

Contact: Rachel Boon

2017-2018 FACULTY TENURE REPORT

Action Requested: Receive the annual governance report on faculty tenure for 2017-2018.

Executive Summary: The Board of Regents Policy Manual §3.14 requires that an annual report on tenure status be presented to the Board for discussion.

Background on tenure.

- Tenure is a contractual employment status under which faculty appointees can receive job security in order to create and maintain an atmosphere for the free exchange of ideas and inquiry necessary for educating Iowa's students and advancing knowledge in democracy. Termination from a tenured position occurs when employment obligations are not met by the tenured faculty member, or in cases of financial exigency for the institution.
- Tenure is typically awarded to a faculty member in a tenure-track position who serves a probationary period that generally lasts six years. Candidates undergo extensive and ongoing comprehensive reviews throughout the probationary period. The awarding of tenure requires an affirmative recommendation based on an extensive evaluation process that involves reviews by peers outside the institution and reviews at the departmental, college and university levels.
- The Annual Diversity Report received by the Board in February includes information on the gender and minority status of tenured, tenure-track and non-tenure-track faculty.
- Additional information on institutional policies and procedures for tenure, post-tenure review and evaluation of non-tenure-track faculty is in Attachment A.

**TOTAL FACULTY AT THE REGENT UNIVERSITIES BY TENURE STATUS
2015-2016 to 2017-2018**

	TENURED	TENURE-TRACK	NON-TEN.-TRK.	TOTAL
2015-2016				
SUI	1,201 (38%)	363 (12%)	1,589 (50%)	3,153
ISU	1,020 (52%)	370 (19%)	582 (30%)	1,972
UNI	424 (54%)	131 (17%)	225 (29%)	780
TOTAL	2,645 (45%)	864 (15%)	2,396 (41%)	5,905
2016-2017				
SUI	1,179 (37%)	349 (11%)	1,675 (52%)	3,203
ISU	997 (51%)	376 (19%)	596 (30%)	1,969
UNI	414 (55%)	119 (16%)	226 (30%)	759
TOTAL	2,590 (44%)	844 (14%)	2,497 (42%)	5,931
2017-2018				
SUI	1,181 (36%)	335 (10%)	1,754 (54%)	3,270
ISU	979 (50%)	383 (19%)	604 (31%)	1,966
UNI	400 (53%)	122 (16%)	233 (31%)	755
TOTAL	2,560 (43%)	840 (14%)	2,591 (43%)	5,991

UNIVERSITY OF IOWA

Tenure Review Policy/Process

The following policies can be found in the UI Operations Manual Faculty policy ([III 10](#)) and describe the process for the review of pre-tenure faculty members:

- **Faculty - Criteria for Promotion** ([III 10.2](#)) states: “The criteria for promotions include teaching, research, and other professional contributions. Since teaching and research are the central functions of the faculty, other professional contributions are considered subsidiary to these fundamental tasks.”
- **Length of Probationary Status:** “For assistant professors, the normal time in rank is six years, unless the college has established a longer probationary period norm ([III-10.1a\(4\)\(c\)](#)), and for associate professors seven years (see paragraph a above).”
- **Reappointment Review** ([III-10.1a\(4\)\(b\)](#)): “Most initial probationary appointments at The University of Iowa are for 1) three years for colleges having a collegiate norm to make a tenure decision of not more than six years, or 2) four years for any college having a collegiate norm to make a tenure decision of more than six years, at the end of which time the candidate can be reappointed following a reappointment review. See paragraph (c) below. With the approval of the DEO, the dean of the college, and the Executive Vice President and Provost shorter initial appointments can be made.”
- **Time in Which to Make Tenure Decision** ([III-10.1a\(4\)\(c\)](#)): “The norm for making the tenure decision shall be the sixth year of probationary service, except for the Colleges of Law, Medicine, and Dentistry. The norm for the College of Law shall be the fifth year. The Colleges of Dentistry and Medicine may establish a norm of no more than eight years for all tenure track faculty members with significant patient care responsibilities. Other faculty in these two colleges will be subject to the six year norm. A new collegiate norm of more than six years must be approved by a majority of the tenured faculty of the respective college, the dean of the respective college, and the Executive Vice President and Provost. The new norm becomes effective upon approval by the Executive Vice President and Provost. Other colleges may request that the [Faculty Senate](#) authorize consideration of changes in their own collegiate norms.”
- Further information can be found in the **Review and Promotion Procedures** ([III 10.5](#)) and the Office of the Provost issues the guidance, [Procedures for Tenure and Promotion Decision-Making](#). This procedural document is used by all academic units of the University to help ensure that the decision to grant tenure is based on systematic evaluation and documentation of faculty members’ teaching effectiveness, scholarship, and service contributions. University policy also states that each academic unit may develop a statement of policies and procedures to be used by that unit for faculty appointments, evaluations, and promotions that supplements the general University policies and procedures.
- **Evaluation of Instructional Performance.** Teaching is fundamental to the mission of the University and evaluation of teaching effectiveness is a critical part of the tenure decision. Methods for evaluating and supporting tenured faculty instructional performance, and supporting resources, include ACE (Assessing the Classroom Environment) Student Evaluations, Peer Review of Teaching, Office of Teaching, Learning & Technology Center for Teaching, and the Office of Assessment.
- **ACE Online Course Evaluations:** Effective January 2016, the UI fully transition to online student evaluations, estimated to save approximately \$350,000 per year. Assessing the

Classroom Environment (ACE) is an online evaluation system that collects student opinions about an instructor and provides a standard set of summary results. ACE Online allows students to complete course-evaluation forms on any computer or mobile device, as opposed to a printed course evaluation form. Instructors can select a set of items from a question bank of approximately 200 evaluative statements. Instructors may or may not be required to use ACE and should check with their department to determine their options.

- **Peer Review of Teaching:** The *Procedural Guidelines for Tenure and Promotion Decision-Making* instructs colleges to develop processes for **peer review of faculty teaching**. Generally, colleges require senior faculty members in units to evaluate classroom teaching and review written and electronic course materials. College guidelines for peer review of teaching are tailored to the various types of teaching that occur in the units of that college (e.g., large classroom, small seminar or laboratory teaching, clinical teaching). Together, the student and peer evaluations provide substantial information to help faculty members assess and improve their teaching and assist senior faculty members and administrators when they make promotion and tenure decisions.
- The [Office of Teaching, Learning & Technology's Center for Teaching](#) is also a key resource for teaching assessment and development. The Center offers workshops, classroom observations, [Class Assessment by Student Interviews](#) (CLASSI), and many other forms of professional development to support teaching excellence among faculty members, graduate teaching assistants, and others on campus.
- **Office of Assessment:** The Associate Provost for Undergraduate Education supports the [Office of Assessment](#), which assists outcomes assessment in departments by:
 - Consulting on design and use of assessment strategies,
 - Facilitating access to institutional data that help address department assessment questions,
 - Providing department-specific reports of campus survey data, and
 - Compiling department summaries of lessons learned and actions taken based on their assessment efforts.

Post-tenure Review Policies

Per the Review of Tenured Faculty Members policy ([III 10.7](#)), all tenured faculty members shall receive an annual and five-year performance review.

- Annual review of tenured faculty. An annual performance review of all tenured faculty members, through a process developed by the unit head (DEO, or equivalent) in consultation with the faculty of the department, or in nondepartmental units with the faculty of the college, and approved by the dean and Provost, is conducted by the unit head as part of the salary-setting process. Review of tenured faculty shall include an evaluation of research/scholarship, teaching, and service. As part of this review, each faculty member must make available to the unit head materials specified in the statement of the department's review process (e.g., vitae, teaching evaluations, etc.).
- Five-year peer review of tenured faculty. All tenured faculty members will undergo a peer review once every five years subsequent to their most recent tenure or promotion review, with a few exceptions (e.g., they are being reviewed for promotion to a higher rank during the year of the scheduled review, they are within one year of announced retirement or are on phased retirement, or they serve as DEO, assistant dean, associate dean or dean).

Evaluation of Teaching for Non-Tenure Track

SUI has three regular, non-tenure-track faculty tracks: the Clinical Track, the Instructional Track, and the Research Track.

- Clinical Track (III-10.9): All clinical faculty must devote a significant portion of their time to providing or overseeing the delivery of professional services to individual patients or clients. In addition, teaching students, residents, or fellows of the University at the undergraduate, graduate, professional, or postgraduate level is an essential job function for all faculty (whether tenured, tenure track, or clinical). Clinical faculty must integrate the delivery of their professional services with their teaching. The [Office of Consultation and Research in Medical Education](#) (OCRME) in the Carver College of Medicine provides a broad range of services to support medical education and scholarship, including research and evaluation, curriculum design and multimedia, and teacher development for faculty and residents.
- Instructional Track (111-10.11): Instructional faculty shall devote a substantial amount of time to providing or overseeing the delivery of instruction to students in the classroom or in other settings appropriate to the discipline. Further, all reviews of instructional faculty shall be conducted according to written standards of competence and performance defined by the relevant units and in compliance with applicable University policies. The college employing the largest number of Instructional Track Faculty, the UI College of Liberal Arts, requires an annual review of its Instructional Faculty with a rigorous assessment of teaching quality.
- Research Track (III-10.10): Research track faculty devote almost all of their time to performing externally supported research and are expected to submit or assist in the submission of research grant applications. Teaching is an essential function of all faculty, but in the case of the research-track faculty, it would occur predominantly in the form of service on doctoral committees (including serving as a co-chair with a tenure-track faculty member) with the approval of the Graduate College. Research-track faculty cannot be assigned to teach courses, but they could provide auxiliary lectures on areas of knowledge relevant to their research or to engage in other teaching as may be required by the terms of their research grant or contract. Due to the limited teaching role of research faculty, their performance reviews focus primarily on research productivity.

IOWA STATE UNIVERSITY

All ISU faculty, inclusive of appointment type or tenure status, have a Position Responsibility Statement which forms the basis of all evaluation. As articulated in the ISU Faculty Handbook (3.4-3.4.1), “[t]he 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 department chair. 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.” Faculty performance evaluations, whether annual, peer, or advancement reviews, are based on the PRS of the faculty member under review.

Tenure Review Policy/Process

All tenure-eligible faculty hired as an assistant professor undergo a preliminary peer review (see *ISU Faculty Handbook* 5.1.1.3) in the third year of a seven-year probationary period. This rigorous pre-tenure review is an important aspect of Iowa State’s protocol for the evaluation of early-career faculty members and their advancement toward promotion and tenure. The review is based upon the faculty member’s PRS, as well as departmental criteria and standards used for promotion and tenure. The review process must include peer review, including a peer evaluation of teaching, and an evaluation by the chair. The review informs the decision by the department chair and dean to reappoint the faculty member during the probationary period.

For tenure-eligible assistant professors, the formal promotion and tenure review is conducted in the sixth year of the probationary period. Chapter 5 of the *ISU Faculty Handbook* describes the review process, including the criteria for promotion and tenure. The evaluation for promotion and/or tenure initiates in the department, with review at each administrative level above the department. Review of departmental recommendations at the college level must involve faculty from outside the department concerned. The standards, qualifications, and procedures are outlined in the *ISU Faculty Handbook* (sections 5.2.2-5.2.4).

While a faculty member is ordinarily reviewed for tenure in the sixth year of appointment, upon consultation with the department chair, he or she may be reviewed for tenure at any time he or she has satisfied the criteria and requirements for promotion and tenure. (*Faculty Handbook* 5.2.1.3) Tenure-eligible faculty members with part-time appointments during the probationary period will be reviewed for tenure in the equivalent of the sixth year of full time service during the regular P&T review cycle. While the probationary period ordinarily provides sufficient time for the faculty member to demonstrate his or her qualifications for tenure, exceptional circumstances do arise that significantly interfere with the faculty member’s opportunity to develop the qualifications necessary for tenure in the time allowed. In these cases, the faculty member may request an extension of the probationary period based upon such circumstances. The policy describing the qualifying circumstances and process for requesting an extension may be found in the *ISU Faculty Handbook* (5.2.1.4).

Evaluation criteria for tenure-eligible faculty, both annually and for tenure and promotion, are stated in writing as part of each department’s governance documents. These criteria apply to the position responsibilities of tenure-eligible faculty and are consistent with a commitment to excellence in scholarship. Written student teaching evaluations are conducted for every course

taught by a faculty member, and these evaluations, statistical and discursive, are used both to improve instruction, as well as to evaluate teaching performance. Peer-observation and evaluation of teaching performance are also part of this process.

Post-Tenure Review Policy

The Post-Tenure Review Policy (*Faculty Handbook* 5.3.2) provides all tenured faculty with a comprehensive peer evaluation of their accomplishments. This peer review recognizes successes and provides feedback on improving performance where needed. It addresses the quality of the faculty member's performance in accordance with all PRSs in effect during the period of the review. The areas to be reviewed typically include teaching, research/creative activities, extension, clinical or professional practice, and institutional service, in alignment with the PRS. The Post-Tenure Review includes an overall recommendation of the faculty member's performance (meeting expectations or below expectations). When any aspect of performance is deemed "below expectations," the department chair (with input from the peer review committee) develops an action plan for performance improvement. The Post Tenure Review policy requires a list of specific action items to be accomplished, a timetable to evaluate acceptable progress, and a description of consequences for not meeting expectations.

The *Faculty Handbook* policy delineates timeline, specific outcomes, and the roles of administrators in the peer review process. The timeline stipulates that the PTR must occur at least every seven years; at the request of the faculty but no fewer than five years since the last review; or the year following two unsatisfactory annual reviews.

Non-Tenure-Eligible Faculty Evaluation and Advancement Review

Evaluation of non-tenure-eligible faculty is based on the individual faculty member's PRS and is consistent with a commitment to excellence. At ISU, non-tenure-eligible faculty include teaching faculty (lecturer, senior lecturer), clinical faculty (Clinical professor track), research faculty (Research professor track), and adjunct faculty. NTE faculty are evaluated for advancement using established criteria appropriate to their appointment type as described in their departmental governance document and in accordance with the *Faculty Handbook*. Evaluations for renewal of appointment will be conducted by an appropriate faculty committee, and recommended by the department chair at the time of reappointment. Additionally, performance evaluations conducted by a peer faculty committee should be completed at least every six semesters of employment or at appointment renewal time, whichever is greater, for those who will be considered for future re-appointment and shall be based on the individual's PRS. As with all faculty evaluations and advancement reviews, student evaluations of teaching, both statistical and discursive, are reviewed and considered as an integral part of the evaluation process. Peer teaching evaluation is required for contract renewal and advancement. The process and criteria for advancement through the non-tenure-eligible ranks are detailed in Chapter 5.4.1 of the *ISU Faculty Handbook*.

Annual Evaluation of Faculty

All faculty members, tenured, tenure-eligible, and non-tenure-eligible, whether full-time or part time, are evaluated annually to assess performance with respect to their position responsibilities, and to determine goals for the coming year. These annual evaluations are the responsibility of the department chair and consistently include evidence of teaching performance as well as evidence of productivity in research/creative activities, extension, professional/clinical practice, and institutional service, as appropriate. Evidence of teaching performance must include student evaluations of teaching (both statistical and discursive) for all courses taught.

The annual evaluation process is finalized in a written document that is prepared by the department chair and signed by both chair and faculty member.

The Faculty Handbook policy (5.1.1.2.1) establishes guidelines on the development and implementation of an action plan as a consequence for faculty performance that is unsatisfactory. It states: "In the case of an unsatisfactory annual evaluation, the department chair, with the input of the faculty member, will develop an action plan to guide improved performance in accordance with the faculty member's position responsibility statement. The action plan must include the following elements: 1) a list of action items to be accomplished that are detailed, clear, and aligned with a timeline; 2) a specified date for a mid-term evaluation; and 3) a description of consequences if the action items are not completed by the designated timeline."

Institutional Support for Effective Teaching and Student Learning

ISU's Center for Excellence in Learning and Teaching (CELT) serves to support, promote, and enhance teaching effectiveness and student learning at ISU. Through the efforts of CELT, ISU supports its faculty across the arc of their professional career through programming that assists new faculty members to establish their teaching program and focus on teaching effectiveness; through guiding faculty in redesigning a course with a new teaching approach; and through helping faculty develop scholarship of teaching and learning (SoTL) research projects based on their innovative approach to student learning. CELT provides all faculty with information, guidance, and tools to enhance or improve their effectiveness in teaching, including online teaching support, flipped classroom initiative, team-based learning, and online course design workshops. In addition, CELT provides extensive materials to support peer observation of teaching, a required component of promotion and tenure reviews.

Additional programming to ensure faculty success includes:

- New Faculty Orientation is offered twice annually, in mid-August and in January, to provide all new faculty with an introduction to university programs and resources with a particular emphasis on scholarship.
- As part of New Faculty Orientation, CELT offers an Effective Teaching Symposium for new tenure-eligible and non-tenure eligible faculty each August to assist with the transition to ISU.
- The SVPP coordinates a one-on-one mentoring program for all first year tenure-eligible faculty. This program matches each new faculty member with a senior colleague who is responsible for providing guidance with regard to department and institutional culture, and teaching and research expectations.
- Regular faculty development workshops are offered and include presentations on Effective Mentoring, Working with Graduate Students, NTE Faculty Advancement, Diversity and Inclusions, and Promotion and Tenure.
- Individual academic colleges offered career development workshops on advancing through to promotion and tenure for both tenure-eligible and mid-career faculty.
- Each year, the ISU ADVANCE program offers a workshop for Associate Professors on effective strategies for building a case for promotion.

The Office of the Vice President for Research (VPR) offers over a dozen workshops and programs each year on topics such as successful grant writing, getting to know federal granting agencies, collaborating with industry, and interdisciplinary research.

University of Northern Iowa

Tenure Review Policy/Process

University of Northern Iowa general evaluation procedures, as well as Tenure policies and procedures, are defined in chapter three of the Faculty Handbook (see <https://provost.uni.edu/sites/default/files/documents/facultyhandbook-070117.pdf>). These procedures were developed by the faculty and approved by the provost for inclusion in the handbook. Tenure acquisition requires that candidates have a documented record of accomplishment in teaching, research/scholarship/creative achievement, and professional service. Evaluation for tenure and promotion is required during the sixth year of probationary service.

Departments have established processes and criteria for utilization in evaluating teaching, research/creative activities, and service. All aspects of faculty members' portfolios are thoroughly examined and reviewed by all evaluating bodies to ensure candidates have the ability to apply the doctorate, or other comparable terminal degree-level of training to teaching, research/scholarship/creative work, and public professional service before receiving tenure.

Chapter Three of the Faculty Handbook provides specific procedures for evaluation of teaching, research/scholarship, and professional publications; artistic productivity; the esteem in which the Faculty member is held by students, colleagues, and administrative officers; professional growth; participation in University activities and contributions to the general welfare of the university. Probationary faculty members on the tenure-track are evaluated annually by a departmental Professional Assessment Committee (PAC) and by their department head. The college deans and the provost review the evaluations of the PAC and department head as well as materials collected in a portfolio in making their own judgments about faculty performance. The evaluation of teaching includes a review of teaching materials, classroom observations, and examinations of student assessments of teaching.

Student assessments of teaching are required during the fall or spring semester of each academic year for all probationary, term, renewable term and temporary faculty (Chapter 3, Subdivision 3.22). Tenured faculty members are required to conduct student assessments of teaching each second year during the fall or spring semester (Chapter 3, Subdivision 3.23). The student assessment instrument that was created by the provision of the 2013-2015 Master Agreement includes both summative and formative response items to assist faculty in improving their teaching methods. As of fall 2017, all student assessments are completed online.

In addition to annual and tenure and promotion reviews, every faculty member's teaching, scholarship and service performance is evaluated at the end of each academic year for purposes of assessing overall performance and recognizing accomplishments or any deficiencies to be addressed in teaching, research/creative activities, or service.

Post-tenure Review

All reviews of faculty members' performance at the University of Northern Iowa is specified in the Faculty Handbook. Under the evaluation provisions of Chapter Three of this handbook there are three mechanisms for post-tenure review of faculty members. First, a tenured assistant or associate professor may apply for a review that may lead to a promotion to either associate or full professor. Second, every tenured faculty member is evaluated annually by his/her department head (Chapter 3, Subdivision 3.43 Annual Evaluation). Student assessments are reviewed by each faculty member and department head. Department heads distribute evaluation standards in

the fall of each year and faculty members receive evaluation letters in the spring explaining how they were evaluated using the departmental standards. Third, department heads may conduct other evaluations at their discretion (Chapter 3, Subdivision 3.44). The deans of the colleges or the provost may conduct a review of a faculty member (Chapter 3, Section 3.5 Evaluation by Dean or Provost).

A newly formed Faculty Evaluation Committee is creating a Comprehensive Evaluation System for the entire university that will include recommendations to the provost for new processes for post-tenure review.

Evaluation of Teaching for non-tenure track faculty members

The Faculty Handbook at UNI recognizes four types of non-tenure track appointments (Chapter 2) including those designated as temporary, term, renewable term, or clinical. All are evaluated for possible appointment continuance or rehiring consideration during searches according to their classifications as noted below:

- Temporary appointments (Chapter 2, Section 2.2) are usually for one year or less. Temporary appointments automatically terminate at the end of the stipulated term with no expectation of renewal. Faculty members with these appointments are commonly referred to as adjunct professors and are expected to teach assigned courses only. These faculty members are assessed by department heads through direct classroom observations and reviews of student assessments.
- Term appointments (Chapter 2, Section 2.3) are full-time for a minimum of one and a maximum of four years. Faculty members on term appointments primarily engage in teaching activities, although many departments also have service expectations. Some term faculty also voluntarily engage in scholarly/creative activities as a means of enhancing their future prospects in the academic job market. These faculty members are evaluated by department heads through direct classroom observations and reviews of scholarly/creative activities, or service, as well as a review of student assessments.
- Renewable term appointments (Chapter 2, Section 2.5) are only made at the instructor rank and carry an initial probationary term of two years. After that term, the instructor can be renewed on a year-to-year basis. Faculty members on renewable term appointments are expected to both teach and contribute to the service mission of the University. Their performance is assessed annually by a departmental PAC, department head, dean and the provost using the full evaluation procedures of Chapter Three of the Faculty Handbook. During the second year of official appointment and onward, appointments follow a satisfactory performance evaluation by the Professional Assessment Committee and the University Administration for continuance. Upon a successful review, future appointments are for one year at a time.
- Clinical Faculty (Chapter 2, section 2.6) hold faculty positions through which they contribute to the service, teaching, and/or outreach missions of the University, and they are not eligible for tenure. They may be part-time, term, or renewable term appointments and are evaluated according to the documented procedures as noted above.