Motion 1.

- Whereas the Vanderbilt Faculty Manual (as archived on 8/3/2015) requires revision and updating, and
- Whereas revisions to Part I, Chapter 5 of the Faculty Manual were approved by the Faculty Senate on 9/10/2015 and given final approval by the Chancellor of Vanderbilt University on 9/14/2015, and
- Whereas the Faculty Senate has hired a professional copy editor to ensure that the most recently approved revisions of the Vanderbilt Faculty Manual conform to proper grammar, spelling, capitalization, clarity, and punctuation, and
- Whereas, the Faculty Manual Committee has now circulated these additional proposed revisions consisting of the mechanical changes detailed above to the Faculty Senate,

We the Faculty Manual Committee, move that the following Sections as entitled below be revised by addition and deletion as per the attached documents in which the proposed revisions are represented in track changes,

Part I, Chapters 1-5 “The University and its Governance”
Part II, Chapters 1-3 “Appointment and Tenure”
Part VI, Chapters 1-4, “Faculty Benefits”
Part VII, Chapters 1-2, “Financial Procedures”
Part VIII “Vanderbilt University Compliance Program and Standards of Conduct”

We further move that the Faculty Senate give its endorsement to these revisions, and

We further move that these endorsed revisions be forwarded as a formal proposal as per Faculty Manual “Part 1, Chapter 5, Amendments to the Faculty Manual” to the Provost and the Chancellor, for review, and if accepted, final approval by the Chancellor.
Part I The University and Its Governance

Chapter 1: About Vanderbilt University

Section A

History

Vanderbilt University is an independent, privately-supported university founded in 1873 through a gift from Commodore Cornelius Vanderbilt. Born of modest means and not formally educated, the Commodore, a nickname Vanderbilt received in his youth, built a fortune from steamboat lines and railroads. The endowment of the University was his only major philanthropy, and his hope was that Vanderbilt would "contribute to strengthening the ties that should exist between all geographical sections of our common country."

Bishop Holland N. McTyeire, whose wife was a cousin of Vanderbilt's second wife, Frank Armstrong Crawford, was leading a movement within the Methodist Episcopal Church, South, to establish "an institution of learning of the highest order." In 1872, a charter was issued to petitioners representing nine Methodist conferences located in the mid-South for "Central University" in Nashville. However, their efforts failed for lack of financial resources in a region so recently ruined by the Civil War. In early 1873, Bishop McTyeire traveled to New York to seek medical care, and the Vanderbilts offered their hospitality for his convalescence. Prior to the trip, the Bishop had reportedly discussed the possibility of gaining financial support from the Commodore in letters to his wife, Frank Armstrong Crawford. She is credited for laying the groundwork for the gift. During his stay in New York, Bishop McTyeire was able to gain the admiration and financial support of the Commodore in the amount of one half million dollars to found the University. Himself unschooled, Vanderbilt once said, "Though I never had any education, no man has ever felt the lack more than I have, and no man appreciates the value of it more than I do and believes more than I do what it will do in the future." Soon after the university opened, Vanderbilt sent another half million dollars for its endowment.

Commodore Vanderbilt, who never visited Nashville himself, entrusted Bishop McTyeire to choose the site for the campus and administer the institution. At that time, Nashville had a population of 40,000, and the campus was part cornfield with a few residences scattered on the site. The Bishop himself planted young trees over the original seventy-five acre campus and supervised the planning and construction of the buildings. Vanderbilt University opened for classes in October of 1875 with 307 students enrolled. Since then, the University has grown to 333 acres with more than 12,000 students, and it has been designated a national arboretum—a legacy of Bishop McTyeire's early efforts.

Section B

Colleges and Schools
Vanderbilt University comprises ten schools offering undergraduate programs in the liberal arts and sciences, education and human development, engineering, and music and a full range of graduate and professional degrees. The University is accredited by the Commission on Colleges of the Southern Association of Colleges and Schools and is a member of the Association of American Universities.

The College of Arts and Science, founded in 1875 as the Department of Philosophy, Science, and Literature, offers the Bachelor of Arts.

The Blair School of Music, once an independent music school that merged with the University in 1981, offers the Bachelor of Music.

The Divinity School was established in 1875 as the Biblical Department and operated under the auspices of the Methodist Episcopal Church, South, from its opening until May 1914. Since that date, it has carried on as an ecumenical theological school under the direction of the Vanderbilt Board of Trust, which, in 1915 officially established it as The Divinity School, with its own dean and faculty. The Divinity School offers the Master of Theological Studies and the Master of Divinity.

The School of Engineering, established as a full department in 1886, offers the Bachelor of Engineering, the Bachelor of Science, and the Master of Engineering.

The Graduate School, an early priority of the University which offered doctoral programs within the first ten years of its founding, offers the Master of Arts, Master of Fine Arts, the Master of Liberal Arts and Science, the Master of Science, and the Doctor of Philosophy.

The Law School, founded as one of the original departments of the University, offers the Doctor of Jurisprudence and the Master of Laws.

The Department of Medicine (now School of Medicine) conferred its first diplomas in 1875 as part of an agreement with the University of Nashville Medical Department. Vanderbilt split ties with the University of Nashville in 1895 and finally moved to the main campus in 1925. The School of Medicine offers the Doctor of Medicine, Master of Public Health, Master of Science in Clinical Investigation, Master of Laboratory Investigation, Master of Education of the Deaf, Master of Science of Medical Physics, Master of Health Professions Education, Master of Science (Speech Language Pathology), Master of Science in Applied Clinical Informatics, Doctor of Audiology, and Doctor of Medical Physics.

The School of Nursing, has a history dating back to 1909, and began offering the Master of Science in Nursing in 1955. The School offers the Master of Science in Nursing and Doctor of Nursing Practice.

The Owen Graduate School of Management was established in 1969. The Owen School offers the Master of Business Administration, Master of Science in Finance, Master of Accountancy, and Master of Management in Health Care.

Peabody College traces its roots to Davidson Academy, organized in 1785, eleven years before the founding of the state of Tennessee. It operated as an independent professional school of education
from 1875 until its merger with Vanderbilt in 1979. The Peabody College of Education and Human Development offers the Bachelor of Science, the Master of Education, the Master of Public Policy, and the Doctor of Education.

Section C
Administration

Vanderbilt University is governed by a Board of Trust which appoints the Chancellor as the Chief Officer. The University's other administrative officers serve at the pleasure of the Chancellor and include the Provost and Vice Chancellor for Academic Affairs, the Vice Chancellor for Investments and Chief Investment Officer, the Vice Chancellor for Administration, the Vice Chancellor for Finance and Chief Financial Officer, the Vice Chancellor for Public Affairs, the Vice Chancellor for Athletics and University Affairs, the Vice Chancellor for Development and Alumni Relations, the Vice Chancellor for Information Technology, and the Vice Chancellor, General Counsel and Secretary. Each of the ten schools of the university is led by a dean, nine of whom report to the Provost and the Dean of the School of Medicine who reports to the Chancellor.

Section D

Academic Affiliation between Vanderbilt University and Vanderbilt University Medical Center

Vanderbilt University and Vanderbilt University Medical Center became separate non-profit entities in 2016. They operate under an Academic Affiliation Agreement to support one another and fulfill their related missions. As part of this agreement, based on their roles and appointments, faculty may be employed by Vanderbilt University Medical Center. These faculty continue to have their faculty appointments with Vanderbilt University and are covered by the Vanderbilt University Faculty Manual. Such faculty render services to, and are responsible to, both Vanderbilt University and the Vanderbilt University Medical Center.

Chapter 2: University Governance

Vanderbilt University is committed to a robust model of shared University governance. The Faculty and Administration cooperate and collaborate through a number of University committees and the Faculty Senate. As provided in the Code of By-Laws of Vanderbilt University, the Faculty Senate is the representative, deliberative, legislative body of the faculties. It is composed of the Deans of the colleges and schools, elected members, and ex officio members, including the Chancellor. Ex officio members may participate fully in the deliberations, but have no vote.

The Code of By-Laws authorizes the Faculty Senate to review and evaluate the educational policies and practices of the University (including policies and procedures to be applied in cases involving conscience or academic freedom); to make recommendations concerning them to the Chancellor and to the Board of Trust; to discuss and express its views about any matter affecting the University to...
any individual, faculty, or other group within the University, and to facilitate communication among the faculties, the Chancellor, and assisting officers.

Each Faculty elects its own representatives to serve for a three-year term on the Faculty Senate. Only full-status faculty members with the academic rank of Instructor or above are eligible for election to the Faculty Senate. Upon the expiration of his or her first full term, a senator is eligible for reelection to a second subsequent term. All full-status faculty members with the academic rank of Instructor or above, part-time faculty members having full status, and such other part-time faculty members as the full-status faculty of a school or college may designate, are eligible to vote for representatives to the Faculty Senate. The Executive Committee of the Faculty Senate, elected by members of the Faculty Senate, consists of the Chair, Vice Chair, the Chair-elect, and the Vice Chair-elect. The Faculty Senate meets at least four times each academic year. Unless otherwise announced as Senators’ only meetings, all meetings of the Faculty Senate are open to full-status faculty members who hold the rank of Instructor or above (including administrative officers who hold faculty appointments) and to part-time faculty members with full status.

The faculties have the power of recommending individuals for degrees or other marks of academic distinction when the conditions prescribed in the departments, colleges, and schools have been fulfilled. No individual may be awarded a degree without the recommendation of the appropriate faculty. None of the regular degrees of the University shall be conferred as honorary degrees, nor shall any honorary degree be conferred by the University except upon recommendation of the Faculty Senate and with the concurrence of the Board of Trust and the faculties. Each faculty may adopt policies, rules, and procedures necessary or desirable in connection with its internal administration.

The Faculty Assembly consists of the full-time members of the faculties of the colleges and schools and those having full status with partial load, who hold the rank of Instructor or above (which includes administrative officers who hold faculty appointments). The Code of By-Laws authorizes the Faculty Assembly to adopt a Constitution, setting forth its own regulations and rules of order and also the composition and organization of the Faculty Senate to the extent not defined in the Code of By-Laws, including procedures for changing its composition from time to time. Under the Constitution the Faculty Senate is given power to adopt its own regulations and rules of order, and the Constitution contains provisions for its amendment.

The Code of By-Laws provides that voting membership of the Faculty Assembly consists of the full-time members of the faculties of the several colleges and schools, and those having full status with partial load, who hold the rank of Instructor or above (which includes administrative officers who hold faculty appointments). Part-time members of the faculties not having full status with partial load are non-voting members of the Faculty Assembly.

As provided in the Code of By-Laws of Vanderbilt University, the immediate government of the University is committed to the Chancellor and, through the Chancellor, to the assisting officers and the Faculty in each of the schools and colleges. The Chancellor is designated as the Chief Officer of the University and may delegate authority to assisting officers, to the faculties, and to others within the University. The Chancellor has the authority to suspend the action of any Faculty, the Faculty Senate, or of other individuals or bodies to whom authority has been delegated. In so doing, in the case of any faculty or of the Faculty Senate, the Chancellor submits to the relevant body a statement of the action and the reasons, and reports the action to the Board of Trust together with any pertinent statements submitted by the affected body.
The Chancellor is, ex officio, chair of the faculty of each school and college, and appoints assisting officers, including general officers and Deans of colleges and schools, who serve at the pleasure of the Chancellor. The appointment of general officers and deans of colleges and schools requires approval by the Board of Trust. Although not specified in the Code of By-Laws, the Provost is the chief academic officer for the nine colleges and schools reporting to the Provost and the basic science departments in the School of Medicine. The Dean of the School of Medicine is the chief academic officer of the clinical departments of the School of Medicine.

The Code of By-Laws further provides that the faculty of each school or college shall meet at such times as it may appoint, or at the call of the Chancellor or the appropriate Dean. Each faculty may establish its own procedures for calling meetings.

Chapter 3: Administrative Terms of Office

TERMS OF OFFICE OF DEPARTMENT CHAIRS

For colleges or schools with departments, nominations of chairs of departments are made by the Dean of the college or professional school, acting on the advice of the members of the department holding academic tenure or on the advice of an appropriately constituted search committee appointed by the Dean. In the School of Medicine, nominations of chairs for the Basic Science Departments are made on the advice of an appropriately constituted search committee appointed by the Provost or the Provost's designee. The nominations of chairs for the Clinical Departments of the School of Medicine are made on the advice of an appropriately constituted search committee appointed by the Dean of the School of Medicine.

With the exception of the School of Medicine, where such appointments are made for indefinite terms, department chairs are appointed for limited, renewable terms of three, four, or five years. This does not imply a standard practice or policy of rotating chairs. Regardless of the type of terms of appointment, department chairs are subject to continual evaluation and systematic appraisal by the dean and, at the initiative of the dean, by competent, outside professional consultants.

Divisional or interdepartmental chairs are nominated by the Dean for fixed terms on the advice of special faculty committees appointed by the Dean to review such programs and candidates. The Provost nominates chairs in the case of interschool committees. The Provost may confer with the Dean of the School of Medicine when such nominations involve Clinical Departments in the School of Medicine.

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1 The list of basic science departments in the School of Medicine, which may be amended from time to time, are: Biochemistry, Cancer Biology, Cell and Developmental Biology, Molecular Physiology and Biophysics, and Pharmacology.

2 The list of clinical departments in the School of Medicine, which may be amended from time to time, are: Anesthesiology, Biomedical Informatics, Biostatistics, Emergency Medicine, Health Policy, Hearing and Speech Sciences, Medicine, Neurology, Obstetrics and Gynecology, Ophthalmology, Orthopedic Surgery, Otolaryngology, Pathology, Micro & Immunology, Pediatrics, Physical Medicine and Rehabilitation, Psychiatry, Radiation Oncology, Radiology and Radiological Sciences, and Section of Surgical Sciences.
Chapter 4: University Committees

University Committees serve Vanderbilt as a whole, in contrast with committees within the schools or certain specialized committees within administrative units.

Invitations to membership on these standing University Committees are extended in writing by the Chancellor.

All committees have at least two categories of membership: faculty and ex officio/administrative. Some have student members, and some have particular requirements, such as alumni representation or citizen members not affiliated with Vanderbilt.

Nominations for faculty positions are made by the Consultative Committee of the Faculty Senate. The Committee calls for faculty volunteers each year and also seeks the advice of Deans, committee chairs, and administrative officers in making its recommendations. The Consultative Committee in submitting nominations for membership to the Chancellor may also recommend faculty for committee chairs when positions are open.

For committees with student members, nominations of undergraduates are submitted to the Chancellor by the Office of the Dean of Students. Nominations of graduate or professional students are solicited by the Office of the Dean of Students from the graduate and professional schools and submitted to the Chancellor.

Ex officio/administrative members on University Committees include (a) persons who are automatically members by virtue of the position held, and (b) persons necessary to the committee by virtue of special knowledge or experience. In the latter cases, the University officer to whom the committee reports assists the Chancellor by making nominations.

The current committees and their charges are listed in alphabetical order in the following section. Membership requirements and membership lists are on file in the Office of the Chancellor.

University Committees
Athletics

The purpose of this Committee is to give advice, support, and guidance to the Vice Chancellor for Athletics and University Affairs and to the Chancellor. The Committee has the general advisory responsibility for athletics.

Calendar

The Committee plans for and coordinates the annual academic calendar of the schools within Vanderbilt.

Chemical Safety
This Committee considers issues pertaining to the safe handling, transport, and use of chemicals and recommends the adoption of new or revised policies through Vanderbilt Environmental Health and Safety.

Environmental Advisory

This Committee considers and recommends policies for the purpose of creating a comprehensive environmental compliance program for Vanderbilt University and to assist the University in meeting regulatory requirements.

Environmental Health and Safety Oversight

This Committee serves as a resource to the University on matters of environmental health and safety compliance. The committee prepares an annual report to the University on the effectiveness of the University's environmental health and safety compliance program.

Faculty and Staff Benefits

This Committee has responsibility for reviewing and recommending new and proposed changes to the University's benefit program, which is provided to the University’s faculty and staff members. The faculty and staff composition is intended to provide multiple perspectives regarding the design of benefit programs.

The Committee develops recommendations based on review and analysis of available utilization data, in consideration of specific program objectives and available financial resources for funding programs.

Institutional Animal Care

The University will have a designated Institutional Official for the purposes of compliance with administrative and reporting obligations to external entities. Through the Affiliation Agreement with Vanderbilt University Medical Center, animal care will be administered by VUMC with services provided to the University.

Institutional Biosafety

The functions of the Institutional Biosafety Committee are:

To review for compliance with the National Institutes of Health Guidelines on all recombinant DNA research to be conducted or sponsored by Vanderbilt and to approve those research projects that it finds are in conformity with the guidelines. This review includes: (a) an independent assessment of the containment levels required by these guidelines for the proposed research, and (b) an assessment of the facilities, procedures, and practices, and of the training and expertise of personnel engaged in recombinant DNA research or research support.

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3 This Committee recommends benefits for faculty and staff who are employees of Vanderbilt University.
To authorize the principal investigator to proceed with a project upon receipt of proper funding agency approval or, in certain cases, without prior agency approval.

To review periodically recombinant DNA research being conducted at Vanderbilt, to ensure that the requirements of the guidelines are being fulfilled.

To adopt emergency plans covering accidental spills and possible contamination of persons resulting from such research.

To report within thirty (30) days to the Provost, the Dean of the School of Medicine, and the Chancellor any significant problems or violations of the guidelines and any significant research-related accidents or illnesses.

Federal regulations require that the Institutional Biosafety Committee be selected so that, collectively, its members have expertise in recombinant DNA technology and the capability to assess the safety of recombinant DNA research experiments and any potential risk to public health or the environment. Non-institutional members are also required.

Officer Education Advisory Committee

The Committee considers policy related to the Army and Navy ROTC units, approves selection of instructional staff, reviews course offerings given for credit, and deals with specific issues that may affect the operation of the units in the University community.

Radiation Safety

The responsibilities of the Radiation Safety Committee relate to and include the radiological aspects involved in the safe use and disposal of radioactive isotopes, sources emitting radiation, fissile materials, fission products, irradiation services, and any and all material or equipment that emits radiation.

The functions of the Radiation Safety Committee are:

- To adopt rules and policies on the use of radiation.
- To review and act on all proposals for the use of radiation at Vanderbilt University.
- To review proposed shielding and operation of all radiation-producing machines and reactors.
- To review plans for all new buildings and modifications of existing structures where ionizing radiations are to be used.
- To provide technical advice to the Radiation Safety Officer.
- To review periodic reports from the Radiation Safety Officer.
- To review all instances of alleged infractions of the use of radiation or safety rules with the Radiation Safety Officer and responsible personnel and take necessary steps to correct such infractions.
To ensure that all license obligations and regulations from the federal government and the State of Tennessee are met.

Religious Affairs

The Committee serves as an advisory body to the Office of Religious Life, with responsibility for reviewing policies, appointments, and programs, and making recommendations to the Provost on the chartering of religious organizations that are not affiliated with the Office of Religious Life.

Technology Review

This Committee reviews and monitors the activities of the Center for Technology Transfer and Commercialization on matters relating to the administration of the University Policy on Technology and Literary and Artistic Works in accordance with the provisions of that policy. The committee is chaired by a faculty member, and the majority of members are faculty members without administrative appointments. The Committee is consulted in advance concerning any material changes to the policy.

The Committee serves as an appellate body advisory to the Chancellor in the event that a disagreement occurs between inventors or creators and the University concerning the interpretation or application of the University's policy. In cases in which the Committee is unable to resolve the disagreement between the parties, the Committee will forward its recommendation for a resolution to the Chancellor for a final decision.

Traffic and Parking

The main functions of the Traffic and Parking Committee are:

- To reflect various consumer opinions on traffic and transportation within the University community,
- To review general policies and procedures concerning campus traffic and transportation (including parking assignments, plans, and statistics) and advise the Vice Chancellor for Administration, To consult with the Department of Campus Planning and Construction in the development of comprehensive plans regarding traffic and transportation for submission to the Vice Chancellor for Administration.
- To become familiar with the complex systems and regulations within which the University must operate to maintain compliance with various government ordinances and agencies that ultimately influence the traffic and transportation systems of the campus.

To support the Office of Traffic and Parking as a regulating body by hearing requests for variances and by reviewing appeals of traffic citations.

Chapter 5: Amendments to Faculty Manual

Revisions to the Faculty Manual are a collaborative process involving the Chancellor, the Provost, and the Faculty Senate. All amendments or proposed amendments to the Faculty Manual are required to pass through Steps 1 to 4 below.

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Deleted: [Amendments to Faculty Manual inserted, Chapter 3, because it has already been approved.]

Deleted: Motion: Whereas the Vanderbilt Faculty Manual requires revision and updating, as part of this process §

We, the Faculty Manual Committee, move that the following document be accepted as Part I, Chapter 3 of the Faculty Manual and replace the corresponding part of the current version of the Faculty Manual.
Step 1. Proposal for Changes

A proposal for a change in the Faculty Manual must be made by the Chancellor, the Provost, or the Chair of the Faculty Senate. The proposal becomes a formal proposal when the official initiating the proposal sends the proposal in writing to the other officials in the change process. The Chair of the Faculty Senate shall inform the members of the Faculty Senate of any changes to the Faculty Manual that have been proposed since the most recent meeting of the Senate. The Provost may confer with the Deans of the Colleges and Schools about any proposed changes.

Step 2. Deliberations

After a formal proposal for change is made, the Faculty Senate and the Provost (who may consult with the Deans of the Colleges and Schools), shall have a minimum of thirty days to issue recommendations on the proposed change to the Chancellor. It is likely that many changes that are purely informational will not require discussion. Others will merit extended discussion, including referral to committees of the Faculty Senate or to the Office of the General Counsel. All efforts should be made to conclude deliberations within a reasonable period of time.

Step 3. Approval

The ultimate decision on any change lies with the Chancellor, who shall inform the Provost and the Chair of the Faculty Senate of the decision within a reasonable period of time.

Step 4.

Notification. The Chair of the Faculty Senate shall inform the members of the Faculty Senate of the final disposition of each proposal. Deans of each College or School shall bring any changes in the Manual to the attention of the faculty members of their college or school. A copy of any changes shall be provided to the Office of the Faculty Senate and to the Provost, who will archive any such changes.

Interim Changes
There may be instances in which some almost immediate change is needed due to changes in laws or regulations or funding agency requirements. A change in government regulations might well include a specific compliance date, for instance, and an interim change may be required. If that change involves matters that the Faculty Senate (for instance) wishes to study in more detail or if the Faculty Senate is not in session, an interim change may be required. In such cases, the Chancellor either may make the change or designate another officer to do so, with an indication on the Faculty Manual website that the matter is under review. The procedure shall then follow as set forth above, beginning with a proposal for change.

Archive of Changes

The Provost's Office of Faculty Affairs is the office of record and the record custodian of the Faculty Manual.

In August of each year, a "snapshot" of the Faculty Manual shall be taken and frozen for that year. This document shall be retained for seven years by the Provost's Office of Faculty Affairs and by the Faculty Senate Office and then sent to the University Archives by the Provost's Office. The final record of changes made each year, prior to the snapshot being taken, shall be retained permanently in the Office of Faculty Affairs and the Faculty Senate Office. Records leading up to final changes are retained for seven years and then destroyed.

Each year a hard copy of the August snapshot shall be preserved as an archived document in the Jean and Alexander Heard Library's Office of Special Collections and University Archives. These copies shall be maintained in such a way that both the archived hard copy and the online snapshot for any given year are conveniently available to faculty members. As changes are made to the Faculty Manual, they shall be documented on the Faculty Senate website and the accumulated changes made during the year shall also be archived along with the snapshot.
Part II Appointment and Tenure

Chapter 1: Academic Titles at Vanderbilt

Section A

Titles of Tenured Faculty

The titles University Distinguished Professor, Distinguished Professor, University Professor, Professor, and Associate Professor signify tenured positions at Vanderbilt, if so specified at the time of appointment. Except for University Distinguished Professor and University Professor, these faculty titles carry a major field or departmental designator, such as Professor of Linguistics or Professor of Pharmacology. Such designators indicate the major field of work; they may be the name of the department to which the faculty member is attached or a major specialty area associated with the department. At the time of appointment, the faculty member and the Dean of the school recommend an appropriate designator, and the recommendation is reviewed by the Provost, the Chancellor and, for new appointments to a tenured position, the Board of Trust. Care is taken to avoid titles that might be confused with the areas of study represented in other departments.

Named, Centennial, Chancellor’s, University, Distinguished, and Cornelius Vanderbilt Professorships

Certain professorships are named by the Board of Trust for a benefactor, such as Kenan Professor of English, or for someone important in Vanderbilt history, such as Landon C. Garland Professor of Physics. Centennial Professorships were created during the Centennial Campaign (1977–81), and Chancellor’s Professorships were created during the Campaign for Vanderbilt (1990–95). Both of these professorships are similar to named chairs in that they are held by faculty members of distinction in their disciplines. Cornelius Vanderbilt Professorships were added in 2002 to recognize outstanding full professors already at Vanderbilt.

For purposes of retention or recruitment, or in recognition of accomplishment or contribution beyond the normal expectations for the rank of Professor, the title of Named, Centennial, Chancellor’s, University, Distinguished, or Cornelius Vanderbilt Professor may be conferred on a faculty member. Normally this is done upon the recommendation of the tenured and tenure track faculty of the appropriate department or school. Typically, this is done for faculty who hold the rank of Professor.

University Distinguished Professor

The title University Distinguished Professor is available to those exceptional scholars and teachers who are appointed as Distinguished Professors and whose work extends beyond traditional academic fields and disciplinary lines. University Distinguished Professors will be selected for their record of extraordinary accomplishment in research and teaching and their promise for continued contributions. They will be persons of demonstrated intellectual leadership whose broad vision and scholarly interests are likely to bring together diverse segments of the University in both research and teaching. University Distinguished Professors are therefore expected to work with and tangibly influence the faculty and students of the broader University community rather than primarily those of one school.
Unlike the normal procedure in which a faculty member holds a primary appointment in one school, University Distinguished Professors will hold primary appointments in at least two schools of the University such that the person will have a full-status appointment in each. However, tenure will usually be held in only one school. The Dean of this school will be responsible for normal administrative matters involving the University Distinguished Professor, including salary recommendations. In the execution of these responsibilities, the Dean will consult with the Deans of other schools in which the University Distinguished Professor has an appointment. Appointment as Distinguished University Professor requires a majority recommendation by the tenured and tenure-track faculty of the sponsoring departments or schools (or, in the School of Medicine, the Executive Faculty) and the Deans of the sponsoring schools.

It is assumed that University Distinguished Professors will participate in the teaching, research, and service missions of each school in which they have a primary appointment. Courses taught by University Distinguished Professors normally will be cross-listed in multiple departments or schools, since they will be of interest to large segments of the University community. Upon receipt of a recommendation for appointment of an individual as a University Distinguished Professor, the Provost or the Dean of the School of Medicine (in the case of faculty with a primary appointment in a Clinical Department in the School of Medicine) may consult with other Distinguished and University Distinguished Professors before making a final determination on the recommendation. If the recommendation is approved by the Provost or, for faculty in a Clinical Department of the School of Medicine, the Dean of the School of Medicine, it is forwarded to the Chancellor (and the Board of Trustees for new appointments to a tenured position) for concurrence and final action.

A University Distinguished Professorship will normally be associated with an endowed chair.

Distinguished Professor of ________

The University has appointed several extraordinary scholars as Distinguished Professor. The title is equal to University Distinguished Professor and reflects both the distinction of the scholar and the contribution in his or her professional area in the University. Appointment as Distinguished Professor requires a majority recommendation by the tenured and tenure-track faculty of the sponsoring department and school (or, in the School of Medicine, the Executive Faculty) and the Dean of the sponsoring school. Prior to advancing the recommendation of a candidate for the title of Distinguished Professor, the Provost or, for faculty in a Clinical Department of the School of Medicine, the Dean of the School of Medicine, may consult with current Distinguished Professors on the credentials and qualifications of the candidate.

University Professor

The title University Professor is similar to that of University Distinguished Professor, except that the requirements for scholarly distinction are less stringent for University Professor. With respect to other features, such as breadth of contributions, appointments in more than one school, and procedural matters, both titles have identical expectations.

Professor of ________

Associate Professor of ________
Professors and Associate Professors hold academic tenure, if so specified at the time of appointment to that rank. In the Law School, individuals may be promoted from Assistant Professor to Associate Professor without tenure and may later be awarded tenure while remaining at the Associate Professor rank. Individual schools in some cases offer appointments of Associate Professor and Professor without tenure. The professional standards for tenure appointments and conditions of dismissal for cause are discussed in Part II, Chapter 3.

Section B

Titles of Non-tenured Faculty

Assistant Professor of _______

Instructor in _______

The titles Assistant Professor and Instructor are term appointments and do not imply tenure. For tenure-track faculty, full-time service in these two ranks is counted in the probationary period leading to mandatory action by the University either promoting the individuals to tenure rank or notifying them that they will not be promoted. Assistant Professors may be appointed for a term of not more than three years at a time. Instructors are appointed from year to year. Procedures for renewal and termination are outlined in Chapters 2 and 3.

In recognition of benefactors who provide endowment to support a non-tenured position, a name designated by the benefactor and the University may be associated with the title. An example would be Mellon Assistant Professor of English.

Lecturer in _______

Senior Lecturer in _______

Principal Senior Lecturer in _______

The titles Lecturer, Senior Lecturer, and Principal Senior Lecturer designate teaching appointments that are not within the normal promotion sequence from Instructor to Professor. Lecturers may be part time or full time and are appointed for terms of no more than one year. Senior Lecturers may hold part-time or full-time teaching positions and may be appointed for terms of no more than three years, Principal Senior Lecturers may hold part-time or full-time teaching positions and may be appointed for terms of no more than five years. Further differences between the three categories may be stipulated by a school with the approval of the Chancellor.

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1 A person holding the title of Instructor in the Law School’s Legal Research and Writing Program is not considered tenure-track faculty and is not offered opportunities for professional growth and achievement comparable to those enjoyed by tenure-track appointees. If such a person subsequently acquires a tenure-track position, time spent as an Instructor in the Law School’s Legal Research and Writing Program would not count toward the probationary period leading to mandatory action by the University either promoting the individual to tenure rank or notifying the individual that he or she will not be promoted.
Professor of the Practice of _____
Associate Professor of the Practice of _____
Assistant Professor of the Practice of _____
Instructor in the Practice of _____

The title Professor of the Practice of _____ designates teaching positions that do not involve tenure. Ordinarily these positions are reserved for persons whose responsibility consists of instruction in professional practice activities and do not involve participation in faculty governance of the school. Professors of the Practice and Associate Professors of the Practice of _____ may be appointed for terms of not more than five years. Assistant Professors of the Practice of _____ may be appointed for terms of not more than three years. Instructors in the Practice of _____ are appointed for terms not to exceed one year.

Prefixes: Adjunct, Clinical, Visiting, Research, and Adjunct

Adjunct Professor of _____
Adjunct Associate Professor of _____
Adjunct Assistant Professor of _____
Adjunct Instructor in _____

The title Adjunct Professor with a designation of the school or department in which this title would be used (such as Adjunct Professor of Law) is available to all schools and is limited to part-time faculty members who normally are practitioners in one of the professions. The title is appropriate also for part-time faculty members whose main base is another institution in the Nashville area.

Titles of Non-tenured Faculty in the Blair School of Music

Senior Collegiate Faculty
Professor of _____
Associate Professor of _____
Junior Collegiate Faculty
Assistant Professor of _____
Instructor in _____

These titles are completed with a specialty designator such as Professor of Piano. Persons holding these ranks are afforded the same rights and privileges as for tenured or tenure-track faculty in other Vanderbilt schools, except that in Blair some of these are non-tenured, non-tenure-track appointments.
An Artist Teacher is appointed for a term of not more than three years; a Senior Artist Teacher is appointed for a term of not more than seven years.

Those senior collegiate Blair faculty members who are not tenured normally hold seven-year renewable contracts. Junior collegiate Blair faculty members are governed by the normal University standards in that Assistant Professors may be appointed for a term of not more than three years at a time, and Instructors are appointed from year to year. In the Blair School of Music, full-time service in the rank of Assistant Professor is counted in the period leading to senior status.

Pre-Collegiate Faculty

Artist Teacher of _______

Senior Artist Teacher of _______

These titles are completed with a specialty, such as Artist Teacher of Suzuki Violin or Senior Artist Teacher of Piano. They are held by faculty members who are based primarily in the pre-collegiate program.

An Artist Teacher is appointed for a term of not more than two years; a Senior Artist Teacher is appointed for a term of not more than three years.

Titles for Faculty who may provide health care services

Under Vanderbilt University's affiliation with Vanderbilt University Medical Center, credentialed/privileged faculty members may provide health care services. Health care professionals in the Vanderbilt University Medical Center who have medical staff or professional staff privileges at facilities on the main campus and 100 Oaks are required to have a Vanderbilt faculty appointment.

Professor of _______

Associate Professor of _______

In the School of Medicine these titles may be used to designate faculty members appointed on the Educator track (without tenure) who contribute a significant portion of their professional effort to educational programs.

Clinical Professor of _______

Associate Clinical Professor of _______

Assistant Clinical Professor of _______

Clinical Instructor in _______

The term Clinical within the academic rank designates volunteer faculty members who actively practice their professions together with students for teaching purposes. In the Law School, these ranks designate paid term appointments that do not involve tenure.
Professor of Clinical ________
Associate Professor of Clinical ________
Assistant Professor of Clinical ________
Instructor in Clinical ________

The prefix Clinical when used before the discipline or department name designates a faculty member in the School of Medicine or the School of Nursing who has responsibilities for patient care, but very limited or no responsibilities in teaching or research, other than those that are incidental to providing health care services.

For further information regarding the academic tracks in the School of Medicine, please refer to this web link: [https://medschool.vanderbilt.edu/faculty/academic-track-overview](https://medschool.vanderbilt.edu/faculty/academic-track-overview).

Special Titles in the Schools of Medicine and Nursing

Assistant in ________
Associate in ________
Senior Associate in ________

These titles are completed with the names of the department to which the persons are appointed, such as Assistant in Pediatrics or Associate in Ophthalmology. They are held by persons whose disciplines are not represented in the organization of departments of the schools of Medicine and Nursing but who participate in service and teaching or clinical research in a particular department. For example, a person with a degree in social work might be an Assistant in Pediatrics.

All are term appointments. An Assistant in ________ is appointed for one year; the title is generally equivalent to that of an Instructor, with parallel requirements and benefits. An Associate in ________ or Senior Associate in ________ is appointed for a term of not more than three years; the titles are generally equivalent to that of an Assistant Professor, with parallel requirements and benefits.

Visiting Professor of ________
Visiting Associate Professor of ________
Visiting Assistant Professor of ________
Visiting Instructor in ________

The prefix Visiting designates faculty members who normally are based at other institutions of higher education and who temporarily transfer their main base to Vanderbilt. The titles are applicable for full-time or part-time service at Vanderbilt.

Research Professor of ________
Research Associate Professor of ________
Research Assistant Professor of ______
Research Instructor in ______

The prefix Research applies to a person who is appointed to participate in a time-limited research program. Such persons usually do not have teaching assignments.

Adjoint Professor of ______
Adjoint Associate Professor of ______
Adjoint Assistant Professor of ______
Adjoint Instructor in ______

The prefix Adjoint designates a person who is based at another institution and who contributes to the mission of a school at Vanderbilt. Such persons usually do not have teaching assignments.

Reserve Officers Training Corps Titles

The commanding officers of the Army ROTC and Naval ROTC programs hold the formal titles Director of the Army Officer Education Program and Director of the Naval Officer Education Program, and often the informal titles of Professor of Military Science and Professor of Naval Science. Other teaching personnel in these programs hold the title of Military Instructor, Naval Instructor, or Marine Instructor. The Directors and all Instructors in the two programs have all of the privileges of non-tenured faculty members. Appointment and dismissal procedures are set by the Provost with the advice of the Officer Education Advisory Committee, generally following normal University procedures.

Section C

Faculty in Residence

The suffix in Residence is preceded by the creative specialty in which the faculty member is engaged, e.g., Artist in Residence, Composer in Residence, and Writer in Residence. The purpose of in-residence appointments is to emphasize performance or creative work to the benefit and enhancement of the broad educational goals of the University.

An in-residence appointment may be a tenured or a term appointment. In-residence appointments normally are without tenure and do not lead to tenure. Where tenured or tenure-track appointments are intended, the appointment letter will so state. If the appointment is not full time, the letter of appointment will make clear whether the conditions of full-status partial-load appointments apply.

In-residence faculty members are subject to University regulations and procedures in the Faculty Manual, except that criteria for promotion, where applicable, may be adjusted to the creative activity involved and to the faculty member's assigned duties. In accordance with their specialized knowledge or skills, it is expected that in-residence faculty members will give public performances (recitals, lectures, readings,
exhibits, etc.). While the primary responsibility of in-residence faculty members will be the public sharing of their craft, means may be devised to allow them to teach in other ways as well.

Section D

Emeritus and Emerita

A tenured faculty member who has served the University with distinction over a period of years and who remains upon active status until retirement may, upon the recommendation of the appropriate Dean, the Provost, and the Chancellor, be awarded the title of Emeritus or Emerita by action of the Board of Trust. The title normally follows the regular title, e.g., Professor of Chemistry, Emeritus. In rare cases, Emeritus or Emerita status may be granted for a faculty member or administrative officer who does not hold a tenured faculty rank.

Section E

Retired

A faculty member who has served the University for an extended period of time, contributed to the mission of the institution, and is in good standing at the time of retirement, may, upon the recommendation of the appropriate Dean and concurrence of the Provost be awarded the title Retired. The title normally follows the regular title, e.g., Professor of the Practice of Special Education, Retired. A faculty member who is granted the title of Emerita or Emeritus is not eligible for the title of Retired.

Section F

Multiple Titles at Vanderbilt

A Vanderbilt faculty member with more than one appointment in the University is listed in the Registry and in the school catalogs with all official titles and always in the same sequence: primary title first, secondary second, and so on. Multiple appointments that are truly equal are listed in the sequence that the holder prefers. Ordinarily, tenure is held in the department of primary appointment.

Section G

Other Academic Titles

Faculty Fellow

Senior Faculty Fellow

The titles Faculty Fellow and Senior Faculty Fellow designate faculty members whose primary appointments are in one department/school of the University and who are actively engaged in research typically funded by grants that come through other programs, e.g., the Vanderbilt Institute for Public
Policy Studies, or who are teaching courses as a part of these programs. Ordinarily, the title Faculty Fellow designates non-tenured participants in such programs, while Senior Fellow identifies tenured participants.

Visiting Scholar

Those persons designated Visiting Scholar are visitors to Vanderbilt who have faculty status at other institutions of higher education or are otherwise distinguished, and whose presence on the campus is formally recognized for periods of up to a year in order to use the library, to observe the conduct of a particular course, to consult with a professor or group of faculty members on a matter of common interest, or to pursue some other valid academic purpose. A Visiting Scholar normally does not have formal duties to perform at Vanderbilt and is not a member of the faculty.

A person who wants to be named a Visiting Scholar writes in advance to an individual Professor or Dean of a school at Vanderbilt stating the purposes of the proposed visit, the proposed length of stay, and his or her academic qualifications. The Deans may appoint visiting scholars through formal letters of appointment.

Visiting Scholars are entitled to a variety of perquisites, generally associated with matters of convenience associated with their stay on campus. Graduate students from other universities and local college faculty members not on leave are not ordinarily eligible for designation as Visiting Scholars.

Special Postgraduate Titles in the Schools of Medicine and Nursing

Research Fellow

Clinical Fellow

Fellows are not members of the faculty. The title Research Fellow is held by persons with the Ph.D. or professional doctoral degree who are in a postgraduate training program with primary emphasis on research.

The title Clinical Fellow is given to persons in the schools of Medicine and Nursing who are engaged in studies and clinical experience, including the care of patients, beyond graduate training in a specified field of clinical education. Clinical Fellows are appointed on an annual basis by a department in the school; the appointment must be approved by the chair of the department and the Dean. Ordinarily, the Clinical Fellow will have completed one or more years of initial training and education in one of the residency-designated specialties or graduate specialties. The title Clinical Fellow also can be given to persons with master’s degrees in the School of Nursing who are engaged in specific areas of clinical study. Such appointments must be approved by the department chair and the Dean.
Chapter 2: General Principles, Rules, and Procedures for Appointment, Reappointment, and Termination

This chapter summarizes the general principles, rules, and procedures for appointment to faculty positions at Vanderbilt. The full range of positions defined is provided in Chapter 1, Academic Titles at Vanderbilt. Positions may carry academic tenure ("tenure appointments") or may exist only for a specified period of time ("term appointments" or "non-tenure appointments"). Term appointments may be on the tenure track, i.e., they offer the possibility of tenure, or not on the tenure track, in which case they do not offer the possibility of tenure. Subject to the approval of the Provost (who will consult with the Dean of the School of Medicine with respect to matters related to the School of Medicine), each school publishes additional policies and procedures relating to appointment, reappointment, promotion, and tenure. These additional policies and procedures are available from the Deans of the schools.

Section A

Equal Opportunity

Vanderbilt is an Equal Opportunity Employer; therefore, all employment and hiring practices, including those for filling faculty positions, must be in accordance with relevant federal and state statutes and regulations and in accordance with the Affirmative Action Plan of Vanderbilt University (see Part III, Chapter 2, Section E of the Faculty Manual). Deans of the schools and the Equal Opportunity, Affirmative Action, and Disability Services Department have detailed information regarding these requirements.

Section B

Authorization of Academic Positions

Before a formal search to fill a faculty position may begin, authorization in writing must be obtained from the Provost and the Dean of the relevant school, except in the Clinical Departments of the School of Medicine where department chairs have standing authorization subject to the availability of funds and space. A position is not assumed to be authorized in a given department simply because a faculty member from that department has left the University. Authorizations for faculty positions are terminated (1) when vacated by retirement, resignation, or other reason; and (2) when not filled within the year in which they are budgeted. Positions may be carried over to a new budget year on specific authorization. All position authorizations, including renewals, must be determined in light of school-wide and University-wide priorities. Faculty appointments in the University are made to a school and, where appropriate, to a department.
Section C

Written Terms of Appointment

The terms and conditions of every appointment to the faculty, including extensions, modifications, and notices incumbent upon either party, are stated in writing, with a copy furnished to both parties. To the fullest extent practicable, all understandings with respect to terms of appointment, including specification of the appropriate kinds of research, scholarship, or creative expression, should be stated in the letter of appointment. The letter of appointment clearly states the term of an appointment and whether it is subject to renewal.

Section D

Procedures for Initial Term Appointments

In schools organized by departments, all appointments are formally initiated by the department chair in consultation with the Dean, with other members of the department, and with other department chairs in the case of joint or interdepartmental appointments. In the School of Medicine, all faculty appointments in the Clinical Departments are initiated formally by the department chair with the approval of the Dean (or Dean’s designee). In the Basic Science Departments of the School of Medicine, faculty appointments are initiated formally by the department chair with the approval of the Provost or Provost’s designee, in consultation with the Dean or Dean’s designee. Notification of faculty appointments for all School of Medicine departments will be joint and assigned by the Provost and Dean of the School of Medicine or their designees. In schools organized in divisions or programs of study, appointments are formally initiated by the Dean in consultation with tenured and other appropriate faculty. The Dean of the Graduate School is consulted if the prospective faculty member will be expected to offer graduate courses.

The recommendation for a new appointment should include information and documentation specified by the Provost (or Provost’s designee) or in the case of an appointment in a School of Medicine Clinical Department, the Dean of the School of Medicine (or Dean’s designee).

After a proposed term appointment is approved by the Dean, the complete file is sent to the Provost for consideration. In the case of appointments in the School of Medicine Clinical Departments, approval is by the Dean of the School of Medicine (or Dean’s designee), in consultation with the Provost. The Provost notifies the Dean of the final action, and the Dean informs the department chair, where applicable, and executes the appointment, after which time announcement of term appointments can be made. Initial appointments to tenure-track positions require the approval of the Chancellor (or the Chancellor’s designee).

Term appointments are for fixed terms of one year (as is typically the case for Instructors), three years (as is typically the case for Assistant Professors), or other periods not to exceed five years.
Section E

Standards and Procedures for the Renewal of Term Appointments

Certain faculty members holding term appointments are eligible for reappointment or renewal. Up to the time of a decision on tenure, all faculty holding tenure-track appointments are eligible for reappointment. The procedures for renewing a term appointment generally follow those for initial term appointments. Normally, the successful candidate for reappointment will have received a positive recommendation from his or her department or school, as applicable. A positive recommendation of the candidate’s Dean is required, as is approval of the Provost, except for faculty reappointments in the School of Medicine Clinical Departments where only the Dean’s approval is necessary. The colleges and schools may adopt more detailed procedures for reappointment with the approval of the Provost or the Dean of the School of Medicine in the case of the School of Medicine Clinical Departments.

Tenure-track faculty members should be recommended for reappointment only if their performance provides a reasonable basis on which to project continued progress that could ultimately enable them to qualify for tenure. The evidence needed becomes more weighty with continued time in rank. Some degree of evidence is needed at each renewal period.

Faculty members holding renewable one-year appointments will normally receive written notices of renewal or nonrenewal by March 1, or, in the case of faculty members not on academic-year appointments, at least four months prior to the expiration of the appointment term. For faculty members who have appointments exceeding one year, written notices of renewal or nonrenewal normally will be made thirteen months prior to the expiration of the appointment term, e.g., by June 1 of the penultimate year of an appointment coinciding with the academic year. In certain circumstances, as when an appointment is dependent on the receipt of outside funds, written notification may be delayed until October 15, when a statement of contingencies must be provided, with the expectation of a final decision by December 15 of the final year. Such delayed notification using similar time intervals may also be used for faculty members with appointments that do not coincide with the academic year.

Section F

Procedures for New Appointments with Tenure

When a new appointment is made at Vanderbilt that carries with it the concurrent award of tenure, the procedures to be followed are as described in Chapter 3, Section F, “Standards and Procedures for the Award of Tenure from Outside the University.”

Section G

Full-status Partial-load Appointments
Tenure-track appointments may be made for partial-load faculty members, with those members being eligible for promotion through all ranks. Persons with such appointments are designated as having full status with partial load, and the letter of appointment must so state.

These appointments are ordinarily directed toward faculty members who look only to the University for their compensated activity, but whose family commitments or health prevents a full faculty load. They are distinguished from non-tenure-track "part-time" appointments such as lecturer, and from those professorial ranks bearing the prefixes adjunct, clinical, visiting, research, or adjoint, in which the individual ordinarily earns additional compensation apart from University salary. Full-status partial-load appointments must be consistent with the financial and programmatic needs of the individual schools. Partial-load faculty appointments may be reviewed from time to time to determine whether activities of such faculty members outside the University continue to warrant a partial-load appointment.

Professional qualifications expected for partial-load positions are the same as for full-time positions. Appointments and promotions are made in accordance with Chapters 2 and 3, and partial-load faculty members are subject to the provisions of the Faculty Manual.

Partial-load faculty members shall commit an agreed percentage of their time to the University, but not less than 50 percent. The letter of appointment specifies the percentage. Partial-load faculty appointments do not imply future full-load appointments; changes from partial to full load (or the reverse) must be approved by the appropriate Dean and the Provost, except for appointments in the School of Medicine Clinical Departments where only the approval of the Dean of the School of Medicine is required.

Procedures and criteria for promotion are the same for partial-load as for full-load positions, except that the allowable period for promotion to tenure may be extended to three years beyond the period provided in Chapter 3. Approval by the Dean and by the Provost is required, except for appointments in the School of Medicine Clinical Departments, where only the approval of the Dean of the School of Medicine is required.

Full-status partial-load faculty members are eligible for fringe benefits available to full-load members, except that some benefits will be reduced to correspond to the fraction of the load carried by the faculty member. Such benefits for faculty in the School of Medicine Clinical Departments and School of Nursing faculty employed by VUMC are provided by Vanderbilt University Medical Center. For example, contributions to the retirement plan, the established percentages of contribution are based on a faculty member's base salary. Social Security, group life insurance (employer provided and optional), and disability insurance also are based on salary. Health care coverage may continue as for any other active full-time faculty member or the faculty member may waive the coverage. Full coverage for travel accident insurance, the full discount for athletic tickets, and the tuition benefit are allowed regardless of the percentage of load.

Section H

Joint Appointments
When a faculty member receives a joint appointment in two departments in the same school of the University, the letter of appointment designates the primary department for administrative purposes. The chair of the primary department will receive the cooperation of chairs of other departments in the assignment of workload and other matters affecting the joint nature of the appointment.

When a faculty member receives a joint appointment in two different schools of the University, the letter of appointment designates the primary department or division for administrative purposes, and the chair of that department—or the Dean, in schools without departments—will carry the same responsibility as though all parts of the appointment were in the same school. The cost of employee benefits will generally be prorated between the schools in proportion to each school’s share of the faculty member’s salary, although this practice is not common for joint appointments to the schools of Medicine and Nursing.

Cooperative arrangements and joint programs between departments, between schools, or between Vanderbilt and another institution do not necessarily require joint appointments.

When a joint appointment is made between Vanderbilt and another institution, the letter of appointment must specify which institution is to become the primary base of the appointment. This base institution will handle all payroll procedures and employee benefits, billing the joint institution as appropriate with the salary division. The employee benefits to be received under such a joint appointment will normally be those of the base institution. An individual with a joint appointment may hold different academic ranks within the schools at Vanderbilt or at different institutions. In all cases of joint appointments, the letter of appointment must specify any arrangements for tenure or term appointments.

Section I

Part-time Appointments

The procedure for making part-time term appointments is the same as for any other term appointment. Unless otherwise specified, part-time faculty are subject to the same responsibilities (Part III below), disciplinary procedures (Part IV below), and renewal and termination procedures (Part II, Chapters 2 and 3) as full-time faculty in the same ranks, and they have recourse to the faculty grievance procedures (Part II, Chapter 3, and Part IV below). Part-time members of the faculties not having full status with partial load are non-voting members of the Faculty Assembly (Part I, Chapter 2 below).

Section J

Research Professorial Appointments

Research professorial appointments are made for fixed terms, the length of which may depend on the duration of research grants or contracts held by the University. Terms may be renewed without limitation, but no length of service can be expected to lead to automatic tenure. The titles of the research professorships are not to be considered shelters in which tenure decisions on regular faculty can be avoided. Any department may, however, at any time recommend that a person holding a research
professorship be appointed to a rank on the normal tenure track of Instructor, Assistant Professor, Associate Professor, and Professor.

Notice of nonrenewal of the appointment will normally be given to the Research Professor at least six months before the end of the appointment. If renewal depends upon obtaining contract or grant funds still in doubt at that time, the notice may be that the University intends not to renew the appointment unless the funds are obtained.

A Research Professor wishing to terminate his or her appointment before the end of the fixed term must give six months’ notice. Waiver of notice periods may be negotiated by express consent of both parties.

Section K

Retirement

1. Age of Retirement

There is no mandatory retirement. Issues regarding retirement planning should be addressed to the department chair or Dean.

The Deans of the individual schools with the approval of the Provost may make provision for retirement incentive arrangements for tenured faculty members, including provision for deferred compensation and the continuation of specified fringe benefits. For faculty in the School of Medicine Clinical Departments, the Dean of the School of Medicine will obtain the concurrence of the Vanderbilt University Medical Center Board for any such provisions.

2. Emeritus and Emerita Status for Faculty

The Dean in consultation with the department chair will recommend to the Provost or Provost’s designee those retiring members of the faculty (including those in School of Medicine Basic Science Departments) to be awarded Emeritus or Emerita status. For faculty appointed in the School of Medicine Clinical Departments, the recommendation of the Dean of the School of Medicine suffices. The recommendation will be accompanied by a biographical statement of some 200 to 300 words citing the faculty member’s contributions to the University and the academic world in teaching, scholarship, and service.

The Provost, or, in the case of faculty in the School of Medicine Clinical Departments, the Dean of the School of Medicine, may recommend the award of Emeritus or Emerita status to the Chancellor, who may recommend action to the Board of Trust. Emeritus or Emerita actions generally will be made at the spring meeting of the Board. The action of the Board of Trust is transmitted by the Provost to the Dean, who notifies the department chair and the faculty member. No public announcement may be made until after Board of Trust action. Public recognition of Emeritus or Emerita status is made at Commencement at the end of the academic year.

On occasion, a school may contract with an Emeritus or Emerita Professor to teach a specific course or perform other specific and limited duties.
3. Emeritus or Emerita Status for Administrators

In rare cases, Emeritus or Emerita status will be awarded to an administrative officer of Vanderbilt University who does not hold faculty rank. The procedure for consideration of such status will, insofar as possible, parallel that for tenured faculty, except that consideration for the award of Emeritus or Emerita status must start with the recommendation of the Provost to the Chancellor.

Section I.

Resignation

A faculty member may terminate an appointment effective at the end of an academic year, provided that he or she gives notice in writing as early as possible, preferably before March 1. Faculty members not on academic-year appointments should give notice in writing at least four months prior to the date on which they wish their appointment to terminate. Faculty members resigning tenure appointments are expected to give at least six months' notice. Waivers of notice periods may be negotiated by express consent of both parties.

Section M

Termination

Faculty members may be terminated for cause subject to the procedures described in “Disciplinary Actions,” Part IV, Chapter 1.

Chapter 3: Principles, Rules, and Procedures for Promotion and the Award of Tenure

Section A

Definition of Academic Tenure

“Academic tenure” at Vanderbilt refers to the University’s commitment to continue any faculty member appointed as Professor or Associate Professor in that office, unless otherwise specified at the time of appointment, until the faculty member voluntarily terminates the appointment or until retirement or permanent disability, or dismissal for cause. Tenure does not attach to an administrative position. A faculty member holding academic tenure has the right to a hearing, as provided in Part IV, Chapter 1 of the Faculty Manual, prior to dismissal for cause.
Section B

The Probationary Period

1. Tenure-track appointments provide for a probationary period prior to a decision on tenure. Any faculty member becomes ineligible for tenure if he or she has not been promoted to a tenured position, or offered a special extension of probation (see 4 below), by the end of seven years of accumulated full-time academic service at Vanderbilt or at other comparable institutions (see 3 below, however), except for the School of Medicine and the School of Nursing where the probationary period is nine years. "Full-time academic service" includes both full-status partial-load appointments and academic leaves (full- or part-time, paid or unpaid) for a period of five years. These are of a type to facilitate professional growth and achievement. If a faculty member holds a part-time, tenure-track appointment at the request of Vanderbilt, or if such a part-time appointment is necessitated by other nonacademic duties at Vanderbilt or elsewhere, then he or she may accumulate all or part of the probationary years in partial increments, on a pro rata basis. Whenever part-time employment justifies a pro rata extension of the probationary period, the letter of appointment or reappointment contract of employment should specify the exact number of years added to it. The probationary period will not be extended in the absence of such a written statement.

2. Term appointments not on the tenure track do not offer any prospects of eventual tenure. Should a faculty member on such an appointment later shift to a tenure-track position, these prior years at Vanderbilt will normally count toward the probationary period, but only to the extent that the non-tenure-track appointment offered opportunities for professional growth and achievement comparable to those enjoyed by tenure-track appointees. In the schools of Medicine and Nursing, individuals in advanced stages of training may be appointed to the faculty at the level of Instructor not on the tenure track, if they are otherwise qualified. If such individuals subsequently are appointed to the rank of Assistant Professor on the tenure track upon completion of training, prior years at the level of Instructor (non-tenure-track) will be excluded from the probationary period to the extent that the individuals were trainees and not independent investigators. Any prior years exempted from the probationary period must be agreed to by the appropriate Dean, or Provost (or Provost's designee) for the School of Medicine Basic Science departments, at the time of the initial tenure-track appointment.

3. Whenever prior service at other institutions has not provided opportunities for professional growth and achievement comparable to those enjoyed by junior faculty at Vanderbilt (e.g., because of higher teaching loads or less research support), then, at the time of the appointment to a tenure-track position at Vanderbilt, the candidate and the Dean or Provost (or Provost designee) for the School of Medicine Basic Science Departments, must agree on the number of prior years to count toward tenure. Regardless of the number of years of comparable full-time service carried over from other institutions, Vanderbilt retains the option of requiring as many as three probationary years at Vanderbilt before a decision on tenure. Since the exercise of this option may extend the total probationary period, in all such cases the maximum probationary period at Vanderbilt must be clarified in the initial letter of appointment.

4. Various exigencies may retard or temporarily interrupt a faculty member's professional career. This means that certain periods during the probationary period should not count as "full-time service." These exigencies include leave required by ill health, by childbearing or unusual requirements for infant care, or by a serious illness or death of immediate family members, Other special circumstances (e.g., accidental destruction of research material, important clinical or patient care responsibilities, and extra teaching
assignments) may also retard the development of professional attainments directly related to a favorable tenure decision and thus justify exemptions for one or more periods.

The faculty member and his or her department chair (for faculty members in departments) must at the earliest possible moment present to the Dean, or Provost (or Provost designate) for the School of Medicine Basic Science Departments, a request for such an exemption. The request should outline the amount of time to be exempted from the tenure track. In no case may the total exemptions under this provision exceed two calendar years, and no period exempted shall be less than one semester. Faculty members who give birth during the probationary period are entitled to an automatic one-semester extension of the probationary period, up to a maximum of two extensions. In order to avail herself of such an extension, a faculty member need only notify her department chair or Dean of her decision, within four months after the birth, on whether she wishes to take the extension.

Extensions of the probationary period must be approved by the department chair (for faculty members in departments), the Dean and the Provost, or in the case of faculty in the School of Medicine Clinical Departments only by the Dean of the School of Medicine. No request for an extension can be considered once the tenure evaluation has commenced. The Deans of Schools, other than for the School of Medicine Clinical Departments will consult with the Provost prior to reaching a decision on any request for extension of the probationary period. The standards for an extension of the probationary period are to be applied rigorously such that extensions beyond seven years, or nine years in the School of Medicine or School of Nursing, are granted only in exceptional circumstances. A faculty member who is granted an extension of the probationary period will be judged and evaluated on the same basis and by the same standards as though there had been no extension.

5. A failure by a faculty member on the tenure track to earn tenure normally leads to a termination of employment at Vanderbilt, but Vanderbilt guarantees to members on the tenure track who do not receive tenure the fulfillment of existing multi-year appointments or an additional one-year appointment if the adverse decision on tenure is made during a one-year appointment or during the last year of a multi-year appointment.

Section C

Standards for Promotion and the Award of Tenure

For the award of tenure, Vanderbilt requires (1) excellence in research, scholarship, or creative expression in one’s discipline; (2) a high level of effectiveness in teaching; and (3) satisfactory performance in the area of service. From discipline to discipline, the form taken by a candidate’s contributions will vary. But, in each case, Vanderbilt expects the level and quality of achievement in these three areas to be equivalent to that required for tenure in leading departments or schools of other major research universities. The three standards are independent; a deficiency in one area cannot be offset because the candidate exceeds the required standard in another.

1. Research, Scholarship, and Creative Expression
Candidates to be considered for tenure are persons who have already achieved and who show promise of continuing to achieve a level of excellence in their contribution to the research, scholarship, or creative expression appropriate to their discipline or profession and as described in their letter of appointment. Indicators of excellence include originality, logical rigor, distinctiveness of ideas, creativity of expression, independence of thought in identifying projects and framing issues for analysis, advancement of a theoretical viewpoint or a perceptive and balanced criticism of such a viewpoint, and significant and important intellectual impact.

Successful candidates for tenure at Vanderbilt must be active scientists, scholars, critics, or artists. By the time of the tenure review, they must have completed and made available research, scholarship, criticism, or artistic production of such high quality as to gain favorable recognition within their discipline and at a national level. The works may be available through the publication of books and articles, the circulation of manuscripts intended for publication, lectures and presentations, exhibits, or performances. When candidates participate in group research projects, it is their responsibility to provide a means for distinguishing their contributions from those of other members of the group. Both past achievements and future promise, both the quantity and the quality of completed work, determine one’s eligibility for tenure.

2. Teaching

Candidates for tenure must accept as career obligations the dissemination of knowledge and the nurturing of a spirit of inquiry. To qualify for tenure, candidates must demonstrate a high overall level of teaching effectiveness, with appropriate weight given to performance in each of the various forms of teaching that are important to the respective programs of their departments or schools.

Command of the subject, clarity in communication, and sensitivity to the needs of students are indispensable assets of effective teachers. Successful candidates for tenure must possess both the skills required to transmit the content of their disciplines and the capacity to motivate an active pursuit of new knowledge or insight. Such skills and capacities spring from the same qualities that lead to successful scholarly inquiry.

3. Service

Faculty members have obligations that go beyond research, scholarship, or creative expression and teaching, particularly in departmental or school activities and University governance. In some disciplines, also of great import is service through University outreach (including patient care at VUMC and other professional services to the University and the community) and contributions to professional and learned societies. Vanderbilt expects its tenure-track faculty to assume a fair share of such service work and to perform it satisfactorily.

4. Specification of Standards and Procedures by Schools

Each school publishes a statement specifying its standards and procedures for the award of tenure and for promotion within the tenured ranks. These statements should relate the standards and procedures to specific disciplines. Any departure in these specifications from any rule of the Faculty Manual must be consistent with the general principles stated herein and be approved by the Provost, or in the case of faculty in the School of Medicine Clinical Departments only by the Dean of the School of Medicine.
At the end of the academic year, the Dean of each school (other than for the Clinical Departments of the School of Medicine) submits to the Provost, a copy of the school’s current statement, along with an indication of any proposed revisions. The Provost reviews these statements and informs the schools of any problems prior to the beginning of the next academic year. For the School of Medicine, the Dean of the School of Medicine will consult with the Provost.

A copy of all documents specifying the requirements and procedures for appointment, tenure, and promotion is available in each Dean’s office.

Section D

Procedures for the Award of Tenure from within the University

As a general rule, no faculty member at Vanderbilt is promoted or awarded tenure without the recommendation of his or her senior colleagues in the department or school. That is, in any department or school, an ordinary prerequisite for tenure and promotion is the candidate’s endorsement by a majority of the current faculty who hold a primary appointment at or above the rank for which the candidate is being considered and in the same department or school where the candidate’s tenure would be based. These colleagues should be convinced that the candidate has those personal and professional qualities that will contribute positively to the work of the University. In the School of Medicine, such endorsement is provided by the Executive Faculty, and no faculty member is appointed or promoted to the title of Associate Professor or Professor, either tenured or non-tenured, without a positive recommendation from the Executive Faculty.

1. Procedures for Schools within the Provost’s Areas

In addition to the involvement of the tenured faculty, consideration of appointment to tenure involves (a) the dean of the school, acting in accordance with the standards and procedures of the school; (b) the Promotion and Tenure Review Committee; (c) the Provost; (d) the Chancellor and (e) the Board of Trust. Positive recommendations are ordinarily passed along to the next person or committee.

a. The Decision by the School

The process of awarding tenure ordinarily begins with a positive recommendation by a majority of the tenured faculty members of a department or school (that is, by a majority vote of those faculty members who hold tenure in the same department or school where the candidate’s tenure would be based). Both positive and negative recommendations are forwarded to the appropriate Dean, ordinarily within ten business days of the decision, along with the promotion file and an explanation of the basis of the decision. In the event of a negative decision, the candidate must be notified in writing of the decision in a timely manner, ordinarily within one business day. The candidate may then submit a statement for inclusion in the file to be transmitted to the Dean. The Dean may (a) accept the negative faculty decision, thereby ending the matter, or (b) return it to the faculty for reconsideration. If the original negative decision is reaffirmed by the faculty, the Dean, if he or she favors tenure, may send a positive recommendation to the Promotion and Tenure Review Committee. If this committee acts favorably, its
recommendation is sent to the Provost. A negative decision under these circumstances by the Promotion and Tenure Review Committee terminates consideration.

A recommendation for tenure transmitted to a Dean by a departmental or school faculty moves forward only with the concurrence of the Dean, except when a department or school appeals a Dean's non-concurrence. A decision to appeal requires the affirmative vote of at least two-thirds of the department's or school's tenured faculty, must be made within ten business days (not including vacation periods) after receiving a written report from the Dean describing the rationale for the decision, and is directed to the Promotion and Tenure Review Committee. Only those faculty members eligible to vote on the original recommendation may participate in the vote on an appeal. The candidate must be informed by the department or school within one business day of the outcome of its decision on whether or not to appeal a Dean's non-concurrence. The appeals procedures limit the committee's review to documentation included in the personnel file at the time of the Dean's decision.

b. Procedures for Review and Assessment by the Faculty

Except as set forth below, the entire contents of the dossier, including all solicited or unsolicited letters regarding appointment, renewal, promotion, or tenure that will be included in the candidate's file for transmittal to the Dean, must be available for review by the eligible faculty members prior to their vote. Only members of the faculty who are eligible to vote will have the opportunity to review the contents of the dossier prior to the vote. Unsolicited letters from faculty members outside the department or school will be included in the dossier only if they are provided to the department chair or Dean for review by the faculty prior to the vote.

By the end of the second business day after the vote, any faculty member eligible to vote may write a letter to the department chair or Dean for inclusion in the dossier expressing his or her views on the deliberations by the faculty. These letters are to be made available to all faculty who are eligible to vote.

The department or school must prepare minutes or a summary of the faculty deliberations that will be appended to the dossier, after first being circulated to the voting members of the faculty. Any faculty member who believes that the minutes or summary does not fairly reflect the deliberations at the meeting may submit a letter to the department chair or Dean before the end of the second working day after distribution of the minutes or summary. All such letters will be made available for review by the faculty eligible to vote and will be included in the dossier.

As the final step in the faculty evaluation process, the department chair or Dean will write a letter of transmittal that reports his or her views of the full range of faculty deliberations.

Except as stated above, no faculty member other than the department chair or Dean may add materials to the dossier for consideration at higher levels of review of the faculty decision.

It is inappropriate for faculty members, including those outside of the department or school, to attempt to influence the deliberations on renewal, promotion, or tenure that come after the vote of the faculty, except

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2 In schools without departments (Divinity, Law, Nursing, Owen Graduate School of Management), the entire eligible school faculty votes on the initial tenure recommendation. In schools with departments, the department chair writes the recommendation of the faculty and submits it either to the Dean or to a school-wide tenure and promotion committee. In schools without departments, the voting faculty submits its recommendation directly to the Dean.
to bring an allegation of professional misconduct. "Professional misconduct" means any conduct on the part of a faculty member that might reasonably lead to disciplinary action under Part IV, Chapter 1 (Disciplinary Actions) of the Faculty Manual. Persons involved in subsequent levels of review should not accept or consider additional unsolicited documents and should discourage any communications that seek to influence their decisions.

c. The Promotion and Tenure Review Committee

All recommendations are reviewed by the Promotion and Tenure Review Committee. Members of the committee are appointed by the Chancellor upon the recommendation of the Provost, normally from nominations submitted by the Consultative Committee of the Faculty Senate. As with all University-level committees, the Chancellor has ultimate responsibility regarding the membership of the Promotion and Tenure Review Committee.

The Promotion and Tenure Review Committee is composed as follows: one representative from each of the three divisions of the College of Arts and Science; one representative each from the School of Engineering, the Divinity School, Peabody College, the Owen Graduate School of Management, and the Law School; and the Dean of the Graduate School. The Provost designates a member of the committee to serve as chair.

Members of the Promotion and Tenure Review Committee normally serve three-year staggered terms.

The committee reports all its decisions to the Provost and, in the case of a negative decision, to the appropriate Dean.

When tenure is recommended by a Dean, the Promotion and Tenure Review Committee evaluates the recommendation on the basis of its consistency with University standards and with the statement of standards and procedures required by the school (see Section C, 4 above). Except in unusual cases, review will not consist of a second detailed evaluation of the candidate’s qualifications. In unusual cases and in cases presented by appeal, the chair of the Promotion and Tenure Review Committee may appoint an ad hoc committee, composed of faculty members in disciplines related to that of the candidate, to make another evaluation of the candidate’s record. In selecting members for an ad hoc committee, the chair of the Promotion and Tenure Review Committee normally will consult the members of the review committee, the Provost, and the appropriate Dean and department chair. The ad hoc committee reports its findings to the Promotion and Tenure Review Committee.

The award of tenure requires a positive recommendation from the Promotion and Tenure Review Committee. A negative recommendation by the Promotion and Tenure Review Committee may be appealed by the Dean to the Provost, except where the candidacy has reached the Promotion and Tenure Review Committee by the Dean’s overruling a negative departmental or school recommendation. An appeal by the Dean must be made within thirty business days after receipt of the written report of the Promotion and Tenure Review Committee. The final decision should be communicated in writing from the appropriate Dean or, the Provost to the faculty member.

Those charged with reviewing a recommendation or an appeal under the foregoing procedures may decide to obtain additional information to supplement or clarify the candidate’s record. If so, this information should relate to the record as it existed at the time of the faculty’s recommendation and not to activities or
achievements by the candidate occurring after that time. If such information is obtained, the person or committee obtaining it may ask those who considered the matter at some prior step in the review process to reconsider their decision in light of it. If an ad hoc committee of the Promotion and Tenure Review Committee obtains such additional information, that information must be presented to the appropriate Dean and faculty for their reconsideration.

2. Procedures in the School of Medicine

Recommendations for promotion and tenure originate with department chairs, who act with the advice of Departmental Appointments and Promotions Committees. These committees consist of all full-time tenured full professors within a department or in the case of large departments at least six full-time tenured full professors. Recommendations from the chairs are forwarded to the Office of the Dean for administrative review, which forwards them to the School of Medicine’s Faculty Appointments and Promotions Committee (FAPC). This committee consists of eleven faculty members at the rank of Professor representing diverse disciplines within the School of Medicine and representing the three major academic tracks (Investigator, Educator, Clinical Practitioner), selected by the Dean in consultation with the Provost. A favorable recommendation from this committee is forwarded to the Executive Committee of the Executive Faculty (ECEF) of the School of Medicine, which acts on behalf of the Executive Faculty of the School of Medicine in reviewing and either endorsing or not endorsing the recommendation.

Positive recommendations from the ECEF for the award of tenure or promotion of tenured faculty are forwarded to the Dean or the Dean’s designee for faculty in Clinical Departments, or to the Provost or Provost’s designee for faculty in Basic Science Departments. These individuals may return the case to the ECEF for reconsideration. Positive recommendations are sent to the Dean of the School of Medicine for faculty in Clinical Departments or to the Provost for faculty in Basic Science Departments. Favorable recommendations are forwarded to the Chancellor, who gives final approval on promotion to the rank of Professor and either recommends or does not recommend the award of tenure to the Board of Trust. Appointments to tenure are not official until approved by the Board of Trust. A negative decision at any stage is final. Faculty who wish to appeal a negative decision may use the grievance process described in the Faculty Manual.

3. Procedures in the Blair School of Music

Candidates for tenure or promotion submit their review portfolios to the Dean, who then forwards these materials to the Tenure Review Committee (TRC).

The Tenure Review Committee (TRC) evaluates all candidates for the award of tenure and for promotion to Professor. The TRC consists of all full professors in the Blair School of Music; two full professors at Vanderbilt from outside the Blair School; and two full professors of Music outside Vanderbilt University. The TRC makes a recommendation to the Dean of the Blair School, who then makes a recommendation to the Provost.

The TRC submits to the Dean in writing a notice of the vote of the committee and the recommendation of the committee based upon that vote. The Dean may return either a positive or a negative recommendation to the TRC for reconsideration one time. If the TRC recommendation is negative, the faculty member may appeal to the Dean within two weeks of being notified by the Dean of the TRC’s negative recommendation.
A positive recommendation by the Dean will be forwarded to the Provost. A negative decision by the Dean may be appealed by the TRC to the Provost if two-thirds of the faculty members eligible to vote on the original recommendation support the appeal. In the instance of the Dean’s non-concurrence with a positive recommendation from the TRC, the candidate may appeal to the Provost if at least two-thirds of the faculty members eligible to vote on the original recommendation support the appeal.

The Provost may return a file to the Dean for reconsideration. A positive recommendation by the Provost is sent to the Chancellor, who gives final approval on faculty actions in Blair.

A candidate for promotion or tenure who wishes to challenge a final negative decision may use the Reappointment, Tenure, and Promotion Grievance Process described in Part IV, Chapter 2.

Section E

Procedures for Promotion to Professor

In general, the procedures to be followed for promotion to Professor are the same as those specified above for consideration for the award of tenure. The process ordinarily requires a positive recommendation by a majority of tenured Professors in the department or school. In the School of Medicine, the positive recommendation is from the Executive Committee of the Executive Faculty in lieu of the recommendation from a majority of the tenured Professors in the department or school. Vanderbilt expects the level and quality of achievement in (1) research, scholarship, or creative expression; (2) teaching; and (3) service to be equivalent to that required of Professors in leading departments and schools of other major research universities. The candidate must have attained national or international recognition among leading scholars in his or her discipline for sustained and excellent research, must have taught the courses requested by the department or school at a consistently high level of effectiveness, and must have demonstrated a well-developed and recognized record of service both to the University and his or her discipline.

In the Law School, the award of tenure is normally accompanied by promotion to the rank of Professor. The standards for promotion are specified by the Law School, with the approval of the Provost, to conform to the expectations for the rank of Professor established at other nationally recognized law schools.

Section F

Standards and Procedures for the Award of Tenure from Outside the University

Candidates for a tenured appointment from outside the University must meet the standards established for such rank as specified in the Faculty Manual and the statements prepared by the individual schools.

The information that must be obtained on candidates from outside the University for positions carrying tenure is specified by the Provost or, in the case of the Clinical Departments of the School of Medicine, the Dean. It corresponds as far as possible to the information assembled on behalf of internal candidates for tenure, although inevitably some of this information is not readily available for external candidates.
The appointment from outside the University normally requires a positive recommendation by a majority of department or school faculty members who hold tenure in the same department or school where the candidate's tenure would be based, acting through the department chair or Dean and concurred with by the Dean or the Provost for the Basic Science Departments in the School of Medicine. Normally, for appointments at the rank of Professor, a positive recommendation by a majority of the department or school's tenured Professors is required as well. In the School of Medicine, appointments to tenured rank from outside the University will be made with approval of the Executive Committee of the Executive Faculty in lieu of approval by a majority of tenured department or school faculty.

The department chair or Dean normally will arrange for each candidate to visit the campus for interviews with members of the department or school, the Dean, and, except in the School of Medicine Clinical Departments, the Provost. Other University officers may be involved in special appointments. The campus visit may be omitted in certain cases.

After the proposed appointment is approved by the Dean, the complete file is sent to the Provost for consideration. In the case of a proposed appointment of a faculty member in a School of Medicine Basic Science Department, the Provost will consult with the Dean of the School of Medicine. The Provost recommends tenured appointments to the Chancellor and the Board of Trust. Tenured appointments from outside the University are not reviewed by the Promotion and Tenure Review Committee. For a proposed appointment of a faculty member in a School of Medicine Clinical Department, the Dean of the School of Medicine will make the recommendation to the Chancellor and the Board of Trust.

The action of the Board of Trust is transmitted by the Provost to the Dean. The Dean notifies the department chair and the candidate. In the case of an appointment in a School of Medicine Clinical Department, the Board's action is transmitted to the Dean of the School of Medicine who will notify the department and candidate. No announcement of a proposed tenure appointment is made until the Board has acted and the candidate has been informed.

Section G

Grievances Arising from Reappointment, Tenure, and Promotion Decisions

A grievance alleging that the University breached an obligation owed to the faculty member in regard to a decision on his or her reappointment, tenure, or promotion shall be filed using the process set forth in Part IV, Chapter 2.
Part VI: Faculty Benefits

Full-status members of the faculty (excluding those with the prefixes “adjunct,” “adjoint,” or the suffixes “emeritus,” “emerita,” or “in-residence”), general officers, members of the executive administration, and senior exempt staff are eligible for insurance, benefit, and retirement coverage under various plans administered by the University, although in some instances there are waiting periods (see pages following). Benefit arrangements for coverage of faculty with full-status partial-load appointments are explained in Part II, Chapter 2, Section G.

Benefit programs administered through the Benefits Office of Human Resources are health care plan, retirement plan, dental insurance, vision insurance, group life insurance, accidental death and dismemberment insurance, long-term disability insurance, and flexible spending accounts. For details, faculty members should contact the Benefits Office of Human Resources and may view information provided by insurance carriers about the various plans and benefits on the Human Resources website (http://hr.vanderbilt.edu/forms). Costs quoted may change from time to time.

Other benefits offered include Social Security, Workers’ Compensation, salary supplement, liability insurance and travel accident insurance. For more information on these benefits, contact your department.

New full-time faculty members should complete a Benefits Enrollment Form within 30 days of their appointment date (the date their employment by Vanderbilt begins). These forms are available on the Human Resource Website.

The following descriptions are general and do not serve as a contract. Any inconsistencies between these general descriptions and the terms of the plan documents are governed by the plan documents.

Chapter 1: Insurance Programs

Section A

Health Care Coverage

Vanderbilt offers extensive health care options. These plans compare favorably in rates and benefits with those offered by most other institutions. New full-time faculty members should complete a Benefits Enrollment Form within 30 days from their appointment date (the date their employment by Vanderbilt begins). These forms are available on the Human Resources website (http://hr.vanderbilt.edu/forms). Health care coverage is effective on the appointment date. For additional information, see the summary.

*Faculty who are employees of Vanderbilt University Medical Center do not receive employee benefits described in Part VI that are linked to employment by the University. These benefits include, but are not limited to, retirement, health care, and insurance benefits. Instead, these benefits are provided by the Vanderbilt University Medical Center for its employees. Further information can be obtained from the appropriate officials at the Vanderbilt University Medical Center.*

All benefits are subject to change by the discretion of the University.
plan description on the Human Resources website or on file in the Benefits Office of Human Resources. Faculty who continue full-time employment beyond the age of 65 remain in the Vanderbilt health care plan. Upon attaining age 65, faculty members should enroll in Medicare. Vanderbilt’s active plan health care benefits continue and will be coordinated with benefits from Medicare. The local office of Social Security should be notified several months in advance of age 65. A faculty member retiring from Vanderbilt at age 65 or older may enroll in a Medicare Supplement Plan. Supplemental plan enrollment forms may be obtained directly from the applicable insurance plan.

Section B

Group Life Insurance

Vanderbilt’s term life insurance plan offers a benefit equal to four times the base annual rate of pay, up to a maximum of $500,000 with no medical underwriting. The plan begins for a full-time faculty member immediately on the appointment date. Vanderbilt pays the basic benefit equal to the base annual salary. The voluntary part of the plan offers the faculty member the option to purchase an additional one, two, or three times the base annual salary up to a maximum of $500,000 (or $1,000,000 if evidence of insurability is provided and salary allows). The faculty member pays the cost for the voluntary portion elected.

The plan also provides, at University cost, $5,000 in life insurance for the faculty member's spouse or certified domestic partner and $2,500 for each dependent child. Dependent children are covered from 0 days to age 19 (to age 23 if a full-time student). When both husband and wife are employed at Vanderbilt and eligible for dependent life benefits, the dependent life benefits are provided to each.

The premium changes as age and salary advance for the faculty member. Benefits increase automatically with salary increments. However, active employees ages 65 and older will have coverage equal to a prorated percent of the amount of coverage elected.

Term insurance terminates upon retirement and it has no cash value. Life insurance after retirement is provided for faculty members who were enrolled in the group life program before May 1, 1971. Faculty members who qualify for this insurance can obtain specific provisions from the Benefits Office of Human Resources.

In order to take advantage of the waiver of a health statement or physical examination, new faculty must apply for group life insurance within 30 days after the appointment date.

If the individual should decide to cancel participation in the voluntary part or to enroll at a later date, the change should be made in writing to the Benefits Office of Human Resources. For enrollment after 30 days past appointment date, evidence of insurability is required.

Faculty members who leave Vanderbilt may convert the group life term insurance to another type of individual insurance without questionnaire or medical examination, if application is made with Metropolitan Life Insurance Company within 31 days of leaving the employ of the University Faculty...
members who under an earlier plan converted term coverage to whole life may continue that coverage after leaving Vanderbilt.

For additional information, see the summary plan description on the Human Resources website or on file in the Benefits Office of Human Resources.

Section C

Long-term Disability Insurance

Each full-time member of the faculty of Vanderbilt University is eligible for disability insurance after one year of employment. The plan covers continuous, total disability caused by sickness or injury incurred while actively employed. The existence of "continuous, total disability" is determined by the insurer.

Benefits begin on the first day of the month following six months of continuous, total disability. Compensation from Vanderbilt University will not, in any event, continue beyond that time. Benefits are paid so long as the faculty member remains totally disabled in accordance with policy provisions or until attainment of age 65. However, for a period of total disability beginning after attainment of age 60, benefits continue during the total disability for a prorated period of up to five years.

For additional information, see the summary plan description on the Human Resources website or on file in the Benefits Office of Human Resources.

Section D

Accidental Death and Dismemberment Insurance

Accidental death and dismemberment insurance is available to all full-time faculty members for a reasonable premium.

For additional information, see the summary plan description on the Human Resources website or contact the Benefits Office of Human Resources.

Section E

Workers' Compensation

Faculty members, as well as other employees at Vanderbilt, are covered by the Workers' Compensation Act of Tennessee. The Workers' Compensation Act covers accidental injuries and occupational diseases that arise from and in the course of employment at Vanderbilt. A copy of the Workers' Compensation Act is available from the Workers' Compensation Division, Department of Labor, State of Tennessee.
Any disease or injury that may be covered by the Workers' Compensation Act should be reported immediately to the office of the department chair or dean. Failure to report the injury or disease in a timely manner may render one ineligible for workers' compensation benefits. Within 24 hours of this report, the department should send the Employer's First Report of Work Injury form to the Risk and Insurance Management Office, 610 Oxford House, by campus mail. This form may be obtained through the Purchasing Department. The form must be completed and signed by the supervisor or department chair, not by the injured person. The supervisor or department chair should keep a copy of the form.

Additional information is available from the Office of Risk and Insurance Management or the Workers' Compensation Division, Department of Labor, State of Tennessee.

Section F

Liability Insurance

Members of the faculty with specific questions about liability insurance, including for injury or damage arising out of use of automobiles on University business, should consult the Office of Risk and Insurance Management.

Section G

Travel Accident Insurance

Faculty members traveling on business of the University are covered by business travel accident insurance purchased by Vanderbilt. This applies to travel to and from any point inside or outside Davidson County, Tennessee (or the county where one is assigned to work). Commuting to work is not covered. Since the coverage is restricted to business travel, faculty members should have on file an approved Travel Authorization Form prior to any business trip to a location outside Davidson County.

Restrictions exist on the use of private or chartered aircraft, with details available from the Office of Risk and Insurance Management.

Chapter 2: Retirement Programs

Section A

Retirement Plan Effective January 1, 2009

The Vanderbilt Retirement Plan offers a choice of mutual funds. The following are selected excerpts and paraphrases from the Vanderbilt University Retirement Plan and the Vanderbilt University Retirement Plan for New Faculty, which set forth the provisions of the retirement plan.

Eligibility
With the following exceptions (members of the faculty with the prefixes "adjunct," "adjoint," "visiting," or the suffixes "emeritus," "emerita," or "in-residence" in their titles or the title "research associate" or "senior research associate"), all full-status members of the faculty, general officers, members of the Executive Administration, and senior exempt staff who do not meet the Internal Revenue Service definition of "highly compensated" employee are eligible at the time of their employment with the University to receive University matching contributions as described below. Full-status faculty members with the title of research associate or senior research associate become eligible for the University matching contribution after 12 months of full-time employment. Most newly hired faculty will not meet the IRS definition and therefore will be eligible on the date of their employment to receive the University matching contributions. Even if a particular faculty member is treated as "highly compensated" under this definition, he or she will be eligible to receive the matching contribution on the first day of the month after the date of completion of 12 months of full-time employment with Vanderbilt.

Under Internal Revenue Service definition, a faculty member is "highly compensated" for a particular calendar year (the "determination year") if in the year preceding or in the determination year the faculty member received compensation from Vanderbilt in excess of a specified index amount ($110,000 in 2009). The gross compensation paid during the determination year is counted. Faculty members seeking more specific information regarding their own situations or wishing to review the plan document should contact the Benefits Office of Human Resources.

Plan Contributions

Contributions under this retirement plan will be made on a monthly basis during years of participation, except for months in which no salary is paid. Participation in the Vanderbilt retirement plan is mandatory. For all faculty members except those who are in the School of Medicine Clinical Departments (and those faculty who are in the Basic Sciences Departments and who also participate in the Vanderbilt Medical mandatory contribution amount is three percent of salary. Faculty who are in the School of Clinical Departments are employed by Vanderbilt University Medical Center. They consult the Benefits Office of the Vanderbilt University Medical Center's Human Resources current amount of their mandatory contribution. Contributions will be made on a tax deferred basis under an agreement with the University for salary reduction to reduce a participant’s salary by an amount not less than $200 in a plan year nor more than the limit allowed under the Internal Revenue Code (excluding from this calculation the salary supplement, described in Section B, below). No elective deferrals may be made to the Vanderbilt plan in excess of the annual limit imposed by the Internal Revenue Code, which, in 2009, is $16,500. Only an election for Roth IRA contributions may be made to this plan on an after-tax basis.
Subject to the eligibility requirements described above, the University will make matching contributions to the plan for each participant equal to at least three percent (3%) of his or her salary. An additional elective two percent (2%) may be made and will be matched. (The term “salary” means the amount of base salary during the plan year paid to the participant, excluding such items as bonuses, overtime pay, and any salary supplement paid to a faculty participant. “Salary” includes a participant’s elective deferrals and elective contributions to Flexible Spending Accounts.) The matching contributions are also capped by the recognizable pay limits of Internal Revenue Code section 401(a) (17).

It may be necessary to distribute each year to faculty members who are “highly compensated” under the Internal Revenue Service definition a portion of the University matching contribution (including investment earnings). Any such distribution must be treated as taxable income.

Faculty members should consult the Benefits Office of Human Resources for more information.

Investment of Contributions

Plan contributions will be forwarded to TIAA-CREF, Vanguard, VALIC, and/or Fidelity to be applied to premiums on regular retirement annuity contracts or deposits for mutual fund shares in any proportion elected by the participant. Matching contributions on behalf of a participant will be divided in the same manner as the respective designations by such participant for the first three percent (3%) and the first additional two percent (2%) of his or her elective deferrals.

Administrator

The associate vice chancellor for human resources of the University is the administrator of this plan and is responsible for enrolling participants, sending plan contributions for each participant as premiums to annuity contracts issued on the participant’s life, and for performing other duties required for the operation of the plan. The administrator may designate in writing other persons to carry out duties under this plan.

Section B

Salary Supplement

Subject to the conditions stated in Section A, above, Investment of Contributions, the following will receive a taxable salary supplement equal to five percent (5%) of their salary, up to $10,500: professors, associate professors, assistant professors, professors of the practice, lecturers, senior lecturers, principal senior lecturers, and instructors; collegiate and pre-collegiate faculty members in the Blair School of Music; research professors, research associate professors, research assistant professors, and research instructors; School of Medicine ranks designated by the words “assistant in,” “associate in,” and “senior
associate in," each followed by a departmental designation; general officers, members of the Executive Administration, and senior exempt staff.

The salary supplement is a benefit intended for retirement planning purposes. This supplement is not considered a part of the base salary, and no other fringe benefits will be attached to the supplement. The salary supplement must be treated as taxable income, unless the participant elects to defer all or a portion of the salary supplement through a salary reduction agreement.

Chapter 3: Other Benefits

Section A

Flexible Spending Accounts

Vanderbilt offers two Flexible Spending Accounts (FSAs): a medical account and a dependent care account. The accounts are funded by contributions made by the faculty member through a salary reduction agreement. These accounts provide tax-free reimbursement (to the extent allowed by law) of eligible medical and/or dependent care expenses. Funding limits are established each year within federal guidelines. Faculty members are eligible to participate in the FSAs on the first of the month after three months following their appointment date. For additional information, see the summary plan description on the HR Web site or on file in the Benefits Office of Human Resources.

Section B

Social Security

Deductions for Social Security are required by law, except for exchange visitors from foreign countries and Vanderbilt students. The amount of such deductions is recorded on individual pay statements. Benefits are paid for death, total disability, and retirement, provided the person has been covered by Social Security long enough to be eligible.

Section C

Moving Expenses

Each school or college has its own policy for determining eligibility of new faculty for moving expenses. The letter of appointment will state whether the faculty member is or is not eligible and, when eligible, the amount that will be provided.

Section D

Faculty Home Purchase Plan
Vanderbilt University assists eligible employees in their purchase of a principal place of residence in the Nashville area. Those eligible for this benefit include tenured and tenure-track faculty and members of the executive administration whose appointments begin on or after September 1, 2000. Their eligibility extends for eight years following the date of initial appointment at Vanderbilt. Additionally, faculty members who are tenured or on the tenured track, and members of the Executive Administration appointed before September 1, 2000, are eligible for this benefit if they have not purchased a home under the previous Faculty Home Purchase Plan. Their eligibility extends through August 31st, 2008.

The University will provide one-time funding of up to one-half of one percent of the value of the mortgage for eligible employees. The University’s contribution is limited to a payment of no more than $2,500 (a mortgage of $500,000), except as noted below:

A. The University will contribute an additional one-half of one percent of the value of the mortgage (limited to a payment of no more than $2,500) to eligible employees who purchase a principal place of residence in the West End–Hillsboro–Belmont neighborhood. This is the area enclosed by a path along West End Avenue from 31st Avenue to the I-440 Interstate; then eastward to Belmont Boulevard; then to the north, along Belmont Boulevard and around Belmont University to Wedgewood/Blaconmore, and then westward to the intersection of Blakemore Avenue and West End Avenue.

B. If both partners of a marriage or of a registered same sex domestic partner relationship (as documented to and approved by Human Resources), are eligible employees and they jointly purchase a principal place of residence under this plan, Vanderbilt University’s contribution of one-half of one percent of the value of the mortgage will be available to each of the partners. The total onetime payment is limited to no more than $2,500 for each of the partners. If the principal place of residence purchased by these eligible partners is located within the geographic area (as defined above in section (a)), an additional one-half of one percent of the value of the mortgage will be available for each of the partners (limited to a payment of no more than $2,500 for each of them) and will be contributed by the University.

The one-time payments described in the previous section will be made by the school or division that is the primary base of the borrower. In the event that two eligible partners (as described in section (b), above) jointly purchase a principal place of residence under this plan and they are based in different schools or divisions, the one-time payments will be divided equally between those schools or divisions. These one-time payments will be made no more than once during the lifetime of any eligible employee.

In addition, and as a courtesy to Vanderbilt, SunTrust Bank Corporation offers loans to eligible members of the faculty at market rates, with options that include floating rate mortgages. Although SunTrust Bank normally charges one percent of the value of the mortgage as a front-end point charge, the bank has agreed to reduce this charge to one-half of one percent of the value of the mortgage for eligible Vanderbilt employees.

The University’s contribution, as described above, is not contingent on the use of the SunTrust Bank as the lender. The one-time contribution will apply to loans for the purchase of a principal place of residence made by any commercial mortgage lender to an eligible employee.
Such benefits shall be subject to all appropriate taxes, including income and employment taxes, and the tax liability shall be reported to the eligible employee on his or her Form W-2, Wage and Income Statement, or an equivalent form.

Until September 1, 2003, either (but not both) the plan described above and the former Faculty Home Purchase Plan (described in detail in the Faculty Manual published in 1999) will be available to faculty members with tenure and members of the Executive Administration. Those employees eligible for the benefit under both the former and current plans must elect from which plan they will seek the benefit.

The provisions of the home purchase plan are reviewed from time to time and are subject to change by the Board of Trust. Further details are available from the Provost’s Office of Finance and Administration who is responsible for administering the plan.

Section E.

Tuition Discounts

Children

The policy behind the Tuition Benefit Plan For Dependent Children is based upon the premise that Vanderbilt’s educational resources and facilities should be available to those children of certain full-time faculty who would qualify as their dependents for tax purposes, and that those qualifying children who do not attend Vanderbilt should receive comparable support toward the first baccalaureate degree at an accredited college or University of their choice.

The following descriptions are general and do not serve as a contract. Any inconsistencies between the general descriptions and the terms of the plan documents are governed by the plan documents.

A. Eligibility

Children of full-status faculty who would qualify as dependents for tax purposes are eligible to receive the tuition benefit commencing with the first semester after the date that the faculty member has completed five continuous years of service at Vanderbilt or another accredited college or University with no breaks in service greater than three months’ duration (other than an authorized leave of absence). If there occurs such a break in service, all previous years of service will be disregarded.

A qualifying child of a former member of the faculty whose service with Vanderbilt was terminated by permanent disability or death within five (5) years before the child is enrolled in an accredited college or University is eligible to receive the tuition benefit subject to the limitations and conditions applicable to all participants. In no other instance will a child be eligible to receive the tuition benefit after the parent/faculty member terminates service with Vanderbilt.

B. Amount of Benefit (see also http://hr.vanderbilt.edu/policies/dependent-tuition-assistance.php)
For faculty employed prior to 9/1/2012: A dependent child who is enrolled at Vanderbilt is entitled each semester to a discount of 70 percent of the standard tuition at Vanderbilt. Such child enrolled at another accredited college or University whose tuition is above a specified semester threshold amount is entitled each semester to a benefit equal to 70 percent of the other college or University’s tuition. The benefit may be as high as 100 percent of the other college or University’s tuition for accredited colleges or universities whose tuition is below the threshold amount for that year; however, the amount of the benefit in any case cannot exceed 70 percent of the tuition at Vanderbilt.

For faculty employed on or after 9/1/2012: A dependent child who is enrolled at Vanderbilt is entitled each semester to a discount of 55 percent of the standard tuition at Vanderbilt. Such child enrolled at another accredited college or University whose tuition is above a specified semester threshold amount is entitled each semester to a benefit equal to 55 percent of the other college or University’s tuition. The benefit may be as high as 100 percent of the other college’s or University’s tuition for accredited colleges or universities whose tuition is below the threshold amount for that year; however, the amount of the benefit in any case cannot exceed 55 percent of the tuition at Vanderbilt.

C. Restrictions on Participation

1. The benefits to each member of the faculty cannot exceed a total of 24 semesters for all of his or her children, and no one child can receive benefits for more than 8 semesters. The term “semester” includes the fall, spring, and summer sessions at Vanderbilt or the equivalent thereof at another eligible institution.

2. Any scholarship that is granted to the qualifying child and that is applied by the terms of the scholarship toward tuition will not be considered in determining the amount of the tuition benefit otherwise available; provided, however, that the sum of all scholarships applied by their terms toward tuition plus the tuition benefit received under this plan in any semester by the child will not exceed the tuition charged for that semester.

3. Benefits are confined to undergraduate courses leading to the first baccalaureate degree. The continuation of the benefit is contingent upon the parent’s continued employment at Vanderbilt.

4. At another institution, tuition is the charge defined as such in the catalog, and would generally exclude deposits, mandatory fees, or other special fees. The conditions of continued support are the same as for a student enrolled at Vanderbilt.

5. Faculty members who wish to apply for the tuition benefit for their children should go to the Forms and Documents page of the Human Resources website to print the “Tuition Benefit for My Child” form.

Spouses (Spouse is used here as defined in the Human Resources Policy: anyone legally married to, or a same-sex domestic partner of a faculty member: http://hr.vanderbilt.edu/benefits/domesticpartner.php)

Spouses of full-status faculty members are eligible for a discount of 47 percent of Vanderbilt’s advertised tuition on one course per semester when enrolled in any of the schools or colleges of the University. For these purposes, the entire summer session is considered one semester. The discount applies to no more than three credit hours per semester, except for four-hour courses with a required laboratory. The
recipient may be enrolled part time or full time, subject to the regulations of the particular school or college. Spouses may audit one course per semester without charge, with permission of the instructor.

If the spouse is an undergraduate, the Admissions Office, in cooperation with the schools and colleges, is responsible for determining eligibility for enrollment in courses at Vanderbilt, based on the spouse’s prior academic record. Part-time enrollment for undergraduate credit is handled by the Division of Unclassified Studies. Enrollment for credit in the Graduate School and the professional schools is decided by the particular school. In order for Human Resources to process the tuition discount, the spouse must file an application for a tuition discount on a form available on the Forms and Documents page of the Human Resources website.

Faculty

Full-status faculty may audit or enroll in courses at Vanderbilt and are eligible for a discount of 47 percent of Vanderbilt’s advertised tuition and fees on one course per semester when enrolled in any of the schools or colleges of the University. For these purposes, the entire summer session is considered one semester. The discount applies to no more than three credit hours per semester, except for four-hour courses with a required laboratory. In the case of a Vanderbilt program consisting of modules rather than semesters, the discount applies to the modules and the benefit will apply to one 2-credit course per module, up to six (6) modules per year for a maximum of twelve (12) credits per year. Before enrolling, the faculty member should consult with his or her department chair or division director (or dean in schools without departments). Similarly, full-status faculty may make use of the faculty tuition benefit for courses taken at another accredited University when the coursework relates to and either enhances or maintains current skills needed by the faculty member to render employment services to Vanderbilt in accordance with applicable federal income tax exclusion criteria in Internal Revenue Code Section 132. The benefit is 47 percent of tuition for courses taken, limited to one three-credit course per semester (or four-credit course in the case of laboratories), including summers, for a total of three (3) courses per year, provided that the amount of the benefit in any case cannot exceed 47 percent of the comparable tuition charged at Vanderbilt. Use of the benefit for courses taken at universities other than Vanderbilt will require approval of the faculty member’s dean and the provost.

Interpretation of Policy on Tuition Discounts

The interpretation of policy resides in the Office of the Provost.

Chapter 4: Leaves of Absence

Section A

Scholarly Leaves of Absence [1]

Scholarly leaves of absence may be granted at the discretion of the Provost upon the recommendation of the appropriate dean or, in the case of faculty in the School of Medicine Clinical Departments, granted at the discretion of the Dean of the School of Medicine. Such leaves are for the
purpose of advancing scholarship to the benefit of the faculty member and the University. They are granted in recognition of the productivity of the faculty member and are not an entitlement such as may exist in other institutions that have sabbatical leaves. A paid leave of absence may be granted to a faculty member by the Provost, or the Dean of the School of Medicine for faculty in the School of Medicine-Clinical Departments, for research or other academic pursuits by the faculty member. Such research can consist of special projects, including out-of-town research, study, writing for publication, or some other activity consistent with a scholarly purpose. Each college and school should provide a statement of principles and procedures regarding its leave policy. The granting of leaves is determined after taking into consideration department and school staffing requirements, availability of funds from all sources, and other factors, such as scholarly productivity (including publications) and the outcome of previous research leaves.

In some cases, leave may be granted to pursue appropriate scholarly activities that may benefit the faculty member and a third party, such as collaboration in a research project with a colleague at another institution or appointment to service for a governmental agency for a defined period. Such leaves may be paid or unpaid, depending on the specific activity and on whether outside funds are available to support the faculty member. When granted, such leave does not normally affect eligibility for salary raises or promotion.

As a matter of University policy, requests for scholarly leaves of absence are generally not granted more frequently than once every four years, and a longer minimum interval may apply in individual schools and programs. Leaves will not be provided to tenure-track faculty members if the leave would be taken in the terminal year. The period between leaves begins with the first full academic year after the leave.

Generally, a faculty member on a scholarly leave is granted half-salary and full benefits for a full year or full salary and full benefits for a half-year. All faculty members returning from research leaves are expected to submit to the dean a report of their scholarly activities and accomplishments. Unless waived in writing by the provost or the vice chancellor for health affairs, a faculty member who is granted a scholarly leave is obligated to return to active status for at least an equivalent period immediately following such leave.

Scholarly leaves are not cumulative. If more than four years have passed between leaves of absence, that fact will not shorten the required interval between subsequent leaves or allow a full year’s paid leave instead of one semester.

 Procedures for Requesting Scholarly Leave

Requests for leaves of absence are acted upon by the department chair or division director. Any recommendation to grant the leave request will be reviewed by the appropriate dean and, if he or she concurs, by the Provost or, in the case of faculty in the School of Medicine Clinical Departments, only by the Dean of the School of Medicine. The decision of the Provost or the Dean of the School of Medicine is final.
Throughout Chapter 4 references are made to the Family and Medical Leave Act (commonly referred to as “FMLA”). FMLA is a federal law with multiple applications. It provides for job protected, unpaid leave for qualified employees, including faculty, for up to 12 weeks in a 12-month period, for the following reasons: (1) the employee has a serious health condition; (2) to care for a spouse, dependent child, or parent with a serious health care condition; (3) in the case of adoption, pregnancy, childbirth, or nursing an infant; (4) on account of a qualifying event arising out of an employee’s spouse, child, or parent being on or being called to active military service; or (5) to care for an injured member of the uniformed services (in this last case, the leave may be up to 26 weeks). FMLA is a job-protection statute and does not require that an employee be paid while on an FMLA leave. Under certain circumstances, however, the University provides for such leave to be with pay and with certain other benefits. FMLA may also apply concurrently with the Tennessee Maternity Leave Act (“TMLA”), Read this entire chapter to determine the interplay of FMLA, TMLA, and the University’s and medical center’s policies on parental leave.

*** Please note that the sections regarding parental, FMLA, and TMLA leaves were under revision before and unrelated to the decision for reorganization of VU-VUMC. These proposed revisions will be provided separately for comment, as the changes are unrelated the reorganization. ***

Section B

Parental Leave [2]

Availability of Parental Leave

When a full-time faculty member who is tenured or tenure-track, or that faculty member’s spouse or declared domestic partner, becomes the parent of a child, either by childbirth or by adoption of a pre-school-aged child, the faculty member shall, upon written request to his or her department chair or dean, be entitled to a parental leave of one semester at full pay for purposes of serving as the child’s primary caregiver. If a faculty member and his or her spouse or domestic partner would otherwise both be eligible for parental leave under this policy, either one, but not both, may take this parental leave.

Notification

In order to minimize the administrative burden of ensuring adequate coverage of responsibilities, an eligible faculty member must give her or his department chair or dean at least three (3) months’ written notice of her or his intention to take parental leave, the anticipated date of departure and the expected date of return to full-time work. Medical emergencies or the uncertainties of adoption that prevent the giving of three months’ notice will not disqualify an eligible faculty member from obtaining parental leave.

Agreement

Any agreement for a parental leave under this policy shall be in writing. The agreement shall include each of the following:
1. Certification by the faculty member that the purpose of the leave will be to serve as the primary caregiver for that child during the period of leave or for faculty on nine-month appointments to recapture time spent as the primary caregiver during the preceding summer;

2. certification that the leave period will not be used to actively pursue other employment opportunities or to work full- or part time for another employer;

3. the anticipated start and end of the leave period;

4. a commitment to return to active status for at least an equivalent period immediately following the paid parental leave; and

5. for tenure-track faculty, the revised schedule of intermediate and major promotion and tenure reviews.

Salary, Benefits, and Responsibilities During Leave

A faculty member who takes parental leave under this policy shall receive the same salary and benefits that he or she would have received that semester if not on leave, and shall be relieved of his or her normal duties and responsibilities during the period of leave as follows:

A. Teaching.

The faculty member shall be relieved of the obligation to teach during the semester in which the leave is taken. If the semester during which leave is taken is one in which the faculty member would otherwise have taught more than half of his or her normal annual teaching load, the faculty member may be required to teach one additional course in another semester to be agreed upon by the faculty member and his or her department chair or dean.

B. Research and Scholarship.

The faculty member shall be relieved of research and scholarship expectations for one semester.

C. Service.

The faculty member shall be relieved of all faculty service responsibilities, including committee work and student advising, for one semester.

When Taken

At the option of the faculty member, the parental leave provided by this policy may be taken during the semester in which the child is born or placed for adoption, or during any subsequent semester that begins no later than six months after the birth or adoption placement. For purposes of this policy, each semester shall run from the first day of classes to the last day of examinations. Unless waived in writing by the provost, a faculty member who takes a parental leave is obligated to return to active status for at least an equivalent period immediately following such leave in order to retain the benefits of the leave including salary paid.
Effect on Probationary Period

A tenure-track faculty member who takes parental leave under this policy shall receive an automatic one-year extension of the tenure clock. In order to take advantage of all or part of such an extension, a faculty member need only notify his or her department chair or dean of the decision, within six months after the birth or placement for adoption, to take the extension. The total of all extensions to the tenure clock cannot exceed two years.

Family and Medical Leave Act ("FMLA") and Tennessee Maternity Leave Act, as amended ("TMLA")

The benefits afforded faculty under this policy are intended to be consistent and not in conflict with rights afforded under the FMLA and the TMLA. Any leave taken under this policy, to the extent that it also qualifies for FMLA or TMLA leave, will count as FMLA or TMLA leave, and the written agreement should clearly state that intention. (See Sections C and E, below, for further discussions of FMLA and TMLA.)

Additional Leave

This policy is intended to describe the minimum level of benefits available for faculty members to whom it applies. This policy is not intended to constrain the faculty member and department chair or dean from developing other arrangements that meet the spirit of this policy and its minimum level of benefits and that fulfill the needs of all involved in some other manner. The dean of a school or college may establish policies extending these benefits to other categories of faculty. Any parental leave taken under this policy shall be in addition to any leave granted because of medical incapacitation (as described in Section C below).

Limitations

The parental leave benefit may be used once per child and no more than three times during a faculty member’s employment at Vanderbilt.

Multiple Births/Adoptions

For purposes of this policy, parental leave in the case of multiple birth (twins, triplets, etc.) or simultaneous adoption of multiple children shall count as one leave event, resulting automatically in the availability of one semester of paid leave. Thus, the birth of triplets would not use up the faculty member’s eligibility for parental leave for future births or adoptions nor would it necessarily entitle the faculty member to three (3) consecutive semesters of paid leave. In such unusual circumstances, the faculty member and his or her chair or dean are encouraged to devise an arrangement suitable to the unique needs of such a situation and consistent with the spirit of this policy.

Benefit Beyond Three Children

If, after obtaining this benefit three times, a faculty member gives birth to or adopts an additional child(ren), that faculty member shall only be entitled to FMLA or TMLA leave (both unpaid) unless the leave is for short-term illness or other incapacities, in which case it may qualify as a paid leave (see Section D, below). The medical condition of the faculty member, as evidenced by the written statement of her physician, will establish the length of leave for short-term illness. Normally, unless unusual medical
complications exist, the leave for short-term illness related to childbirth does not exceed six weeks. Additional personal leave (unpaid) may be requested. The duration of personal leave must be negotiated between the faculty member and her dean and must be consistent with the FMLA and the TMLA.

Schools of Medicine and Nursing

A full-time faculty member who becomes the parent of a child, or whose spouse or domestic partner becomes the parent of a child, either by childbirth or through adoption of a minor child, shall be entitled to a leave of up to twelve weeks. If a faculty member and his or her spouse or domestic partner would otherwise both be eligible for parental leave under this policy, both may take this parental leave, but not simultaneously and not for more than a combined total of twelve (12) weeks.

The request for this leave should be in writing to his or her department chair or, in the School of Nursing, the program director and appropriate associate dean. A copy of the agreement shall be submitted to the dean of the school. The agreement shall include a letter from the faculty member indicating that the purpose of the leave will be to serve as a primary caregiver for that child during the period of leave. The request should be made as soon as reasonably possible after the need for a leave becomes known in order to minimize the administrative burden of ensuring adequate coverage. The parental leave will ordinarily be taken in the perinatal period or near the time the child is placed for adoption. Special circumstances may be agreed upon with the approval of the department chair or, in the School of Nursing, the program director and appropriate dean. Such special circumstances must also receive endorsement from the dean of the school. The faculty member will be relieved of his or her normal duties and responsibilities during the period of leave. A faculty member who takes a parental leave is expected to return to active status.

The benefits afforded faculty under this policy are intended to be consistent and not in conflict with the rights afforded under the Federal Family and Medical Leave Act (FMLA). Any leave taken under this policy is intended to count as and run concurrent with FMLA leave, and the written agreement should clearly state that intention. Under the Tennessee Maternity Leave Act (TMLA), faculty who give birth may request up to four weeks of additional leave beyond the twelve weeks defined by this policy.

A faculty member who takes parental leave under this policy shall receive salary and benefits for up to six (6) weeks. For faculty on variable or performance salaries, the salary to be paid will be the average of the salary paid during the four months prior to the effective date of the leave. If additional weeks of leave are requested, full benefits but not salary will be maintained for up to a maximum of an additional ten weeks.

For purposes of this policy, parental leave in the case of multiple birth or simultaneous placement for adoption of multiple children counts as one leave event.

[2] VUMC Faculty Parental Leave Policy can be found in the last subsection of Section B.

Section C

Family Leave (FMLA and TMLA)
The Federal statute known as the Family and Medical Leave Act (FMLA) and the Tennessee Maternity Leave Act, as amended (TMLA) provide for leaves of absence for periods of time on account of adoption, pregnancy, childbirth, and nursing of an infant. [3]

Because conditions of eligibility and lengths of leaves of absence are different under these laws, they will be discussed separately in this section. Neither FMLA nor TMLA requires that the person taking leave for infant care be the primary caregiver.

Family and Medical Leave Act (FMLA)

Pursuant to the Family and Medical Leave Act (29 U.S.C. 2601, et seq.), a faculty member who has been employed at Vanderbilt for at least twelve (12) months and who has worked at least 1,250 hours within the immediately preceding twelve (12)-month period, may be entitled to family leave related to adoption, pregnancy, childbirth, and nursing an infant for a period of up to three (3) months. This three-month period of leave may be taken at any time during the first twelve (12) months following the date of birth or, in the case of adoption, custody of the child. [4] Unlike the TMLA, if a faculty member and his or her spouse or domestic partner would otherwise both be eligible for parental leave under this policy, the combined period of parental leave may not exceed twelve (12) weeks. Except to the extent that a faculty member is entitled to pay on account of the University’s parental leave policy or under the short-term medical leave policy, FMLA leave is unpaid. Any medical leave (under Section D below) that a faculty member takes that would qualify as permissible leave under the FMLA will automatically count as part of the twelve (12) weeks of leave allowed under the FMLA. However, if a faculty member wishes, he or she may seek to take leave under the Tennessee Maternity Leave Act, as well as under the FMLA. This will allow the faculty member an additional thirty (30) days of leave over and above the twelve (12) weeks of leave under the FMLA. The additional thirty (30) days provided under the Tennessee Maternity Leave Act is unpaid, and, unlike the case with leave taken under the FMLA, Vanderbilt normally will not continue to contribute toward the health insurance coverage of the faculty member during this period. For more information about these acts, contact the faculty member’s dean.

Tennessee Maternity Leave Act, as amended (TMLA)

Pursuant to the Tennessee Maternity Leave Act (Tennessee Code Annotated §4-21-408, et seq.), full-time faculty members with at least twelve (12) months of continuous employment at Vanderbilt may be entitled to obtain parental leave related to adoption, pregnancy, childbirth, and nursing an infant for a period of up to four (4) months. In the case of adoption, the four-month period begins with the date the faculty member receives custody of the child. Unlike the University’s parental leave policy, described in the preceding section, if a faculty member and his or her spouse or domestic partner would otherwise both be eligible for parental leave under this policy, they may both take this parental leave but the benefits of the University’s parental leave policy (e.g., compensation and extension of the tenure clock) are available to only one of the faculty members. Except to the extent that a faculty member is entitled to pay on account of the University’s parental leave policy or under the short-term medical leave policy, TMLA leave is unpaid.

An eligible faculty member must give his or her department chair or division director (or dean if there is no departmental organization) at least three (3) months’ written notice of his or her intention to take TMLA leave, the anticipated date of departure and the expected date of return to full-time work. A medical emergency that prevents the giving of three months’ notice will not disqualify an eligible faculty
member from obtaining TMLA leave. However, the faculty member should state in writing, as soon as possible, his or her intention to be on TMLA leave for a specified period and his or her intention to return to full-time work by a designated date within four (4) months. For faculty members on academic-year appointments, if the expiration of the period of TMLA leave occurs between the spring and fall semesters, the faculty member will not be required to return to work until the start of the fall semester.

A faculty member on TMLA leave must not use the period of TMLA leave to pursue actively other employment opportunities or to work full- or part time for another employer.

The period of TMLA leave for faculty members will generally be composed of leave for short-term illness (paid) and personal leave (unpaid), with the division determined by the appropriate dean. In the case of pregnancy and childbirth, the medical condition of the faculty member, as evidenced by a completed Certification of Health Care Provider form submitted to Occupational Health, will establish the length of leave for short-term illness. Normally, unless unusual medical complications exist, the leave for short-term illness does not exceed six weeks.

After an eligible faculty member has given notice of his or her intention to take TMLA leave, the appropriate department chair or division director, or dean will begin efforts to cover temporarily the responsibilities of the faculty member while on TMLA leave. If, after reasonable efforts, a temporary replacement cannot be found, the faculty member may be notified that his or her position has been determined to be unique and, for that reason, his or her TMLA leave is limited to a specified period of less than four (4) months, i.e. the faculty member may be required to return to work in less than four (4) months.

[3] This section addresses matters related to adoption, pregnancy, childbirth and nursing of an infant. FMLA matters related to medical care for a serious health conditions are addressed in Sections D and E, below.

[4] This is unlike the TMLA, which, in the case of an adoption, requires that the TMLA leave commence on the date the faculty member takes custody of the adopted child.

Section D

Other Nonacademic Leave with Pay

Illness or Other Incapacities of Short Duration (Medical Leave)

When a faculty member must be absent from his or her duties because of his or her own illness or incapacity of short duration (six months or less), other members of the faculty, with knowledge of the department chair or division director and the dean, customarily assume his or her duties on a temporary basis. If the illness becomes extended so that this is no longer feasible, other arrangements are made by the department chair in consultation with the Dean and the Provost or the Dean of the School of Medicine in the case of Faculty in the School of Medicine Clinical Departments. Like family leave,
period of illness or incapacity runs concurrently with leave under FMLA, and Occupational Health must receive a Certification of Health Care Provider form.

Deleted:

Intermittent Leave

In certain cases, FMLA may be taken on an intermittent basis rather than all at once, or the faculty member may be entitled to work a part-time schedule. Intermittent leave requires Occupational Health to determine from a Certification of Health Care Provider form that a qualifying medical condition necessitates the requested schedule. The faculty member must provide medical certification and advance leave notice. Leave may be denied if these requirements are not met. The faculty member ordinarily must provide thirty days' advance notice when the leave is foreseeable. Additional information is available from Occupational Health or the dean's office.

Jury Duty

A faculty member is asked to notify the department chair (or dean, in schools without departments) as soon as he or she is called by a court of law for jury duty to determine whether arrangements can be made to handle academic responsibilities during this absence.

Section E

Nonacademic Leave Without Pay

Personal Reasons

Requests for leave for personal reasons (including family-related matters) are considered on an individual basis, and should be submitted to the department chair (or dean, in schools without departments) as far in advance of the proposed absence as possible, so that neither instruction nor research programs will be unnecessarily interrupted. Specific dates for the leave should be stated in the request. Such leaves usually do not extend beyond one year. If approved by the Dean, the request for leave for personal reasons is handled in the same way as academic leave, going to the Provost for review and approval. The Dean of the School of Medicine will consider and approve such leaves for faculty in the School of Medicine Clinical Departments. Faculty members must confirm with Human Resource Services in advance of the unpaid leave whether they want benefits to continue, and, if so, make arrangements to pay for them.

Military Duty

Certain faculty members may have rights under the Uniformed Services Employment and Reemployment Rights Act ("USERRA"). USERRA protects the job rights of individuals who voluntarily or involuntarily leave employment to undertake military service or certain types of service in the National Disaster Medical System. USERRA prohibits employers from discriminating against past and present members of the uniformed services and applicants to the uniformed services. If a faculty member has questions about his or her rights relating to military obligations, he or she should communicate with the dean of his or her school.
Medical Leave for Care of Family Members

As required by the Family and Medical Leave Act (FMLA), Vanderbilt provides up to twelve (12) weeks of unpaid, [5] job-protected leave to eligible faculty members for care of a faculty member's seriously ill spouse, dependent child, or parent. [6] Faculty members are eligible if they have worked for the University for at least one year and for 1,250 hours during the previous twelve months.

Unpaid leave is granted for any of the following reasons: to care for the faculty member's newborn child after birth or placement for adoption or foster care, and to care for the faculty member's spouse, son or daughter, or parent who has a serious health condition, as documented by a Certification of Health Care Provider form submitted to Occupational Health.

FMLA Leave Relating to Military Obligations

A faculty member may be entitled to take up to twenty-six (26) weeks of leave to care for a service member injured in the line of duty. Occupational Health assists in determining if this leave applies. In addition, a faculty member may be entitled to up to twelve (12) weeks of unpaid leave because of a qualifying exigency arising out of the fact that the faculty member's spouse, child, or parent is a covered military member on active duty (or has been notified of an impending call or order to active duty) in support of a contingency operation.

[5] FMLA is a job-protection statute, not a pay statute and, therefore, FMLA does not require that a faculty member be paid while on FMLA leave. However, a faculty member may be entitled to pay while on FMLA medical leave if the faculty member's medical leave is covered as an illness or other incapacity for a short duration, as addressed in Section D of this chapter or if such leave falls under the University's or Medical Center's Parental Leave policies (Section B, above).

[6] The 12 weeks of FMLA medical leave discussed in this section run concurrently with, and are not in addition to, the 12 weeks of FMLA family leave addressed in Section C of this chapter.

Section F

Pay During Leaves of Absence

A faculty member on an academic-year appointment on a paid leave of absence for one-half of the year under current practice receives pay in six (6) equal payments from September through February, or March through August, according to the period in which he or she works. If work is in the spring semester, eight equal checks, beginning in January, may be requested. A faculty member on leave for an entire year at full
pay or some fraction of stated salary receives the salary in twelve (12) equal payments on the regular monthly pay schedule. Since there are a number of options on employee benefits for persons on paid leave, the faculty member should consult with Human Resources before beginning the leave. Faculty members granted leaves of absence without pay must confirm with the Office of Human Resources Direct Billing before beginning the leave whether or not they want to arrange continued benefit coverage. If full benefits are to remain in force, the faculty members on leave must pay their share of the costs of continued benefits as scheduled.
Part VII Financial Procedures

Chapter 1: Payment and Annual Notification of Salary

Faculty members are paid on the last business day of each month, and checks are generally delivered through departmental offices. Paychecks can be deposited directly to a personal checking account if the faculty member elects to do so.

Compensation and fringe benefits for faculty in the School of Medicine Clinical Departments will be provided by VUMC.

Whether employed by Vanderbilt University and/or by Vanderbilt University Medical Center, each year a faculty member is informed of the salary for the forthcoming year in a letter that is accompanied by a detailed statement of compensation. Changes in compensation generally are effective on September 1 for faculty members performing academic-year duties and on July 1 for those performing duties over the fiscal year.

The statement of compensation gives the stated salary for the academic year for academic-year appointees and for the fiscal year for those performing duties over the fiscal year. It also shows total compensation when the salary supplement and the University’s contribution to retirement are taken into account.

The gross earnings on monthly salary represent one-twelfth of the stated salary. A statement of sources of income and withholdings is available on the employer’s Human Resources web site.

When statements of compensation are issued, any discrepancies or disagreements should be referred to the dean of the school in which the appointment is held (that is, the school of the primary appointment, in the case of joint appointments).

The employer reserves the right to deduct amounts from paychecks for financial obligations to the University or Medical Center, such as unpaid fines for Vanderbilt Parking Services violations, returned checks, and legally imposed levies and garnishments made against salaries. Vanderbilt University and Vanderbilt University Medical Center require all debts to be satisfied at the time that a member of the faculty leaves the employ of the University and/or Medical Center.

\[19\] Vanderbilt faculty who are employees of VUMC should consult the VUMC Human Resources office for information on financial procedures.
Chapter 2: Summer Employment

The University assigns academic year appointees to duties that span only the academic year and fiscal-year appointees to duties that span the twelve-month calendar year.

Academic year duties include all duties and responsibilities associated with the academic-year calendar (from the beginning of the fall semester through the end of the spring semester), as determined by the Dean and/or department chair. Fiscal-year duties include all duties and responsibilities associated with the University’s fiscal year (July 1 through June 30).

Each of the colleges and schools establishes its own formula for compensating academic-year appointees who perform duties between the end of one academic year and the beginning of the next. When such a compensation formula is some percentage of the academic-year salary, the academic year referenced to calculate payment is the previous academic year, not the forthcoming.

Salary paid through the University and earned between the close of one academic year and the beginning of the next is not included in the retirement contribution plan. However, a faculty member receiving such compensation may contribute to the retirement plan by an agreed reduction of his or her salary, even though there is no matching contribution from the University. Faculty members should consult the Benefits Office of Human Resources for details.

The limit of additional salary that academic-year appointees may receive from unrestricted University funds is two-thirds of the academic-year salary. Exceptions must be approved by the Provost. Academic-year appointees may earn as much as three-ninths of salary during the period between academic years if the additional funds are provided by outside support and if the arrangement has been approved in the regular grants approval procedure. Fiscal-year appointees are not paid additional salary in lieu of vacation.

For academic-year appointees, compensation for teaching, research, or duties during the period that is not part of the academic year must be authorized in advance. Faculty members should consult the office of their dean for payment processes and calendar.
Part VIII Vanderbilt University Compliance Program and Standards of Conduct

Introduction

Vanderbilt University is committed to the highest standards of ethics, honesty, and integrity in pursuit of its mission of education, research, public service, and in supporting health care through its affiliation with Vanderbilt University Medical Center (VUMC). All members of the Board of Trust, the Chancellor, general officers, the executive administration, administrative officers, the faculty and staff, and others representing Vanderbilt University are expected to adhere to these standards of conduct in the discharge of their duties. The Vanderbilt University Compliance Program demonstrates the University’s commitment to ethical conduct and compliance by setting forth guidelines for conduct designed to prevent and detect violations of law, uphold accreditation standards, comply with University policies, and encourage compliance by providing support, training, and educational resources. The Compliance Program is designed to assist the University in fulfilling its compliance responsibilities by creating an operational structure and process to monitor the University’s compliance efforts and is designed to work in conjunction with other University offices and compliance programs. For more details, the Vanderbilt Compliance Program Plan is available at http://www.vanderbilt.edu/compliance/.

Faculty members employed by VUMC will be responsible in the conduct of their work for complying with the standards of conduct adopted by VUMC as well as the standards of conduct adopted by the University Compliance Program.

The Administrative Compliance Committee (“ACC”) has direct oversight responsibility for the compliance activities of Vanderbilt and assists the Vanderbilt community in fulfilling its legal compliance obligations. The ACC oversees the following areas of compliance activity:

1. Informing, training, and educating the Vanderbilt community about the Standards of Conduct and ethical obligations under those Standards;
2. Monitoring compliance activities, including policies, procedures, training, and education programs;
3. Serving as a resource to Vanderbilt on matters of compliance, legal and regulatory changes, and assessing and identifying areas of risk;
4. Maintaining a reporting helpline for compliance matters;
5. Assisting operational units in developing corrective action plans; and
6. Reporting on compliance activities to the Audit Committee of the Board of Trust.

The ACC is supported and assisted in its oversight responsibilities by a compliance officer who is responsible for the day-to-day operations of the compliance program. The compliance officers’ responsibilities include employee training on the Standards of Conduct, routine monitoring of
Compliance activities, assisting with corrective action plans, monitoring emerging issues in the field of compliance, maintaining and responding to calls made to their respective reporting helplines, coordinating interdepartmental compliance efforts, providing staff support for the committees' operational activities, and submitting biannual reports to the Audit Committee on the activities of the Compliance Program.

The ACC is co-chaired by the Vice Chancellor for Administration and the Vice Chancellor, General Counsel and University Secretary. Confidential Compliance Hotline; (866) 283-2287.

Standards of Conduct

Consistent with the Faculty Manual and Human Resources policies, the Vanderbilt University Standards of Conduct provide the guiding standards of conduct for the University's faculty, staff, and others representing the University and set forth the University's commitment to good practices and following the law. It is of paramount importance that all University faculty in supervisory positions ensure that they themselves adhere to the Standards of Conduct. The deans of the schools are responsible for assuring that the Standards of Conduct are observed by faculty. Staff and other University representatives are responsible for those employees under their supervision. All members of the University community are responsible for reading and understanding the Standards of Conduct. See http://www.vanderbilt.edu/compliance/html/standards.pdf.

Compliance with the Law

Vanderbilt University is committed to compliance with all applicable laws, rules, and regulations. It is the responsibility of each member of the University community, including staff, faculty, health care professionals with hospital privileges, agents, representatives, contractors, and vendors, to follow, in the course and scope of their work at Vanderbilt, all applicable laws, rules, regulations, and University policies, and to maintain an educational, health care, and business environment that is committed to integrity and ethical conduct.

Research and Health Care Services

Vanderbilt University is committed to compliance with applicable law in the conduct of research and health care services. In particular, Vanderbilt is committed to protecting the health, safety, and welfare of human and animal research subjects and to conducting research with scientific integrity. Vanderbilt has adopted policies and procedures designed to foster the responsible conduct of research, and it is essential that the conduct of research activities and the delivery of health care services be accurately documented as required by applicable laws, rules, and regulations. Federal regulations relating to effort reporting and appropriate expenditure of grant funds must also be followed. Matters involving faculty employed by VUMC will be referred to the VUMC compliance officer with the expectation that the University and VUMC will work cooperatively to handle such compliance matters.

False Claims Act and Whistleblower Protection
Vanderbilt University requires all faculty and staff to report all known or suspected violations of the Federal False Claims Act ("FFCA") or the Tennessee False Claims Act ("TFCA") (collectively referred to as "FCA"). A person violates the FCA by knowingly submitting, or causing another to submit, false claims for payment of government funds. Examples of violations of a FCA are (i) submission of a claim to Medicare for payment for services not rendered, or (ii) falsification of a time and effort report in connection with a claim for reimbursement from government grant. Vanderbilt University does not allow retaliation against persons reporting such suspected violations (sometimes referred to as "whistleblowers") for making such reports in good faith.

Report any known or suspected violation of either the FFCA or the TFCA to the appropriate supervisor, department head or chair, the University compliance officer, or the University’s 24-hour Confidential Help Line at (615) 322-0133. In making reports to the confidential help line, the caller may remain anonymous. The compliance helpline has no call identification or number recognition capability.

Faculty and staff may also report known or suspected violations of the FFCA to the Federal hotline at (800) 447-8477 or by email at HHSTips@oig.hhs.gov.

All persons making reports of compliance concerns are assured that such reports will be treated as confidential to the extent permitted by law. Such reports will be shared with others only on a bona fide need-to-know basis. Vanderbilt prohibits retaliation and will take no adverse action against persons who make such reports in good faith ("whistleblowers"), even if the report turns out to be incorrect. Any faculty or staff member who believes that he or she has been subjected to or affected by retaliatory conduct for reporting a suspected violation of an FCA or for refusing to engage in activity that would be a violation of an FCA should report such retaliation to the University Compliance Officer.

Kickbacks

It is against University policy for any person acting on behalf of the University to accept or pay a kickback. When someone who can influence purchasing decisions made at the University receives money or anything of value from a vendor, it can be considered a kickback, which is illegal. No gifts or accommodations of any nature, including unrestricted grants, may be accepted by the University or individual members of the University community when to do so would place them in a prejudicial or compromising position, interfere in any way with the impartial discharge of their duties to the University, or reflect adversely on their integrity or that of the university.

Antitrust Laws and Regulations

Vanderbilt University is committed to complying with state and federal antitrust (monopolies) laws and regulations. University policy and business practices prohibit setting charges in collusion with competitors, certain exclusive arrangements with vendors, and joint ventures that are in restraint of trade or which attempt to monopolize any part of interstate trade or commerce. The sharing of confidential information such as salaries or charges for services with competitors is also prohibited.

Conflicts of Interest and Commitment
Vanderbilt University is committed to following and enforcing its conflict of interest and commitment policies. All University faculty, staff, and representatives should avoid potential or perceived conflicts of interest and/or commitment. Any concerns about a proposed transaction that may involve inducements offered by a vendor or supplier or a business relationship with a company that is connected with you or a family member, should be discussed with the appropriate dean, supervisor, or compliance officer. The Vanderbilt University Conflict of Interest and Commitment Policy can be found at [http://www.vanderbilt.edu/compliance and in Part III of the Faculty Manual](https://www.mc.vanderbilt.edu/root/vmc.php?site=DCCI&doc=23385). Also, see the Human Resource Services Web site at [www.vanderbilt.edu/HRS](http://www.vanderbilt.edu/HRS).

Environment

Vanderbilt University is committed to complying with all applicable environmental laws and to maintaining all necessary environmental permits and approvals. Environmental compliance includes the proper handling, storage, use, shipment, and disposal of all materials that are regulated under any applicable environmental law. If any employee has actual knowledge that a spill, release, or discharge of any material regulated pursuant to an applicable environmental law has occurred, such employee must immediately report such event to his or her immediate supervisor so that necessary action may be taken. Necessary action may include evacuating employees, reporting such event to a governmental authority if required pursuant to any environmental law, and containing and cleaning up any such spill, release, or discharge. Employees should also report any other violations of applicable environmental law of which they have actual knowledge that could endanger the health and safety of other individuals. Questions concerning environmental regulations should be directed to Vanderbilt Environmental Health and Safety at (615) 322-2057.

Confidentiality

Vanderbilt University is committed to the appropriate protection of confidential information. Many faculty and staff have access to various types of sensitive, confidential, and proprietary information. Vanderbilt prohibits the unauthorized seeking, disclosing, or selling of such information, including confidential information contained in health care records, student educational records and employment records.

Controlled Substances

In accordance with the University’s Drug-Free Workplace policy, Vanderbilt prohibits the unlawful manufacture, distribution, possession, or use of a controlled substance by any member of the University community in the workplace or while conducting University business off the University’s premises. Federal law may impose sentences of up to twenty years in prison and fines of up to $1,000,000 for violation of criminal drug laws. For more information, see the Vanderbilt Compliance Program Plan at [http://www.vanderbilt.edu/compliance/plan.php](http://www.vanderbilt.edu/compliance/plan.php).

Non-Discrimination
Vanderbilt University is committed to the principles of equal opportunity and affirmative action. Vanderbilt does not discriminate on the basis of race, color, religion, sex, national or ethnic origin, age, disability, sexual orientation, or military service in administration of its educational policies, programs or activities; its admission policies; scholarship and loan programs; athletic or other institution-administered programs; or employment. The Equal Opportunity, Affirmative Action, and Disability Services Department (EAD) has responsibility for monitoring Vanderbilt's Affirmative Action Plan and assisting with the application and interpretation of laws that impose special obligations on Vanderbilt. The EAD also assists with compliance to the Americans with Disabilities Act and with accommodation to students, faculty, and staff.

The EAD receives complaints regarding unlawful discrimination within the University community and, where possible, assists in the resolution of those complaints. Any faculty or staff member who experiences harassment or inappropriate discrimination should immediately seek assistance through the EAD by calling (615) 322-4705. Vanderbilt prohibits retaliation against persons who utilize the EAD in good faith to voice complaints of harassing or discriminatory conduct. Other staff member employment concerns related to personnel issues or human resources, such as salary, promotion, or hiring, should initially be directed to Human Resource Services at (615) 322-8330.

Response to Investigation

Vanderbilt University is committed to cooperating with government investigators as required by law. If an employee receives a subpoena, search warrant, or other similar document, before taking any action, the employee must immediately contact the Office of the General Counsel. The Office of the General Counsel is responsible for authorizing the release or copying of documents. If a government investigator, agent, or auditor comes to the University, a supervisor or the Office of the General Counsel should be contacted before an employee discusses any matters with such investigator, agent, or auditor.

Compliance Training

Vanderbilt University is committed to providing training and education to the University community about compliance with applicable laws, rules, and regulations. In addition to employee orientation, ongoing training and education is available on the University website with the Institutional Review Board, Office of Grants and Contracts Management, Research Support Services, and other relevant departments. The compliance officer is always available to assist and coordinate specific education and training efforts.

Conclusion

Vanderbilt University is committed to following local, state, and federal laws, rules, and regulations. The compliance officers maintain help and reporting phone lines to enable faculty, staff, and other university representatives to report violations and to discuss any questions. To assist the University with its commitment to appropriate conduct, all faculty, staff, and representatives are encouraged to report violations of any law or policy to a supervisor, a department head or chair, or a compliance officer. It is the duty of all faculty, staff, and University representatives to report Vanderbilt job-related criminal conduct of which they have actual knowledge or Vanderbilt job-related situations...
that endanger the health and safety of any individual. All persons making such reports are assured that such reports will be treated as confidential to the extent permitted by law. Such reports will be shared with others only on a *need-to-know* basis. Vanderbilt will take no adverse action against persons making such reports in good faith. Vanderbilt prohibits retaliation against persons who make such reports in good faith.

Faculty and staff wanting to make a report of a violation or a potential problem may contact the University Compliance Officer at (615) 322-5162, or call the anonymous, confidential helpline at (615) 322-1033. For more information, see the Vanderbilt Compliance Program Plan at http://www.vanderbilt.edu/compliance/html/ComplianceProgramPlan.doc. In addition, relevant Human Resource Policies are available at http://hr.vanderbilt.edu/policies/index.htm.