AMERICAN UNIVERSITY WASHINGTON, D.C.

University Policy: Establishment of Joint Appointments

Summary

Policy Category	Academic Policies
Office Responsible for Review of Policy	Office of the Provost
Purpose	To outline the process for American University faculty to obtain joint appointments in more than one department or unit, in an effort to promote interdisciplinary and multidisciplinary research or creative activity and teaching at the University
Procedures	Outlined below
Related University Policies	Academic Regulations; *Faculty Manual*

I. SCOPE

This Policy provides guidance on the establishment of joint appointments within and between units across American University for the purpose of promoting interdisciplinary and multidisciplinary research and teaching across departments and units at the University.

II. POLICY STATEMENT

The University supports the engagement and interdisciplinary, multidisciplinary and cross-unit collaboration of scholars across the university as part of the University's efforts to promote intellectual development and collaborative research across units. Occasionally, faculty in various University departments and units or prospective faculty candidates who exhibit extensive scholarship and are recognized leaders in their respective scholarly disciplines may seek to formally join other departments and units, where they may teach, advise students, and collaborate more closely with other faculty. This Policy outlines the process for senior faculty (tenured or senior term) to pursue joint appointments within and between units across American University, with formal permission granted by the governance bodies within departments and units (where applicable), the deans of the primary academic unit where a faculty member is currently appointed and of the secondary academic unit in which a faculty member wishes to establish a formal appointment, and the Provost.

Joint appointments may be established through several means:

- A current faculty member requests a joint appointment in another department or unit;
- Two units or two departments within one academic unit request a joint appointment for a current faculty member;

- Two or more units create a joint appointment, advertise the position as a joint appointment, and subsequently jointly hire a faculty candidate;
- Two or more units create a joint appointment for a specific faculty candidate through a targeted recruitment; and
- During a faculty recruitment, a faculty candidate requests a joint appointment with another department or unit.

III. DEFINITIONS

- **Academic unit:** A free-standing school or college or the University Library; the academic units are the Kogod School of Business, School of Communication, School of Public Affairs, School of International Service, College of Arts and Sciences, School of Professional and Extended Studies, Washington College of Law, and the University Library.
- **Dean:** Refers to the dean of each academic unit and the University Librarian.
- **Full-time faculty:** All tenure-line faculty and term faculty who have a full-time contractual obligation to the university.
- **Joint appointment:** A situation whereupon a faculty member maintains appointments in more than one department or unit across the University.
- **Joint Appointment Checklist:** A guide that is completed by the deans of the primary and secondary academic units involved in a joint appointment and which addresses all relevant details associated with the joint appointment.
- **Pre-tenure faculty:** Tenure-line faculty whom American University have not yet considered for tenure.
- **Primary academic unit:** Unit most relevant to the primary function of the individual involved in the joint appointment; likely the administrative home of a faculty member with a joint appointment; original unit in which the faculty member is appointed.
- **Scholarship or scholarly:** Refers to research, scholarship, and creative or professional activity.
- **Secondary academic unit:** Unit with which the individual involved in the joint appointment intends to affiliate; secondary unit to which the faculty member is appointed.
- **Senior faculty:** All faculty members at the rank of tenured associate professor or above, term associate professor and above, and senior professorial lecturer and above.
- **Teaching unit:** Department, school within an academic unit.
- **Tenure-line faculty:** Refers to all faculty who are tenured or on a tenure track; does not include emeriti and emeritae faculty.
- **Tenure-track faculty:** Refers to all tenure-line faculty who hold pre-tenure appointments at American University.
- **Term faculty:** All full-time faculty with contractual obligations who are not tenure line at American University.

IV. GUIDELINES

When a senior (tenured or senior term) faculty member seeks a joint appointment, the faculty member may first approach the chair of the department or division (or, in the absence of departments and divisions, the dean of the secondary academic unit) with which the individual seeks

to formally affiliate. Conversely, the faculty member may first approach the dean of the primary academic unit or the chair of the department or division in which the individual is currently appointed to discuss the faculty member's interest in formally affiliating with the secondary academic unit or another department within the primary academic unit.

Subsequently, the faculty member must submit a joint appointment request to the dean of the secondary academic unit with which the faculty member wishes to affiliate.

Upon receipt of a formal request, the dean of the secondary academic unit will notify the dean of the primary academic unit and the Office of the Provost. The secondary academic unit dean will then initiate the secondary academic unit's review of the request. If the deans of the primary academic unit and secondary academic unit accede to a joint appointment, the deans of the primary academic unit and the secondary academic unit will then prepare a Joint Appointment Checklist that will address all relevant details associated with the joint appointment.

Joint Appointment Checklist

The Joint Appointment Checklist (see Appendix) will detail how key procedures related to the faculty member's academic career will be carried out, including procedures for teaching assignments and course load, faculty meetings and voting, merit evaluations and salary changes, tenure and promotion, office space and administrative support, service and responsibilities, student advising and dissertation committee service, renegotiation, faculty contract and payment, as well as the units' budgetary obligations, teaching, and indirect cost recovery on grants. The Joint Appointment Checklist should ensure that a faculty member's obligations across multiple units are not greater than those of others with full-time appointments in one unit.

The Joint Appointment Checklist should address all relevant details associated with a proposed joint appointment. These include:

> Designation of the primary academic unit and the secondary academic unit. The primary academic unit will serve as the administrative home of the faculty member, and will ensure that all administrative tasks, including tenure and promotion reviews, are completed in a timely fashion. The primary academic unit will notify the other unit of reviews and will provide the secondary academic unit with opportunities for review and renegotiation of agreements and plans.
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> Procedures for teaching load. The primary academic unit will maintain at least 50 percent of the faculty member's teaching load, which can be determined by a percentage or number of courses. It is advised that the designated teaching load be proportional to the faculty member's percentage of appointment. In the case of cross-school joint appointments, the deans of the primary academic unit and secondary academic unit will jointly determine the faculty member's overall teaching load, in accordance with unit procedures.
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> Faculty meetings and voting. It is expected that a faculty member with a joint appointment will attend faculty meetings and vote on non-personnel actions and personnel actions within the primary academic unit. The parties may come to a decision on whether the faculty member attends faculty meetings in the secondary academic unit, votes on non-personnel actions, and/or votes on personnel actions.

Merit evaluations and salary changes. Each academic unit will undertake merit evaluations and allocate merit increases for a faculty member with a joint appointment, proportional to the faculty member's percentage of appointment.

Tenure and promotion. Tenure is held in the primary academic unit. The faculty member's appointment within the secondary academic unit is at the rank set in the primary unit. Tenure will not be held in the secondary unit. The primary academic unit will undertake tenure and promotion reviews of a faculty member with a joint appointment. The secondary academic unit will provide a letter to the primary academic unit evaluating the faculty member's teaching, research or creative activity, and service (if expected) in the secondary academic unit during the period of joint appointment. In the case of joint appointments made in recognition of the faculty member's interdisciplinary research, a faculty member may request that the primary and secondary academic units assemble an ad-hoc interdisciplinary panel to review the candidate's faculty action file.

Office space and administrative support. The primary academic unit and the secondary academic unit must determine each unit's support of a faculty member with a joint appointment, to include research funds, administrative support, graduate student support, office space, equipment, and faculty mentoring, among others. It is advised that such support be proportional to the faculty member's percentage of appointment.

Service and responsibilities. The primary academic unit and secondary academic unit must ensure that a faculty member's obligations across multiple units are not greater than those of others with full-time appointments in one unit.

Student advising and dissertation committee service. All parties directly involved in a joint appointment – specifically, the department chair or program director (where applicable), the primary academic unit, the secondary academic unit, and the faculty member – will determine whether a faculty member advises and serves on dissertation committees in either or both departments or schools.

Renegotiation. A joint appointment is subject to review and possible renewal at the end of the period covered by the agreement, pending approval of all parties involved.

Faculty contract and payment. The primary academic unit will issue an annual contract to a faculty member with a joint appointment, to include the title and any contractual agreements on compensation or duties associated with the joint appointment. The Dean of Academic Affairs will authorize the transfer of funds to the secondary academic unit to cover its share of compensation and merit increase.

Budgetary obligations. During the period of the joint appointment, the salary and associated fringe (or a percentage of time) underwritten by the primary academic unit and the secondary academic unit should be clarified.

Upon conclusion of the agreement term, the primary academic unit will be responsible for the total compensation of a faculty member with a joint appointment and the transfer arrangements stipulated within the joint appointment checklist will cease.

Teaching. Each academic unit will earn credit for a course taught by a faculty member with a joint appointment in that respective academic unit.

Indirect cost recovery on grants. Indirect revenues will be divided between academic units, as detailed in the *University Policy on Indirect Cost Recovery.*

Approval. The Joint Appointment Checklist will be signed by the faculty member, relevant department chairs or program directors (where applicable), the deans of the primary academic unit and secondary academic unit, and the Provost.

Service

Deans, department chairs, and program directors must ensure that faculty members with joint appointments do not exceed the amount of service required by their colleagues with appointments in a single unit.

Integration

Each unit involved in a joint appointment should take steps to integrate the faculty member within the unit. This will include a new title reflecting a faculty member's joint appointment and may also include the provision of resources, such as mentors, office space, equipment, research funding, and access to graduate students.

In addition, units must ensure the ability of faculty with joint appointments to fully participate in departmental and unit-wide faculty meetings. A faculty member with a joint appointment should be included on all regular faculty communications, including email lists, departmental and unit web pages, and the campus directory (which should identify both units associated with the faculty member).

Finally, when submitting a proposal for extramural funding that includes a faculty member with a joint appointment, the dean of the academic unit that is applying for the extramural funding will inform the dean of the other academic unit (or that dean's designee), to ensure the university's compliance with percentage of overall effort requirements. If an academic unit outside of the primary academic unit and secondary academic unit submits a proposal featuring a faculty member with a joint appointment, deans from the primary academic unit and secondary academic unit should approve of the faculty member's proposal.

Changes in appointment

Faculty members with joint appointments may wish to change them over the course of their academic careers. Likewise departments and units may wish to change the terms of a joint appointment. Any party directly involved – specifically, the faculty member, the primary academic unit or the secondary academic unit – may request an agreement be amended or terminated. While it is advised that such amendments or terminations occur at the conclusion of the current academic year, they may occur at the end of a semester, pending agreement from all parties involved. Should a joint appointment be terminated or should any party decline to renew a joint appointment, the primary academic unit will be responsible for the faculty member's total compensation at the end of the joint appointment agreement. In cases where an extramurally funded project is ongoing in the secondary academic unit at the conclusion of a joint appointment, the project will continue to be administered within the secondary academic unit, with the secondary academic unit transferring funds to the primary academic unit for salary and other expenses, as required.

Criteria for Evaluation
All departments and units should define the standards and criteria they will employ to assess the quality of a faculty member's teaching, research or creative activity and service (if expected). These standards and criteria should take into account the unique features of interdisciplinary and multidisciplinary collaborative activities and the differences between or among units in which a faculty member holds a joint appointment.

Conflict resolution
Should a conflict arise between departments, units or a faculty member in relation to the faculty member's joint appointment, all parties should make a strong effort to address and resolve the conflict immediately.

If resolution appears unlikely at the departmental or unit level, then the faculty member or dean of either the primary academic unit or the secondary academic unit may request a meeting to address the conflict. If necessary, the Dean of Academic Affairs may become involved in order to resolve the issue.

Each unit involved in a joint appointment is required to notify the other unit, should a faculty member with a joint appointment receive disciplinary action.

V. APPROVAL

This Policy is effective April 18, 2014.

VI. SIGNATURE, TITLE AND DATE OF APPROVAL

This policy must be signed by the appropriate officer (listed below) before it is considered approved.

Approved:

Provost

4/18/14

Date Approved:

AMERICAN UNIVERSITY
WASHINGTON, DC

JOINT APPOINTMENT CHECKLIST

Name: _____ **Title:** _____
(e.g., Associate Professor of Physics)

Term of secondary appointment:
For tenured professors, a fixed term must be specified. For term faculty, the term should not exceed the term of the faculty member's contract.

From: _____ **To:** _____
month/day/year month/day/year

	PRIMARY ACADEMIC UNIT	SECONDARY ACADEMIC UNIT
1. School/College Dept. or Division		
2. Teaching Load	Specify teaching load (at least half-time): _____% or _____ course(s)/units per year	Specify teaching load (up to half-time): _____% or _____ course(s)/units per year ☐ Check here if teaching will be renegotiated each year.
3. Faculty Meetings and Voting	The faculty member attends meetings and votes.	Specify arrangements. Attends: ☐ Yes ☐ No ☐ Opt. Votes on non-personnel issues: ☐ Yes ☐ No ☐ Opt. Votes on personnel issues: ☐ Yes ☐ No ☐ Opt.
4. Merit Evaluation and Salary Changes	Merit evaluation is undertaken in the primary academic unit and the secondary academic unit. Merit increases will be awarded separately by the participating academic units through merit funds awarded to the units in proportion to the share of the faculty member's appointment. In the case of joint appointments made in recognition of the faculty member's interdisciplinary research, a faculty member may request that the primary and secondary academic units assemble an ad-hoc interdisciplinary panel to review the candidate's faculty action file.	
5. Tenure and Promotion	Tenure is held in the primary academic unit if the individual is tenured. The primary academic unit conducts promotion and tenure reviews.	The secondary appointment is at the rank set in the primary academic unit. Tenure is not held in the secondary academic unit. The secondary academic unit should forward its recommendation for consideration by the primary academic unit at the time of promotion, which will be included in the promotion dossier. In the case of a term faculty member, if there is non-reappointment in the primary academic unit, the secondary appointment terminates at the same time. Specify any other arrangements.
6. Office Space & Administrative Support	Provided by the primary academic unit.	Specify arrangements.
7. Service and Responsibilities	Major service responsibilities.	Specify expectations. The total service must not exceed that expected of faculty holding appointments in a single department or school.
8. Guidance/ Dissertation Comm.	Faculty member may serve: ☐ Yes ☐ No	Faculty member may serve: ☐ Yes ☐ No

9. Renegotiation	This joint appointment is subject to review and possible renewal at the end of the period covered by this agreement. All parties involved may request an agreement be amended or terminated. While it is advised that such amendments or terminations occur at the conclusion of the current academic year, they may occur at the end of a semester, pending agreement from all parties involved.	
10. Faculty Contract and Payment	The annual contract will be issued by the primary academic unit and will include the title and any contractual agreements on compensation or duties relating to the secondary appointment.	The Dean of Academic Affairs will transfer funds to the secondary academic unit from the appropriate account associated with the appointment.

	PRIMARY ACADEMIC UNIT	SECONDARY ACADEMIC UNIT
1. Budgetary Obligations **For Deans' Use Only** Complete only if appointments reside in different academic units.	The primary academic unit is responsible for the faculty member's total compensation at the conclusion of the agreement term, should any party decline to renew the joint appointment, or upon termination of the agreement.	
2. Teaching **For Deans' Use Only** Complete only if appointments reside in different academic units.	Courses taught are credited to the offering unit. Specify other arrangements.	
3. Indirect Cost Recovery on Grants **For Deans' Use Only** Complete only if appointments reside in different academic units.	Indirect revenues will be divided between academic units, as detailed in the *University Policy on Indirect Cost Recovery*. The indirect cost recovery arrangement is to be included in the OSP routing forms along with the proposal narrative and budget.	

All signatures are required

Faculty Member: _____

Primary Academic Unit	**Secondary Academic Unit**
Chair/Program Director: _____	**Chair/Program Director:** _____
Dean: _____	**Dean:** _____
Provost: _____	**Date:** _____ month/day/year

**File copy with Provost's office.

Last Updated: 03/15/14