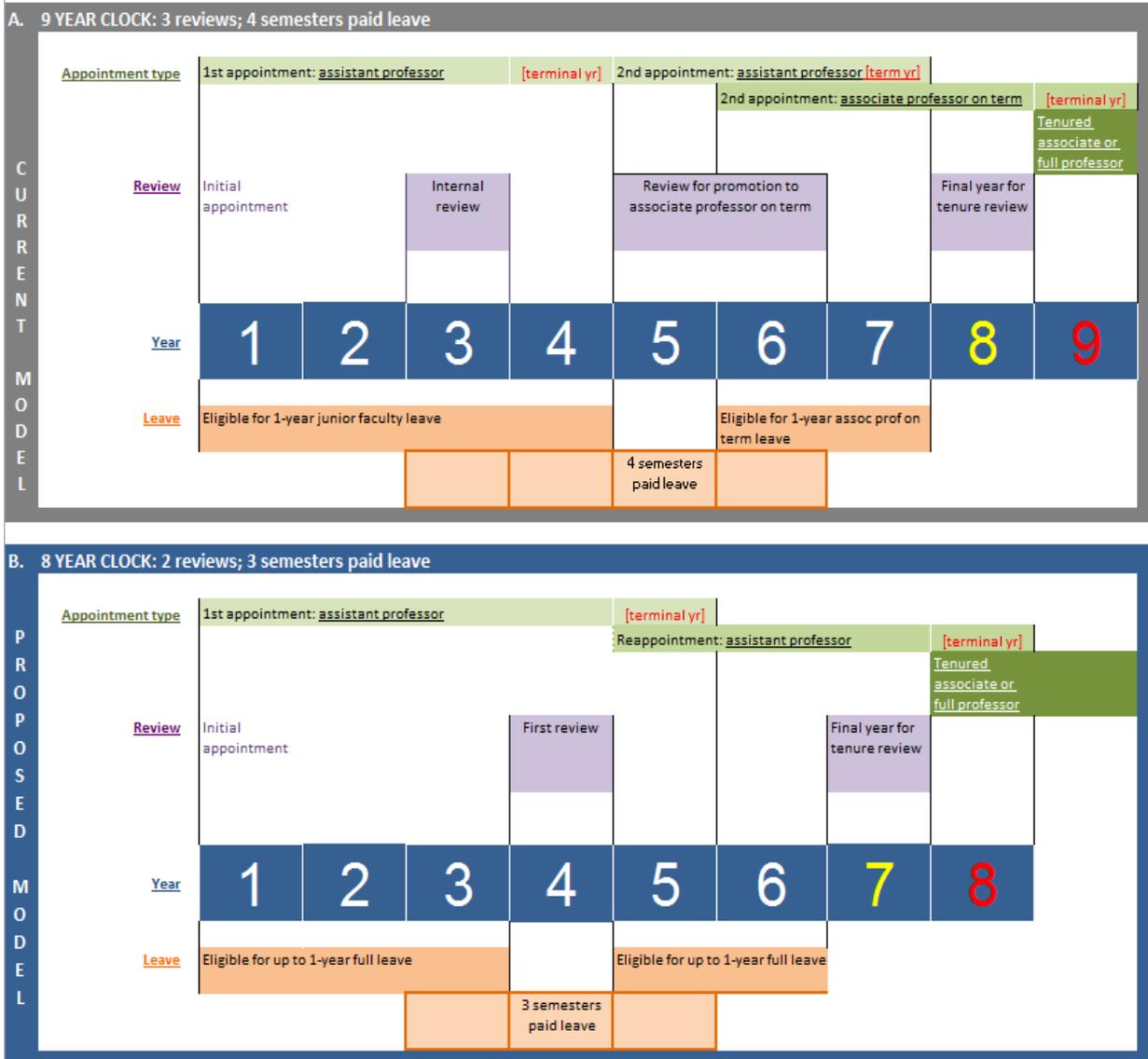
- Best practices for supporting consistent excellence in initial hiring decisions.
- Mentoring expectations for departments before and after each of the three reviews.
- The required and recommended components of the candidate's dossier for each level of review.
- The forms of external professional assessment required for each level of review (number and form of letters or other modes of evaluation).
- The form of the TAC's review process for each promotion:
  - TAC review processes for reappointment to assistant professor (advanced).
  - Adjustment, if needed, to the TACs' customary processes for review and discussion of the initial promotion to tenure.
  - TAC review processes for promotion from associate professor with Tenure to Full professor
- The forms of the final feedback to the candidate (for example, oral or written) and for the candidate's file for each review.
- The process through which departments should examine and adapt their procedures of hiring, mentorship, and review so that they are in keeping with the aims and policies of FASTAP '16.

**APPENDIX 1: SUMMARY OF CURRENT PROCEDURE AND RECOMMENDED CHANGES**

Current Procedure	Recommended Changes
<p>9-year clock with tenure review in penultimate (8th) year.</p>	<p>8-year clock with tenure review in penultimate (7th) year.</p>
<p>AP1 review (to AP2) internal review in 3rd year (penultimate initial contract year). <i>“intended to assess the progress of the faculty member’s research &amp; scholarship, teaching, and service to the University as an independent faculty member, and also to serve as a mentoring opportunity for the candidate.”</i> Expectation is that the faculty member would be reappointed unless <i>“evident and substantial problems warrant terminating the appointment in the fourth year.”</i></p>	<p>Review for reappointment as (advanced) assistant professor in the 4th year (penultimate year of the initial five-year contract.)</p> <p><i>“Reappointment as assistant professor (advanced) requires that the candidate demonstrate measurable progress towards the criteria for tenure in research, teaching, and service.”</i></p> <p>Requires some form of external evaluation of the candidate’s work.</p>
<p>AOPN (associate on term) review in 5th or 6th year: <i>“significant published research and scholarship representing early demonstrations of disciplinary or interdisciplinary leadership; excellent teaching and mentoring of students; and engaged university citizenship.”</i></p> <p>Requires minimum of 6 outside letters.</p>	<p>Results in <i>“detailed feedback for the candidate outlining strengths, weaknesses, and opportunities for growth.”</i></p> <p>All cases for reappointment approved in the department will be reviewed and must be approved by the appropriate TAC.</p>
<p>Review for tenure (associate professor with tenure or full professor) no later than 8th year.</p> <p>Requires minimum of 7 outside letters.</p>	<p>Review for tenure (typically associate professor with tenure) no later than the 7th year.</p> <p>Requires minimum of 10 outside letters.</p>
<p><i>“Tenured faculty at Yale are expected to stand among the foremost leaders in their fields throughout the world...have attained scholarly or creative distinction of a high quality demonstrated by both written work and teaching. Consideration for tenure emphasizes the impact and continuing promise, at the very highest levels, of the candidate’s research and scholarship...A tenure appointment...is a permanent, forward-looking commitment.”</i></p>	<p><i>“Tenure at Yale is awarded to scholars who stand among the foremost leaders in the world in a broad field of knowledge. [Tenure] is reserved for candidates whose published work significantly extends the horizons of their discipline(s). A tenure appointment is a permanent, forward-looking commitment, and therefore requires evidence of an ongoing and ambitious research agenda.”</i></p>

Current Procedure	Recommended Changes
<p><i>“Criteria for appointment or promotion to associate professor with tenure and appointment or promotion to full professor differ in degree, rather than in kind... associate professors with tenure are expected to develop the qualities of scholarship that earned them permanent appointments, so that within a reasonable period of time their value to the University and their national or international standing will make them suitable candidates for professor.”</i></p>	<p><i>“Associate professors are expected to build upon the accomplishments that earned them their permanent appointments, so that within a reasonable period of time their body of work will merit their consideration for full professor.”</i></p>
<p>Professor review within five years of promotion. Requires minimum of 7 outside letters.</p>	<p>(Full) professors have <i>“a body of distinguished achievements in their record of research, with a commensurate national and international reputation, and . . . (continue to) display the excellence in teaching and service that is expected of a tenured professor at Yale.”</i></p> <p>Professor review typically within five years of initial promotion to tenure.</p> <p>Requires some form of external evaluation.</p> <p>All faculty eligible for <i>emeritus/a</i> status retire at the level of full professor.</p>

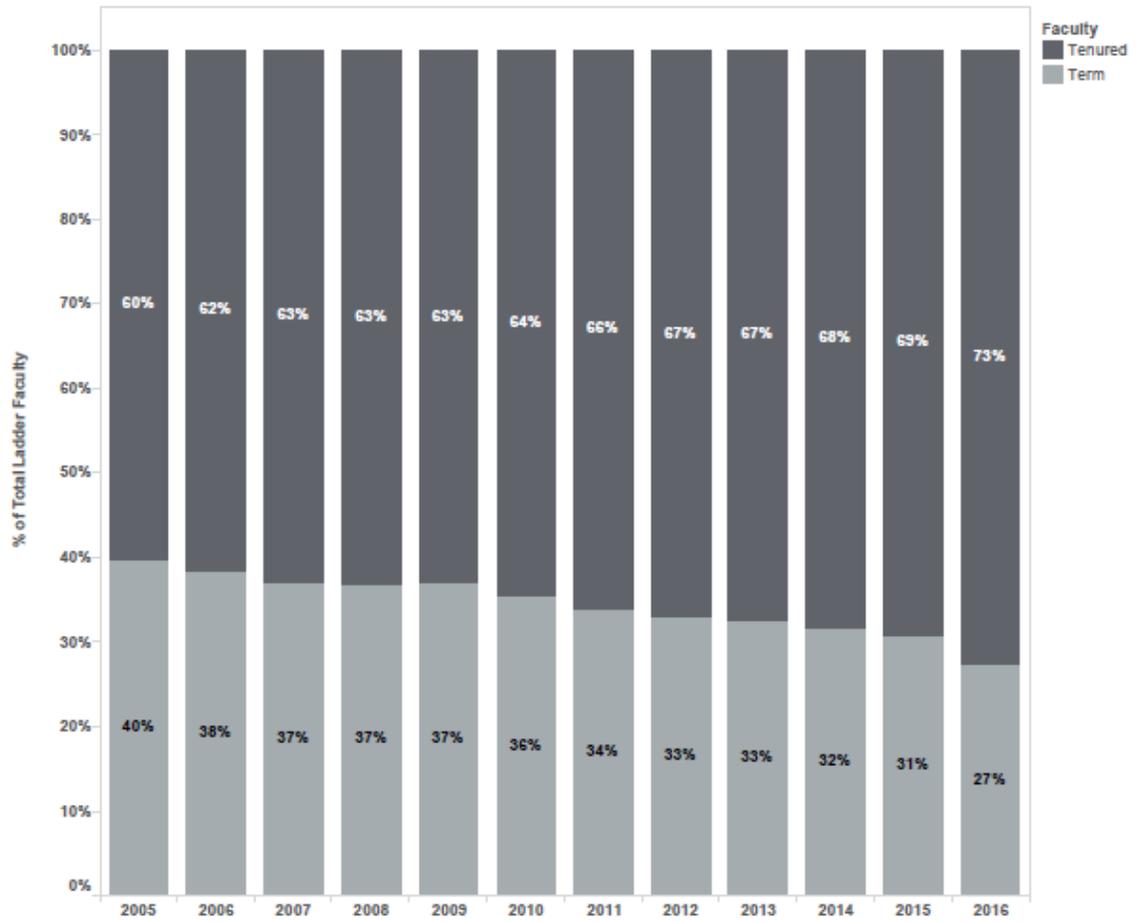
## APPENDIX 2. COMPARISON OF CURRENT AND PROPOSED MODEL



## APPENDIX 3. BACKGROUND DATA

- A. FAS Ladder Faculty by Tenured and Term: 2005-2016
- B. FAS Ratio of Tenured to All Ladder Faculty: 1980-2015
- C. Tenure Rate by Division FAS entering cohorts 1985 to 2009
- D. FAS Ladder Faculty Promotions Rates by Tenure & Appointments Committees (TACs) from 2010 – 2015

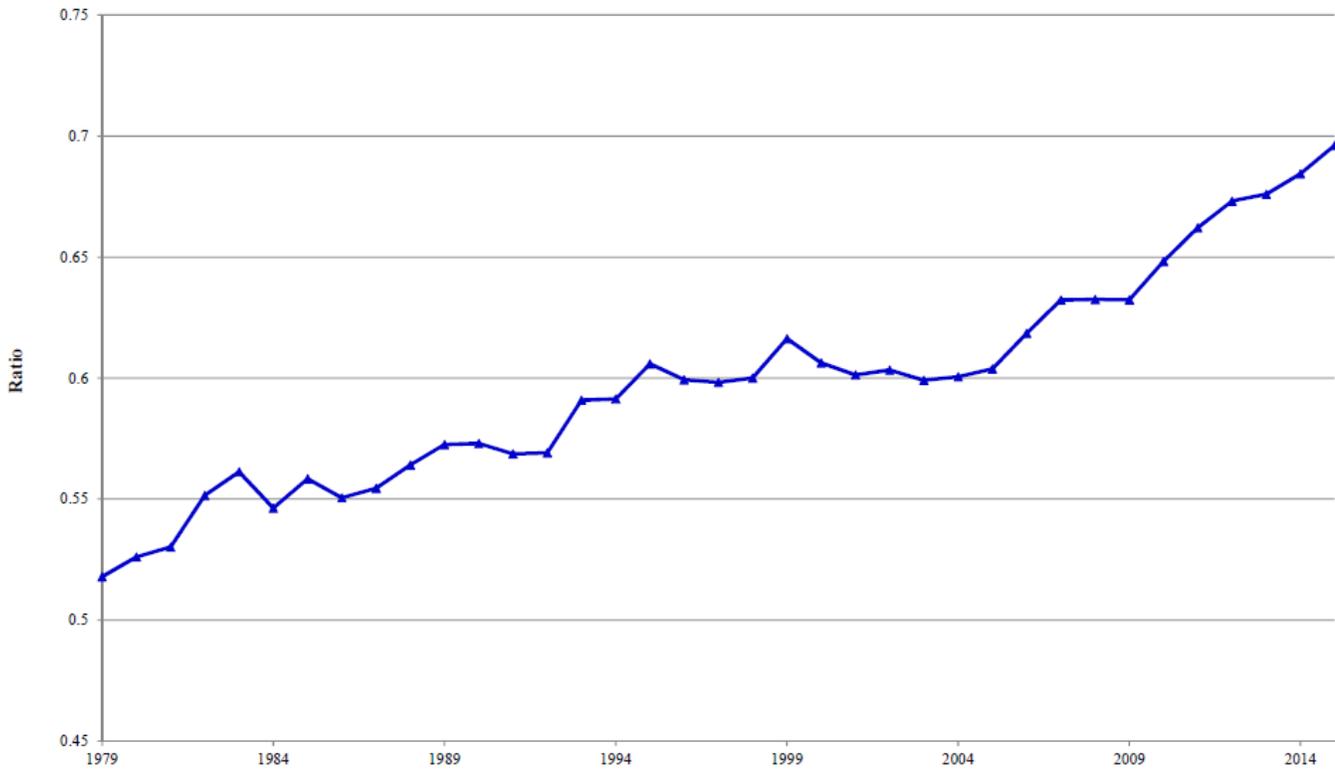
### 3A. FAS LADDER FACULTY BY TENURED AND TERM 2005-2016



Data from the Office of Institutional Research: FAS Ladder Dashboard updated 2016.08.15

*Note:* 2016 numbers are subject to change. Data were queried mid-August and will be replaced once the September 30<sup>th</sup> snapshot becomes available. 2005-2015 show data as of September 30<sup>th</sup>.

### 3B. FAS RATIO OF TENURED TO ALL LADDER FACULTY 1980-2015



Note: Counts are based on the location of the primary appointment regardless of how positions are funded. All MB&B faculty and residential college masters are included. FAS ladder faculty serving as president, provosts, deans and directors of museums; and FAS ladder faculty with a primary appointment in a professional school are excluded.

Source: Office for Equal Opportunity Programs: 1982/83 to 1993/94. Faculty Records System 1994/95 to 2005/06; HR Simplified Reporting Table 2006/07 to 2015/16

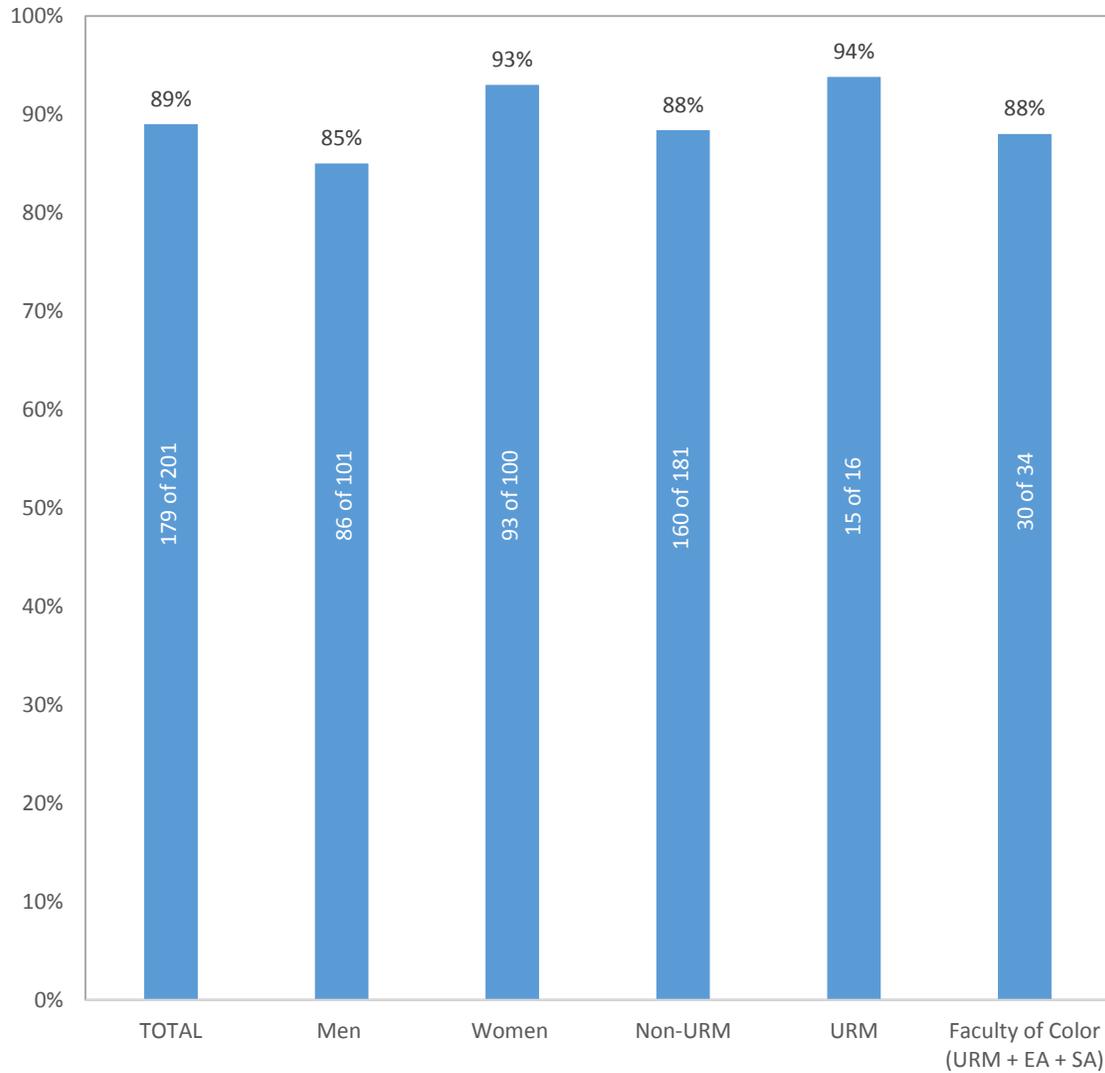
OIR LB 12/7/12 (Updated 08/15/16)

3C. TENURE RATE BY AREA AS OF JULY 1, 2016 FOR FAS ENTERING COHORTS 1985 TO 2016 (NORMAL TENURE REVIEW YEAR 1994-2025)

Area	Cohort	Total # of entering faculty	Total # Faculty Receiving Tenure to Date	# Faculty Not Yet Considered for Tenure	Tenure rate of entering cohort (%)
Humanities	1985-89	68	8	0	12%
	1990-94	75	8	0	11%
	1995-1999	78	12	0	15%
	2000-2004	75	18	0	24%
	2005-2009	63	14	10	N/A
	2010-2015	51	1	40	N/A
	2016+	6	0	6	N/A
Social Sciences	1985-89	49	6	0	12%
	1990-94	35	6	0	17%
	1995-99	53	7	0	13%
	2000-2004	50	11	0	22%
	2005-2009	59	11	13	N/A
	2010-2015	39	0	30	N/A
	2016+	3	0	3	N/A
Physical Science & Engineering	1985-89	48	9	0	19%
	1990-94	34	14	0	41%
	1995-99	26	4	0	15%
	2000-2004	39	22	0	56%
	2005-2009	36	17	11	N/A
	2010-2015	29	3	24	N/A
	2016+	4	0	4	N/A
Biological Science	1985-89	15	7	0	47%
	1990-94	11	7	0	64%
	1995-99	13	9	0	69%
	2000-2004	13	6	0	46%
	2005-2009	10	4	3	N/A
	2010-2015	10	0	10	N/A
	2016+	4	0	4	N/A
Total: Faculty of Arts & Sciences	1985-89	180	30	0	17%
	1990-94	155	35	0	23%
	1995-99	170	32	0	19%
	2000-2004	177	57	0	32%
	2005-2009	168	46	37	N/A
	2010-2015	129	4	104	N/A
	2016+	17	0	17	N/A

Data from the Office of Institutional Research: fas ap since 1985 update 8-2016.xlsx

3D. FACULTY OF ARTS AND SCIENCES LADDER FACULTY PROMOTIONS\* BY TENURE & APPOINTMENTS COMMITTEES (TACS) FROM 2010 – 2016



URM Underrepresented minority (African, Hispanic, or Native American)

URM + EA + SA Underrepresented minority plus East Asian and South Asian

\* Promotions *from* assistant professor, associate professor on term or associate professor with tenure *to* associate professor on term, associate professor with tenure or professor by Tenure Appointment Committees (TACs) of faculty whose cases were sent forward by their departments to the TAC.

Data from FAS Internal Document: TAC votes 2010-2016.xlsx

## APPENDIX 4. FASTAP PEER COMPARISON: TENURE CLOCK, LETTERS, AND LEAVES

Institution	Tenure clock (last review year)	Pre-tenure paid leave	Normal paid leave policy	Minimum number of letters for tenure review	Number of letters for other reviews	Tenure Promotion Rank
Brown University	8 (7)	None	1 semester at 75% salary after 3 years teaching, or, 1 semester at full salary after 6 years teaching, or one year at 75% salary after 6 years teaching			Associate or Full
University of Chicago	7 (6)	After 3 years: 2 quarters fully paid leave (=2 of 4 courses relieved), or full year with external funding to cover 40% of salary, or after 6 years: full year at full pay	After 3 years: 2 quarters fully paid leave (=2 of 4 courses relieved), or full year with external funding to cover 40% of salary, or after 6 years: full year at full pay	7 in Bio Science Division		Associate or Full
Columbia University	8 (7)	After 3 years: one semester at full salary	After 4 years: one semester at full salary or one year at half salary	12		Associate or Full
Cornell University	7 (6)		After 6 years: one semester at full salary or one year at half salary	6-8 (no standard minimum)		Associate or Full
Dartmouth College	7 (6)	2.5 quarters off in year 4 or 5, if taken in year 4, option to defer 4 <sup>th</sup> course to year 5 for full year off in year 4	1 quarter off after 9 quarters, or 2 after 18, or 3 after 27, all at full pay	8		Associate or Full
Duke University	8 (7)	Year 4: one semester at full pay or full year at half pay	1 semester at full pay or 1 year at half pay after 6 years teaching	6-8		Associate or Full

Institution	Tenure clock (last review year)	Pre-tenure paid leave	Normal paid leave policy	Minimum number of letters for tenure review	Number of letters for other reviews	Tenure Promotion Rank
Harvard University	8 (7)	1 <sup>st</sup> appt: 1 term at full pay and 1 term unpaid, as early as year 2; 2 <sup>nd</sup> appt: ditto	1 semester after 3 years or 1 year after 6 years, full pay, or one year at half pay after 3 years	12	3-5 for AOPN	Full
MIT	8 (7)	Year 2-6: one semester paid leave	1 semester at full pay or 1 year at half pay after 6 years	10	8 for AOPN	Associate or Full
University of Pennsylvania	7 (6)	“not normally granted”	1 semester at full pay or 1 year at half pay after 6 years teaching; or 1 year at full pay after 12 years teaching	Minimum of 9 sought		Associate or Full
Princeton University	6/7 (6)	1 <sup>st</sup> 3 year appt: 1 semester at full pay or full year at half pay	No set program, instead each dept. has a quota of leaves to award. Calendar: 5 semesters of full time teaching required before next leave.	6		Associate or Full
Stanford University	7(6)	No special pre-tenure leave; pre-tenured faculty eligible for regular sabbatical schedule	After 12 quarters service, 1 qtr. off at full pay or 2 at .5 pay; after 24 qtrs.: 2 off at full pay or 3 at 69.44%; after 36 qtrs.: 3 off at full pay. Full chart at: <a href="http://facultyhandbook.stanford.edu/ch3.html">http://facultyhandbook.stanford.edu/ch3.html</a>	8	3 for reappt, 5 for promotion to full	Associate or Full