

*The Report of the Faculty of Arts and Sciences  
Tenure and Appointments Policy Committee*

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THE TENURE AND APPOINTMENTS PROCEDURES of the Faculty of Arts and Sciences at Yale establish the essential processes through which outstanding professors are named in every rank. The procedures also animate the high standards for scholarship and research, for teaching students, and for university citizenship that have long placed Yale among the great universities. For these reasons, they must be rigorous, clear, and fair, and must be perceived as such.

Committees appointed from the Faculty of Arts and Sciences have reviewed its tenure and appointments procedures several times in the past half-century. In 1965 a committee chaired by Professor Robert Dahl described standards for excellence in scholarship and teaching to guide faculty appointments and underwrite criteria for tenure. Professor James Tobin chaired a committee in 1981 that confirmed the principles established in the Dahl report and delineated search and evaluation procedures for appointments to the Faculty of Arts and Sciences. A committee chaired by Professor John Hartigan in 1996 recommended procedural changes, especially in the conduct of searches.

In April 2005 Provost Andrew Hamilton appointed a new committee – the fourth since 1950 – to review the Faculty of Arts and Sciences tenure and appointments system. As the Provost wrote, “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, tensions between the demands of an academic position and those of family and personal life, plus a desire to know more about the actual workings of our own current methods – all make it appropriate to assess our appointments and tenure process again as we enter the twenty-first century.”

Provost Hamilton had expected, and the committee initially believed, that the committee’s work might be completed in the fall of 2005 or the spring of 2006. But the complexities of tenure and appointments demanded a deliberateness, care, and wide consultation that have required fifteen months of meetings and discussion.

The committee believes it is important to think anew and comprehensively about tenure and appointments. An effective modern tenure and appointments system has one goal – to develop, nurture, and sustain a faculty so widely acknowledged as distinguished that both the faculty and the means of its appointment are taken as measures of excellence in modern university research and scholarship. In making its report, the committee recommends a new tenure and appointments system for the Faculty of Arts and Sciences that responds affirmatively to the unfolding realities of twenty-first-

century academic life, just as the Dahl, Tobin, and Hartigan reports established tenure and appointments systems for the last decades of the twentieth century.

The changes recommended in this report are critical to sustaining Yale's exceptional standards for faculty appointments in all ranks. The faculty's intellectual leadership, scholarly stature, engaged teaching, and committed citizenship constitute the heart of the University. The force of Yale's long-held standard for tenure appointments – that faculty must “stand in competition with the foremost leaders in their fields throughout the world” – must be reasserted and reinvigorated for a new century and in an increasingly international setting. Attaining this goal is the primary purpose of this report.

The appointment, mentoring, and assessment of non-tenured faculty, including their possible promotion to tenure, and the recruitment of outstanding new senior faculty, are essential to the vitality of a great university. At all ranks, appointments meeting the highest standards must continue to distinguish the faculty if Yale is to secure and enhance its stature among the world's preeminent universities in the next half-century. Accordingly, the report recommends important changes in the recruitment, mentoring, and evaluation of non-tenured faculty, and in the conduct of external searches, to enhance the University's ability to appoint and retain the world's foremost scholars.

The following points summarize the essential features that the committee recommends in the Faculty of Arts and Sciences tenure and appointments system:

- \* Consideration for promotion to tenure will be detached from resource issues. All new non-tenured appointments to the ladder faculty will be understood to carry the resources required for tenure, should tenure be warranted on the basis of merit.
- \* Internal candidates for tenure will be evaluated comparatively with others in their field rather than standing as candidates in open searches.
- \* The Committee affirms the tenure standard described in the current *Yale University Faculty Handbook*: “Professors are expected to stand in competition with the foremost leaders in their fields throughout the world.” Evaluations for tenure rightly emphasize the impact and continuing promise of a candidate's research and scholarship, as well as excellent teaching and engaged university citizenship within and beyond his or her department or program, all necessarily intertwined.
- \* The size, configuration, and resources of each department and program should be discussed regularly, at occasions such as the annual fall meetings of the department chair with members of the Provost's office and in meetings with the divisional advisory committees whenever vacancies occur or incremental positions are requested.

- \* A slightly shorter “clock,” earlier leave eligibility, and alert, vigorous mentoring will assist younger faculty in achieving the scholarly distinction they and the University seek.
- \* A ladder faculty member may serve up to seven years as a non-tenured assistant professor – an initial four-year appointment that includes an internal third-year review with the expectation of a three-year reappointment.
- \* Preferably in the fifth year and no later than in the sixth year, every non-tenured ladder faculty member will be evaluated for promotion to associate professor on term. The standard for promotion to associate professor on term will be: significant published research and scholarship representing early demonstrations of disciplinary or interdisciplinary leadership; excellent teaching and mentoring of students; and engaged university citizenship. These will be assessed by the relevant Yale departments and programs and by experts outside Yale. Departments are urged to bring strong promotion cases forward in the fifth year or even earlier, but all non-tenured faculty must be reviewed for promotion to associate professor on term by the sixth year.
- \* By the end of the eighth year, all ladder faculty promoted to associate professor on term will be reviewed for tenure through assessments that include appraisals by expert referees outside Yale, unless the faculty member waives this review.
- \* Normally, only those faculty members promoted to associate professor on term will be reviewed for tenure. However, in exceptional cases and upon application by the department, assistant professors not promoted to associate professor on term may be reviewed for tenure with the approval of the Faculty of Arts and Sciences Steering Committee in concert with the appropriate divisional advisory committee.
- \* All assistant professors will be eligible for a one-year, paid leave to be taken at any time within their second to fourth year at Yale, after submitting a research plan approved by the department chair and the cognizant dean, that is, the Dean of Yale College or the Dean of the Graduate School of Arts and Sciences.
- \* All faculty promoted to associate professor on term will be eligible for a one-year, paid leave in the first or second year following promotion, after submitting a research plan approved by the department chair and the cognizant dean.
- \* All departments will create a mentoring program for assistant and associate professors on term. Mentoring will be overseen by the Deputy Provost for Faculty Development and the cognizant dean.
- \* The committee affirms the imperative of diversifying the faculty as central to its intellectual leadership in the world, and endorses the announced initiatives to increase faculty diversity. The current search and appointment processes must evolve further to achieve faculty diversity.

- \* The committee affirms the recent changes to Yale policies that encourage the appointment of women and underrepresented minorities. The timing of appointments, reviews, and evaluations proposed here is subject to the extensions provided by these policies as described in the current *Faculty Handbook*.
- \* If the committee's recommendations for change in the system of tenure and appointments are accepted, they will apply to all faculty whose appointments begin July 1, 2007, and later. Non-tenured faculty appointed under the current system have the option of remaining in that system or of moving to the new system.
- \* The committee recommends that if the new system of tenure and appointments is initiated on July 1, 2007, it should be reviewed after the tenth full year of implementation, in the 2017–2018 academic year, and every ten years thereafter.

*The Committee and  
Its Proceedings*

THE FACULTY OF ARTS AND SCIENCES Tenure and Appointments Policy Committee was chaired by Jon Butler, Dean of the Graduate School of Arts and Sciences, and Peter Salovey, Dean of Yale College. Its members included the four divisional directors, Anna Marie Pyle (Biological Sciences), Howard Bloch (Humanities), A. Douglas Stone (Physical Sciences), and Alvin Klevorick (Social Sciences), and three additional faculty members, Jonathan Holloway (African American Studies and History), Marcia Johnson (Psychology), and Meg Urry (Physics and Astronomy).

The committee met thirty-one times after beginning its substantial work in September 2005. It held separate meetings with the chairs of departments in the humanities, sciences, and social sciences. The committee met with a variety of faculty members, often in groups, including senior faculty, non-tenured faculty, and faculty especially interested in diversity. Its Web site for faculty comment on tenure and appointments received many informative and helpfully detailed responses. It met with John Goldin, Director of the Office of Institutional Research, and considered available data on faculty composition, the tenure process, and the time served in rank by Yale ladder faculty (included as an Appendix to this report). The committee held telephone conversations with provosts or deans of faculty in three comparable institutions, met with President Levin and with members of the Yale Provost's office, and reported on its progress at three meetings of the Yale Corporation. This report is the product of these meetings and discussions.

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FOR APPROXIMATELY TWO HUNDRED AND FIFTY YEARS since Yale's founding in 1701, faculty appointments emerged from a confluence of informal agreement, and occasional disagreement, among faculty and administrators, usually through customs not always consistently followed and not always set out in principle. De facto tenure typified many faculty appointments, but faculty could be, and were, easily dismissed, although some endowed chairs carried agreements that their occupants were appointed for life. As late as the 1970s, tenure recommendations could emerge from departments through informal discussions, sometimes without formal searches, although the assessment of tenure candidates by the divisional committees had been in place for some time.

In this regard, it is important to remember what the Dahl, Tobin, and Hartigan reports accomplished. They recommended procedures for appointment and tenure that took account of the dramatic post-World War II changes that transformed Yale and all American research universities, and each committee affirmed that the creation and maintenance of stellar faculties teaching splendid students was the simple and elegant aim of a system of tenure and appointments. This process of self-examination, and the ideals it reflected, had been equally important earlier in the twentieth century. As the 1965 Dahl report noted, by the 1920s "Yale [had] assumed the responsibility imposed by its national prestige and strength and [had become] a comprehensive and complex university with both a strong university college and first-rate graduate and professional departments and schools. To keep its parts excellent and the whole in balance has been the ambition of Yale since that time."

The committee recommends substantial changes in Yale's Faculty of Arts and Sciences tenure and appointments system "to keep its parts excellent and the whole in balance." To uphold and advance this excellence and to balance the desire for openness, efficiency, and intellectual excellence, it is time to create a new system of tenure and appointments that will enable Yale to continue to compete nationally and internationally.

The current system has produced a university of exceptional distinction, whose world-renowned faculty and vigorous, well-designed programs draw students of extraordinary caliber to undergraduate and graduate programs alike. At the same time, the committee's extensive meetings with faculty from many different segments of the University also revealed important difficulties in the actual practice of Yale's tenure and appointments system during the past two decades, especially in internal appointments, but also in the procedures for making external ones.

Yale now is alone among American colleges and universities in failing to provide, at the initial appointment, resources for a potential tenured appointment should the

faculty member eventually qualify. It is also unique in requiring a non-tenured faculty member to become a candidate for tenure in a new, open search, rather than evaluating the faculty member against the highest standards for scholarship, teaching, and university citizenship, and in comparison with others. The ten-year limit on non-tenured faculty appointments, later called Yale's "tenure clock," but first mentioned at Yale in the 1930s as a way of limiting so many long-standing non-tenured faculty appointments, may actually slow scholarship and research. It often pushes tenure decisions to a decade after the initial academic appointment and places unsuccessful candidates out of synchrony with the job market in most fields. Many departments find themselves at a competitive disadvantage in hiring non-tenured faculty because other high-ranking departments can promise tenure decisions earlier and without reference to resource constraints. The extended system of "first-stage," "second-stage," and sometimes "third-stage" letters is widely disliked by current and former department chairs and by colleagues outside Yale, who complain about the frequency with which they are asked to evaluate fields and potential tenure candidates, and about confusing lists of candidates and non-candidates.

Yale's current system is distrusted by some non-tenured Yale faculty. It is anomalous within American higher education and not always practiced uniformly among the divisions or at times within departments, and non-tenured faculty often do not understand why resources have been provided for some tenure positions but not others. Finally, the system is not always well understood by senior colleagues, including department chairs, in ways that lead to additional confusion among non-tenured faculty. To put it metaphorically, the system may be like trying to support the University on the Swiss franc, a unique currency with increasingly high transaction costs. The committee strongly believes that Yale must modify its system of tenure and appointments to suit current conditions within the University and outside of it as well.

*Proposed Appointment,  
Promotion, and Tenure  
System Resources*

EVERY COLLEGE AND UNIVERSITY must have systems to allocate faculty funding, space, and curricular and research support. For several decades Yale has managed its resources for supporting non-tenure and tenure appointments through an accounting system of Junior Faculty Equivalent, or JFEs. Developed in the 1980s, this system assigns one JFE to each new non-tenure appointment but requires two JFEs for each tenure appointment. The second JFE is typically acquired from JFEs the department controls through retirements or departures, through "mortgages" on positions held by faculty about to retire, or by grants of incremental JFEs by the Faculty of Arts and Sciences Steering Committee in consultation with the appropriate divisional advisory committee.

The committee strongly believes that Yale should shift the locus of discussion of faculty resources from support for tenure appointments to the moment when incremental appointments and replacements at any level are proposed. Departments, the divisional committees, and the Faculty of Arts and Sciences Steering Committee will engage in more vigorous, open, and imaginative conversations when they emphasize opportunities in disciplines and fields and are not inflected by the personal considerations unavoidably present when positions already have occupants.

Providing resources for the potential tenure of newly appointed faculty strengthens the recruitment of new and younger faculty who refresh every discipline. It also has a special impact on diversifying the faculty. Yale's progress in increasing the presence of women and underrepresented minorities on the faculty can be attributed in part to tenuring outstanding faculty who were first appointed at Yale as assistant professors. A tenure and appointments system that impedes applications for Yale positions and inhibits new appointments of non-tenured faculty also will slow the effort to diversify the faculty; knowledge that decisions about resources for tenure positions are not made until six to ten years after the initial appointment increases the difficulty Yale has making excellent initial appointments, including appointments of women and underrepresented minorities.

*Appointment of New  
Assistant Professors and  
Their Promotion*

FOUR CHARACTERISTICS will shape the success of a new system of tenure and appointments: the appointment and evaluation criteria, procedures, and schedule prior to tenure decisions; the tenure "clock" or the time that non-tenured faculty may remain at Yale; earlier leave eligibility to promote early achievement of significant scholarship and research; and a culture that promotes effective senior faculty mentoring for non-tenured colleagues.

Providing resources for possible tenure consideration of every newly appointed assistant professor significantly increases the importance of initial faculty appointments. The University must ensure that the best of our practices in appointing new assistant professors is observed by every department and program – open and vigorous searches, campus visits for finalists, careful faculty scrutiny of the candidates' scholarship and research, and attention to the capacity for engaged and vivid teaching. Departments should not merely "fill" vacancies but appoint only new faculty they believe can move confidently into well-supported faculty positions and successfully complete a review for promotion to associate professor on term in five to six years. Searches should be carried over to another year if such appointments cannot be made.

Diversity efforts also need strengthening. Every year the newly established office of Deputy Provost for Faculty Development should provide hiring committees,



department chairs, and divisional advisory committees with information on applicant pools, techniques to increase the range of applicants seriously considered for positions, and research on bias in evaluation as part of the effort to increase substantially the diversity of faculty in all departments.

Because the proposed system ensures resources for tenure to faculty members who meet the University's requirements, the increased importance of the initial appointment requires amplified attention to search procedures and appointment standards. Candidates for assistant professorships should hold the Ph.D. or relevant terminal degree or must expect to receive the degree in the first year of their Yale appointment. They should exhibit potential for significant research and scholarly publication, and demonstrate excellent prospects for creative teaching and effective student mentoring. Searches must be rigorous and thorough, with the objective of appointing the finest and most promising faculty.

We considered several options to increase the oversight of searches for assistant professors, including instituting a faculty committee on initial appointments. But the atrophy of such responsibilities into a pro forma review in an earlier Term Appointments Committee at Yale suggests this is not a workable approach. Instead, we propose that the cognizant deans oversee initial searches, similar to the way they now oversee tenure searches, by receiving reports from the department chair as searches proceed through their principal stages, but with the added ability in exceptional circumstances to disapprove an initial appointment. If a proposed non-tenured appointment were to elicit serious concerns about the search process or the candidate, the cognizant dean would consult the relevant department officers, the appropriate divisional director, and the Faculty of Arts and Sciences Steering Committee before disapproving any appointment. This oversight by the cognizant dean should be assessed during the ten-year review of the new tenure and appointments system.

We recommend a four-year term for the initial assistant professor appointment. The department will assess the progress of the faculty member's research/scholarship, teaching, and service to the University and profession in an internal review in the third year. The expectation is that the faculty member would be reappointed unless evident and substantial problems warrant terminating the appointment in the fourth year. A reappointment would be made for three years following the end of the initial appointment. Semesters served by a faculty member appointed as lecturer convertible who had not completed the Ph.D. or terminal degree when the initial appointment began, would count as part of the initial appointment. As in the current system, no faculty member could serve as a lecturer convertible for more than two academic years. No faculty member could serve as an assistant professor for more than seven years, including the years, if any, as lecturer convertible.

A faculty member will be reviewed for promotion to associate professor on term in the fifth or sixth year. The standard for promotion to associate professor on term will be: significant published research and scholarship representing early demonstrations of disciplinary or interdisciplinary leadership; excellent teaching and mentoring of students; and engaged university citizenship. These will be assessed by the relevant Yale departments and programs and by experts outside Yale.

An accelerated eligibility for leave taken in any of years two through four, a strong culture of mentoring by senior faculty, and the advantages to both non-tenured faculty and departments of emphasizing early creative scholarship and research will best prepare non-tenured faculty for successful professional careers at Yale and elsewhere. We believe that the current standard for associate professor on term – “achievement and promise as a teacher and scholar or artist . . . such as to qualify for tenure at a major institution within five years” – has not worked particularly well for either individual faculty or their departments. At most major universities, faculty already are close to tenure evaluations by the fifth year, and at Yale, promotion to associate professor on term has not regularly been followed by tenure.

All reviews for non-tenured faculty are designed to foster the highest achievement in each of the non-tenured ranks, because faculty research, teaching, and citizenship are critical to the University’s success and their own professional development. Thus, the third-year review conducted internally by the department, and the review for promotion to associate professor on term, completed in the fifth or sixth year (or even earlier in some cases), are intended to reinforce the highest standards for faculty appointments, ultimately including the appointment to tenure. In striving for this goal, these reviews will be buttressed by strengthening mentoring by senior faculty and improving leaves to aid the research and scholarship of non-tenured faculty.

The following procedures will accompany the assessment for promotion to associate professor on term. A list of proposed referees will be sent to the cognizant dean after being approved by the department’s tenured faculty in its customary manner. It will be accompanied by brief descriptions of the referees, their relation to the candidate, the reasons for their inclusion on the list, and a draft of the letter to be sent to them. With approval by the cognizant dean, who may seek further evaluation from the relevant divisional director, the department chair will send letters to the referees, along with a curriculum vitae, statement of research or scholarly plans and interests prepared by the candidate, and a selection of relevant articles or selections from books or other publications. Referees will be asked to comment on the quality and impact of the candidate’s accomplishments to date and the prospects of future accomplishment. They will be asked to address whether the candidate evidences significant published research and scholarship representing early demonstrations of disciplinary or interdisciplinary

leadership. They also will be asked to comment, where possible, on the candidate's teaching and mentoring of students and university citizenship. Substantial responses from at least six referees will be required for each review.

Responses will be read and discussed by the permanent officers of the department as part of their deliberations. The departmental promotion and tenure committee will prepare a written report considering the candidate's research, teaching, and citizenship, which can be edited by the chair, if necessary, subsequent to departmental discussions. If the department votes to recommend promotion to associate professor on term, the report, letters, and other relevant materials will be forwarded to the cognizant dean and the relevant divisional tenure and promotion committee.

Candidates not recommended for promotion to associate professor on term may continue in rank as assistant professors through seven years. In truly exceptional cases such individuals might still be proposed for tenure by their departments, subject to review by the appropriate divisional advisory committee and approval by the Faculty of Arts and Sciences Steering Committee.

Candidates who are promoted to associate professor on term may remain in this rank for a period of time such that their total service in the non-tenured ranks at Yale does not exceed nine years. A review for tenure must be completed by the end of the eighth year unless the faculty member waives this review; it can be conducted at any time prior to this point. Review committees should apprise departments, when appropriate, that the developing stature and significance of research and scholarship by non-tenured faculty may make an early tenure assessment desirable for both the colleague and the University.

No later than the faculty member's eighth year at Yale, associate professors on term will be considered for promotion to tenure appointments. Individuals appointed to both tenured associate professor and professor will, in the language of the current *Faculty Handbook*, and as described above, "stand in competition with the foremost leaders in their fields throughout the world." Because a tenure appointment is without term, irrespective of rank, it is a forward-looking judgment, even as it is based on achievements to date. It expresses the University's commitment to, and faith in, a faculty member's ongoing career of distinguished research and scholarship, disciplinary and interdisciplinary leadership, committed teaching, and engaged university citizenship.

Criteria for appointment or promotion to associate professor with tenure and appointment or promotion to full professor differ in degree, rather than in kind. Tenured associate professors are expected to have shown evidence of exceptional accomplishments

and future promise that makes the sponsoring department confident that within five years they will merit promotion at Yale to the rank of professor.

We recommend that internal tenure candidates be evaluated by expert referees outside Yale solicited by a single letter focusing on the individual nominated for tenure. The letters would propose comparisons with others in the field or discipline and would be accompanied by the curriculum vitae, selected publications, and a statement of the candidate's research plans. The committee developed a strong consensus that such letters, focused on the nominated candidate but requesting explicit comparisons with appropriate named figures in the field, would produce the wise judgments required for a tenure decision. Untenured faculty currently at Yale would no longer be required to participate in a new open search for a tenured position, as is currently our approach.

By following the general practice throughout virtually all of American higher education, we should improve the quality of the evaluations we receive. Adopting this more familiar and generally accepted approach should lead faculty outside Yale to a better understanding of our procedures. It also should increase the confidence of Yale's non-tenured faculty in the evaluation process and thereby enhance our ability to recruit outstanding young faculty members for initial appointments.

We propose no change in the review of departmental tenure recommendations by the divisional tenure appointments committees and then by the faculty in the Joint Boards of Permanent Officers of Yale College and the Graduate School. Yale is all but alone in eschewing the exercise of independent judgment, or possible veto, by the president, provost, or deans in considering tenure recommendations emanating from departments and divisional committees. We affirm the wisdom of Yale's now long-standing evaluation system, in which divisional tenure appointments committees (currently in the biological sciences, humanities, physical sciences, and social sciences) assess the substance of a candidate's scholarship and research and the process that brought the nomination forward. The deans who chair the committees cast only the same single vote that is cast by each of the faculty members (typically nine) who sit on the committee, and all faculty holding the rank of professor in the Faculty of Arts and Sciences may attend and vote on tenure appointments at the meetings of the Joint Boards of Permanent Officers. This system has served Yale well. Although we did not discuss the Joint Boards of Permanent Officers at length, we recommend retaining that body as presently charged. The Joint Boards symbolizes the primary importance of the permanent faculty in the appointment of new tenured colleagues, suggests the significance of tenure beyond each department, and highlights community responsibility within the Faculty of Arts and Sciences.

THE COMMITTEE RECOMMENDS that non-tenured faculty may teach at Yale for a total of nine years, a reduction by one year from the long-standing Yale ten-year "clock." We discussed this subject extensively with our faculty visitors and among ourselves. No one on the committee favored retaining the ten-year clock. Anecdotal evidence suggests that it actually slows scholarship and research, and for some faculty it delays a tenure decision until they are in their forties. It is longer than virtually any other tenure clock in the United States. Some of us, and a number of faculty members with whom we spoke, formally and informally, recommended an eight-year clock, because they believe that a tenure decision should not be made so late and that the predictive scholarship and research necessary for an informed tenure decision can be accomplished in seven years. Others of us, and some other faculty, believe that a nine-year clock is preferable, because it is not such a drastic change from previous Yale practice, and especially because it provides a two- to three-year window for the achievement of additional scholarship and research following the fifth- or sixth-year review for promotion to associate professor on term. This is an issue to revisit during future reviews of Yale's tenure procedures.

Here, we note the varied patterns of assistant professors who achieved tenure at Yale. Even under the current ten-year clock, with Morse or Junior Faculty Fellowships typically not coming until year four, and a promotion to associate professor on term not necessarily occurring until year six, most achieved tenure before year eight, as shown in Table 3 in the Appendix of this report. In addition, in the current system, the conditional probability of achieving tenure decreased markedly after year eight (Figure 1 of the Appendix). Faculty who attained tenure in years nine and ten under the current system are likely to have done so earlier under the proposed new system, with its two full-year leaves before year eight, if promoted to associate professor on term, and its lack of promotion-related constraints concerning resources for tenure appointments. A nine-year tenure clock, with review for tenure no later than the eighth year, brings Yale closer to national practice, taking into account the appropriately very high tenure standard to which Yale aspires. This somewhat shorter tenure clock will increase our opportunities to attract the exciting faculty we want to hire as assistant professors.

The nine-year tenure clock is directly tied to eligibility for a one-year leave for assistant professors and another for newly promoted associate professors on term. We must enable our new non-tenured faculty to realize the scholarly and research creativity they bring to Yale as they arrive. The traditional Morse and Junior Faculty Fellowships, in year four (in most cases) and even later, come too late, and this partially accounts for the longer time to tenure among non-tenured Yale faculty. In the humanities and social sciences, some of our own Ph.D. graduates teaching elsewhere have won nationally

competitive fellowships as early as their second year to revise Yale dissertations for book publication. If they succeed, they return to their institutions in their third year with a completed book manuscript, while non-tenured Yale faculty are waiting to take Morse and Junior Faculty Fellowships in their fourth year. We believe that Yale would benefit in recruiting assistant professors to teach at Yale if they were eligible for a one-year, non-competitive leave. Because most assistant professors win Morse and Junior Faculty Fellowships, we see little financial challenge in making all assistant professors eligible for a one-year, paid leave.

Thus, we recommend that each assistant professor be eligible for a one-year leave at full pay that can be taken in any of the second, third, or fourth years at Yale after presenting, by January 1 of the previous academic year, a research proposal that is approved by the department chair and cognizant dean. The proposal should describe the scope and significance of the research, opportunities for publication, and a detailed plan to achieve the research and publication ambitions. Similarly, we recommend a one-year leave at full pay for each new associate professor on term to be taken in the first or second year following the promotion, again after presenting a research proposal approved by the department chair and the cognizant dean. The proposed system of a nine-year tenure clock combined with two full years of paid leave prior to consideration for tenure ought to make Yale uniquely attractive to non-tenured faculty candidates. The proposed nine-year clock is illustrated in Figure 2.

Finally, the nine-year clock can be “stopped” in various ways, as is presently the policy under the ten-year clock. The committee strongly endorses the policies for caregiving and child care recently adopted by the University and described in the *Faculty Handbook*. They are critical to the University’s well-being, the professional and personal lives of its faculty, and the achievement of diversity; of course, they are of special interest to our non-tenured, younger faculty.

*Mentoring Non-Tenured Faculty*

PROVIDING RESOURCES for possible tenure, reducing the long time to tenure, and guaranteeing leaves for research and scholarship necessitate and should stimulate effective, empathic, and discerning mentoring for non-tenured faculty by the University’s distinguished senior faculty. One size cannot and will not fit all, and we must match mentoring not only to individual faculty members but also to disciplines and departments. Nonetheless, we want to emphasize its importance.

One of Yale’s great institutional strengths is that it allows departments considerable freedom to govern themselves and develop their ladder faculty in ways best suited to their program or department and their disciplines. Department chairs have special responsibilities to articulate the optimal ways for non-tenured faculty to navigate

their critical early years at Yale and in academe more broadly, a responsibility they ideally exercise in collaboration with all of the department's senior faculty. The primary responsibility for effective mentoring rests with the senior faculty in each department because the breadth and variety of the disciplines preclude a uniform or all-university mentoring "system."

Some points, however, apply across the spectrum. Yale's non-tenured faculty need and deserve professional guidance from their tenured colleagues, and all of us in Yale's departments and its central administration must fulfill our responsibility to provide it. If we are committed to maintaining the highest standards of faculty excellence everywhere, we must continuously develop effective means for nurturing that excellence in our non-tenured colleagues. And we must be clear about what we expect of them. What generally is anticipated by way of books, articles, and grants? What is considered evidence of excellence in teaching? And what are the obligations of non-tenured faculty for committee work within and outside their departments? Departments and programs that make joint appointments must clarify the expectations they have for non-tenured faculty and explain how non-tenured faculty will be reviewed by each department and by the departments jointly.

Conscientious mentoring should begin as soon as assistant professors arrive on campus, and continue in those ways that a department's chair and senior faculty deem most appropriate in the ensuing years. For those non-tenured faculty colleagues who demonstrate great promise, effective mentoring will enhance their prospects for a positive tenure review. For those non-tenured faculty colleagues who are struggling, effective mentoring can put them on a path toward a more productive career. In either case, effective mentoring will foster a sense of loyalty to the faculty member's respective department as well as to Yale as an institution. This loyalty, in turn, can yield additional benefits: the perception of some that Yale can be a cold and unforgiving place for non-tenured faculty will diminish, and Yale's ability to foster a spirit of community among all its faculty will increase. A nurturing intellectual environment benefits all faculty and increases our competitiveness in making initial appointments and in retaining faculty.

Mentoring focuses on helping non-tenured faculty become better scholars, teachers, and university citizens; it deserves and needs the full commitment of the tenured faculty, departments, and Yale's central administration. The Deputy Provost for Faculty Development and the Deans of Yale College and the Graduate School should renew the mentoring initiative begun in 2004–2005 by asking every department to review its mentoring plan in the fall of 2007 and to complete a new mentoring statement to be delivered to the Deputy Provost and Deans by December 15, 2007. Each department should establish a mentoring committee composed of both tenured and non-tenured

faculty, which should provide the Deputy Provost and Deans with a report each year on the quality and effectiveness of its mentoring programs and procedures. We also recommend that the Provost increase the resources of the Deputy Provost for Faculty Development to coordinate departmental and University mentoring initiatives including the creation of Web-based information, workshops, and other measures for increasing research opportunities and for career development.

*Tenure Appointment of  
External Candidates*

THIS REPORT so far has emphasized the appointment, promotion, and tenuring of Yale's own non-tenured faculty members and the mentoring required by the system proposed here. The committee also recommends changes in the way that individuals not on the faculty are appointed to tenure positions at Yale.

When a faculty position opens due to the departure, retirement, or death of the incumbent, or when departments propose entirely new positions, the chair would request authorization for a search by writing to the cognizant dean, who would discuss the request with the Faculty of Arts and Sciences Steering Committee. The department's request, set in the context of its needs and resources, would then typically be reviewed by the relevant divisional advisory committee, whose advice will be forwarded to the Faculty of Arts and Sciences Steering Committee. The Steering Committee will authorize all searches, whether for non-tenure or tenure positions. Following authorization from the Faculty of Arts and Sciences Steering Committee, the cognizant dean has the responsibility for guiding proposed appointments through the various steps of the appointment process. Open positions would be advertised in the usual manner.

For a senior search focused exclusively on external candidates, however, a letter soliciting the names of potential candidates (called the first-stage letter or letter of inquiry in the current system) will no longer be required. Departments will need to demonstrate to the cognizant dean that they have canvassed the field for potential candidates, read and searched broadly, and made a particular effort to identify women and underrepresented minority group members who may be strong candidates. The traditional letter of inquiry still could be used to accomplish these goals, but departments may substitute other approaches with the permission of the dean.

The search committee or the department will settle on one potential candidate or a group and present the list to the dean. The department, dean, and divisional advisory committee chair will generate a list of letter writers and a list of comparison scholars who are not candidates. Two kinds of letters may be considered: (a) a letter in which several candidates are listed for evaluation, or (b) a letter indicating interest in a particular candidate and requesting comparison to other scholars and researchers (in the same manner as the evaluation for tenure of an internal candidate). Curricula vitae



should be provided for all candidates named in the first type of letter. The CV of only the targeted individual would be enclosed and publications made available with the second type of letter. Candidates should be invited to Yale for interviews, lectures, and visits with faculty and students before the letters of evaluation are considered.

The solicitation of letters for tenure appointments of external candidates should follow the procedures for internal promotion cases. After the letters are received by the department, the tenured faculty of the department will take a final vote on whether or not to submit to the relevant tenure and promotion committee a recommendation to appoint a candidate. Candidates would be considered by a tenure and promotion committee under the same procedures that apply to internal promotion cases, and if approved by the committee, departments' nominations would be forwarded to the Joint Boards of Permanent Officers, as they are presently.

*Implementation and Review* FINALLY, we turn to some issues of implementation. If these recommendations for change in the system of tenure and appointments are accepted, they will apply to all faculty whose appointments begin July 1, 2007, and later. Non-tenured faculty appointed under the current system have the option of remaining in that system or changing to the new system, except ladder faculty in their tenth year of service at Yale in the year the recommendations are implemented. Non-tenured faculty members in their ninth year of service when the recommendations are adopted who choose the new system would be eligible to remain at Yale for a tenth year. The current “tenure appointments” committees will be renamed “tenure and promotion” committees. The Term Appointments Committee will continue to exist until no non-tenured faculty who were appointed under current procedures remain at Yale to be considered for promotion to associate professor on term.

The committee recommends that the new system of tenure and appointments be reviewed after the tenth full year of implementation, the 2017–2018 academic year if this system is implemented July 1, 2007, and every ten years thereafter.

## Statistical Appendix

In formulating the committee’s recommended changes in procedures for making tenure appointments and in the timing of various appointments for ladder faculty at Yale, the committee considered data on the composition of the faculty (*tenure ratio*), the probability of achieving tenure at Yale for incoming faculty (*tenure rate*), and the time spent in the non-tenured ranks under the current system. We also compared these data with data from six peer institutions that made such information available on a confidential basis.

*Tenure Ratio* TABLE 1 INDICATES that Yale has a lower fraction of ladder faculty who are tenured than does the set of six peer institutions, and the differences are noticeable across all four divisions. Defining the tenure ratio as the number of tenured faculty (associate without term and full professors) divided by the total number of ladder faculty, that ratio is 62% for all of the Faculty of Arts and Sciences, while it is 74% for the average of the six peer institutions. Yale’s longer tenure clock compared to peers likely contributes to our lower tenure ratio, because faculty spend more time in the non-tenured ranks. Lacking complete comparative data on time in rank for our peers, we cannot estimate the size of this effect, but based on the data available, we do not believe the longer clock accounts for the entire difference. The low tenure ratio is not a feature of the current system we seek to change. We recognize the concern that a mandatory tenure review may lead to a higher tenure ratio unless high standards are rigorously maintained.

Table 1: Tenure Ratio at Yale and Peers

	Humanities	Social Sciences	Physical Sciences	Biological Sciences	Total FAS
Yale tenure ratio (2006)	60%	60%	66%	62%	62%
Average of peer tenure ratio	73%	69%	77%	76%	74%

Data provided by the Office of Institutional Research, Yale University. Peer tenure ratio is based on data collected in 2002.

*Tenure Rate* THE BEST PROXY for the tenure rate is the cohort retention rate – the fraction of the incoming ladder faculty in a given year who are tenured faculty at Yale after the maximum time period presently allowed, ten years, reported in Table 2. This proxy is imperfect, in part, because some non-tenured faculty who might have achieved tenure at Yale leave to accept offers elsewhere, and other non-tenured faculty leave Yale for personal reasons unrelated to their likelihood of making tenure.

The cohort retention rate averages 19% across the Faculty of Arts and Sciences but varies widely, from 11% in the humanities to 57% in the biological sciences. Data on tenure rate are not uniformly available from peer institutions, but the data we obtained suggest that Yale’s rates are significantly lower than those of a number of our peers. However, this may not indicate that Yale’s tenure standards are uniformly higher than those peers’. For example, very high tenure rates (above 70%) are reported for some divisions at peer schools that are ranked highly, and lower rates are reported for divisions less highly ranked. This suggests that high tenure rates may principally reflect the ability of the departments to recruit the very top candidates at the time of the initial non-tenured appointment.

Under the proposed system, with a greater proportion of non-tenured faculty members being considered for tenure, department reviews and the tenure and promotion committees may well be called upon more frequently to uphold Yale’s high tenure standards. The elimination of the term appointments committee in the proposed new system and the consideration of all appointments of associate professors on term, tenured associate professors, and professors by the same divisional committees are intended to provide committee members a broader perspective on appointments, thereby allowing them more effectively to exercise this important responsibility.

*Table 2: Cohort Retention Rate at Yale*

	Humanities	Social Sciences	Physical Sciences	Biological Sciences	Total FAS
Yale tenure rate	11%	15%	27%	57%	19%

Data provided by the Office of Institutional Research, Yale University, from cohorts with initial appointments between the 1985–1986 and 1995–1996 academic years.

THE COMMITTEE collected and considered data relating to time in the non-tenured ranks under the current system and the implications of these data for the proposed system. The first relevant statistic is the average time without tenure for non-tenured faculty. These data are provided in Table 3. The mean time spent as a non-tenured faculty member is 6.6 years across the Faculty of Arts and Sciences, and it is similar in all divisions except for the biological sciences, where it is longer. Of those non-tenured faculty members eventually granted tenure, the mean time non-tenured is 7.3 years across the Faculty of Arts and Sciences, and it is almost the same in all divisions. These average time periods even in the current system are significantly shorter than the proposed new maximum of nine years. Both the humanities and social sciences, which have lower tenure rates than the natural sciences, also have the shorter time to tenure.

*Table 3: Time in Non-Tenured Ranks for Yale Faculty*

	Humanities	Social Sciences	Physical Sciences	Biological Sciences	Total FAS
Mean yrs non-tenured (all)	6.3	6.9	6.2	8.1	6.6
Mean yrs to tenure at Yale	7.1	7.0	7.4	7.5	7.3
Mean yrs to departure from Yale	6.2	6.9	5.8	8.8	6.4

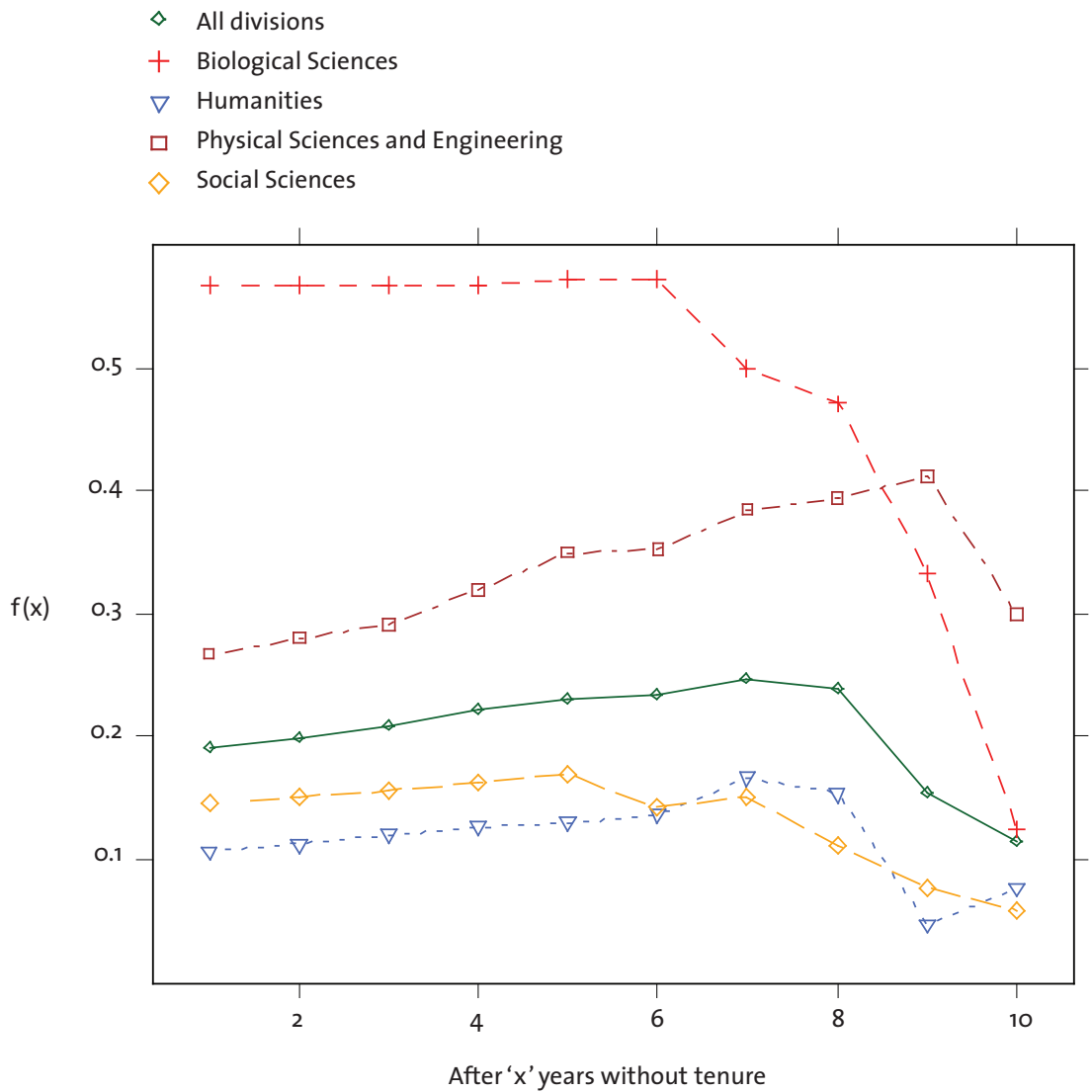
Data provided by the Office of Institutional Research, Yale University, for initial appointments between the 1985–1986 and 1995–1996 academic years. This includes 371 non-tenured faculty members.

A further review of tenure timing, shown in Figure 1, below, also supports the notion that a shorter tenure clock may have advantages. We considered the probability of achieving tenure as a function of the time spent in the non-tenured ranks. If there are  $N(x)$  faculty in the “undecided” non-tenured ranks after  $x$  years (the remainder of the cohort having already been tenured or having left Yale), what fraction,  $f(x)$ , of those faculty eventually earn tenure at Yale?

This fraction, averaged over the Faculty of Arts and Sciences (the green curve in Figure 1), increases slowly from 19% in year one to 25% in year seven and remains at 24% in year eight, indicating that the effect of faculty leaving is not counterbalanced by the faculty making early tenure, so that up to year eight the faculty cohort has a roughly uniform tenure probability. However, in years nine and ten this fraction drops dramatically, to 16% in year nine and 12% in year ten. A member of the undecided

cohort at the beginning of year ten is only half as likely to make tenure as a member of the undecided cohort through year eight. Stratification of the data by divisions shows similar behavior in all divisions except the physical sciences, where the tenure probability does not drop until year ten and drops by only 25%.

Figure 1: Fraction of non-tenured faculty who eventually receive tenure at Yale after serving  $x$  years in the non-tenured ranks (i.e., probability of tenure at Yale after  $x$  years of non-tenured service)



Data provided by the Office of Institutional Research, Yale University, for non-tenured faculty with initial appointments between the 1985–1986 and 1995–1996 academic years.

*Adjusting to the New System*

ALTHOUGH THE DATA just discussed support the feasibility of the proposed timing of appointments and tenure review, other data (shown in Table 4) indicate that some adjustments will be necessary to accommodate the new system. Under the current system, 13% of the faculty who earn tenure do so in the tenth year, having been evaluated in the ninth year, and departments will now consider such candidates a year earlier. We expect, however, that the earlier leave recommended in the proposed system will allow all faculty to accelerate their progress in research and scholarship. Moreover, on average only 18% of a non-tenured faculty cohort leaves Yale in year ten (or beyond, if the clock has been stopped for care-giving leaves).

*Table 4: Timing of Tenure or Departure Decisions*

	Humanities	Social Sciences	Physical Sciences	Biological Sciences	Total FAS
Percent tenured in yr 10+	12%	7%	17%	12%	13%
Percent leaving in yr 10+	19%	20%	10%	27%	18%
Number of asst profs 1985–1996	159	96	86	30	371

Data provided by the Office of Institutional Research, Yale University, for academic years between 1985–1986 and 1995–1996.

Figure 2: The “Default” Clock for Non-Tenured Faculty

