

## **GOVERNANCE DOCUMENT**

**School of Education**  
**Iowa State University**  
Approved, March 15, 2019

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## **Section 1: Introduction to the School of Education**

### **1.1 Preamble**

Governance of the School of Education (hereafter, SOE or School) is shared by the members of the SOE and the Director of the SOE. Its structure is organized to meet the goals and mission of the SOE, and the interests of the college and the university as outlined in their mission, vision, and goals. The faculty is the legislative body of the College of Human Sciences (hereafter, CHS) and SOE. It has responsibility for and authority over educational policies and procedures of the college including, but not limited to, admission requirements, graduation requirements, academic standards, degree programs, curricula, and courses. The faculty will recommend candidates to the college for diplomas, degrees, certificates, and licenses, and will serve in an advisory role to the Dean of the College (hereafter, Dean) and Director of the School (hereafter, Director) on administrative matters as they relate to academic and education issues, or to the general welfare of the faculty. The faculty acts as a body on matters falling within its scope and responsibility, except in those specific instances where it has delegated its authority to committee or council. School policies will be consistent with CHS and university policies, which can be found within the ISU Faculty Handbook. In cases of conflict, the policies of the next “higher” level supersede the policies of the “lower” level. The rules and regulations of higher-level documents are still in effect even if absent from the lower-level document.

### **1.2 Mission**

The School of Education at Iowa State University is committed to engaging in rigorous and socially meaningful research, preparing leaders and practitioners across the P-20 continuum who support rich and equitable learning opportunities for all students, and supporting public education as a cornerstone of a healthy, vibrant, and just society. We strive to be a national leader in educational theory, policy, and practice, and to honor the land-grant tradition and the broader mission of the university to serve the people of Iowa. (approved August 2016)

### **1.3 Membership in the School of Education**

All staff members (P&S or Merit) and administrators on appointments of at least one academic year in length with a minimum of 50% FTE appointment in the School are considered members of the School, with rights and responsibilities within the School governance structure as noted in this document. All tenured, tenure-eligible, and term faculty with appointments in the School are members of the School for governance purposes. Faculty governance carries with it clearly delineated responsibility for curricular matters. As such, membership in faculty governance is limited to those meeting the definition of “faculty member” as defined in this governance document.

### **1.4 Shared Governance**

Shared Governance is a collaborative decision-making process that is inclusive of University administration, faculty, staff, and students which requires all parties to work together in order to advance the mission and achieve the strategic goals of Iowa State University. The intention of shared governance is to provide a voice to the members of the University community to ensure that University administration creates effective policies and procedures, establishes a successful university climate, and unites our community.

### **1.5 Maintenance and Revision of this Governance Document**

Maintenance of this document is a responsibility shared by all members of the School. This document should be reviewed annually in order to confirm compliance with other “higher” governance documents. Further, in regular intervals (no longer than 5 years), the Director shall appoint an *Ad Hoc* committee to thoroughly review and recommend changes to this document. In both cases, changes shall be recommended to voting-eligible members of the School for discussion and vote. Voting on changes related to the Faculty Governance section or other topics that fall under the purview of the faculty is limited to those meeting the definition of faculty member in this document. All other changes are open to all members of the School. Changes required for compliance with “higher” governance documents require approval of a simple majority of voting members; other changes require approval of a 2/3 majority of voting members.

### **1.6 Interpretation of this Governance Document**

When conflicting interpretations of the Governance Document arise, the Director decides the matter and reports that interpretation to the faculty. Any faculty member who disagrees with the Director’s interpretation may take the matter to the faculty for resolution. The Director’s interpretation may be overridden by a two-thirds vote of the faculty.

## **Section 2: Organization of the School of Education**

### **2.1 Leadership**

University regulations require two leadership positions within the School: The Director of the School and the Director of Graduate Education (DOGE). In addition to these two positions, the Director shall appoint a leadership team to support academic programs and structures, as determined by the faculty of the School. The Director shall also appoint individuals to administrative positions the Director deems necessary to support the work of the School.

#### **2.1.1 Director**

*Appointment.* The School is administered by a Director, who is appointed by the Dean of the College of Human Sciences, subject to the approval of the Provost of the University, the President of the University, and the Iowa Board of Regents. The length of initial appointment of the Director varies from three to five years, depending on the School’s administrative needs. The Dean sets the length of term of the appointment. The Director serves at the pleasure of the Dean and may be terminated from the Director position with or without cause at any time. In all cases, SOE faculty members should be consulted, as appropriate, in the identification of a new Director.

*Responsibilities.* The Director’s overall responsibilities include faculty development, program development, and administration of the School. For specific responsibilities of the Director, see Appendix A of this document.

*Evaluation of the Director.* As documented in the ISU Faculty Handbook (5.1.2): “Periodically each Department Chair [Director] is evaluated on the basis of his or her administrative responsibilities and accomplishments. This review is normally initiated by the college dean as a part of a reappointment decision. Mechanisms for department/school faculty input are provided within the evaluation process.”

*Evaluation Process.* At the beginning of the final year of the Director's appointment, the Dean will meet with the Director to determine if the Director is willing to be considered for reappointment for another term. After the response is received, the Dean will meet with the School of Education faculty to discuss reappointment and will solicit input from the faculty and other appropriate college personnel such as staff and others who are knowledgeable about the Director's performance. Other individuals and groups may include alumni, administrators, student leaders, and representatives from state agencies and/or other organizations that have had professional contact with the respective Director. The faculty will make a recommendation to the Dean, in the manner designated by the School governance document. The Dean will take the faculty recommendation into account in making the reappointment decision.

### **2.1.2 Director of Graduate Education (DOGE)**

*Appointment.* The Director of Graduate Education (DOGE) is a faculty member who is appointed by the Director after consulting with the Dean and the School's faculty. The DOGE serves at the discretion of the Director. The DOGE serves in at least half-time capacity in the position.

*Length of Term.* The DOGE is appointed to a two-year term, which is renewable.

*Reappointment.* When considering the reappointment of the DOGE, the Director consults with the Dean and the School's faculty before making the reappointment decision.

*Vacancy.* If the DOGE is unable to complete the term in office, the normal replacement process is initiated.

*Replacement.* The Director may remove the DOGE at any time during the Director's term in office. Should the DOGE be removed, the Director initiates the regular appointment procedure for filling the vacancy.

*Responsibilities.* The DOGE undertakes School duties assigned by the Director. The Director of Graduate Education chairs the Graduate Studies Committee and is responsible for carrying out ISU Graduate College and School policies and making day-to-day administrative decisions concerning the graduate program. The DOGE monitors all aspects of the graduate program, including admissions, assistantships and scholarships, student progress, curriculum, academic standards and teaching assignments. In addition, the DOGE is expected to remain active as a scholar. The Director of Graduate Education's teaching and other School responsibilities are adjusted to accommodate these administrative duties.

*Annual Review.* The DOGE is evaluated annually by the Director, who consults with the faculty.

### **2.1.3 Academic Leadership**

Academic leadership, particularly leadership related to the development and delivery of the curriculum, is the purview of the faculty of the School. The faculty of the School have deliberated upon and approved an academic structure to lead these efforts. The current structure is included in Appendices C and D of this document. It is the Director's responsibility to consult with the faculty and appoint individuals to the academic leadership positions required of the

current structure. Evaluation, reappointment, and removal of academic leadership is the responsibility of the Director. Periodic reevaluation and modification, when necessary, of the academic structure is the responsibility of the faculty.

#### **2.1.4 Administrative Leadership**

The Director also shall appoint an administrative leadership team to support efforts in administrative areas. The constitution of the team is the purview of the Director, although consultation with faculty members is expected. The administrative leadership team should honor and support the academic structure approved by the faculty. The following are general guidelines for administrative appointments in the School:

- Appointments are for a minimum of two academic years.
- The Director conducts annual reviews of administrative leadership, in consultation with faculty members.
- Responsibilities and compensation are negotiated before appointment, clearly described in an appointment letter, and open to all faculty for review upon request.
- Leadership team members serve at the discretion of the Director and may be replaced, with or without cause, at any time.

Specific administrative leadership positions, along with responsibilities, are described in Appendix A of this document.

At all times, the Director shall appoint a full-time professional to lead Educator Preparation functions. The functions that fall under the purview of the Director of Educator Preparation include, but are not limited to, coordinating academic leadership within the Educator Preparation areas, supervising Teacher Education Services, and providing leadership to the Educator Preparation Coordinating Committee (EPCC). The current position description for the Director of Educator Preparation is included in Appendix A of this document.

### **2.2 School Meetings**

Meetings are open to all interested parties except when closed under the Iowa Open Meetings Act (Chapter 21 of the Iowa Code). The Director, or the Director's designee, chairs all School meetings.

#### **2.2.1 Regular School Meetings**

Regular meetings are called by the Director to conduct School business using an agreed upon structure such as Roberts Rules of Order. The Director shall establish a timeline for the creation and distribution of a meeting agenda that allows for adequate time for SOE member input into the agenda. School members wishing to discuss specific topics ordinarily will notify the Director to place items on the agenda. Ordinarily, the agenda will be circulated by the Director to the membership before the meeting. Items on the agenda may be added, deleted, or reordered at the meeting if there is no objection from members of the School. If there is objection from a member, a simple majority vote of the SOE members at the meeting decides the question.

#### **2.2.2 Emergency Meetings**

Emergency meetings may be called by the Director or by a petition signed by five or more voting eligible members of the School provided at least two hours of notice is given and a reasonable

effort has been made to notify all members of the School. Only business of an emergency nature may be conducted at an emergency meeting.

### **2.2.3 Informational Meetings**

Informational meetings may be called by the Director or at the request of two or more voting eligible members of the School. Any topic may be discussed at informational meetings, but no binding votes may be taken.

### **2.2.4 Voting Procedures**

Two methods of voting regarding agenda items that require action will be implemented: 1) agenda items that relate to Governance Document and other major issues will be conducted by electronic ballot within 7 calendar days after being presented for a vote during an SOE meeting; 2) agenda items such as modification of agenda will be conducted by voice vote (or ballot). For agenda items related to item 1, a two-thirds majority of those eligible members voting is required for a motion to pass. For agenda items related to item 2, a simple majority is required for a motion to pass.

### **2.2.5 Voting Eligibility**

Voting eligibility is generally open to all members of the School, although eligibility may be limited based on the topic under consideration.

### **2.2.6 Quorums**

For regular and emergency SOE meetings, a quorum consists of a majority of the voting members, excluding those on leave. A quorum is not required for an informational meeting.

### **2.2.7 Minutes**

The Director will ensure that minutes of meetings are taken and distributed to the members so the minutes can be considered and approved by the voting members at subsequent meetings.

## **2.3 School Committees**

One of the principal ways in which members share in the governance of the School is through participation in its committees. It is within committees that School policies and procedures are debated and developed before they are recommended for approval to voting members of the School. Two types of committees exist within the School: Standing Committees and *Ad Hoc* Committees.

Committee members are appointed by the Director, unless otherwise noted in this document. Similarly, unless otherwise noted, committee membership is open to all members of the School. The Director shall strive for diverse perspectives and representations when appointing members to School committees.

### **2.3.1 Standing Committees**

Standing committees are listed, with a brief description of each committee, in Appendix B of this document.

### **2.3.2 Ad Hoc Committees**



*Ad Hoc* committees and sub-committees may be created by the Director to handle special assignments, such as the search for a new faculty member. In all cases the Director shall make every effort to consult the faculty on the need for and composition of *ad hoc* committees. *Ad hoc* committees disband when their assignments are completed.

### **Section 3: Faculty Governance Structure**

#### **3.1 The Faculty**

The faculty is the legislative body of the School and has ultimate responsibility for approving educational policies and procedures of the School, including curriculum and course revisions and grading procedures. As per University guidelines, faculty are solely responsible for educational and curricular policies and procedures within the School, including the following:

- Admissions requirements
- Graduation requirements
- Curriculum and course revisions
- New degree programs
- Grading procedures
- Candidate recommendations for diplomas, degrees, and certificates to be conferred by the President

#### **3.2 Committees**

Standing and *Ad Hoc* committees are responsible for advising the faculty regarding the development of educational policies and procedures of the School.

#### **3.3 Director**

The Director is the School's chief executive officer and is responsible for carrying out School, College, and University policies. Although the Director may hold faculty rank, the Director is not an active participant in faculty governance and does not have the right to vote in educational or curricular matters as a faculty member.

#### **3.4 Membership in Faculty**

As described in the Iowa State University Faculty Handbook faculty appointments are made as tenured/tenure-eligible or as term eligible faculty. Membership in faculty governance is extended to all faculty members holding ISU designated faculty appointments of at least one academic year in length with a minimum of 50% FTE appointment in the School. All such faculty members except the Dean, associate deans, and Director are eligible for election to faculty committees in the School. Elections are arranged and conducted by the faculty or the Director in accordance with School governance documents. Unless specifically noted otherwise in this document, these definitions apply in any use of the term faculty member.

#### **3.5 Voting Eligibility**

Voting is limited to faculty members on appointments of at least one academic year in length with a minimum of 50% FTE appointment in the college and with a status or rank of term, tenured or tenure-eligible faculty. Per CHS governance document, visiting professors, collaborators, and affiliates are excluded from voting on matters within the purview of the

faculty. Faculty with a minimum of 50% FTE appointment in departments/school that are jointly administered by the CHS and another college and that meet the criteria specified above are eligible to vote.

### **3.6 Voting Procedures**

During SOE meetings, two methods of voting regarding agenda items that require action will be implemented: 1) agenda items that relate to Governance Document and other major issues will be conducted by electronic ballot within 7 calendar days after being presented for a vote during the School meeting; 2) agenda items such as modification of agenda will be conducted by voice vote (or ballot). For items related to item 1, a two-thirds majority of those eligible members voting is required for a motion to pass. For agenda items related to item 2, a simple majority of those members voting is required for a motion to pass.

## **Section 4: Tenured, Tenure-Eligible, Term Faculty, Non-Salaried Faculty, Visiting Faculty, and Joint Faculty Appointment Policies and Procedures**

### **4.1 Faculty Appointment Types**

As described in the ISU Faculty Handbook (3.3), faculty appointments are made as tenured/tenure-eligible (3.3.1) or as term faculty (3.3.2). Both types of appointments include ranks of assistant professor, associate professor and professor, and term faculty also include the rank of lecturer.

In addition to tenured, tenure-eligible and term faculty appointment types, ISU also recognizes non-salaried faculty appointments (FH 3.3.3), visiting faculty appointments (FH 3.3.4), and joint faculty appointments (FH 3.3.5).

### **4.2 Tenured and Tenure Eligible Faculty Appointments**

Tenured and tenure-eligible appointments are regularly budgeted positions at any rank and account for most faculty appointments (FH 3.3.1).

### **4.3 Term Faculty Titles & Appointments**

The School may use any of the term faculty titles designated in the ISU Faculty Handbook (3.3.2.2). The most common term faculty titles and ranks in the School as described in the ISU Faculty Handbook (3.3.2.2):

*Clinical Faculty Title and Ranks:* Clinical Faculty Title and Ranks: Clinical Assistant Professor, Clinical Associate Professor, Clinical Professor. All Clinical faculty must devote at least 75% of their time to providing or overseeing the delivery of professional services to individual patients or clients, and to teaching students, residents, or fellows of the university at the undergraduate, graduate, professional, or postgraduate level. They are expected to integrate the delivery of their professional services with their teaching. While the use of Clinical faculty titles is most easily conceived in the context of the College of Veterinary Medicine, where faculty are involved in the delivery of professional services to patients and clients, there are other disciplines where the use of Clinical titles for similar purposes may be appropriate. In addition, such appointments may

include scholarly achievement and institutional or professional service, or any other responsibilities as identified in the PRS.

*Practice Faculty Title and Ranks:* Practice Faculty Title and Ranks: Assistant Professor of Practice, Associate Professor of Practice, Professor of Practice. Professor of Practice faculty must have significant relevant professional experience outside of academia that qualify them to make a contribution to instruction and/or advising. All Professor of Practice faculty must devote at least 75% of their time to teaching in their area of expertise and related institutional and professional service. In addition, such appointments may include scholarly achievement and institutional or professional service, or any other responsibilities as identified in the PRS.

*Teaching Faculty Title and Ranks:* Teaching Faculty Title and Ranks: Lecturer, Assistant Teaching Professor, Associate Teaching Professor, and Teaching Professor. Teaching faculty hold positions through which they generally contribute to the teaching mission of the university. All Teaching faculty must devote at least 75% of their time to instruction, advising, curriculum coordination and other responsibilities related to the teaching mission. In addition, such appointments may include scholarly achievement and institutional or professional service, or any other responsibilities as identified in the PRS. The title of Lecturer is used for early career teaching faculty with contracts of one year or less, while Assistant Teaching Professor is for teaching faculty on multi-year contracts who have not advanced in rank.

#### **4.3.1 Lengths of Appointments**

The School follows the guidelines for lengths of term faculty appointments by rank as described in the ISU Faculty Handbook (3.3.2.3).

#### **4.3.2 Minimum Qualifications upon Appointment**

The School follows the minimum qualifications for term faculty appointment types and rank as designated in the CHS Governance Document.

#### **4.3.3 Waiver**

In exceptional circumstances, the School may seek a waiver from the Dean in order to depart from the established minimum qualifications. A waiver of the standard minimum qualifications for a position must occur prior to advertisement of the position. A waiver of the stated minimum qualifications cannot be granted for a candidate who does not meet the minimum qualifications advertised.

#### **4.3.4 Roles and Responsibilities in Governance**

As noted in the ISU Faculty Handbook (3.3.2.4), term faculty are part of the general faculty and thus participate in faculty governance.

#### **4.3.5 Term Non-Salaried Faculty Appointments: Affiliates and Professional and Scientific**

The School follows the policies as designated in the ISU Faculty Handbook for term non-salaried faculty appointments (3.3.3) as affiliates (3.3.3.1; 5.4.4) and professional and scientific (3.3.3.2; 5.4.1.4). Affiliates are reviewed and considered for renewal every three years by the Director in consultation with the faculty. Affiliates are designated as Affiliate Faculty and do not hold a specific faculty rank. Professional and scientific staff with a term faculty appointment are

reviewed, renewed, and promoted based on the process for review, renewal, and promotion for term faculty in section 6.0 of this document.

#### **4.3.6 Visiting Appointments**

The School follows the policies as designated in the ISU Faculty Handbook for visiting faculty appointments (3.3.4). Since these appointments are for a one-year term and renewable only for a maximum of two years total, no peer review is required nor is advancement possible. At any time, the appointment may be terminated without cause (5.4.4).

#### **4.3.7 Joint Academic Appointments**

The School follows the policies as designated in the ISU Faculty Handbook for joint academic appointments (3.3.5).

##### **4.3.7.1 Courtesy Appointments**

As noted in the ISU Faculty Handbook (3.3.5), a joint academic appointment where a faculty member receives an appointment in a secondary department, yet the faculty member's primary department funds the entirety of a faculty member's salary, is often referred to as a courtesy appointment. In the School, a courtesy appointment may be established with a faculty member outside the School who is recognized as contributing to School's programs and activities.

##### **4.3.7.2 Procedures for Courtesy Appointment**

To initiate a courtesy appointment, the applicant, in collaboration with the Director, must submit a request and a current vita to the faculty. The Director will indicate in writing the role the faculty member will play in the School including their research, teaching, service, and/or outreach activities using the Professional Responsibility Statement and a Letter of Intent. After discussion by the faculty and a simple majority vote, the appointment is granted. The courtesy appointment will be for a period of three to five years, at the discretion of the faculty and the Director. Applications and any subsequent renewals require a two-thirds majority acceptance of the voting eligible faculty for passage.

The Letter of Intent for a courtesy appointment must be signed by the chair of the faculty member's "home" department and the Director, the Dean or Deans of the college(s) involved, and the Provost. The individual's primary department is the faculty member's home department for purposes of evaluation, review, and initiating personnel actions. A letter from the Director may be included as supplemental material in Promotion and Tenure dossiers submitted to the faculty member's primary department. The faculty member's tenure is assumed to reside in the primary department only. Committee and teaching assignments must be agreed upon by the faculty member, the Director, and the Chair of the department in which the faculty member has a primary appointment. Courtesy appointments are reconsidered every three to five years, as stipulated in the Letter of Intent, for reappointment or termination. The participation of faculty members with courtesy appointments in SOE is reviewed annually by the Director.

##### **4.3.7.3 Expectations and Rights for Courtesy Appointments**

Faculty members with courtesy appointments are expected to participate in School activities, which may include some or all of the following: a) teach or team-teach one or more courses in the School (this may include courses in the faculty member's home academic unit that are cross-

listed with courses in SOE); b) participate on a major grant or research activity that would be jointly beneficial to both the School and the faculty member to be associated administratively in the SOE; c) serve as major professor for graduate students in SOE; d) serve on student POS committees; e) attend SOE faculty meetings, program area meetings, and School retreats as time allows; f) serve on SOE committees or take on other service assignments. Faculty who hold courtesy appointments will not have voting rights on issues for which a faculty vote is required.

#### **4.4 Graduate Faculty Appointments**

There are three types of graduate faculty appointments, each with different rights and responsibilities. Generally, all tenured and tenure-track faculty in the School of Education are Full Members of the Graduate Faculty, eligible to teach graduate level courses and serve in all roles on doctoral committees. Term faculty members can be nominated and appointed as Associate Graduate Faculty Members, which allows them to teach graduate level courses and serve as member or co-major professor on doctoral committees. Associate Graduate Faculty Members must hold the highest degree in the field and faculty rank as defined by the Graduate College. Graduate Lecturer status allows an individual to teach graduate level courses, but not to serve on graduate student committees. The Graduate College Handbook, Appendix G, governs the definitions and policies for appointment to graduate faculty status.

#### **4.5 Faculty Vacancies**

The Director initiates a proposal for a new appointment after consultation with the members of the SOE. Upon receipt of approval from the dean(s) and provost, the SOE follows university search procedures. When a candidate has been identified for the appointment, the Director specifies the conditions of appointment on a form called the Letter of Intent and in a letter making the offer of appointment including the position responsibility statement.

The Letter of Intent form and the letter must be approved by the dean and, in the case of a tenured or tenure eligible appointment, by the provost. Approval must also be obtained from the Office of Equal Opportunity and Diversity confirming that the required search procedures have been followed in filling the position. The stipulated conditions include the academic rank, salary for the first year (in the case of new appointment), the ending date of the probationary period if one is established, the date by which a notification of intent not to renew is to be given if the appointment is renewable, and any special factors that apply to the appointment.

Additional SOE guidelines for tenure-line faculty searches and composition of the Search Committee:

1. The duties and qualifications to be included in the position description will be based on the current needs of the School. The Director shall consult with the faculty to identify needs and determine how a faculty vacancy shall be filled.
2. The "Notice of Vacancy" announcement must be approved by the Director, the Dean of the College, the Recruitment and Employment/Equal Opportunity and Diversity Offices, and the Executive Vice President/Provost.
3. The search committee will be composed of no fewer than three faculty members appointed by the Director and must include members from the area(s) in which the new faculty will serve. The chair of the committee will be appointed by the Director.
4. The search committee, together with the faculty, will play an active role in the

evaluation of applicants and should share their views with the Director. The Director then initiates a proposal for a new appointment.

5. Final negotiations associated with offers of employment are handled by the Director and the Dean of the College of Human Science.

## **Section 5: Tenure and Tenure-Eligible Faculty Review Process**

The tenured/tenure-eligible faculty review process is intended to serve essential formative and summative functions at each step, and it is also developmental. Each step in the SOE tenured/tenure-eligible faculty review process is intended to build upon the previous steps and to promote successful outcomes for tenured/tenure-eligible faculty members. Therefore, whenever possible, consistent information, documentation, and format are requested at each step.

### **5.1 Position Responsibility Statement**

According to the ISU Faculty Handbook (3.4.1) a position responsibility statement (PRS) is a tool that describes the range of responsibilities undertaken by a faculty member. The PRS is written and approved by both the faculty member and the Director, shall be reviewed and updated as necessary at appropriate stages of a faculty members career, and be general enough to allow for individualization and flexibility while providing a clear sense of major position responsibilities. The ISU Faculty Handbook delineates a process for reviewing and updating a faculty member's PRS (3.4.3.2 and 3.4.3.2.1) and for mediating disputes that might arise when regarding a faculty member's PRS (3.4.4).

Flexible Position Responsibility Statements are based on the concept of differential workloads within and among units. In some disciplines, a faculty member with an active research program may teach two classes per year, while some faculty members in the School of Education may teach eight courses per year and devote little time to research/scholarship or other time-intensive activities. Similarly, in another academic unit, a faculty member may teach one class per year, manage several large external grants, or serve as Director of a center. Thus, PRSs are to be developed in accordance with the differing norms and individual expectations with respect to teaching, research, and service.

#### **5.1.1 Evaluation**

Faculty members will be evaluated based on their Position Responsibility Statements. A person with a large commitment to research in their PRS would be expected to publish more and direct more graduate students than a person whose PRS commits a small part of their effort to research with a greater commitment to outreach, teaching, and other activities (e.g., administration).

Tenured and tenure-eligible faculty members in the School have a prototype Position Responsibility Statement that is consistent with their research, teaching, engagement, or other service responsibilities. The following serves as a default position responsibility statement:

*A standard appointment for tenured and tenure-track faculty in the School of Education is 40% research, 40% teaching and advising, 10% outreach, and 10% service to the institution or broader community. Faculty members with a 40% teaching appointment*

*are expected to teach the equivalent of four, three-credit courses per academic year and advise students in a manner consistent with school practices. Faculty members are expected to provide an effective learning experience for students.*

*Faculty members with 40% research assignments are expected to maintain active research programs, supervise graduate students, present research findings at national and international conferences as appropriate, and publish research results on a regular basis in discipline-appropriate refereed outlets. Faculty members are expected to attempt to secure extramural funding programs to the extent necessary to sustain their research program and support graduate students. Tenured faculty members provide leadership at the local and national levels to research areas and educational programs.*

*Faculty members are expected to provide service, as needed, for the efficient operation of the school, the college, and the university, and to contribute to professional societies and the public as a natural outcome of their activities.*

The above is simply a default PRS to be adopted if no other statement is in effect. The PRS for each faculty member will reflect their own talents and interests and the expectations and needs of the school, the college and the university.

#### **5.1.2 Tenured/Tenure-Eligible Faculty with Formal Extension and Outreach Appointments**

Some tenure-eligible faculty members are appointed to positions that are jointly funded by the School of Education and Extension and Outreach. Faculty Position Responsibility Statements for these faculty members will include a portion of their time, normally 25%, dedicated to Extension and Outreach activities. Specific expectations for this time are defined by the faculty member, the Director of the School, and the College of Human Sciences Associate Dean of Extension and Outreach. Similarly, evaluation of these faculty members shall include the College of Human Sciences Associate Dean of Extension and Outreach as delineated below.

#### **5.1.3 New Tenure-Eligible Faculty**

New tenure-eligible assistant professors will have a three-year term for their initial PRS and third-year review. They will negotiate a second PRS with the Director upon completion of the third- year review. In most cases, the initial statement will remain in effect until the tenure review.

#### **5.1.4 School of Education Director**

The Director will have a Position Responsibility Statement, written by the Director and the Dean, describing the administrative and other school responsibilities of the position.

#### **5.1.5 Negotiation of Position Responsibility Statements**

At the time of initial hiring, with the expiration of a PRS, or at other times as desired by the faculty member or the Director, an individual faculty member and the Director will discuss a new PRS for the faculty member. An agreed upon new PRS with a new fixed term would be effective immediately upon signing by both parties. If there is not agreement on a new PRS, the old PRS will be in force until a new agreement is reached or until the mediation process as outlined in the ISU Faculty Handbook has run its course, whichever occurs first.

Below are some examples of changes in Position Responsibility Statements:

- An increase in teaching or research appointment for individuals whose relative allocation of time to teaching and research changes. It is not necessary to negotiate a new PRS for minor adjustments in teaching loads or research commitments, but this should be done when base teaching loads are increased or decreased beyond that indicated by an existing PRS.
- A decrease in general teaching and/or research responsibilities may be warranted in cases where a faculty member assumes major administrative commitments on behalf of the school, college, or university.

### **5.1.6 Disagreements on Position Responsibility Statements**

The ISU Faculty Handbook (3.4.4) specifies that if either the faculty member or the Director disagrees with a proposed change to the faculty member's Position Responsibility Statement (PRS), either party may refer the matter to a school-level Position Responsibility Statements Mediation Panel.

Disagreements on changes in PRS statements that are not able to be resolved at the school will be handled by a college-level PRS Arbitration Panel. If either party is dissatisfied with the proposed resolution at this point, he or she may file a complaint through normal grievance procedures to the Dean of the College. The PRS approved by the college PRS Arbitration Panel will be in effect during this process.

### **5.2 Annual Review**

The Director will set the timeline and conducts annual reviews in accordance with the date established by the Dean of the College of Human Sciences. The faculty member should provide the Director with requested information by the date established. In order to begin building the information necessary for Third-Year and Promotion and Tenure Reviews, tenure-eligible faculty members and the Director are encouraged to use the [College of Human Sciences CV Template](#) to convey this information. Although the annual review specifically considers tenure-eligible faculty work during specified period of time to assess performance, faculty members are encouraged to consider the CV as cumulative and simply add information each year. The Director shall include the College of Human Sciences Associate Dean of Extension and Outreach in the annual evaluation process for faculty members with appointments in Extension and Outreach. Generally, the Associate Dean will provide evaluative input on matters related to the faculty members extension activities. The Associate Dean should also participate in writing the annual review letter and the annual review meeting with the faculty member.

### **5.3 Third Year Review**

Third-Year reviews (TYR) of tenure-eligible faculty members will be conducted in accordance with university guidelines and will follow university procedures. The primary review of pre-tenure candidates will be conducted by a three-person subcommittee of tenured faculty. The subcommittee will consist of three members of the SOE faculty at the rank of associate (with tenure) or above, with at least one member with full professor rank. The committee members must not be formal mentors of the tenure-eligible faculty member under review. The committee will make their report to the Director, which will be shared with the Promotion and Tenure Committee.



The purpose and tenor of TYR should be developmental, with the emphasis on assisting tenure-eligible faculty members in assessing their progress toward Promotion and Tenure and encouraging corrective action as necessary. This is in accordance with the ISU Faculty Handbook Section 5.1.1.3, which states,

*Probationary faculty members are typically reviewed by their departments in the second or third year of their appointments. The purpose of this review is to provide constructive, developmental feedback to probationary faculty regarding progress in meeting departmental criteria for promotion and/or tenure. This review also informs the decision to reappoint during the probationary period.*

The TYR process in the SOE is designed to mirror the Promotion and Tenure process. The materials requested for the TYR will assist in creating the Promotion and Tenure Narrative.

### **5.3.1 Candidate's Preparation of Materials**

The candidate has the primary responsibility for preparing TYR materials in consultation with the Director. The SOE Promotion and Tenure Committee, or its Chair, may also advise the candidate with preparation of the materials.

Once the candidate has established a file for TYR, no material may be added to that file without the candidate's consent.

It is the candidate's responsibility to ensure:

- All materials are submitted for review according to the guidelines outlined in the SOE governance document, the Provost's Office website, and the ISU Faculty Handbook.
- The accuracy and completeness of all information in the non-confidential material to be forwarded for review. The candidate should alert the Director of any inaccurate and/or incomplete information.

Each TYR file should include the following materials

- A 10-12 page reflective summary statement that (a) documents major activities related to the responsibilities of research, teaching, extension/outreach, and professional service; (b) reflects on your accomplishments since initial appointment; and (c) articulates future plans and directions with respect to teaching, research, outreach, and service.
- Candidate's Position Responsibility Statement(s) since initial appointment.
- Candidate's CV (using the College of Human Sciences' CV template).
- Copies of two publications or other scholarly products.

### **5.3.2 School-level Review**

The appointed TYR Committee will review each candidate's TYR materials by February 15 each year in order to allow time for the Director to complete a review and meet with each candidate. Once a candidate's materials have been reviewed by the committee, the chair of the committee will prepare an evaluative memo to the Director. The memo should include the names and signatures of the chair of the committee and the faculty members who served on that committee. The evaluation should be analytical, and not just a review of process, recitation of the CV, or a

summary statement. The evaluation should point out, discuss, and analyze strengths and weaknesses in the case. It is a best practice to put concerns up front and deal with them directly and clearly. The memo should conclude with a recommendation to the Director of the reappointment status of the candidate (see four possible status recommendations below). Candidates will meet with the committee to discuss the memo and recommendation put forward to the Director.

### **5.3.3 Director Review**

The Director shall prepare a letter to the candidate based on the candidate's materials and the information provided by the committee that reviewed the candidate. That letter should provide clear and constructive feedback about accomplishments, set forth expectations toward meeting the standard for subsequent Promotion and Tenure, and clearly identify areas where performance improvement is needed.

The letter from the Director to the faculty member must indicate whether the tenure-eligible faculty member is being reappointed, along with the terms of the reappointment (for instance, a one-year renewal, two-year renewal, etc.).

The letter should state specific reasons for the decision and, if appropriate, suggestions for performance improvements. The letter should specifically indicate that one of four possible decisions has been made:

- Reappointment with no reservation.
- Reappointment with no strong reservation, but with specific issues that need to be addressed.
- Reappointment with reservation and specific steps to be taken (may entail a one- or two-year renewal with an additional review scheduled before the mandatory tenure review).
- Non-reappointment with specific reasons (contract will be extended for one year).

The Director should schedule a meeting with the candidate to deliver and discuss all materials that will be forwarded to the Dean, including the memo from the TYR Committee, the Director's decision on reappointment, and any necessary corrective action. In all cases, the candidate should receive detailed evaluation of the candidate's strengths and weaknesses including clear and constructive advice on expectations for the Promotion and Tenure Review.

The Director shall include the College of Human Sciences Associate Dean of Extension and Outreach in the TYR process for all faculty members with appointments in Extension and Outreach. As with the annual review process, the Associate Dean will work collaboratively with the Director, providing input to the Director to inform the evaluation on matters related to the faculty member's extension and outreach efforts, as well as input related to the final decision about reappointment. The Associate Dean will participate in the meeting with the faculty candidate and the Director. In situations in which the Director and Associate Dean disagree on the final decision related to reappointment, the Director has final authority.

### **5.3.4 Third-Year Review Process Timeline**

Each task must be completed *no later* than date listed.

### **May 1**

- SOE Director alerts all candidates of required third-year reviews to be completed in following academic year.

### **Fall**

- Director identifies 3-person TYR subcommittee for each candidate. Director sends letter to candidate with names of TYR subcommittee members and details of TYR requirements and deadlines.
- Candidate prepares 10-12-page reflective summary, current curriculum vita, applicable position responsibility statements, and two representative publications as described earlier in this section.

### **January 15**

- Candidate submits materials to Director for distribution to the TYR subcommittee.

### **February 15**

- TYR subcommittee completes review and drafts memo for Director; TYR subcommittee sends draft of letter to candidate for review and corrections of errors of fact.

### **March 15**

- TYR subcommittee meets with candidate to review memo and provide formative feedback as appropriate; memo is finalized and forwarded to Director.
- Director reviews materials and TYR subcommittee memo, prepares and sends letter with final recommendation to candidate.

### **April 1**

- Director meets with candidate to review materials, recommendations, and decision.
- All materials forwarded to Dean's Office.

### **May 1**

- All materials forwarded to Provost's Office.

## **5.4 Promotion and Tenure Review Procedure**

The strength of the university is the creative energy and diversity of its faculty members. The underlying philosophy is that individual faculty members contribute to the mission of the university in many different ways and that their individual responsibilities may change over time to reflect the needs of the university, their own expertise, productivity and interests, and new opportunities to enhance the overall quality of the academy and the broader community that university serves.

All Promotion and Tenure policies and procedures within the School of Education are consistent with those presented in the Faculty Handbook (5.1-5.3), and the [Guidelines for Promotion and Tenure](#) published on the Provost's Office website. The purpose of this document is to present the procedures that are used at the School-level.

**5.4.1 Guiding Values and Commitments.** The creation of the School of Education Governance

Document was guided by attention to a number of core values and commitments, which are defined in the College of Human Sciences Promotion and Tenure document. Attention to these commitments should underline the promotion and tenure processes in practice.

*Fairness.* A commitment to fairness is evidenced by, among other things, prompt and open dissemination of promotion and tenure policy documents that provide clear and consistent information regarding criteria, expectations, and processes. Fairness is also evidenced by thorough, equitable review processes that involve careful and judicious interpretation and application of policies and criteria to individual promotion and/or tenure cases. Fairness is also assured in that each eligible faculty member is permitted only one vote during the full course of review of any one case. Candidates who suspect lack of fairness at any level in the review process should have ready access to formal appeals channels.

*Confidentiality.* A commitment to confidentiality, which should be ensured to the maximum extent allowable, is intended to foster frankness and candor in all aspects of the review process. Confidentiality should be accorded to the candidate, the writers of external review letters, and all individuals participating in discussions and meetings convened for promotion and tenure review purposes. Confidentiality should be protected by the Director, individual faculty members, and all other individuals involved in review processes.

*Integrity.* A commitment to integrity is intended to yield not only fair processes, but also predictable processes—although not necessarily predictable outcomes. Consistent with the ISU Faculty Handbook (8.2.2.) regarding conflict of interest, individuals should strictly avoid being in a situation to influence a university decision that could result in personal gain. Individual faculty members should recuse themselves or otherwise refrain from participating in the review of any promotion and/or tenure case that presents a personal conflict of interest. Conflicts of interest include conflicts arising out of personal relationships, family relationships, and those arising out of activities outside of work. See also ISU Faculty Handbook, Section 7.2.2.

*Respect.* A commitment to respect provides for civil and considerate treatment of promotion and/or tenure candidates and of faculty members participating in the review process. Respect within the promotion and/or tenure review processes includes, but is not limited to, ready availability of promotion and tenure informational documents and guidelines to reduce candidate uncertainties or anxieties, and to prompt sharing of information with candidates by designated representatives (to the extent allowed by relevant policies) that apprise candidates of their candidacies at each level of the review process.

#### **5.4.2 Candidate's Preparation of Materials**

The candidate has the primary responsibility for preparing Promotion and Tenure materials in consultation with the Director. The SOE Promotion and Tenure Committee may also advise the candidate with preparation of the materials. The candidate should submit documentation as identified in Section, 5.3.1, of the ISU Faculty Handbook.

Once the candidate has established a file for review, no material may be added to that file without the candidate's consent. In any non-mandatory case, a candidate may withdraw a file from consideration at any level of the review process.

It is the candidate's responsibility to ensure:

- All materials are submitted for review according to the guidelines and outlined in the SOE Promotion and Tenure document, the Provost's Office website, the ISU Faculty Handbook.
- The accuracy and completeness of all information in the non-confidential material to be forwarded for college review of his or her promotion and/or tenure. The candidate should alert the Director of any inaccurate and incomplete information.

The candidate should submit documentation as identified in Section 5.3.1 of the ISU Faculty Handbook and in the College of Human Sciences Promotion and Tenure policies and guidelines.

- Candidate Information: Section 5.3.1.2 of the ISU Faculty Handbook. This should include all Position Responsibility Statements since date of employment.
- Promotion and Tenure Vita: The vita should be inclusive of the faculty member's scholarship, activities, and accomplishments. The format of the vita is not specified, but it should reflect the norm within the discipline and be organized to present the candidate in a positive perspective. SOE faculty members are required to use the CHS CV template. See Section 5.3.1.1 of the ISU Faculty Handbook.
- Scholarship: See Sections 5.3.1.3 and 5.3.2.1 of the ISU Faculty Handbook for a list of suggested activities and accomplishments.
- Areas of Position Responsibilities and Activities: See Sections 5.3.1.4 and 5.3.2.2 of the ISU Faculty Handbook for a list of suggested activities and accomplishments in the four areas of faculty activity.
- Faculty Portfolio Narrative: See Section 5.3.2 of the ISU Faculty Handbook.
- Teaching Evaluations: Include evidence of teaching effectiveness, such as student and peer reviews. See Section 5.3.2.2.1 of the ISU Faculty Handbook.

### **5.4.3 Identification and Selection of External Reviewers**

Solicited letters of evaluation from recognized scholars in a candidate's field, but outside of the university, serve as essential data in the promotion and tenure process. The policies for identification, selection, and solicitation of external review letters are governed by the ISU Faculty Handbook, Section 5.3.3.1, and described below.

The candidate provides a list of up to six potential external reviewers to Director. The Director, in consultation with appropriate SOE faculty, will generate additional possible reviewers. The Director is responsible for selecting individuals from the combined list of possible reviewers and soliciting external review letters. Candidates can submit a list of up to three people who shall not be contacted as reviewers. If made, this request must be put forward at the same time as the candidate forwards the list of possible reviewers.

Reviewers are chosen for their ability to evaluate the candidate's activities and accomplishments impartially. They should generally be tenured professors at peer institutions or individuals of equivalent stature outside of academe who are widely recognized in the field. These individuals should be independent of the faculty member being reviewed (co-authors, co-principal investigators, dissertation/thesis advisors, or others with similarly close association should be excluded). Individual exceptions may be granted for small disciplines or other circumstances

when it is not possible to exclude all co-authors or co-principal investigators. When necessary, however, these individuals should be solicited to detail the nature of collaborative projects or to respond to specific questions.

A maximum of six external review letters can be included for each candidate. At least one of the reviewers, but not all, should be from the list suggested by the candidate. In instances when a potential reviewer is suggested by both the candidate and the Director, all attempts should be made to include this reviewer in those solicited for a letter; in such a case, this individual is not considered to be from the list suggested by the candidate.

The names of those reviewers providing external review letters and the content of those letters are confidential and available for review only to faculty members eligible to vote on the candidate's promotion and tenure case. Letters and names of external reviewers are not shared with the candidate.

#### **5.4.4 School-level Review**

According to the College of Human Sciences Promotion and Tenure document, each unit must have a Promotion and Tenure Committee of faculty members to review candidates. Any member with a conflict of interest with respect to a candidate cannot participate in reviewing that candidate. (ISU Faculty Handbook, Section 5.2.4.2.3.) Each unit must also have a document that sets forth the standards and procedures governing promotion and tenure of faculty within that unit. The unit document may specify standards that exceed those of the university or college, provided that they do not contradict university or college standards. The unit procedures for Promotion and Tenure Review must be approved by the tenured and probationary faculty of the school, the Director, the Dean, and the Provost.

According to the College of Human Sciences Promotion and Tenure document, each unit's Promotion and Tenure document must specify each of the following aspects of the Promotion and Tenure process:

##### **5.4.4.1 How Candidates are Identified for Review**

The Director will meet with assistant professors who are subject to mandatory review for Promotion and Tenure no later than May 1st of the year prior to the review. In this meeting, the Director will clarify the process and timeline for the Promotion and Tenure Review.

##### **5.4.4.2 Composition and Voting Eligibility of P&T Committee**

The Promotion and Tenure Committee is composed of all tenured members of the school faculty. Voting eligibility is dependent on the status or promotion available for each candidate. If the candidate is seeking a promotion from assistant professor to associate professor with tenure, both tenured associate professors and professors may vote. If the candidate is seeking a promotion from associate professor to professor, then only tenured faculty with the rank of professor are eligible to vote. All eligible faculty members are required to participate in the process. Should there be a conflict of interest between eligible member(s) and the candidate(s) under review, the Director will make the determination and final decision.

All voting faculty will review the candidate's portfolio and then meet to discuss the material. The

chair of the committee, who is elected by the members of the Promotion and Tenure Committee, will present a letter to the Director, which indicates the vote and documents the reasons for the vote. The SOE Promotion and Tenure Committee letter to the Director is shared with the candidate prior to materials being submitted to the College.

The School of Education will follow promotion and tenure voting procedures as outlined in the ISU Faculty Handbook (5.2.4.1). In order to avoid undue or unfair influence in promotion and tenure decisions, the following procedures related to voting apply. The guiding principle of “one person, one vote” applies in all promotion and tenure decisions. In this case, a “vote” is defined as a countable vote or a recommendation on the specific question of whether a candidate should receive tenure and/or promotion.

- If a faculty member votes on a promotion and tenure decision at the departmental/school level, that faculty member may not vote again on the decision at the college or other levels.
- Since the Director independently evaluates promotion and tenure decisions, the Director may not also vote on the decision at the school faculty, college, or other levels.
- Administrators (e.g., Associate Deans) participating in a promotion and tenure decision can only participate at the appropriate administrative level and are allowed to vote only once on the decision.

Unlike the annual and third-year review processes, the Associate Dean for Extension and Outreach shall not participate in the promotion and tenure process deliberations on faculty candidates with Extension and Outreach appointments until the Associate Dean reviews and votes at the Dean’s level.

#### **5.4.5 Promotion and Tenure Review Process Timeline**

Each task must be completed *no later* than date listed.

##### **May 1**

- Election of School P&T committee chair by voting eligible faculty. Director alerts all assistant professors subject to mandatory review as well as those candidates who have requested a non-mandatory review to clarify timeline and process, including committee and candidate responsibilities.

##### **May 15**

- Candidate provides to Director a list of up to six potential external reviewers. Director, in consultation with appropriate SOE faculty members, generates list of additional names. Director contacts potential external reviewers, identifying six who agree to review candidate’s materials.

##### **June 1**

- Candidate submits materials that are needed for external review (including current vita, 25-page narrative summary, and three representative publications). Director sends materials to external reviewers.

##### **September 1**

- Director distributes materials and external review letters to SOE P&T committee.

#### **October 1**

- School P&T committee completes review of materials and submits recommendation to eligible voting faculty.

#### **October 15**

- Meeting of eligible voting faculty held to vote on recommendations from School P&T committee. The School P&T committee will provide a written report of their recommendation, including all School vote tallies, to the Director and to the candidate.

#### **November 1**

- Director conducts review of candidate materials as well as Committee recommendation and faculty vote and prepares recommendation letter. The Director meets with each candidate to review materials prior to submission of materials to the Dean's Office for college-level review. Director shares copies of SOE P&T recommendation and Director recommendation letters with candidate during this meeting.

#### **December**

- CHS Committee reviews materials, drafts and votes upon a recommendation to Dean.

#### **January 15**

- All materials are submitted to Provost for final review, recommendation to President and Board of Regents during spring meeting.

### **5.4.6 The Role of the Director in the Review Process**

The Director shall:

- Prepare a Director Promotion/Tenure Evaluation Report Form for each SOE faculty member under review that must be forwarded in mandatory Promotion and Tenure cases and in cases that are not mandatory where the faculty member elects to have the recommendation forwarded.
- Inform the school Promotion and Tenure Committee of the Director's recommendations regarding promotion and/or tenure.
- Include with the Director's Promotion/Tenure Evaluation Report form all SOE vote tallies and report of the Promotion and Tenure Committee, as well as his or her own recommendation.
- Inform each candidate in writing (before recommendations are forwarded to the college) if he or she will be recommended for promotion and/or tenure and clarify the substance of the recommendations.
- Notify in writing any candidate not recommended by the school committee, or the Director, or both, of the reasons for the decision. The communication should be constructive in tone and content.
- Provide each candidate for whom a recommendation is forwarded, the non-confidential information that will be submitted to the College of Human Sciences Promotion and Tenure Committee (CHSPTC).



- Submit Promotion and Tenure documents to the Dean's Office.

The Director shall use the following guidelines for the preparation of materials:

- Letters of Evaluation from External Reviewers (provided by the school): See Section 5.3.3.1 of the ISU Faculty Handbook.
- Evaluations (provided by the school and Director): See Section 5.3.3.1.2 of the ISU Faculty Handbook.
- Recommendation for Promotion and Tenure Form (provided by the Director): See the College of Human Sciences Guidelines for Promotion and Tenure Dossiers.

#### **5.4.7 The Circumstances Under Which Faculty Members May Decline to be Reviewed**

The university also has policies to allow for longer probationary periods, to accommodate a variety of situations and to allow tenure-eligible faculty the possibility of working less than full time. These policies include the extension of the probationary period (Section 5.2.1.4 in the Faculty Handbook) and the decision to work part-time on either a temporary or permanent.

#### **5.4.8 Criteria for Awarding Tenure**

It is the policy of Iowa State University that all faculty of the university be clearly informed as to the personnel policies of the institution. Personnel policies of the institution are contained in the ISU Faculty Handbook (5.2.1.6) and in School and college governance documents as well as in additional supplemental information provided to School administrative officers. For each faculty member, the conditions of employment, including the length of appointment will be clearly stated in writing, along with a statement specifying tenure status and length of probationary period.

Tenure eligible faculty not initially hired on part-time appointment may request the conversion of their positions to a non-permanent, part-time appointment. At the time these changes are made, the conditions of employment, including the revised length of appointment and the review schedule, will be clearly stated in writing, along with a statement specifying tenure review status and length of the revised probationary period.

The criteria by which probationary faculty in a School are evaluated for tenure will be stated in writing as clearly and specifically as possible as part of the School's promotion and tenure document. A central component of each review is a written position responsibility statement for each candidate. Criteria will be consistent with a committee to excellence in scholarship and apply to the position responsibilities of probationary faculty. Such criteria and position responsibilities must not impinge upon the academic freedom of the probationary faculty.

The criteria by which faculty with part-time appointments are evaluated for tenure will not differ from the criteria by which full-time faculty are evaluated. At the time of tenure review, faculty with part-time appointments will have accumulated an equivalent amount of service to those with full-time appointments.

#### **5.5 Post-Tenure Review**

Tenured faculty and continuous adjunct faculty will be reviewed in compliance with the school's Post-Tenure Review schedule policy. Joint appointment faculty members will be reviewed formally by their primary department. However, advice will be solicited from the secondary

department(s). If a faculty member's appointment is 50% in two different departments, the Chair/Director of both department/School and the faculty member will decide which will serve as the primary department/School. University Policies about Post-Tenure Review can be found in the ISU Faculty Handbook (5.3.4).

### **5.5.1 Post-Tenure Review Committee**

A PTR Committee will be appointed by the Director of the School and be composed of a minimum of three faculty members. Two faculty members should be from SOE and one faculty member from outside SOE. The Director is responsible for appointing the Chair and members of the committee. Members of the committee must be at the rank or above the faculty member being reviewed. The Committee is responsible for preparing a written report, which will be submitted to the Director. The committee meets with the faculty under review to review the committee's letter prior to its submission to the Director. Two letters are generated by the PTR committee and the Director. The letters are presented to the faculty under review.

### **5.5.2 Tenured Faculty's Preparation of Materials**

At a minimum, the faculty member under review will submit a vita and a portfolio that documents activities beyond those contained in the vita. The portfolio should contain activities related to responsibilities in the areas of teaching, research/creative activities, extension/professional practice activities, and institutional service. The portfolio should also include a personal reflection on accomplishments in the PTR time period and plans for the future. Recommended submission materials for PTR include:

- A summary or portfolio narrative of Major Career Highlights since the promotion or PTR. The document should speak to Honors, Research, Teaching, Outreach/Engagement, Service. Do indicate the date of that review, or if you have not received a PTR, then the date of your last promotion.
- A copy of the most recent prior post tenure review report (if a prior PTR was conducted).
- A copy of the candidate's complete Vita.
- Copies of Position Responsibility Statements since the last PTR (or promotion if no prior PTR).
- Copies of materials submitted for annual reviews since the last PTR. It is assumed that these materials submitted for annual review include summaries of teaching evaluations (student or peer), lists of graduate students supervised and graduated, information on outreach/ engagement and service to the university and to the profession. Such materials should be added if not available in the materials submitted for annual review.
- Copies of the Director's annual reviews since the last PTR (or promotion if no prior PTR).
- A statement of the candidate's future plans and directions with respect to teaching, research, outreach, and service.
- Copies of no more than two publications, presentations, or other scholarly products since the last review.
- Any other additional information the candidate wishes to submit.

It is the candidate's responsibility to ensure the accuracy and completeness of all information to be forwarded to the PTR committee for review. The candidate should alert the Director of any inaccurate and incomplete information.

### **5.5.3 Review Schedule**

Associate professors are to be reviewed formally by the Promotion and Tenure Committee (PTC) in their sixth year after promotion to that rank and every seventh year thereafter. Such review will constitute post-tenure reviews and/or reviews for promotion consideration. Continuing adjunct faculty and professors are to be reviewed formally by the Committee every seventh year. Such reviews will constitute required post-tenure reviews. Post-tenure reviews may be postponed in the event of extenuating personal or professional circumstances. Should such a situation arise, the faculty member must discuss the need for postponing the review with the Director. The Director's support is essential for granting an extension.

### **5.5.4 Review Procedures**

The procedure used for the post-tenure review is as follows:

*Initial Contact.* At initial meeting of the PTC, the Director presents the names of the people for whom post-tenure review is required. The PTC will make recommendations to the appropriate faculty with respect to procedures and materials for reviews.

*Review.* Reviews should be based upon the position responsibilities of faculty members and other activities that relate to faculty appointments. Materials for each person to be reviewed are gathered, and committee members are asked to review these carefully. After committee members have seen the materials, the committee discusses each person being reviewed. In light of the evidence in hand, the committee composes a written summary statement including comments that might be helpful to the Director in discussing the results with the individuals reviewed. The faculty member must have an opportunity to check the formative review report for factual errors before the report is finalized and communicated to the Director.

### **5.5.5 Director Action**

The Promotion and Tenure Committee's post-tenure review summary statement is forwarded to the Director. The Director meets with the faculty member to discuss the review, thus providing an opportunity for an exchange of ideas that would benefit the individual and the department. Recommendations for enhancing the performance of the faculty member will be made by the Director, including a plan for future development. Where appropriate, a recommendation concerning the modification of the faculty member's position responsibility may be made.

The Director will include an assessment of the implementation of the improvement plan in subsequent annual reviews.

The Director will forward a copy of the Committee's summary statement, the Director's evaluation and comments concerning the development plan, and a copy of the faculty member's response, if any, to the Dean's Office.

The Director shall include the College of Human Sciences Associate Dean of Extension and Outreach in the PTR process for all faculty members with appointments in Extension and Outreach. As with the annual and TYR processes, the Associate Dean will work collaboratively with the Director, providing input to the Director to inform the evaluation on matters related to the

faculty member's extension and outreach efforts, as well as input related to the final decision of the candidate's PTR. The Associate Dean will participate in the meeting with the faculty candidate and the Director. In situations in which the Director and Associate Dean disagree on the final decision of the review, the Director has final authority.

#### **5.5.6 Mechanism for Faculty Member Response**

The faculty member will receive a written copy of the Promotion and Tenure Committee's summary statement and the Director's evaluation and comments concerning the development plan.

If the faculty member believes that he/she has been evaluated unfairly, a written response should be presented to the Director. The Committee and the Director will address the faculty member's concerns and respond to the faculty member in writing. If the faculty member continues to believe that he/she has been evaluated unfairly, the faculty appeals process should be followed.

#### **5.5.7 Recommended Timeline for PTR Reviews**

The purpose of this timeline is to facilitate the timely development of PTR materials and to give faculty sufficient time to prepare those materials. This timeline may be changed yearly by the Director with approval of the P&T committee to meet college or university requirements or to improve the efficacy of the PTR review process.

##### **5.5.7.1 Post-Tenure Review Timeline**

Each task must be completed *no later* than date listed.

##### **May 1**

- Director alerts candidates of required Post-Tenure Review (PTR) to be completed during the following year.

##### **Fall**

- Candidate prepares all required documents. Director informs Promotion and Tenure Committee of PTR candidates.

##### **September 1**

- Director appoints 3-person PTR committee for each candidate. Director sends letter to candidate with names of PTR committee members and details of PTR requirements and deadlines.

##### **January 15**

- Candidate submits required materials to Director for distribution to PTR committee.

##### **February 15**

- PTR committee completes reviews of materials submitted and drafts letter to the Director. PTR committee sends draft of letter to the candidate for review and corrections of errors of fact. PTR committee meets with candidate to review letter and provide feedback. PTR revises letter as necessary and submits final letter to Director.

## **March 1**

- Director reviews materials and PTR committee letter. Director prepares to write letter to the Dean. Director meets with candidate and reviews letter. Director submits materials to CHS Dean's Office.

## **Section 6: Term Faculty Evaluation and Review Process**

### **6.1 Position Responsibility Statement**

All term faculty members have a Position Responsibility Statement (PRS). According to the ISU Faculty Handbook (3.4.1), a PRS is a tool that describes the range of responsibilities undertaken by a faculty member. The ISU Faculty Handbook notes procedures for the establishment and maintenance of a PRS (3.4.3).

The PRS is written and approved by both the faculty member and the Director. Because responsibilities and duties change throughout faculty careers, the PRS shall be reviewed and updated as necessary at intervals appropriate to the stages of faculty career development. Thus, the PRS allows for a flexible and individualized system of faculty review. The PRS shall not prevent or constrain justifiable changes to or developments within any area of a faculty member's position responsibilities. The PRS description itself should be general and include only the significant responsibilities of the faculty member that are important in evaluating faculty accomplishments especially in the promotion and tenure process for tenure-eligible/tenured faculty or for advancement for term faculty.

The PRS shall not violate the faculty member's academic freedom. If the parties agree to more specific language beyond a general description of areas of position responsibilities, that specific language shall not be understood to be a checklist or constraint on the faculty member's freedom to choose areas and methods of inquiry appropriate to the discipline.

Because it outlines the expectations for faculty members in carrying out their duties in accordance with Iowa State University's public land-grant university mission, the PRS shall be understood to be a public document.

#### **6.1.1 Intended Use of Position Responsibility Statements**

As noted in the ISU Faculty Handbook (Chapter 5: Evaluation and Review), the PRS is a tool referenced during all forms of faculty review. The PRS is particularly significant for advancement of term faculty. The PRS should allow both faculty members and their administrative and peer evaluators to understand the basis of the academic appointment and to place that into context with the advancement process. The descriptions should be brief but may include detail important to the department and/or faculty member.

#### **6.1.2 Establishment of a Position Responsibility Statement**

As noted in the ISU Faculty Handbook (3.4.3.1), within six weeks of the first day of work, the new term faculty member should agree on a PRS that is based on the job advertisement. Term faculty will generally have an initial PRS with a narrower scope of duties. Upon initial appointment, most term faculty will sign a PRS indicating the specific duties for which they are

hired. In all cases, the PRS will be signed and dated by both parties. The signed and dated copy will be on file in the faculty member's personnel file and in the dean's office.

### **6.1.3 Review of Position Responsibility Statement**

As noted in the ISU Faculty Handbook (3.4.3.2), the PRS will be subject to regular review by the faculty member and the Director and allow for flexibility in responsibilities over time and for the changing nature of faculty appointments and faculty circumstances. Faculty members and the Director may discuss the PRS and modify it (if appropriate) at any time. FH 5.1.1.2 states that review of the PRS is to occur during the annual review meeting between the faculty member and the Director. The PRS should not be rewritten unless there is the expectation of a substantive change in the faculty member's position responsibilities. The PRS cannot be changed unilaterally by either the chair or the faculty member.

An agreed upon new PRS with a new fixed term would be effective immediately upon signing by both parties. If there is not agreement on a new PRS, the old PRS will be in force until a new agreement is reached or until the mediation process as outlined in the Faculty Handbook has run its course, whichever occurs first.

### **6.1.4 Formal Review of the PRS**

As noted in the ISU Faculty Handbook (3.4.3.2.1), Every PRS shall specify a date for formal review. The review date should correspond with major action reviews for tenure-eligible/tenured faculty (preliminary review, promotion and tenure review, post-tenure review) and with renewal for term faculty. During or immediately after the formal review, even if no changes are made, the PRS shall be updated with a new formal review date and signed and dated by both parties. The School and CHS shall receive a copy of the updated PRS with signatures.

### **6.1.5 Disagreements on Position Responsibility Statements**

The ISU Faculty Handbook (3.4.4) specifies that if either the faculty member or the Director disagrees with a proposed change to the faculty member's Position Responsibility Statement (PRS), either party may refer the matter to a School-level Position Responsibility Statements Mediation Panel.

Disagreements on changes in PRS statements that are not able to be resolved at the School-level will be handled by a CHS-level PRS Arbitration Panel. If either party is dissatisfied with the proposed resolution at this point, he or she may file a complaint through normal grievance procedures to the Dean of the College. The PRS approved by the college PRS Arbitration Panel will be in effect during this process.

## **6.2 Annual Review**

All SOE term faculty will undergo annual performance evaluations. The annual review of all term faculty will be based on their performance in the areas of their PRS. The Director will set the timeline and conducts annual reviews in accordance with the date established by the Dean of the College of Human Sciences. The faculty member should provide the Director with requested information by the date established. Term faculty should submit their CV using the [College of Human Sciences CV Template](#).

### **6.3 Term Faculty Review Committee**

The Term Faculty Review Committee (TFRC) conducts reappointment reviews, third-year reviews, and advancement reviews for all term faculty. The TFRC is a committee consisting of the Division Head of Teaching, Learning, Leadership & Policy, the Division Head of Higher Education, and two Term Faculty at the rank of Associate Professor or Professor, which are to be appointed by the Director. Term faculty committee members serve for terms of no more than three years and may only be reappointed for a consecutive fourth year if there are no other available term faculty at the rank of Associate Professor and Professor. At all times, at least one of the four committee members must have substantial experience teaching undergraduate courses in the School.

### **6.4 Third-Year Review**

As noted in the ISU Faculty Handbook (5.4.1.2), term faculty appointments are eligible for renewal based upon the quality of performance and the continuing need of the unit. Term faculty members, full-time and part-time, shall be reviewed by the TFRC before the end of third year after the initial appointment date. Subsequent peer reviews shall occur every three years or at appointment renewal time, whichever is greater. The outcomes of the TFRC review shall inform appointment renewal decisions.

Although the third-year review will inform appointment renewal decisions, the tenor of the review should be developmental, with an emphasis on assisting term faculty members assess their progress towards advancement and encouraging corrective action as necessary.

The third-year review process is designed to mirror the advancement process. The materials requested for the third-year review will assist in ongoing creation of advancement materials.

#### **6.4.1 Candidate's Preparation of Materials**

The candidate has the primary responsibility for preparing third-year review materials in consultation with the Director. The TFRC may also advise the candidate with preparation of the materials.

Once the candidate has established a file for third-year review, no material may be added to that file without the candidate's consent.

It is the candidate's responsibility to ensure:

- All materials are submitted for review according to the guidelines outlined in the SOE governance document, the Provost's Office website, and the ISU Faculty Handbook.
- The accuracy and completeness of all information in the non-confidential material to be forwarded for review. The candidate should alert the Director of any inaccurate and/or incomplete information.

Each third-year review file should include the following materials:

- 6-8 page reflective summary statement that follows the template in Appendix E. In general, this narrative reflects on faculty member's work Iowa State University since the time of appointment as designated by the faculty member's PRS.
- Candidate's Position Responsibility Statement(s) since initial appointment.

- Candidate annual reviews since initial appointment.
- Candidate's CV (using the College of Human Sciences' CV template). Faculty may adjust the template as appropriate.

#### **6.4.2 School-level Review**

The TFRC will review each candidate's third-year review materials by February 15 of the candidate's third year to allow time for the Director to complete a review and meet with each candidate. Once a candidate's materials have been reviewed by the TFRC, the TFRC will prepare an evaluative memo to the Director. The memo should include the names and signatures of the TFRC. The evaluation should be analytical, and not just a review of process, recitation of the CV, or a summary statement. The evaluation should point out, discuss, and analyze strengths and weaknesses in the case. It is a best practice to put concerns up front and deal with them directly and clearly. The memo should conclude with a recommendation to the Director of the reappointment status of the candidate. Candidates will meet with the committee to discuss the memo and recommendation put forward to the Director.

#### **6.4.3 Director Review**

The Director shall prepare a letter to the candidate based on the candidate's materials and the information provided by the committee that reviewed the candidate. That letter should provide clear and constructive feedback about accomplishments, set forth expectations toward meeting the standard for subsequent renewal and advancement.

The letter from the Director to the faculty member must indicate whether the term faculty member is being reappointed, along with the terms of the reappointment (for instance, a one-year renewal, two-year renewal, etc.).

The letter should state specific reasons for the decision and, if appropriate, suggestions for performance improvements.

The Director should schedule a meeting with the candidate to deliver and discuss all materials, including the memo from the TFRC, the Director's decision on reappointment, and any necessary corrective action. In all cases, the candidate should receive detailed evaluation of the candidate's strengths and weaknesses including clear and constructive advice on expectations for subsequent renewal and advancement.

#### **6.4.4 Third-Year Review Process Timeline**

Each task must be completed *no later* than date listed.

##### **September 1**

- Director alerts all candidates of required third-year reviews to be completed in the academic year.

##### **Fall**

- Candidate prepares required materials.

##### **January 15**



- Candidate submits materials to Director for distribution to the TFRC.

### **February 15**

- TFRC completes review and drafts memo for Director; TFRC sends draft of letter to candidate for review and corrections of errors of fact.

### **March 1**

- TFRC meets with candidate to review memo and provide formative feedback as appropriate; TFRC finalizes memo and forwards to Director.

### **March 15**

- Director reviews materials and TFRC memo, prepares and sends letter with final recommendation to candidate.

### **April 1**

- Director meets with candidate to review materials, recommendations, and decision.

## **6.5 Reappointment Review**

Reappointment of term faculty in the School is completed in accordance with the CHS Governance Document. Term faculty are eligible for reappointment based on the quality of performance and the continuing need of the School. Term faculty members, full-time and part-time, shall be reviewed during the final year of their contract by the School's Term Faculty Review Committee (TFRC). Because term faculty on multi-year appointments must be notified of an intent not to renew one-year in advance of non-renewal, term faculty members on multi-year contracts complete reappointment review in the year prior to their final contract year. For example, a term faculty member on a three-year contract will complete reappointment review in the second year of their contract.

### **6.5.1 Reappointment Review Process**

The reappointment review process mirrors the third-year review process in substance and timeline with one exception. Term faculty only on semester-long contracts will be reviewed on an accelerated schedule to be determined by the Director and term faculty member.

## **6.6 Advancement Review**

Advancement of term faculty in the School is completed in accordance with the CHS Governance Document. Term faculty appointments at the assistant/lecturer rank are eligible for promotion to the associate level after 5 years of employment (reviewed in the sixth year, with title change in the seventh year) as a faculty member at ISU (full-or part-time), or equivalent experience. There is no defined time-line for term faculty advancement from associate to the professor level. All candidates for advancement must meet the standards for appointment at the proposed rank as defined in the ISU Faculty Handbook (3.3.3.2). Candidates for advancement to the associate rank must document a record of successfully contributing to the mission of the university as defined by the PRS, a record of contributions in the professional field, and promise of further academic and professional development. Candidates for advancement to the professor rank must document a record of proven excellence in the primary responsibilities identified in the PRS and effectiveness in other areas of the PRS, and a record of demonstrated substantial

contributions to their professional field. All faculty with teaching responsibilities as outlined in their PRS will have a peer review of teaching prior to advancement.

In order for research faculty to be eligible for advancement, they must demonstrate research and scholarly productivity commensurate with tenure-eligible faculty of the same rank, and must demonstrate independence as appropriate for their rank in their discipline. Because of the emphasis on scholarly productivity, external letters are required as part of the process for advancement of term research faculty.

### **6.6.1 Identifying Candidates for Review**

As noted in the CHS Governance Document, term faculty appointments at the assistant/lecturer rank are eligible for promotion to the associate level after 5 years of employment (reviewed in the sixth year, with title change in the seventh year) as a faculty member at ISU (full-or part-time), or equivalent experience. The Director will notify the faculty member by September 1 at the beginning of the candidate's 5<sup>th</sup> year that they are eligible to submit all required materials for advancement to associate professor to the Director by September 1 of their 6<sup>th</sup> year with the review to be completed during that 6<sup>th</sup> year.

There is no defined timeline for term faculty advancement from associate to the professor level. In addition to feedback received from the Director about a possible timeline for advancement, in the Fall semester of the 4<sup>th</sup> year at the rank of associate, the TFRC will formally offer to meet with the associate faculty member in an informal meeting to confidentially discuss the associate professor's progress towards full professor. The intent of the meeting is to support the associate professor in their path towards advancement to full professor. This meeting is informal because there is no formal expectation of submission of any materials, there is no formal documentation of conversation, and there is no formal evaluation or assessment. This is strictly a conversation intended for constructive feedback and guidance. It is not required that the associate professor accept the offer to meet with the TFRC.

**6.6.2 Guiding Values and Commitments.** The creation of the School of Education Governance Document was guided by attention to a number of core values and commitments, which are defined in the College of Human Sciences Promotion and Tenure document. Attention to these commitments should underline term faculty advancement processes in practice.

*Fairness.* A commitment to fairness is evidenced by, among other things, prompt and open dissemination of term faculty advancement policy documents that provide clear and consistent information regarding criteria, expectations, and processes. Fairness is also evidenced by thorough, equitable review processes that involve careful and judicious interpretation and application of policies and criteria to individual advancement cases. Fairness is also assured in that each eligible faculty member is permitted only one vote during the full course of review of any one case. Candidates who suspect lack of fairness at any level in the review process should have ready access to formal appeals channels.

*Confidentiality.* A commitment to confidentiality, which should be ensured to the maximum extent allowable, is intended to foster frankness and candor in all aspects of the review process. Confidentiality should be accorded to the candidate and all individuals participating in

discussions and meetings convened for advancement review purposes. Confidentiality should be protected by the Director, individual faculty members, and all other individuals involved in review processes.

*Integrity.* A commitment to integrity is intended to yield not only fair processes, but also predictable processes—although not necessarily predictable outcomes. Consistent with the ISU Faculty Handbook, Section 8.2.2, regarding conflict of interest, individuals should strictly avoid being in a situation to influence a university decision that could result in personal gain. Individual faculty members should recuse themselves or otherwise refrain from participating in the review of any promotion and/or tenure case that presents a personal conflict of interest. Conflicts of interest include conflicts arising out of personal relationships, family relationships, and those arising out of activities outside of work. See also ISU Faculty Handbook, Section 7.2.2.

*Respect.* A commitment to respect provides for civil and considerate treatment of advancement candidates and of faculty members participating in the review process. Respect within the advancement review processes includes, but is not limited to, ready availability of advancement informational documents and guidelines to reduce candidate uncertainties or anxieties, and to prompt sharing of information with candidates by designated representatives (to the extent allowed by relevant policies) that apprise candidates of their candidacies at each level of the review process.

### **6.6.3 Candidate's Preparation of Materials**

The candidate has the primary responsibility for preparing advancement materials in consultation with the Director. The SOE Term Faculty Review Committee may also advise the candidate with preparation of the materials.

Once the candidate has established a file for review, no material may be added to that file without the candidate's consent. In any non-mandatory case, a candidate may withdraw a file from consideration at any level of the review process.

It is the candidate's responsibility to ensure:

- All materials are submitted for review according to the guidelines and outlined in the SOE Governance Document, the Provost's Office website, the ISU Faculty Handbook.
- The accuracy and completeness of all information in the non-confidential material to be forwarded for college review of his or her advancement. The candidate should alert the Director of any inaccurate and incomplete information.

The candidate should submit the following documents:

- 10-12 page reflective summary statement that follows the template in Appendix F. In general, this narrative reflects on faculty member's work Iowa State University since the time of appointment as designated by the faculty member's PRS.
- Candidate's Position Responsibility Statement(s) since initial appointment.
- Candidate annual reviews since initial appointment.
- Candidate's CV (using the College of Human Sciences' CV template). Faculty may adjust the template as appropriate.

#### **6.6.4 School-level Review**

The Term Faculty Review Committee (TFRC) serves as the School-level review committee. The TFRC will review candidate materials and write a recommendation that will be submitted to the Director.

The Director will make an independent evaluation of the advancement case informed by the TFRC review.

The Director will explain to each candidate, in writing, both the faculty evaluation committee's recommendation and the Director's recommendation before these are submitted to the college. The Director may decide to support or not support the advancement.

If the Director's decision is to not support the advancement, the candidate may withdraw their application for advancement, or request that the Director submit the request for consideration by the dean. There is no penalty for withdrawing an application for advancement, and the candidate may resubmit their request in subsequent years. It is expected that the Director and evaluation committee will provide constructive assessment of performance to the candidate that includes guidance for improving performance in terms of the School's criteria for advancement. Candidates may request that a negative decision by the chair be submitted to the dean for college consideration.

If the Director's decision is to support the advancement, the Director will submit the evaluation committee's recommendation and the Director's letter of recommendation to the dean.

#### **6.6.5 College Review**

As noted in the CHS Governance Document, the dean will make an independent evaluation of the advancement case, informed by the School evaluation, and may seek input from the college leadership team. The dean may decide to support or not support the advancement request and will inform each candidate in writing before the college's recommendations are submitted to the provost for approval. Faculty who are supported for advancement will be forwarded to the provost.

Faculty who are not being recommended for advancement will be informed by the dean in writing. This information should be presented in a constructive manner and, where appropriate, should include guidance for improving performance in terms of the college's criteria for advancement. Faculty not being recommended for advancement can request that their materials go forward to the provost with a negative college recommendation for further review at the university level.

Policies regarding review of the PRS, joint appointments, nonrenewal of an appointment, and termination of appointments is outlined in the ISU Faculty Handbook Section 3.5.

#### **6.6.6 Advancement Timeline**

During the academic year of material reviews and decision-making, the following process should occur *no later* than the date listed.

**September 1**

- Candidate's submit all required documents to the SOE Director.
- Director distributes the documents to the TFRC.

**November 1**

- The TFRC submits a written recommendation to the SOE Director.

**December 1**

- Director conducts review of candidate materials as well as TFRC recommendation and prepares recommendation letter. The Director meets with each candidate to review materials prior to submission of materials to the Dean's Office for college-level review. Director shares copies of TFRC recommendation and Director recommendation letters with candidate during this meeting.

**February 1**

- CHS Committee reviews materials, drafts and votes upon a recommendation to Dean.

**March 1**

- All materials are submitted to Provost for final review, recommendation to President and Board of Regents during spring meeting.

## **Appendix A: Position Descriptions and Responsibilities**

### **Director**

The Director of the School of Education shall:

- Reviewing annually, with the Promotion and Tenure Committee, all probationary faculty members so those faculty members understand whether they are making satisfactory progress toward promotion or tenure or both. In addition, the Director reviews all tenured faculty members annually to assess and evaluate satisfactory contributions to the School, the University and their disciplines. The Director participates in formal post-tenure review procedures as described in this document.
- Keeping the members of the School informed of developments affecting the School. The Director provides budget/financial status reports and/or explanations to the membership at least once per semester regarding all School finances. The Director also addresses the School members each fall, outlining the condition and direction of the School, working closely with School committees so that progress is made in meeting School goals.
- Balancing faculty members' teaching, research and service responsibilities to ensure equity among all faculty members, insofar as possible. Appointing School associate directors, team leaders, program coordinators, and committee members.
- The Director is expected to remain active as a scholar.

### **Associate Director**

The Associate Director of the School of Education shall:

- The Associate Director shall assist the Director with routine aspects of leading the School of Education as identified by the Director. Major areas of responsibility shall be delineated in the Associate Director's letter of appointment and may be changed as necessary by the Director.
- The Associate Director will serve as a member of the School administrative leadership team.
- The Associate Director will serve as Director of the School when the Director is temporarily absent.
- The Associate Director will be a tenured member of the School of Education.
- The Associate Director will generally be appointed to a two-year term, although the duration of the appointment is at the discretion of the Director.

### **Director of Educator Preparation**

The Director of Educator Preparation shall:

- Provide leadership to the university-wide and School of Education-specific educator preparation unit.
- Coordinate partnerships and relationships with government officials, education

policymakers, community leaders, school-based personnel, and leaders of other educator preparation programs.

- Lead the educator preparation unit through the accreditation process and continuous improvement process (including program evaluation).
- Support the recruitment and retention of educator preparation candidates.
- Other matters as assigned by the Director of the School of Education.

## Appendix B: Standing Committees

The School's general policies in committee selection are:

- Unless otherwise specified, the Director is responsible for making committee assignments and shall make an effort to accommodate each school member's stated preference.
- The Director shall make every effort to avoid overloading members with committee assignments and balance the rank, discipline/program of the committee members..
- A member should not serve longer than six (6) consecutive years on a given committee
- Committee appointments shall be decided by the end of the Spring semester and the terms of the committee members shall begin the first week of the Fall semester.

All members of the School are eligible to serve on committees, unless membership on a committee is limited within this or other governance documents. All tenured, tenure-eligible, and term faculty with positions budgeted within the School are expected to serve on committees.

Committee members are appointed for two-or three-year terms. Committee vacancies occurring during the normal terms are filled by the Director. Members appointed to fill unexpired terms serve for the remainder of those terms and may be reappointed. The Director may remove any committee appointee whom the Director has named.

Ordinarily, no untenured/tenure-eligible faculty member is assigned to serve as Chair of any standing or *ad hoc* committee or subcommittee, and no tenured faculty member is assigned to serve as Chair of more than one School committee or *ad hoc* committee or subcommittee. Ordinarily, no untenured faculty member is assigned to serve on more than two School committees or *ad hoc* committees or subcommittees, and no tenured faculty member is assigned to serve on more than three School committee or *ad hoc* committees or subcommittees.

The Director is encouraged to appoint students to renewable one-year terms as non-voting members of appropriate committees. No student should be expected to serve on more than one committee.

Every committee is expected to have a diverse membership representing the various interests of the School. Temporary faculty and School staff may be appointed as non-voting members of committees where appropriate.

Committee Chairs are responsible for ensuring that minutes of committee meetings are taken and distributed to the faculty and the Director. They are also responsible for preparing end-of-year reports regarding committee accomplishments and goals and for distributing those reports to the faculty and the Director.

The School's Committees are:

- *Promotion and Tenure*. This committee's major emphasis is with promotion and tenure review and the post tenure review process. Membership is dictated by the Promotion and Tenure Document. The composition and voting eligibility of the P&T committee. The



Promotion and Tenure Committee is composed of all tenured members of the school faculty. Voting eligibility is dependent on the status or promotion available for each candidate. If the candidate is seeking a promotion from assistant professor to associate professor with tenure, both tenured associate professors and professors may vote. If the candidate is seeking a promotion from associate professor to professor, then only tenured faculty with the rank of professor are eligible to vote. All eligible faculty members are required to participate in the process. Should there be a conflict of interest between eligible member(s) and the candidate(s) under review, the Director will make the determination and final decision.

- *Term Faculty Review Committee.* As described in document section 6.3, the Term Faculty Review Committee (TFRC) conducts reappointment reviews, third-year reviews, and advancement reviews for all term faculty. The TFRC is a committee consisting of the Division Head of Teaching, Learning, Leadership & Policy, the Division Head of Higher Education, and two Term Faculty at the rank of Associate Professor or Professor, which are to be appointed by the Director. Term faculty committee members serve for terms of no more than three years and may only be reappointed for a consecutive fourth year if there are no other available term faculty at the rank of Associate Professor and Professor. At all times, at least one of the four committee members must have substantial experience teaching undergraduate courses in the School.
- *Long-Range Planning.* The Long-Range Planning (LRP) Committee develops the School's long-range plan and provides continuing advice to the School regarding changes in the plan. The long-range plan outlines the direction of the School for at least the next 3-5 years in regard to research and development, curriculum, hiring, funding, technology, equipment, partnerships, and building and space needs. All committees provide the LRP Committee with their respective long-range plans for incorporation in the School's plan. The School's long-range plan, once approved by the School members, is reviewed once each year, with any change requiring approval by the members of the School.
- *Graduate Studies.* This committee reports to the School's graduate faculty members. The Graduate Studies Committee advises the graduate faculty regarding all graduate program matters. This committee will be responsible for overall curriculum development, catalog changes, course sequence and coordination, and assessment. In addition, this committee is responsible to bring forward to the larger department any issue or policy that impacts any graduate program.

For academic programs/graduate certificates that require review and approval by external bodies (e.g., Iowa Board of Education Examiners, Iowa Department of Education), these matters will adhere to these criteria/standards/expectations.

The committee develops and implements orientation programs for graduate students, address issues related to graduate assistantships, plan and conduct scholarly/research seminars and/or activities that foster graduate students' academic and professional development.

Membership on the Graduate Studies Committee is determined as per the Graduate Faculty Structure currently in place (see Appendix D).\*\*

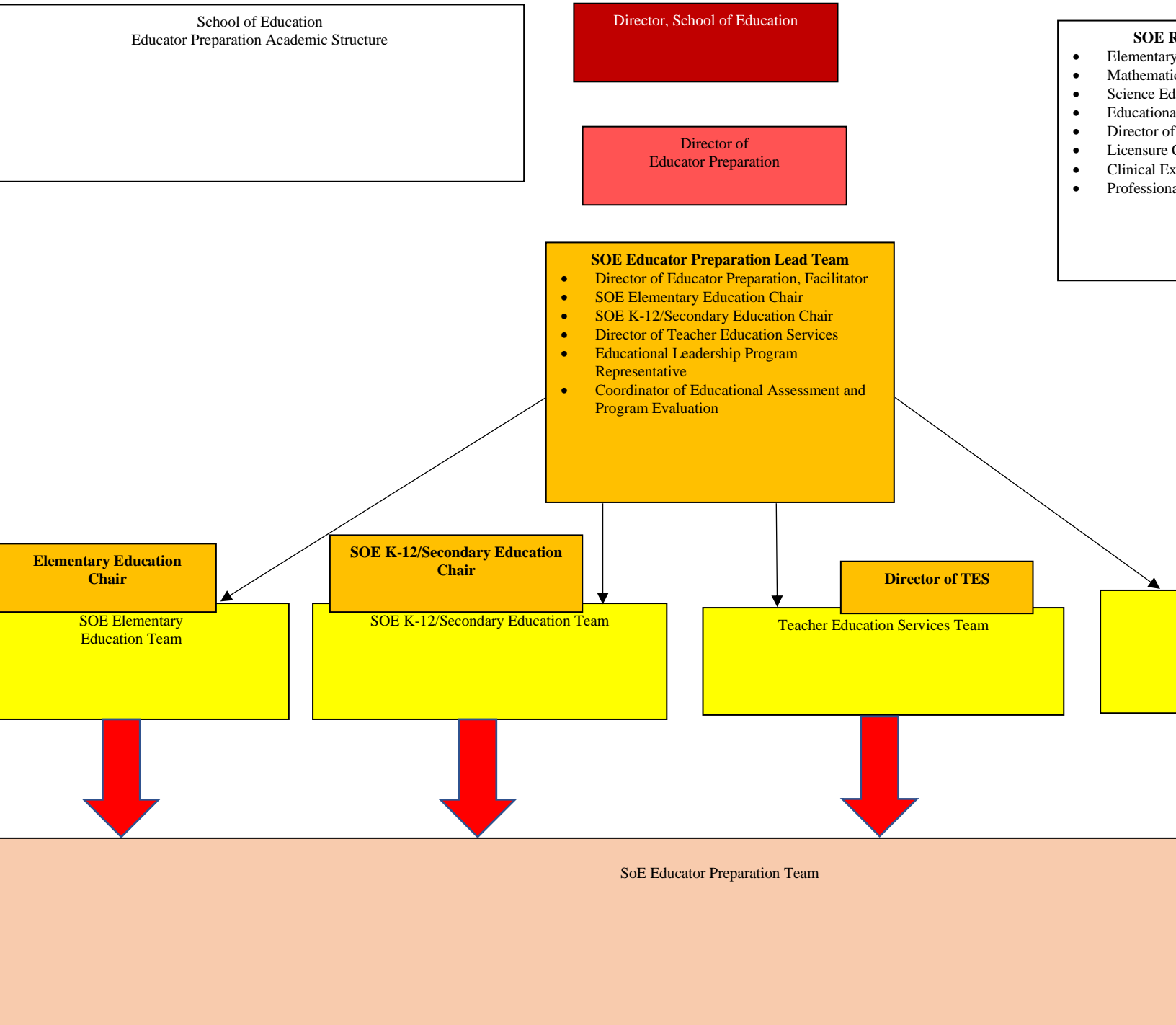
- *Educator Preparation Lead Team* (See Appendix C for membership and responsibilities)\*\*
- *Undergraduate Scholarships*. This committee's major responsibility is to award all scholarships to eligible undergraduate students in the School of Education and Teacher Education. The committee works closely with the College Scholarship Committee and the College Alumni Officer. Membership will include six representatives.
- *Graduate Scholarships*. This committee's major responsibility is to award all graduate student scholarships to eligible students in the School of Education. The committee works closely with the Graduate Studies Committee and DOGE to solicit applications/nominations, review applications, and award scholarships.
- *Awards*. This committee's primary responsibility is to assist the school members in order to nominate eligible candidates for honor and awards available at the college, university, alumni sources, and outside sources. Membership will include six representatives.
- *Computation Advisory Committee (CAC)*. This committee allocates student computer fee resources for educational and instructional purposes. Membership consists of three faculties, two undergraduate students, two graduate students, and one Ex Officio Member for Center for Technology in Learning and Teaching (CTLT). There must be at least one undergraduate and one graduate student on the committee at all times.
- *Student Grievance*. This committee will hear student grievances related to disputes over grades, course requirements, faculty or staff conduct, and administrative policies and procedures. The committee shall be comprised of five tenured or tenure-track faculty members, at least two of who should be professors. A senior professor will chair the committee.
- *SOE Community, Culture, and Climate*. Description of this committee (initiated in spring 2017) will be determined by the committee in fall 2018.

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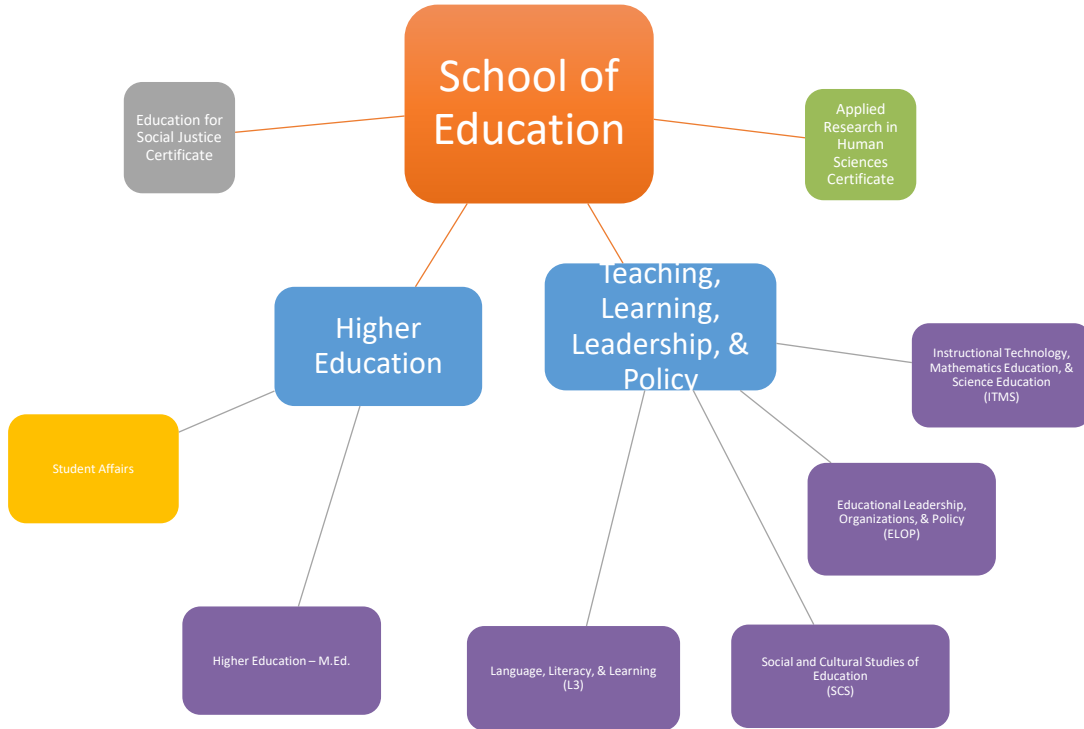
\*Membership to P&T committee is limited to tenured faculty members in the School. Voting eligibility is based on tenure and rank status. Details about voting eligibility are provided in Promotion and Tenure Review Procedures section of this document.

\*\*Because the foci of faculty committees related to graduate and undergraduate education are the responsibility of the faculty and dictated by the current academic structure of the School, the composition and structure of these committees will be determined by the academic structure as defined and approved by the faculty. Current structure and expectations of these committees are described in Appendices C & D of this document.

### Appendix C: Educator Preparation Structure



### Appendix D: Academic Structure



**Appendix E and Appendix F to be determined by initial Term Faculty Review Committee in consultation with SOE Faculty and voted on by December 1, 2019.**