

4.

Faculty, Postdoctoral Scholar, and Staff Appointments

The appointment or promotion of a faculty member will, in general, be initiated by a recommendation from the appropriate Division Chair to the Institute Academic Council (IACC). After careful consideration, which for senior faculty will usually include external letters of recommendation and, if necessary or desirable, appropriate interviews, the Provost will make a formal recommendation to the President. Appointments and promotions acceptable to the President will be submitted to the Board of Trustees or its Executive Committee for approval, except for those faculty for whom the Board has delegated the power of approval to the President.

Appointments and promotions approved by the Board of Trustees or its Executive Committee shall be communicated to each individual concerned by means of an official letter of appointment prepared by the Provost and signed by the President, Provost, or Vice Provost. The recipient must sign and return to the Provost's Office an acceptance copy before the appointment or promotion can be effective.

Employment Policies and Affirmative Action

The quality of instruction and research at the Institute depends first and foremost on the quality of its employees whether professors, administrators, staff, researchers, engineers, or artisans. To maintain its stature, the Institute must give its highest priority to searching for and promoting employees of exceptional qualifications at all levels. Within this context, the California Institute of Technology is an equal opportunity employer and, in every respect, is committed to an active Affirmative Action Program.

It is the stated policy of the Institute that all faculty and staff employees and applicants shall receive equal consideration and treatment. All recruitment, hiring, placements, transfers, and promotions will be on the basis of qualifications of the individual for the position being filled regardless of sex, race, creed, color, religion, national origin, ancestry, age, marital status, pregnancy, gender, gender expression, gender identity, sexual orientation, genetic information, status as a disabled veteran, or other eligible veteran, otherwise qualified disability, or any other condition protected by the state and federal law. All other personnel actions such as compensation, benefits, layoffs, returns from layoff, termination, training (including apprenticeship and tuition assistance), and social and recreational programs are also governed by this policy.

In addition, the many federal and state laws, and regulations issued thereunder, which bar discrimination in employment and related activities, are also applicable.

The objective of the Institute's Affirmative Action Program is wherever possible to recruit actively and include for consideration for employment members of minority groups, women, veterans, and the handicapped. All decisions on employment and promotions must be made solely on the individual's qualifications (merit), bona fide occupational qualifications for the job in question, and the reasonableness of any necessary job accommodations.

Any person needing additional information or assistance concerning the application of federal and state laws and regulations should contact the Provost's Office.

Administrative Appointments of Faculty Members

Faculty members in administrative positions serve in those positions at the pleasure of the President or Provost. The duration of such appointments is usually for a period of three or five years with the understanding that a review at that time may lead to a renewal of the appointment for a further three or five-year period. A three or five-year commitment is long enough for the appointee to grow to the position and to achieve significant results but short enough so that return to full-time teaching and research is possible. A second appointment would normally allow completion of a comprehensive set of objectives in an administrative position. A third such appointment would therefore be unusual, but is not excluded. In recognition of administrative service, a salary increment, specified in the letter of appointment, may be added to the base salary of the faculty member for the duration of the

administrative appointment only. Individuals appointed to administrative positions from outside the Institute are subject to a similar set of considerations.

Administrative Committees

The Administrative Committees of the Institute are appointed by the President or Provost. A list of the current committees and their members may be found in the *Caltech Catalog*.

Emeritus Faculty Members

It has been the tradition at Caltech that many retired professorial faculty members continue to maintain close contacts with the Institute. The continuation of this association can be enjoyable and beneficial to the retired faculty members and it can be of substantial advantage to the Institute. It reduces the abruptness of retirement; it maintains academic relationships; it fosters useful work; and it provides the younger faculty members with invaluable sources of experience and wisdom.

Any professorial members of the faculty of age 62 or greater who have served on a full-time basis for ten years or more prior to their retirement may be considered for appointment to appropriate emeritus status. Recommendations, based upon distinguished academic accomplishments at the Institute, will be made by the appropriate Division Chair to the Provost for the approval of the Board of Trustees. Privileges of emeritus professors are in Chapter 5.

Research Faculty

Research faculty members have traditionally played an important role in keeping the research activities of the Institute at the forefront. Because of changes that occur in research support, directions, resources, and professorial personnel, it is necessary that research appointments be made on quite specific terms. Any exceptions to the following guidelines for appointment of research faculty members must be specifically stated in each letter of appointment or reappointment.

Research faculty appointments are non-tenure-track and require the association of the appointee with a specific professorial faculty member. Appointments are contingent on continuation of the appointee's research area and its level of funding. In case of discontinuation of the appointee's research area or significant diminution of fiscal support for the appointee's work in it, the Institute, at its discretion, may give notice of termination. Such termination will be effective twelve months after the date of notice or at the previously specified appointment expiration date, whichever comes first. Notice of nonreappointment or of intention not to reappoint senior research faculty made for other reasons shall conform to "The Standards for Notice," Chapter 3 (1, 2, and 3).

A senior research faculty member may be a principal investigator on a grant or contract only with the approval of the cognizant Division Chair and of the Vice Provost, and only for projects for which a member of the professorial faculty is either co-investigator, or assumes formal responsibility for the validity and importance of the research and management of the budget. Within the scope of the general guidelines, senior research faculty (research professors and research assistant professors) may be cooperative or independent in research.

Nonresearch-related activities, including any occasional or voluntary teaching or service on administrative or faculty committees by the members of the research faculty, should be consistent with the purpose of the source of salary support, which is most often wholly from outside grants or contracts. Institute teaching assignments for research faculty members are to be undertaken only on an occasional and strictly voluntary basis. Temporary appointment to the rank of Lecturer is required, and compensation is normally paid to the research budget rather than to the individual. Supervision of thesis research undertaken by graduate students is permitted provided the responsible thesis advisor is a member of the professorial faculty.

Evaluation of the performance of research faculty is made only on the basis of their contributions to research. Senior research faculty appointments and reappointments are recommended and approved according to administrative procedures for faculty status as described in the first section of this chapter. Please see Chapter 8 for further discussion of policies regarding research faculty.

Research Professors

Research professor appointments are made to individuals who have achieved national and international recognition for research and scholarly achievement. The appointment is normally for three years. Performance as research

professor, and the desirability of continuation of the association of the appointee with the Institute, will be reviewed by a committee appointed by the cognizant Division Chair at regular intervals, not to exceed five years.

Research Assistant Professors

Appointments as research assistant professor are made for terms up to three years, but the rank of research assistant professor may only be held for a total of six years. In no instance may the amount of time spent in the combined ranks of postdoctoral scholar, senior postdoctoral scholar and research assistant professor exceed nine years. Renewal after the first two or three years as research assistant professor will be made on the basis of recommendations by a review committee appointed by the cognizant Division Chair.

Faculty Associates and Senior Faculty Associates

The titles of faculty associate or senior faculty associate may be conferred on rare occasions to a few individuals who have high professional attainments and who would be expected to make a substantial contribution to the Institute's research program. These appointments are not nor should they be viewed as part of a routine sequence of ranks available to Caltech campus or JPL employees. All appointments with these titles will be without additional stipend from the Institute, will be for a definite term not to exceed three years, and carry no implication of tenure. These appointments will not be extended beyond a total of five years without review by the faculty of the Division concerned. All appointments of faculty associates will be recommended and approved by the procedures used for research professors. Persons with these titles may hold research grants only with the approval of the Division Chair and Vice Provost, and if the grant proposals are cosponsored by a member of the professorial faculty. Senior faculty associates may use resources from such grants to offset their normal JPL salary only.

Teaching Faculty

Teaching faculty members are an integral part of the Institute's teaching program and serve as an important resource for our undergraduate and graduate students. Any exceptions to the following guidelines for appointment of teaching faculty members must be specifically stated in each letter of appointment or reappointment.

Teaching faculty appointments are non-tenure-track and require sponsorship from a Division Chair. Appointments are contingent on continuation of the instructional needs of each Division. In case of discontinuation of a teaching faculty appointment, the Institute, at its discretion, may give notice of termination. Such termination shall conform to "The Standards for Notice," Chapter 3 (1, 2, and 3).

Teaching faculty members may serve as members of thesis committees and may supervise undergraduate research, but may not supervise graduate research. Proposals for teaching grants require professorial faculty sponsorship and approval by the Division Chair and Vice Provost for Research. Teaching faculty members may participate in research activities, but may not apply for research grants. Evaluation of the performance of teaching faculty is made on the basis of their contributions to the teaching program.

Teaching Professors

Teaching Professor appointments are made to individuals who have achieved a high level of distinction in teaching. The appointment is normally for three years. Performance as teaching professor and the desirability of continuation of the association of the appointee with the Institute will be reviewed by a committee appointed by the cognizant Division Chair at regular intervals, not to exceed five years.

Teaching Assistant Professors

Teaching assistant professor appointments are made to individuals who show promise to achieve a high level of distinction in teaching. The appointment is made for terms up to three years, but the rank of teaching assistant professor may be held for only a total of six years. Renewal after the first two or three years as teaching assistant professor will be made on the basis of recommendations by a review committee appointed by the cognizant Division Chair.

Instructors

An appointment as instructor at the Institute is normally for full-time teaching and research. Appointments may be made for one or two years, but the rank of instructor may be held for no more than a total of three years. Appointment as instructor is not tenure-track and time served as instructor, whether at the Institute or elsewhere, does not count toward academic tenure.

Lecturers

Lecturer appointments are not tenure-track and are primarily for specific teaching assignments customarily on a part-time basis. In rare instances and on an individual basis, lecturers with substantial teaching loads and long service will be given multi-year term appointments that also make them eligible for participation in the faculty retirement plan. Time served as lecturer at the Institute or elsewhere does not count toward the probationary period of academic tenure. Lecturer appointments will be extended on the basis of review no less frequently than every fifth year, unless it is clear that the sixth year will be the last year. Standards of notice for Lecturers are governed by their individual contracts.

Visiting Members of the Faculty*Visiting Professors*

Visiting professors (of the different ranks) must teach at least one course while in residence at the Institute.

Visiting Associates

Visiting associates are appointed for study or research. Teachers or investigators associated with other institutions who expect to stay at the Institute more than one month, or who will spend the equivalent of one day per week or more on campus over an extended period of time, should receive this appointment. The Division Chair concerned recommends the visitor's appointment to the Provost, and an official notice of appointment is sent by the President. Appointments of visiting faculty members will be extended beyond a cumulative total of five years only on the basis of recommendations resulting from a review process set up by the cognizant Division Chair.

Faculty Records Office

Faculty members must provide the Faculty Records Office with the following information and promptly make notifications of any changes therein.

1. Changes in name and/or marital status.
2. Correct addresses and telephone numbers.
3. Forwarding addresses.
4. Honors and awards received.
5. Any change in visa status (inform the Faculty Records Office and the Office for International Scholar Services).

Other Members of Staff of Research, Instruction, and Professional Service*Postdoctoral and Senior Postdoctoral Scholars*

The principles, policies, and administrative procedures concerning Postdoctoral Scholars and Senior Postdoctoral Scholars are published in the [Postdoctoral Scholars Handbook](#) which is available from the Postdoctoral Scholars Office.

Visitors

Visitors are appointed for terms of no more than one year, and may be reappointed for a total of up to three years. A division may request exceptions as to the term of an appointment or as to the overall length of time a visitor stays at Caltech. Such requests should be in the form of a strong, well-documented recommendation and require approval by the Provost. Visitors are not considered members of the Caltech faculty nor may such appointments be considered a pathway to regular employment. They may be full-time or part-time, paid or unpaid. The criteria for appointment are as follows:

1. A visitor must be nominated by an active professorial faculty member who is a colleague and is responsible for making her or his stay at Caltech mutually beneficial.
2. A visitor must have an established position or relationship (e.g., registered student, on sabbatical, leave, on loan, etc.) with another academic or research institution or other approved organization/entity.

Insurance Coverage for Visitors

Required insurance coverage will vary depending on each visitor's circumstances. Caltech will determine what coverage(s), if any, are needed in each case, what individual or entity is to pay for its cost, and through what process such transactions are to be executed.

Foreign National Visitors

Foreign national appointees must show evidence of an appropriate visa that is current and will remain valid for the duration of the proposed period of appointment. Foreign national appointees for whom Caltech sponsors a visa must be able to demonstrate financial support sufficient to provide for a stipend equal to or exceeding the minimum rate set for graduate research assistantships paid by Caltech plus appropriate insurance coverage fee(s).

Visitor Entitlements and Restrictions

1. A 'visitor' identification card.
2. Listing in the campus directory.
3. Membership in the Athenaeum if the visitor's status meets Athenaeum eligibility criteria.
4. Participation in Caltech's benefit plans, consistent with eligibility criteria for each program.
5. May not serve as principal investigators or co-investigators on sponsored or non-sponsored research grants or contracts.

Graduate Student Assistants

Graduate assistantships require services related to teaching or research for which no academic credit is given. Graduate fellowships and scholarships require study and research for which academic credit is given. Some fellowships involve teaching duties as well. In general, graduate scholarships provide only tuition grants.

All official appointments or terminations of registered graduate students to fellowships, scholarships, and graduate assistantships are made through the Office of the Dean of Graduate Studies on the basis of recommendations made by the appropriate Divisions. Appointees are members of the staff of research and instruction but are not members of the faculty.

Members of the Professional Staff, Members of the Beckman Institute, and Librarians

Members of the professional staff have educational backgrounds, daily activities, and contributions to the scientific and technical operation and planning of the Institute that are in many ways comparable to those of the staff of research and instruction. Members of the Beckman Institute are scientists or engineers who, on the basis of their experience and abilities, are expected to make major contributions to the activities of one of the Resource Centers of the Beckman Institute. Their designation as members of the professional staff or members of the Beckman Institute conveys special recognition and appreciation by their colleagues and the Institute. The librarians are individuals who have a high level of knowledge and expertise in the field of library science, and who have demonstrated outstanding leadership, initiative, and ability to anticipate and implement changes to improve library operations.

Nonresearch-related activities, including any occasional or voluntary teaching or service on administrative or faculty committees, by members of the professional staff and members of the Beckman Institute should be consistent with the purpose of the source of salary support. Institute teaching assignments are to be undertaken only on an occasional and strictly voluntary basis. Temporary appointment to the rank of Lecturer is required, and compensation is normally paid to the original funding source rather than to the individual.

Staff Employees

Complete information on appointment, promotion, and termination of staff employees (support, professional, and managerial) is given in Institute policies and personnel memoranda, which are provided to supervisors and are available on the Caltech web site.

Nonresearch-related activities, including any occasional or voluntary teaching or service on administrative or faculty committees, by staff members should be consistent with the purpose of the source of salary support. Institute teaching assignments are to be undertaken only on an occasional and strictly voluntary basis. Temporary appointment to the rank of Lecturer is required, and compensation is normally paid to the original funding source rather than to the individual.

Grievance Procedures

It is the policy of the Institute to establish and maintain the necessary atmosphere for a sound faculty/administration relationship. To this end, individual faculty members must have the opportunity to submit complaints or grievances arising from their service at the Institute. The Institute has provided the following procedures to give such cases careful consideration and to try to bring them to a fair and speedy solution.

Consultation

Faculty members may consult with the Provost's Office, the Human Resources Office, and/or the Staff and Faculty Consultation Center prior to or during the processing of any grievance.

Informal Procedures

If a faculty member or a group of faculty members has a complaint or grievance it may be useful to discuss the matter informally with the appropriate Division Chair, the Provost, or the Chair of the faculty. There is also a faculty ombudsperson appointed by the Chair of the faculty to hear the complaints and grievances of faculty members and to help, through conciliation, with their resolution. The faculty ombudsperson can often serve a useful intermediary role, particularly in circumstances that involve misunderstandings or lack of proper information. The Chair of the Faculty Committee on Academic Freedom and Tenure may be able to provide useful guidance in matters within the purview of the committee.

Formal Requests for Consideration of a Grievance

If informal procedures fail to resolve a grievance satisfactorily, the faculty member may file a report of the grievance with the Provost. This should be a clear, concise statement including the faculty member's understanding of the decisions already rendered by the Division Chair or other administrative personnel, and the faculty member's desired remedy or correction. The Provost will then obtain from the faculty member's Division Chair a written statement of the Division Chair's view of the grievance stated by the faculty member and will take such steps as would be useful or effective in response to the faculty member's grievance. The Provost will subsequently answer the faculty member in writing with a suggested resolution of the grievance.

Appeals

Three types of grievances are recognized, and each type is handled differently. (1) Appeals to decisions by the Provost involving issues of academic freedom or tenure, including a decision not to reappoint a tenure-track professorial faculty member, are heard by the Academic Freedom and Tenure Committee. An appeal contesting termination of a continuous professorial appointment or a term faculty appointment prior to its expiration may, if requested by the faculty member, be considered by the Academic Freedom and Tenure Committee. (2) If the Academic Freedom and Tenure Committee declines to consider the case on jurisdictional grounds, the appeal will be heard by a faculty Hearing Committee. A faculty Hearing Committee may also consider appeals deemed by the Chair of the faculty to be appropriate for such a committee. (3) All other appeals are heard by an Ad Hoc Appeals Committee. Each of these cases is presented in more detail below.

If the concern of a faculty member involves issues dealing with either academic freedom or tenure, including a decision not to reappoint a tenure-track professorial faculty member, appeals from decisions of the Provost will be heard by the Academic Freedom and Tenure Committee. The chair of the committee should be given a written complaint detailing what is to be investigated. The committee will conduct its deliberations and investigations, and transmit its findings and recommendations in the manner prescribed by the Academic Freedom and Tenure Committee guidelines (this chapter). A written report need not be given if the complaint is withdrawn by the complainant or if the issue is resolved informally prior to the submission of a written final report. A faculty member considering filing an appeal should review the Academic Freedom and Tenure Committee guidelines in this chapter. If the case involves termination of a continuous professorial appointment, or of a term faculty appointment prior to its expiration, the Board of Trustees will take final action after reviewing the recommendations of the President, the report of the faculty Academic Freedom and Tenure committee, comments, if any, by the Chair of the faculty, and comments, if any, by the complainant and the person or persons against whom the complaint is primarily directed.

Where termination of a continuous professorial appointment, or of a term faculty appointment prior to its expiration, is involved, and the Academic Freedom and Tenure Committee has either not been requested to hear the appeal, or has declined to do so, the appeal will be heard by a faculty Hearing Committee. The faculty Hearing Committee will conduct interviews, take evidence, and provide an opportunity for the complainant to be heard and

challenge its findings. A record of the proceedings will be maintained by a designated member of the committee. The complainant shall have the right to bring a non-participating faculty colleague to any meeting of the faculty Hearing Committee that the complainant attends. The faculty Hearing Committee shall be constituted and shall make its recommendation as prescribed by the faculty bylaws. A written report need not be given if the appeal is withdrawn by the complainant or if the issue is resolved informally prior to the submission of a written final report. The Board of Trustees will take final action after reviewing the recommendation of the President, the report of the faculty Hearing Committee, comments, if any, by the Chair of the faculty, and comments, if any, by the complainants and the person or persons against whom the complaint is primarily directed.

If the subject of the faculty member's complaint does not fall within the purview of the Academic Freedom and Tenure Committee or a faculty Hearing Committee, or if both of those committees decline to make recommendations on all of the substantive issues, within one month of receipt of the Provost's suggested resolution of the grievance, the faculty member may submit to the Chair of the faculty a written request for consideration of an appeal. The Chair of the faculty will then appoint a five faculty-member Appeals Committee to review the matter. This committee will begin its deliberations within fifteen working days of receipt of the notice of its appointment and proceed with all deliberate speed. The faculty Appeals Committee will conduct interviews, take evidence, and provide an opportunity for the complainant to be heard and to challenge its findings. The complainant shall have the right to bring a non-participating faculty colleague to any meeting of the faculty Appeals Committee that the complainant attends. A written report need not be given if the appeal is withdrawn by the complainant or if the issue is resolved informally prior to the submission of a written final report. The recommendations of the faculty Appeals Committee shall be submitted in writing to the Chair and Vice Chair of the faculty, to the complainant, to the Provost, to the person or persons against whom the complaint is primarily directed, and to the President. The President's decision will be final, and all parties will be so notified.

Academic Freedom and Tenure Committee Guidelines

The Academic Freedom and Tenure Committee (henceforth AFTC) deals with matters pertaining to infringement of academic freedom and appeals against non-reappointment of faculty or a decision not to grant tenure to a professor.

Faculty who wish to appeal nonappointment or professors who wish to appeal a decision not to grant tenure must notify the Chair of the AFTC in writing within 30 days of being informed by the Provost of this decision. A member of the Caltech faculty or postdoctoral scholar who wishes the AFTC to investigate a possible infringement of academic freedom, must likewise contact the Chair in a timely manner, typically within a year of the alleged infringement.

If, after discussion with the Chair of the AFTC, the complainant still wishes the AFTC to consider the case, the hearing shall be conducted according to the following principles:

- i. Any member of the AFTC who has a prior involvement with the case or other conflict of interest, will be replaced by a former member of the AFTC chosen by the AFTC Chair in consultation with the Chair of the faculty.
- ii. To facilitate its considerations, the AFTC may delegate individual members or establish subcommittees to gather evidence and prepare recommendations for the full committee's consideration.
- iii. One member of the AFTC will be designated to maintain a record of the proceedings.
- iv. All committee members are expected to be present whenever the full committee discusses a case. A quorum for committee meetings comprises four of the six members in attendance.
- v. In hearing a case, the committee shall review the entire record and may seek additional written or oral testimony related to the complaint, as is necessary. The committee's deliberations shall remain confidential to the committee until a final report is submitted.
- vi. The complainant and the person or persons against whom the complaint is primarily directed (for example, the President or Provost or Division Chair in the case of denials of reappointment or tenure) shall each be afforded the opportunity to meet with the committee before it completes its review, to present their views on the issues underlying the complaint. The complainant is entitled to be accompanied by another member of the Caltech faculty or postdoctoral scholar as a non-participating observer during meetings with the committee.
- vii. At any stage of these proceedings, the complainant has the right to withdraw the complaint, at which point the AFTC's investigation will cease and any draft reports that may have been written will be destroyed. This provision is intended to facilitate informal resolution of the dispute.

- viii. If and when the committee completes its investigation and is ready to recommend upon the facts of the case, it will prepare a final written report. Copies of this report will be sent to the Chair and Vice Chair of the faculty, the grievant and any additional person or persons against whom the complaint is primarily directed.