

SECTION FIVE

Appointment and Promotion of Non-Faculty, Academic Staff

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INTRODUCTION

I. The Non-Faculty, Academic Staff

The non-faculty academic staff ¹ at the Weill Cornell Medical College is composed of those individuals holding appointments as assistants, fellows, associates or senior associates ² and affiliate physicians or senior affiliate physicians.³ As members of the academic staff, they contribute to the teaching, research and/or clinical programs of the Medical College, but are not appropriate for appointment to the faculty. For example, individuals recommended for non-faculty, academic appointments may have recently obtained the terminal degree in their field and are currently receiving supplemental or specialized training of specific duration. In other cases, they may provide essential teaching, research or support services to the Medical College. Members of the non-faculty, academic staff may be full-time salaried, part-time salaried or non-salaried by the Medical College or an affiliated institution.

Among the non-faculty academic staff, postdoctoral trainees could have any of the following titles: Postdoctoral Associate, Fellow or Visiting Fellow. A postdoctoral trainee at the Medical College is an individual who has a terminal degree (Ph.D., M.D., DVM or equivalent) and is appointed for the purpose of training to develop the ability to reason in a scientific manner, formulate hypotheses independently, and to perform independent research, including basic, clinical, translational or behavioral research. An individual engaging in research activities for a year or two as part of a clinical training program is not considered to be a postdoctoral trainee, unless the training is designed to develop the ability to perform independent research. A postdoctoral trainee must have no clinical or professional responsibilities that interfere with research training. However, while research training is the principle activity of postdoctoral trainees, they can elect to participate in teaching activities, including but not limited to lecturing, moderating small group conferences, or mentoring junior scientists. Postdoctoral trainees are expected to publish the results of their research.⁴

II. Titles

Through faculty legislation, the Weill Cornell Medical College has established a system of non-faculty, academic titles. Each title is distinguished by specific qualifications; duties in the areas of teaching, research and/or clinical care; and privileges, as described

¹ The complete academic staff consists of the faculty and non-faculty academic staff. The remaining employees of the Medical College are the non-academic staff.

² As approved by the Executive Faculty Council on February 15, 1977 (Minutes, pages 7650-7652), and Bylaws of Cornell University, Article XVII, 1.

³ As approved by the Executive Faculty Council on March 3, 1994 (Minutes, pages 8529-8530), and by the General Faculty Council on March 14, 1994.

⁴ As approved by the Executive Faculty Council on October 8, 2009, the General Faculty Council on October 19, 2009 and the Executive Committee of the Board of Overseers on November 18, 2009 (minutes, page 217).

in the subsections below.

Listed below are the non-faculty, academic titles at the Medical College:

A. Assistants

1. Research Assistant in (Department)
2. Teaching Assistant in (Department)
3. Graduate Research Assistant in (Department)
4. Visiting Graduate Assistant in (Department)

B. Fellows

1. Fellow in (Department)
2. Visiting Fellow in (Department)

C. Associates

1. Clinical Associate in (Department)
2. Postdoctoral Associate in (Department)
3. Research Associate in (Department)
4. Staff Associate in (Department)
5. Teaching Associate in (Department)

D. Senior Associates

1. Senior Clinical Associate in (Department)
2. Senior Research Associate in (Department)
3. Senior Staff Associate in (Department)
4. Senior Teaching Associate in (Department)

E. Affiliate Physicians

1. Affiliate Physician in (Department)
2. Senior Affiliate Physician in (Department)

CRITERIA FOR APPOINTMENT AND PROMOTION ¹

I. Assistants

A. Research Assistant in (Department). This title is conferred on degree candidates in the Graduate School of Medical Sciences (GSMS) rendering research services, which are not directly thesis related.

B. Teaching Assistant in (Department). This title is conferred on degree candidates in the GSMS rendering services in instruction.

C. Graduate Research Assistant in (Department). This title is reserved for degree candidates in the GSMS who are receiving support during the course of their thesis research or other degree-related work and also rendering a service to the particular project.

D. Visiting Graduate Assistant in (Department).² This title is reserved for post-baccalaureate degree candidates at universities other than the GSMS rendering services in research.

II. Fellows

A. Fellow in (Department). This title is used for individuals who have completed or interrupted their residency training or have an earned doctorate, and who are obtaining additional training through specialized study or research. Fellows do not hold permanent positions. Some Fellows may be considered postdoctoral trainees as defined in the Introduction,³ and therefore, these Fellows would be subject to the postdoctoral trainee policies and procedures described under Terms of Appointment.

B. Visiting Fellow in (Department). This title is used for individuals joining the academic staff for a limited period in order to obtain further training in their field but retaining their positions at another institution. Normally such individuals will have an earned doctorate. Their support may be obtained from the Medical College and/or another source. In addition, distinguished physicians and scientists in residence at the Medical College or an affiliate and who receive no compensation or other support and who have no formal duties, may be appointed Visiting Fellow in (Department) at the Medical College.⁴ Some Visiting Fellows may be considered postdoctoral trainees as defined in the Introduction,⁵ and therefore, these Visiting Fellows would be subject to the

¹ Original descriptions of criteria for appointment and promotion, except for Visiting Fellows in (Department), Affiliate Physicians and Visiting Graduate Assistants in (Department) approved by the Executive Faculty Council on February 15, 1977 (Minutes, pages 7649 and 7650-7652).

² Approved by the Executive Faculty Council March 2, 1995 (minutes, page 8596), and the General Faculty Council March 13, 1995.

³ See page 5.2

⁴ See also the By-Laws of Cornell University, Article XVII, 1.

⁵ See page 5.2

postdoctoral trainee policies and procedures described under Terms of Appointment.

III. Associates

A. Clinical Associate in (Department). This title is used for members of the house staff of affiliated hospitals in their second and subsequent years of postgraduate training in recognition of their primary involvement in clinical training and service.

B. Postdoctoral Associate in (Department). This title is used for individuals performing postgraduate work in research as a result of which they increase their knowledge and experience. Although they hold a doctoral degree, such individuals work primarily under the direction of a faculty member and are not considered independent researchers. Postdoctoral Associates often participate in the research training of graduate students and sometimes teach informally. They do not hold permanent positions. All Postdoctoral Associates are considered postdoctoral trainees as defined in the Introduction,¹ and therefore, these trainees would be subject to the postdoctoral trainee policies and procedures described under Terms of Appointment.

Candidates for degrees administered by Cornell University may not be appointed as Postdoctoral Associates until all the requirements of the degree have been completed. In some cases, Cornell doctoral candidates who have passed their thesis examination and whose submission of the thesis to the Graduate School is imminent, may be appointed as Postdoctoral Associates. However, such appointments are limited to a thirty-day period. After the thesis is accepted by the Graduate School, a regular appointment can be made.²

C. Research Associate in (Department). This title is used for individuals with an earned doctorate or professional degree or the equivalent combination of skills, education and experience who participate in the planning, design and operation of research programs; participate in the collection and analysis of data; supervise preparation of materials and maintenance of equipment and facilities; and plan, assign and supervise work of technicians and assistants. Candidates for degrees administered by Cornell University may not be appointed as Research Associates until all the requirements of the degree have been completed.

D. Staff Associate in (Department). This title is used for individuals with an earned doctorate or professional degree or the equivalent skills, education and experience whose contributions are primarily of a technical or service nature and who perform as associates of members of the faculty.

E. Teaching Associate in (Department). This title is used for individuals who are not degree candidates at Cornell University and who are not qualified for appointment to the faculty, but who assist in the teaching programs of the Medical College. A baccalaureate degree or equivalent skills, education and experience are required.

¹ See page 5.2

² Cornell University Academic Administrative Manual (1980), p. 3.37.

IV. Senior Associates

A. Senior Clinical Associate in (Department). This title is used for chief residents at affiliated hospitals or for individuals who are residents in the advanced stages of their training programs in areas which require many years of postgraduate training, and thus merit advancement above the position of Clinical Associate.

B. Senior Research Associate in (Department). This title is used for individuals with an earned doctorate or professional degree, or the equivalent skills, education and experience, extensive research experience and record of publication who are responsible for the planning, conducting and reporting on original research in their field of expertise and/or participating in the general research effort of a department or division and thus merit advancement above the position of Research Associate.

C. Senior Staff Associate in (Department). This title is used for individuals who have at least five (5) years of experience as a Staff Associate and who have displayed accomplishment in contributing to the technical or service activities of a department or division, and thus merit advancement above the position of Staff Associate.

D. Senior Teaching Associate. This title is used for individuals with at least five (5) years of service as a Teaching Associate or the equivalent, and who have displayed significant accomplishment in contributing to the teaching programs of the Medical College, and thus merit advancement above the position of Teaching Associate.

V. Affiliate Physicians¹

A. Affiliate Physician in (Department). This title is used for individuals primarily engaged in clinical care who are in good standing on the medical staffs of affiliated hospitals or who meet the qualifications for membership on the hospital's medical staff and whom the hospital's medical staff wishes to appoint as a member.

B. Senior Affiliate Physician in (Department). This title is used for individuals in good standing on the medical staffs of affiliated hospitals who perform extraordinary service in clinical care and who contribute to teaching and/or administration at the affiliated hospital and thus merit appointment or advancement above the position of Affiliate Physician.

¹ These titles are not available where agreements among Weill Cornell Medical College, The New York-Presbyterian Hospital and/or others preclude their use. For example, the By-Laws of the New York-Presbyterian Hospital require that all physicians on the Medical Staff of the New York Weill Cornell Medical Center of NYPH have an appointment to the instructional staff of the Weill Cornell Medical College, Cornell University.

PROCEDURES FOR APPOINTMENT AND PROMOTION

I. General Information

Recommendations for appointment or promotion to the non-faculty, academic staff of the Weill Cornell Medical College originate in the department and require the written approval of the department chair. In appropriate instances, the recommendation will originate in a division or affiliate department and then be reviewed by the department chair for approval.

A department may not recruit for a new or replacement salaried position of Research Associate, Senior Research Associate, Staff Associate, Senior Staff Associate, Teaching Associate or Senior Teaching Associate at the Medical College without the explicit approval of the Dean.¹

In submitting a request to the Dean for a new or replacement position at the Medical College, there must be included a statement of the individual's source of salary support for the anticipated term of appointment. Academic staff may receive a portion of their salary from public and private grants and contracts.

If the request for the new or replacement position at the Medical College is approved by the Dean the individual responsible for the recruiting effort must consult with the Associate Dean of Diversity² to develop a recruiting plan and submit an "Academic Applicant Search Plan, parts I and II." Once candidates for the position have been identified, the Academic Applicant Tracking process should be completed within the Human Resources Department's Recruitment Management System.³ Upon completion of the recruitment process, credentials of the chosen candidate are transmitted to the Office of Faculty Affairs for processing.

II. Procedures

Authority for appointment or promotion to the positions of Postdoctoral Associate, Research Associate, Senior Research Associate, Teaching Associate, and Visiting Fellow rests with the President of the University upon recommendation of the department chair and approval of the Dean of the Medical College. Authority for appointment or promotion to all other positions on the non-faculty, academic staff rests with the Dean of the Medical College upon recommendation of the department chair.

The following credentials are required for appointment:

¹ The remaining non-faculty, academic positions are training positions and/or not salaried by the Medical College.

² As of December 10, 2015, revisions approved by the Executive Faculty Council on October 15, 2015; the General Faculty Council, October 11, 2015; the Board of Overseers on November 11, 2015; and the Board of Trustees, December 10, 2015.

³ See "Affirmative Action" (section 6) of the Academic Staff Handbook.

A. Recommendation for Appointment form.

B. *Curriculum vitae* and bibliography if available.¹

C. Letter of recommendation from the department chair (or division/affiliate department head and endorsed by department chair). Where not evident from the curriculum vitae the chair's letter should emphasize: the candidate's preparation and academic potential in the areas of research, teaching and/or clinical service; the purpose of the appointment and/or the plan for special training; and where appropriate the potential for benefitting from special training.

D. One letter of recommendation from a previous employer or academic evaluator (not required for affiliate physicians).

These credentials must be submitted to the Office of Faculty Affairs no later than four (4) months prior to the recommended effective date, e.g. by March 1st for a July 1st effective date.

A single letter of recommendation from the department chair or division/affiliate department head may be submitted to recommend for appointment a large number of individuals to the same training position with the same effective date on the basis of established and consistent criteria. For example, a department chair may prepare a single letter of recommendation for a number of individuals for appointment as Clinical Associate in (Department), if they are all commencing appointment on July 1st for the duration of the academic year and have been chosen as a result of the same evaluation process for their abilities according to specified criteria. A copy of that letter should be included with the credentials of each candidate.

In the case of new appointments at the Medical College, no payroll authorization can be honored until the necessary documents have been received by the administrative offices concerned and the recommendation for appointment has been approved.

III. Review for Promotion

Promotion may be recommended by the department chair whenever the individual has attained the qualifications for promotion. The credentials required for promotion are the same as those for appointment.² However, in the case of the promotion of a Clinical Associate in (Department) to Senior Clinical Associate in (Department), only the first three items are required.

¹ See Appendix II.

² See 5.8, above.

TERMS OF APPOINTMENT

Appointments to the non-faculty academic staff are usually recommended for the term of one (1) academic year. Most often, the term of the appointment will conform to the academic year, i.e., July 1st to June 30th, but an appointment may begin during the academic year and may have a termination date other than June 30th. The term of appointment may be renewable or may be terminal, depending on such factors as the source of funding for the position, the duties of the position, the programmatic needs of the department, and the individual's continued fulfillment of the qualifications for the appointment. The academic staff member should be informed whether the appointment is renewable or terminal, and of the conditions for renewal.¹

For example, Research Associates are often supported primarily with extramural funding awarded for a specified period. The term of appointment should end no later than the expiration of the funding. If further support is available, the appointment may be renewed; if not, the appointment will end. Individuals in training positions, e.g. Fellows and Postdoctoral Associates, are expected to complete their training within a specific period. The terms of such appointments should end no later than the anticipated completion of training.

The maximum terms of certain appointments are set forth in the Bylaws of the University. Appointments to the position of Research Associate may be recommended for a period of up to three (3) years, or any part thereof. Appointments to the position of Senior Research Associate may be recommended for a period of up to five (5) years.

Appointments to the positions of Postdoctoral Associate and Teaching Associate may be recommended for terms not to exceed one year.² In a majority of cases, postdoctoral trainees are appointed to terminal appointments. Postdoctoral Associates may be appointed by the President to training positions for terms of up to one year with limited renewals, normally no more than five (5) years in all in the same field at the Medical College, with the option to extend for a sixth year to complete research. Based upon adequate justification, an extension for a sixth year may be granted at the Dean's discretion upon written request by the postdoctoral trainee and the Department Chair.³

Postdoctoral trainee appointments will be subject to a three-month probationary period at the initiation of each new postdoctoral training position at the Medical College. During the probationary period, the Department Chair may recommend to the Dean termination of the postdoctoral trainee's appointment prior to the end of the appointment term. However, in such cases the postdoctoral trainee is entitled to three months' notice of termination. Once a postdoctoral trainee's appointment has passed the end of the

¹ See 5.11.

² Bylaws of Cornell University, Article XVII, 2g.

³ As approved by the Executive Faculty Council on October 8, 2009, the General Faculty Council on October 19, 2009 and the Executive Committee of the Board of Overseers on November 18, 2009 (minutes, page 217).

probationary period, the appointment will normally end on the approved appointment end date. The Department Chair may recommend termination of an appointment prior to the approved end date, consistent with Medical College policies on dismissal ¹.

If after five years, or six if an extension is granted, the individual is to continue in a research capacity, any further appointment should be at the level of Research Associate or to other academic titles that are not training positions. The position of Postdoctoral Associate does not normally lead to a research career at Cornell. Three months prior to the end date of postdoctoral trainee appointments, Departments should give all postdoctoral trainees, regardless of the total duration of appointment, a written reminder of their appointment end dates.²

The appointments of qualified individuals on the staff of an affiliated institution are contingent upon the continuation of their appointment at the affiliated institution and the continuation of the Affiliation Agreement between Cornell University and that institution. Should either condition cease to be in effect, the academic staff member's appointment at the Medical College will end coterminously. For example, the academic appointments of Clinical Associates and Senior Clinical Associates, who are employed by affiliated hospitals as part of postgraduate training programs, end upon completion or discontinuance of that employment.

¹ See the "Leaves and Termination of Appointment" (section 7) of the Academic Staff Handbook, p. 7.30

² As approved by the Executive Faculty Council on October 8, 2009, the General Faculty Council on October 19, 2009 and the Executive Committee of the Board of Overseers on November 18, 2009 (minutes, page 217).

RENEWAL OF APPOINTMENT

Renewal of term appointments, probationary or otherwise, is not a matter of right and is not automatic. Renewal depends on such factors as satisfactory performance, the availability of funds and space, and the continuation of the particular program. In accordance with the Bylaws of the University, such appointments cease at the expiration of the stated term, subject to notification requirements for full-time and paid part-time academic staff.¹

Renewals are recommended by the department chair to the Dean of the Medical College for approval. Renewals of appointments of Postdoctoral Associates, Research Associates, Senior Research Associates, Teaching Associates and Visiting Fellows are recommended by the department chair to the Dean and by the Dean to the President. For individuals whose term of appointment ends with the academic year on June 30, annual renewals of one-year appointments may be recommended by inclusion of the appointment on the staff list submitted annually to the Dean by the department chair.

In the case of the renewal of an appointment of a Research Associate or Senior Research Associate for a term of more than one year, the following credentials should be submitted to the Office of Faculty Affairs by March 1st ² of the penultimate year of the individual's appointment:

- A. Recommendation for Appointment form.
- B. *Curriculum vitae* and bibliography (if available) in the required format.
- C. Letter of recommendation from the department chair.³

¹ See 5.13.

² This deadline assumes that the individual's appointment was made on the basis of the academic year, July 1st to June 30th. If the appointment was made to end on another date, then the credentials for renewal should be submitted no later than four (4) months before the end of the penultimate year of the appointment.

³ For the nature of the letter, see 5.8.II.C.

NOTIFICATION OF NON-RENEWAL OF APPOINTMENT

I. Renewable Appointments

Individuals who are in the first twenty-four (24) months of appointment on the paid full-time academic staff or members of the regular part-time academic staff are entitled to six (6) months' notice of non-renewal. Individuals who have been on the paid full-time academic staff more than twenty-four (24) months are entitled to twelve (12) months' notice of non-renewal of the appointment.

There are no advance notification requirements for academic staff who are not on the paid full-time or regular part-time academic staff at the Medical College, or who are on the professional staffs of affiliated institutions.

II. Terminal Appointments

Terminal appointments (commonly called "term appointments") are made for a specific duration. Therefore, unless a terminal appointment is renewed pursuant to these procedures, it will end on the stated termination date. Advance notification of non-renewal is not required.

APPOINTMENT OF PART-TIME NON-FACULTY ACADEMIC STAFF¹

I. Introduction

Due to the nature of academic appointments, it is not possible to translate the terms part-time and full-time into numbers of hours. When part-time appointments are made, it is the responsibility of the appointee and the department chair or other cognizant individual to agree on the duties involved, and the amount of time required.

Part-time appointments to the non-faculty, academic staff should be recommended when the position requires less than full-time service, when there are funding limitations, or when the individual is not available full-time. Except in unusual situations or in the case of voluntary academic staff or Visiting Fellows, the minimum amount of time that the staff member may commit to the Medical College during the period of the appointment is twenty-five percent (25%). Joint and dual appointments are not considered part-time appointments.

II. Policies and Procedures

The policies and procedures pertaining to appointment or promotion are the same for part-time and full-time non-faculty, academic staff members. Individuals may transfer from full-time to part-time status, and vice versa, subject to the procedures and approval required for appointment or promotion to the recommended position.

¹ Cornell University Faculty Handbook (2010), p. 39.

WAIVER OF REQUIREMENT FOR A CORNELL UNIVERSITY APPOINTMENT FOR APPOINTMENT TO THE MEDICAL STAFF¹

I. Introduction

The affiliation agreements between Weill Cornell Medical College, Cornell University and the designated affiliated institutions listed at <http://weill.cornell.edu/utilities/affiliations.html>² provide that, after the effective date of the Affiliation Agreement, no physician may become a non-provisional member of the medical staff of any of those hospitals unless that person either has been approved for a Cornell faculty appointment, has been approved for an Affiliate Physician appointment, or receives a waiver approved by the Dean of Weill Cornell Medical College, Cornell University allowing that person to join the medical staff of that affiliate without a Cornell appointment. This section sets out the procedures to be followed in recommending such waivers and the criteria to be used in considering those recommendations.

II. Criteria for Waiver of Requirement for Cornell Appointment Allowing Medical Staff Appointment

In order to be eligible for a waiver of the requirement for a Cornell appointment for medical staff members of the listed affiliated hospitals, the physician must meet the credentialing requirement of the affiliated hospital's medical staff.

III. Procedures for Recommending a Waiver

The physician will submit a letter requesting a waiver of the requirement for a Cornell academic appointment, countersigned by the individual's affiliate department chair, to the appropriate Medical College chair. This letter will state the reason for the request and will be accompanied by the individual's *curriculum vitae*.

If approved by the Medical College department chair, the recommendation or waiver of the academic appointment will be forwarded to the Dean of the Medical College for review and approval. After initial approval by the Dean, renewal of the waiver only requires the inclusion of the physician's name in the annual waiver list submitted by the department chair to the Office of Faculty Affairs.

Physicians who hold a faculty appointment at another medical college may request a waiver from a Cornell appointment, but may not teach Cornell students.

IV. Continuing Validity of Wavier

The waiver will continue to be valid unless and until the affiliate decides to recommend the physician for an academic appointment or the physician leaves the

¹ As approved by the Executive Faculty Council on April 7, 1994 (minutes, p. 8536), and the General Faculty Council on April 11, 1994.

² See also Appendix III of this section

affiliate institution.

V. No Responsibility in Teaching Medical Students

Teaching of Weill Cornell Medical College students is to be done only by individuals who have Cornell faculty appointments. Therefore, it is expected that no individuals granted a waiver of the requirement for Cornell appointment shall have responsibility for the direct teaching of Weill Cornell Medical College students.

NEPOTISM¹

The Medical College seeks to provide equitable employment opportunities to all persons, including those related to one another by blood, marriage, legal action, or personal affection. In this context, “family” is defined as an individual’s spouse, domestic partner, parent, sibling, child, or any other blood relative, if that other blood relative resides in the same household. To achieve this objective and ensure that family ties and personal affection not be permitted to influence judgments on the quality of work or decisions on hiring, promoting, or termination, the Medical College requires that a person may not supervise or be in a reporting line chain of command as another person to whom he or she is related by blood, marriage, legal action, or with whom he or she is in a “consensual relationship” (as such term is defined in Cornell University Policy 6.3 Consensual Relationships²) without the written approval of the relevant Department Chair (except if the matter involves a relationship of the Department Chair, in which case written approval is required by either the Senior Associate Dean for Research or Senior Associate Dean for Clinical Affairs, as applicable). In such a relationship, the individual with supervisory authority (the reporting individual) has an affirmative obligation under this Policy to disclose the relationship to their Department Chair, and Department Chairs must disclose to the applicable Senior Associate Dean. For the sake of clarity, in the event of a question regarding whether or not a “consensual relationship” (as defined herein) exists, the Medical College will defer to the good faith judgment of the involved faculty members.³

In considering whether to approve such a supervisory or reporting line relationship, if it is determined that any actual or perceived conflicts can be reasonably managed, the Department Chair (or Senior Associate Dean in the case of a relationship with a Department Chair) will typically require implementation of a written mitigation plan to be signed by the individuals in the relevant relationship. In evaluating the matter, including determination of whether a mitigation plan is needed and development of an appropriate mitigation plan, the Chair (or Senior Dean if applicable) will utilize the standard form template mitigation plan and may rely on Human Resources and/or the Office of General Counsel for guidance and support. The Department Chair’s decision as to whether to require a mitigation plan and any mitigation plan must be approved by the applicable Senior Associate Dean (and, in the case of a relationship involving a Department Chair, the Senior Associate Dean’s decision and any mitigation plan must be approved by the Dean of the Medical College).

Prior to any mitigation plan being finalized, the Department Chair (or Senior Associate Dean in the case of a relationship involving the Department Chair) shall refer the proposed plan to the Medical College conflicts management office (CMO), which shall evaluate the plan and shall either approve or reject it or, in the discretion of the CMO,

¹ See Cornell University Consensual Relationships (6.3) <https://policy.cornell.edu/policy-library>.

² See Cornell University Conflicts Policy (4.14) <https://policy.cornell.edu/policy-library>.

may refer the plan to the Conflicts Advisory Panel (CAP) for its evaluation and approval or rejection. (The CMO and CAP shall be as established in accordance with Cornell University Policy 1.7.) The CMO (or the CAP, if the CMO makes a referral to the CAP) shall also be the final arbiter to resolve any disputes regarding application or interpretation of a mitigation plan under this Policy.

Copies of the written approval (or declination of approval) of a reporting line personal relationship and any mitigation plan shall be filed in the employment files of the individuals in the relationship and maintained by WCM Human Resources. Mitigation Plans shall be annually reviewed and re-certified by the individuals in the relevant relationship pursuant to a process to be administered by Human Resources.

It is to be understood that the Medical College's Human Resources Policy 225 shall not apply to Medical College faculty, who shall instead be governed by the provisions of this Nepotism Policy in the Academic Staff Handbook (ASH). However, if the relationship at issue involves a faculty member and a member of the staff or non-faculty academic employees, the stricter HR Policy 225 shall apply, in which case this faculty Nepotism Policy shall **not** apply. In addition, in the case of a romantic or sexual relationship between students or postgraduates and faculty members, staff members, or others in a position of authority over them, Cornell University Policy 6.3 (Consensual Relationships) shall apply.

Faculty who are alleged to have violated this Nepotism Policy in the ASH will have those allegations evaluated and adjudicated according to the procedures specified in ASH Section XII (Faculty Misconduct).

LETTER OF APPOINTMENT

Upon appointment or promotion to the full-time paid academic staff of the Medical College, individuals should receive a letter of appointment from the department chair describing the nature of the appointment and the terms of employment at the Medical College.¹

Letters of appointment must be approved by the Dean of the Medical College prior to their mailing and usually will not be sent until after the appointment or promotion is approved by the appropriate officer(s) of the University. As noted above in the subsection on Procedures for Appointment and Promotion, item I, in the case of new or replacement positions, review of the appointment includes approval of the "Academic Applicant Search Plan, parts I and II" by the Associate Dean of Diversity and completion of the Academic Applicant Tracking process within the Human Resources Department's Recruitment Management System by the individual responsible for the recruiting effort.²

It is recognized that a department may wish to issue the letter of appointment prior to the official approval of the appointment or promotion in order to require the candidate to acknowledge acceptance of the position as defined. In addition to describing the nature of the appointment and the terms of employment at the Medical College, such letters should specify that the recommended appointment is contingent upon the appropriate University approval. If appropriate University approval is not obtained, the letter is not binding.

Regardless of the level of appointment, in the interests of both the Medical College and the individual, letters of appointment should include the information listed below.³

- I. Academic staff title.
- II. Other titles granted, e.g., administrative or hospital
- III. The effective date and terminating date or length of the period of appointment. (Appointments that start at the beginning of the fiscal year are effective July 1st.)
- IV. Whether the appointment is terminal or renewable. If an appointment is renewable, that implies that a decision on reappointment will be made prior to the end of the stated term and there is a commitment to giving notice. If it is a terminal appointment and, thus, will not be renewed, the letter should so state.
- V. Conditions for renewal, including but not limited to:

¹ See Cornell University Faculty Handbook (2010), p. 26.

² See 5.7.I. and the "Affirmative Action" section of the Academic Staff Handbook.

³ As guides to department chairs, sample letters of appointment are available from the Office of Faculty Affairs (646) 962-8770.

1. Continued receipt of sufficient extramural funds.
 2. Continued fulfillment of qualifications and performance.
 3. Programmatic needs of department and/or hospital.
 4. Maintenance of a visa status with employment authorization.
 5. If at affiliated institution,
 - a. Continuation of affiliation agreement.
 - b. Continuation of appointment at affiliate.
- VI.** The base salary and, if applicable, other compensation (i.e. supplemental compensation, administrative compensation).
- VII.** The responsibilities associated with position, e.g., teaching, research, clinical practice, or administrative duties.
- VIII.** Any special arrangements or agreements.
- IX.** Description of the University Inventions and Related Property Rights Policy and statement that execution of the Inventions and Related Property Rights Assignment Form is a condition of employment.
- X.** Description of the Conflicts Policy and statement that execution of the Conflict Disclosure Form is a condition of employment.
- XI.** In the case of academic staff providing clinical care services to patients, state that participation in the Medical College Physician Organization and Billing Compliance Program are conditions of employment.

APPENDIX I

Non-Faculty, Academic Titles at Weill Cornell Medical College, Cornell University

Assistants

Research Assistant in (Department)
Teaching Assistant in (Department)
Graduate Research Assistant in (Department)
Visiting Graduate Assistant in (Department)

Fellows

Fellow in (Department)
Visiting Fellow in (Department)

Associates

Clinical Associate in (Department)
Postdoctoral Associate in (Department)
Research Associate in (Department)
Staff Associate in (Department)
Teaching Associate in (Department)

Senior Associates

Senior Clinical Associate in (Department)
Senior Research Associate in (Department)
Senior Staff Associate in (Department)
Senior Teaching Associate in (Department)

Affiliate Physicians

Affiliate Physician in (Department)
Senior Affiliate Physician in (Department)

APPENDIX II

Weill Cornell Medical College, Cornell University Required Format for *Curriculum Vitae* and Bibliography

Please consult the following website for the most current *curriculum vitae* format for non-faculty academic staff and guidance for its completion, as well as other important documents and information:

<https://faculty.weill.cornell.edu/>

APPENDIX III

Affiliations

Weill Cornell Medicine

Weill Cornell Medical College, Cornell University

Please consult the following website for the most current list of affiliated institutions:

<http://weill.cornell.edu/utilities/affiliations.html>