

**DEBBIE AND JERRY IVY COLLEGE OF BUSINESS  
IOWA STATE UNIVERSITY**

**GOVERNANCE DOCUMENT**

Approved by General Faculty online vote following February 26, 2021 meeting.

Section 7 only:

Approved by online vote of tenure-eligible and tenured members of the General Faculty after February 26, 2021 meeting.

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## 1 PREAMBLE

The Debbie and Jerry Ivy College of Business (Ivy) governance document is the official statement of the policies governing the rights, responsibilities, and performance of Ivy faculty. Governance of the college is shared by the faculty and Dean and undertaken in a collegial and cooperative spirit. The faculty is the legislative body of the college and has responsibility for educational policies and procedures including, but not limited to, admission and graduation requirements, academic standards, degree programs, course development, and curricula. The faculty also serves in an advisory role to the Dean on administrative matters as they relate to academic programs or faculty. The faculty acts as a body on matters falling within its scope and responsibility, except in those specific instances where it has delegated authority to a particular committee, council, or task force.

This document is intended to be consistent with the *Iowa State University Faculty Handbook* (FH). In the event of a conflict, the FH governs. Citations of the FH below refer to the January 2021 edition.

## **2 MISSION**

The mission of the college is to further Iowa State University's land-grant ideals by delivering high-quality education through impactful research, innovative teaching, and community engagement.

### **3 GOVERNANCE DOMAINS AND ORGANIZATIONAL STRUCTURE**

#### **3.1 Concept of Shared Governance**

Shared governance is a critical component of collegial and collaborative relationships in the college. The circle of collaboration in the college extends beyond faculty and includes staff, graduate students and undergraduate students.

Each department of the college shall adopt a document that governs the rights, responsibilities, and performance of department faculty. Specific policies addressed by the document shall include, but are not limited to, department and college committees, faculty advancement and review, and voting rights and election procedures within the department. In the event of a conflict, the college governance document takes precedence.

#### **3.2 Matters of Joint Authority between Faculty and Dean**

##### **3.2.1 Faculty Appointments, Evaluation, and Review**

Faculty status and related matters are primary responsibilities that the faculty undertake jointly with administrators. This includes initial appointments, probationary reviews of tenure-eligible faculty, reappointments, decisions not to reappoint, initiation of the process for promotions, the granting of tenure, and dismissal. Initial determination in these matters shall be made by faculty and department chair action through established department procedures. Department recommendations regarding promotion, the granting or denial of tenure, and dismissal are forwarded to the college promotion and tenure committee, which communicates its recommendations on such actions to the Dean.

Department chairs participate in these processes through their individual evaluations and written reports. Therefore, they shall not take part in any voting process and shall not take any additional action to influence the deliberations of the department or college promotion and tenure committees or any faculty member's vote.

The Dean decides whether to support each nomination and forwards to the Provost all mandatory cases not withdrawn by the faculty member involved.

Care must be taken at all levels to ensure that double voting or an influence on the vote does not occur at more than one level. Provisions of the *Faculty Handbook* to prevent double voting shall be followed, and guidance from the Faculty Senate and Provost's Office as to best practices shall be followed to the extent that they are not inconsistent with this governance document and any applicable department governance document. During the process of new appointments to tenured, tenure-eligible or term positions, faculty input is systematically sought at the applicable college and department levels by appropriate search and screening committees. The selection of faculty shall follow policies in FH 3.2.

### 3.2.2 Strategic Priorities

The framing and execution of long-range plans, based upon the broadest and freest exchange of information and opinion, is an ongoing process both at college and department levels. The process involves faculty and administration at all levels within the college, and is aligned with overall university plans.

### 3.2.3 Resources

In decisions regarding existing or prospective physical resources, college faculty and administration seek collaborative agreement on basic decisions regarding physical resources used in the work of the college.

The allocation of the college's financial resources among competing demands is a primary responsibility of the Dean. The Ivy Faculty Executive Council (FEC, section 4.2) and other individuals specified by the Dean will work collaboratively with the Dean on budgetary matters, while the Dean has final authority over the distribution of resources.

The Dean shall communicate to members of the General Faculty at least annually the college's goals, priorities, planning, and budget.

### 3.2.4 Compensation

The policies and procedures developed by the university administration in cooperation with Faculty Senate are used as college guidelines for salary increases.

### 3.2.5 Selection and Review of Administrators

The selection of administrative officers (college and department) will follow university and Board of Regents' policies, with input from college faculty and university officials, also considering opinions of others who are appropriately invested.

### 3.2.6 Committee Assignments

Faculty representatives to various university, college, and department committees are elected or appointed according to procedures designated in the FH and college and department governance documents.

## 3.3 Matters of Primary Faculty Authority

### 3.3.1 Academic, Curricular, and Instructional Policies

Faculty judgment and academic freedom are central to teaching and learning. Therefore, policies related to curriculum and course revisions, educational and academic policies, including admission requirements, academic standards, degree program requirements, graduation requirements, methods of instruction, evaluation of



teaching and learning, and grading policies and procedures, are primarily faculty responsibilities. The Ivy faculty govern these functions through the appropriate department and college committees, department faculty meetings, the FEC, and the General Faculty Meetings.

## **4 GOVERNANCE POLICIES AND PROCEDURES**

### **4.1 Faculty Membership and Voting Eligibility**

#### **4.1.1 Membership**

The General Faculty of the Ivy College of Business consists of all tenured, tenure-eligible, and term faculty, including administrative officers with faculty appointments. The General Faculty is the academic legislative body of the college and is responsible for academic policies and procedures within the context of Iowa State University's shared governance principles and policies. These include but are not limited to faculty review and advancement policies and procedures, admission requirements, graduation requirements, curriculum and course revisions, and new degree programs.

#### **4.1.2 Voting Eligibility**

Except as provided below, all members of the General Faculty may vote on any matters that properly come before the faculty for a vote. A member holding a joint appointment with the primary department residing in another college shall not vote.

Revisions to Section 7 of this document covering evaluation and review of tenure-eligible and tenured faculty members, and any other matter that is governed by that section requiring a faculty vote, shall be voted on by the tenured and tenure-eligible members of the General Faculty only.

### **4.2 FACULTY EXECUTIVE COUNCIL (FEC)**

#### **4.2.1 Definition**

The FEC is the governance council and representative advisory body for the General Faculty. The FEC reports directly to the General Faculty. The primary duty of the FEC is to represent the General Faculty's views and interests on all matters that can benefit from coordination between the administration of the college and the General Faculty, providing advice, opinions, and recommendations to college administrators and the General Faculty on academic and administrative matters. The FEC also sets the agenda for General Faculty meetings, serves as a conduit of information and opinions between the Faculty Senate and Ivy faculty and administrators, assists in assuring compliance with shared governance policies, and leads the maintenance and updating of this governance document.

#### **4.2.2 Composition and Structure**

The FEC is composed of all Ivy faculty senators and the FEC Chair (section 4.2.2.2). Faculty senators include representatives from each academic department and at-large representatives from the college, selected in accordance with the policies and

procedures outlined in the Constitution of the Faculty Senate and the *Faculty Handbook*.

#### 4.2.2.1 Faculty Senate Caucus Chair

At the end of each spring semester, the FEC will select one of its members to serve as Faculty Senate Caucus Chair for the Ivy College of Business for the upcoming academic year. The FEC chair is ineligible to serve as caucus chair and does not vote on the selection.

Primary duties of the Caucus Chair include:

- Representing the college on the Executive Board of the ISU Faculty Senate.
- Ensuring that all college positions on Faculty Senate committees are filled.
- Serving as a voting member of the Ivy Cabinet.

#### 4.2.2.2 FEC Chair

##### 4.2.2.2.1 Eligibility and Election

Any tenured member of the General Faculty not serving in the Faculty Senate or an administrative position is eligible to serve as FEC Chair, except as limited by the provisions below. A faculty member may not simultaneously serve as a faculty senator and as FEC Chair. The FEC Chair shall be elected at large from eligible faculty members nominated by the General Faculty, by a plurality vote of the General Faculty. The faculty vote will include an opportunity to reject the nominee(s) and restart the nomination process.

##### 4.2.2.2.2 Term of Service

The FEC Chair is elected to a two-fiscal-year term of service. Election of the FEC Chair shall occur in the final semester of each term of service, with assumption of duties on the following July 1. After serving three consecutive terms as FEC Chair, a faculty member shall be ineligible to serve as FEC Chair during the subsequent two-year term.

##### 4.2.2.2.3 Partial Term of Service

In the event that a vacancy develops in the FEC Chair position more than six months prior to the end of a full term, a new FEC Chair shall be elected by a plurality vote of the General Faculty to complete the remainder of the two-year term, effective upon the completion of voting and certification of results. A vacancy of six months or less prior to the end of a full term shall be filled by the FEC. A partial term of one year or less shall not be counted for purposes of a limit on the number of terms of service.

#### 4.2.2.2.4 Detailed Nomination and Election Procedure

In or before the seventh week of the final semester of an FEC Chair term, the FEC shall elect an individual to serve as supervisor of the next FEC Chair election. The supervisor shall be a faculty senator who is unavailable to be nominated for FEC Chair. If all faculty senators are available to be nominated for FEC Chair, the FEC shall elect another member of the General Faculty to serve as supervisor of the election.

The supervisor shall e-mail a call for nominations to the General Faculty no later than the eighth week of the final semester of an FEC Chair term. A nominee may decline the nomination. The supervisor shall organize a secure, anonymous online election to take place before the end of the same semester. In no event shall any candidate for FEC Chair have direct or indirect access to information about how any individual voted.

#### 4.2.2.2.5 Recall

Upon request by five members of the General Faculty, including at least one faculty member from each of at least three different departments, an online recall vote shall be scheduled at the General Faculty's earliest convenience. Requests must be submitted by university e-mail to the college's senior at-large faculty senator with a copy to the Dean. Requests submitted more than 30 days before the most recent request shall not be counted in determining whether sufficient requests have been received to require a vote.

Any such recall vote shall be coordinated by a supervisor elected by the FEC and shall consist only of the question "Shall [name] be removed as Chair of the Faculty Executive Council?" A vote in the affirmative by a majority of voting members of the General Faculty shall be required for removal, upon which the procedure for filling a vacancy shall apply.

A faculty member having been removed as FEC Chair shall be ineligible to be nominated for or serve as FEC Chair for four years following the date of removal.

#### 4.2.2.2.6 Duties

- Call and chair meetings of the FEC.
- In cooperation with the other FEC members, ensure that the FEC carries out its responsibilities prescribed by this document.
- Announce and chair meetings of the General Faculty called by the FEC.
- Serve as a voting member of the Ivy Cabinet.
- Ensure the preservation and continuity of FEC and General Faculty records.

### 4.2.3 Specific Responsibilities of the FEC

#### 4.2.3.1 Faculty Representation

As representatives of the General Faculty, it is the duty of the FEC to consider faculty concerns about academic and administrative matters. The FEC will meet as frequently as necessary to effectively represent faculty interests.

#### 4.2.3.2 Committee Oversight

The FEC shall coordinate, in conjunction with the college administration, the missions, objectives, structure, and efforts of all standing or ad hoc committees, task forces and similar bodies (hereafter called committees) of the General Faculty. Each standing committee of the General Faculty shall have a charter, which shall appear in Appendix A of this document. The charter shall specify to whom the committee reports, how the committee membership and leadership are structured and filled, and the committee's responsibilities. The FEC shall review the charter of each standing committee for consistency with the mission and goals of the college at least every five years and propose amendments as needed.

The Dean shall inform the FEC of all faculty committee appointments. The FEC will communicate any concerns regarding the appointments in writing to the Dean. Any faculty elections for elected college committee assignments will be coordinated by the FEC and the election results will be reported to the Dean.

The Dean may create temporary task forces or committees. When such a committee is assigned responsibilities related to matters governed by this document or the *Faculty Handbook*, or when faculty members serve on the committee as a position responsibility, the following requirements apply:

- The FEC shall have the opportunity to comment on the structure, membership and responsibilities of the proposed special body before it is finalized.
- Such a body shall not duplicate the function of a standing committee chartered by this document, except when compelled by unusual necessity. If there is overlap between the temporary and standing committees, a member of the related standing committee designated by the FEC shall serve as a member of the special body.
- Such a body is to have a limited life span of no more than two years.

#### 4.2.3.3 Evaluation of Administrators

As part of the FEC's responsibility to facilitate the effective operation of the college, the FEC shall coordinate an online annual faculty evaluation of each academic administrator in the college (Dean, associate deans, and department chairs). The purpose of the evaluation is: (1) to provide feedback to administrators on their performance

and other matters of concern to the General Faculty; (2) to serve as a developmental tool for college administrators. The results of the evaluation shall be shared with the administrator and their immediate supervisor. Evaluations shall be conducted in a manner that makes it impossible to associate responses with specific faculty members, or any raw data that would make such an association possible shall be destroyed as soon as possible after tabulation of summary results.

#### 4.2.3.4 Budget Advisory Committee

The FEC shall serve as the budget advisory committee to the Dean as called for by the *Faculty Handbook*. In this capacity, the FEC and Dean will meet at least once per semester, though more frequent meetings may be initiated by the Dean or FEC as needed.

#### 4.2.3.5 Maintenance and Updating of the Governance Document

The FEC shall continuously monitor changes to the *Faculty Handbook* and ensure that any resulting need for change to this governance document is promptly addressed. In addition, the FEC shall initiate a comprehensive review of this governance document at least every three years to determine whether changes are needed in light of experience with existing provisions or changes in faculty responsibilities, the university's or college's mission, or resource availability.

### 4.3 General Faculty Meetings

#### 4.3.1 Frequency

The FEC is responsible for calling meetings of the General Faculty to conduct faculty business and discuss matters of shared governance in the college. The FEC shall schedule at least two General Faculty Meetings each fall and spring academic semester, typically one in the second month (e.g., September, February) and one in the fourth month (e.g. November, April). Each meeting may be held by videoconferencing at the FEC's discretion. The meetings shall be announced to the Ivy faculty and administrators as near the start of each semester as practical, and materials pertinent to planned discussion shall be distributed no less than two weeks before the scheduled meeting. The FEC may cancel any of the first three meetings of the academic year if there is insufficient business. The FEC Chair shall serve as the presiding officer at General Faculty Meetings.

#### 4.3.2 Agenda and Duration

The FEC shall establish the agenda for each General Faculty Meeting. As the schedule permits, the FEC is expected to invite the Dean or other members of the Ivy administration to make announcements and remarks to the General Faculty. The agenda should specify an expected time allocation for each agenda item. Meetings shall

be scheduled for 90 minutes, and may adjourn early. Any extensions beyond 90 minutes requires a floor motion and vote.

The recommended agenda for a General Faculty Meeting is as follows, with unneeded items to be omitted:

- Call to Order – (time)
- Unfinished Business – (time)
- New Business – (time)
- Announcements and Remarks – (time)
  - FEC Chair (time)
  - Faculty Senate Caucus Chair (time)
  - Dean Remarks (time)
- Committee reports and updates (time)
- Special Orders – (time)
- Good of the Order – (time)

#### 4.3.3 Meeting Quorum

The quorum for a General Faculty Meeting shall be half of the number of faculty members eligible to vote. A General Faculty Meeting lacking a quorum shall be adjourned without entertaining motions and shall be rescheduled at the earliest convenience of the General Faculty.

#### 4.3.4 Voting Procedures

Policy and curriculum changes shall be awarded adequate opportunity for discussion by the General Faculty. Matters determined by the FEC to be of sufficient gravity shall be subject to a two-reading procedure, with the readings to occur at two consecutive General Faculty Meetings within an academic year, and an electronic vote following the meeting at which the second reading occurs. Other than matters governed by section 4.5, exceptions from the two-reading rule may be requested for good cause and require approval by the FEC prior to implementation. Except as expressly provided in this document, any item that requires a faculty vote must appear as New Business on at least one General Faculty meeting agenda as an FEC motion, a committee motion, or an item requiring a floor motion and second. The FEC may organize opportunities for discussion in addition to discussion at one or more General Faculty meetings.

The FEC may elect to submit a proposal for the creation of an instructional program to an online vote of the General Faculty without prior discussion at a General Faculty meeting if the proposed program is expected to have minimal or no effects on existing programs. The proposal shall be distributed to the college faculty at least two weeks before the online vote.

Voting on matters that come before the full General Faculty or its tenured and tenure-eligible members normally shall take place by secure online ballot, with at least four university business days during the fall or spring semester allowed for voting. Voting shall be conducted in a manner that prevents duplicate voting and secures the anonymity of individual faculty members' votes. If the number of votes cast on a motion is less than the required quorum for the preceding General Faculty Meeting, the FEC shall decide whether to extend the voting period or declare the motion null due to lack of a quorum. Results shall be announced within two university business days after the close of voting.

Amendments from the floor are allowed, following *Robert's Rules of Order* regarding motions to amend. If a committee or FEC motion is amended on final reading in a way that materially changes or expands its effect, the body from which the motion originated shall be given an opportunity to withdraw the motion prior to an online vote on the main motion.

#### 4.4 Committees and Councils

##### 4.4.1 Selection and Oversight

The FEC is to provide oversight of committee objectives, structures, and faculty composition. Its primary responsibility is to ensure that department representation on Ivy committees is equitable.

##### 4.4.2 Standing Bodies of the General Faculty

Appendix A provides details on all standing committees, council and cabinet in the college, including structure, membership, and responsibilities.

##### 4.4.3 Committee Reporting Obligations

All standing committees shall inform the FEC about items that require faculty approval in sufficient time for the FEC to include the item on the agenda of the scheduled General Faculty meeting most proximate to the action and meet the two-week requirement for materials to be considered. Committee chairs (or representatives) should be prepared to answer questions and entertain amendments (when appropriate) at the General Faculty meetings. Official minutes (including attendance, agenda items, and actions taken) from all Ivy standing committee meetings shall be posted on the Ivy website or a related medium.

#### 4.5 Governance Document Amendments

Amendments to this governance document can be initiated by the FEC or by petition to the FEC from i) five or more voting members of the Ivy faculty, or ii) the Dean.

Each proposed amendment shall be reviewed promptly by the FEC. The FEC may return an amendment to the proposer for revision and resubmission due to a lack of



clarity, a conflict with a provision of the governance document not proposed to be amended, a need for copy editing, or a request to divide an amendment that addresses multiple issues.

If the FEC unanimously determines that an amendment is non-substantive and should be adopted, the amendment shall be placed on the agenda of a General Faculty meeting at the earliest opportunity, subject to the notice requirements of section 4.2.3.5, as non-debatable new business not subject to the two-reading rule, and included in the online ballot after the meeting.

Any other proposed governance amendment shall be placed on the agenda of a General Faculty meeting for first reading at the earliest opportunity, subject to the notice requirements of section 4.3. Should the amendment be amended, the FEC shall determine whether there has been a material change to the meaning and effect of the proposal, and if so shall require that it start the governance document amendment process over again.

When a proposed amendment includes revisions to section 7, only tenure-eligible and tenured members of the General Faculty shall be eligible to vote.

## **5 UNDERGRADUATE AND GRADUATE PROGRAMS**

### **5.1 Discipline-Centered Programs**

Discipline-centered programs and courses are the purview of departments. Existing program revisions and discontinuations, as well as proposed new programs, originate with the department faculty, and are presented to the department curriculum committee. The committee reviews and revises proposals as needed, and advances completed proposals to the department faculty for approval. A proposal that affects the college budget is subject to approval of the Dean in consultation with the department chair. If the proposal is approved, the proposers shall proceed with formal submission of the proposal to the appropriate college and university committees and administrators. FH 10.8.1 and 10.8.2 state the university requirements for program initiations, changes and discontinuations.

### **5.2 Interdepartmental Programs**

Interdepartmental programs are the joint purview of sponsoring departments. Processes are similar to those of discipline-centered programs, involving the affiliated departments' curriculum committees. Existing program revisions and discontinuations, as well as proposed new programs, originate with the departments' faculty groups, and are presented for review and approval to the departments' curriculum committees. The committees review and revise proposals as needed, and advance completed proposals to the departments' faculty groups for approval. A proposal that affects the Ivy college budget is subject to approval of the Dean in consultation with the chairs of Ivy departments involved and appropriate administrators in other colleges. If the proposal is approved, the proposers shall proceed with formal submission of the proposal to the appropriate college and university committees and administrators, in cooperation with other departments and colleges as appropriate. FH 10.8.1 and 10.8.2 state the university requirements for program initiations, changes and discontinuations.

## 6 FACULTY APPOINTMENT POLICIES AND PROCEDURES

### 6.1 Types of Appointments

Faculty appointments are categorized as term, tenured or tenure-eligible (FH 3.3).

#### 6.1.1 Tenure-eligible and Tenured Faculty

Tenure-eligible faculty may be appointed at the rank of Assistant Professor or Associate Professor. Tenured faculty may be appointed at or advanced to the rank of Associate Professor or Professor.

Initial appointments at the rank of Assistant Professor may be made for up to four years, with an option of renewal for three years or less, and shall not include academic tenure. Initial appointments at the rank of Associate Professor may be made for specific terms or may come with academic tenure. Initial appointments at the rank of Professor shall come with academic tenure.

The *Faculty Handbook*, this document and department governance documents define the rank of initial appointments as well as the any appointing procedures (e.g., a faculty vote) in determining the rank.

The review and advancement of tenure-eligible and tenured faculty are governed by section 7.

#### 6.1.2 Term Faculty

##### 6.1.2.1 Definition

According to the *Faculty Handbook*, term faculty are “those individuals employed by Iowa State University who hold limited term, full, or part-time renewable appointments that are not eligible for tenure and are subject to approval by the department, college, and provost” (FH 3.3.2). Three types of term faculty appointments are applicable in the Ivy College of Business: practice faculty, teaching faculty and adjunct faculty.

##### 6.1.2.2 General Appointment and Advancement Policies

A department faculty committee shall evaluate each candidate for appointment based on the amount and level of professional experience, except that a contingency hire at the rank of Lecturer for no more than one semester may be evaluated by the department chair. Evaluation for renewal or advancement shall also be conducted by a department faculty committee, taking into account the duties and responsibilities in the candidate’s position responsibility statement (PRS), except that the department chair

may reappoint a Lecturer for a second consecutive semester without a committee review. Any reappointment or renewal for additional consecutive semesters requires a committee review.

The faculty of a department may delegate their consultation role to the department chair by a formal vote, thereby waiving the committee review requirements of the preceding paragraph. A resolution to so delegate may specify a period of time for which the delegation is effective; otherwise, the delegation shall expire at the end of the department chair's current term. A delegation may be renewed by faculty adoption of a new resolution to delegate. While such a delegation is in effect, descriptions below of department committee responsibilities regarding term faculty appointments shall apply to the department chair.

#### 6.1.2.3 Position Responsibility Statement (PRS) for Term Faculty

Position responsibility statements for all faculty members are governed by section 6.

#### 6.1.2.4 Guidelines for All Reviews

Deliberations relating to all reviews are highly sensitive, requiring openness and candor of all involved in the review process. Therefore, the confidentiality of these deliberations shall be maintained by each person involved in the review process. All review reports and recommendations shall be provided to the faculty member as soon as practical.

#### 6.1.2.5 Annual Review

Annual reviews of term faculty are conducted to evaluate accomplishments during the year. This process is intended to systematically describe a faculty member's performance including their position-relevant strengths and weaknesses. The information gathered in this process is intended for two purposes: to serve as a basis for merit increases, and to serve as a basis for performance improvement and development.

The annual review is conducted by the department chair based on the faculty member's PRS and professional responsibility report (PRR). The department chair provides a written statement regarding the faculty member's performance during the previous calendar year. Faculty who feel aggrieved in their annual reviews may appeal the department chair's evaluation using grievance procedures established in the *Faculty Handbook*. Faculty with part-time appointments will be reviewed on the normal annual review cycle. For purposes of annual review, the percentage of the appointment must be taken into account when considering the appropriate level of accomplishment in that year.

#### 6.1.2.6 Renewal Review

The faculty member applies to the department chair, by the due date in Appendix B, for renewal, providing their PRS, PRRs, vita and portfolio of additional materials to document performance during their current contract. A department faculty committee shall review the renewal application and report to the department chair. As specified by FH 5.4.1.2, tenured faculty and term faculty at the Associate Professor or Professor ranks shall be eligible to serve on the committee. The department chair is responsible for conducting an independent review, considering the committee's evaluation, determining whether the faculty member's contract will be renewed and the renewal terms.

#### 6.1.2.7 Advancement Review

The faculty member applies to the department chair, by the due date in Appendix B, for advancement, providing their PRS, PRRs, vita and portfolio of additional materials to document performance in their current rank. A department faculty committee shall review the renewal application and report to the department chair. As specified by FH 5.4.1.3, tenured faculty, and term faculty at or above the rank level applied for, shall be eligible to serve on the committee. The department chair is responsible for conducting an independent review, considering the committee's evaluation, and submitting a report to the Dean with the results of the review. The Dean is responsible for conducting an independent review, considering the department evaluations, and deciding whether to recommend advancement. The Dean will inform each candidate in writing of the college's recommendation. Faculty who are not recommended for advancement will receive constructive feedback including guidance for improvement. A recommendation for advancement will be forwarded to the Provost.

#### 6.1.2.8 Voting Rights

The voting rights of term faculty members are governed by section 4.1.2.

#### **6.1.2.9 Practice Faculty**

According to the *Faculty Handbook*, practice faculty “must have significant relevant professional experience outside of academia that qualify them to make a contribution to instruction and/or advising” (FH 3.3.2.2). For our purposes we define significant relevant experience as at least ten years of industry experience as a professional in the area in which they will be primarily teaching.

Practice faculty shall teach (and design, if necessary) undergraduate or graduate courses, depending on qualifications, in the field of their expertise. Appointees, to the degree feasible, shall also bring their career experiences to bear in institutional service. Practice faculty must devote at least 75% of their time to teaching in their area of expertise and related institutional and professional service.

#### 6.1.2.9.1 Appointment and Advancement

Practice faculty are typically appointed at the rank of Assistant Professor of Practice. Those with exceptional backgrounds (e.g., long careers in senior leadership positions) may be appointed at the rank of Associate Professor of Practice or Professor of Practice (with the approval of the Dean).

In the fifth or later year of service as a term faculty member at ISU, an Assistant Professor of Practice may apply for advancement the following year to Associate Professor of Practice. In the fifth or later year of service as an Associate Professor of Practice at ISU, a faculty member may apply for advancement the following year to Professor of Practice.

#### 6.1.2.9.2 Appointment and Advancement Criteria

Evaluation of the candidate for appointment shall be based on the amount and level of professional experience. Evaluation for advancement shall be based on performance of the position responsibilities in the candidate's position responsibility statement (PRS).

For appointment or advancement to the rank of Associate Professor of Practice, the department committee must identify the candidate's achievements in practice and leadership, and prior performance as a practice faculty member when applicable, that demonstrate significant and substantial contributions or potential to contribute to the teaching mission of the college. The committee shall document the candidate's credentials relevant to expected position responsibilities.

For appointment or advancement to the rank of Professor of Practice, the department committee must identify the candidate's achievements in practice and leadership, and prior performance as a practice faculty member when applicable, that demonstrate exemplary contributions or potential to contribute to the teaching mission of the college. The committee shall document the candidate's credentials relevant to expected position responsibilities.

#### 6.1.2.9.3 Terms of Service

Practice faculty may serve full or part-time, depending on department need. Practice faculty contract lengths and non-renewal notice shall follow these requirements:

- Assistant Professor of Practice contracts shall be for a term of one to three years. A notice of one year of intent not to renew is required, except when the appointment is only for one year, in which case a notice of three months is required.
- Associate Professor of Practice contracts shall be for a term of three to five years. A notice of one year of intent not to renew is required.

- **Professor of Practice contracts shall be for a term of three to seven years. A notice of one year of intent not to renew is required.**

#### 6.1.2.9.4 Conditions (and Restrictions) of Employment

- **Practice faculty are not eligible for tenure.**
- **Practice faculty are eligible to serve on the Faculty Senate.**

#### 6.1.2.10 Teaching Faculty

According to the *Faculty Handbook*, teaching faculty “generally contribute to the teaching mission of the university” (FH 3.3.2.2). For our purposes we define teaching faculty as those whose primary task is teaching and other duties related to the teaching mission.

Teaching faculty shall teach (and design, if necessary) undergraduate or graduate courses, depending on qualifications, in the field of their expertise. Appointees, to the degree feasible, shall perform teaching-related service activities which may include advising, curriculum coordination, committee service, and other responsibilities related to teaching and learning. Teaching faculty must devote at least 75% of their time to instruction, advising, curriculum coordination or other responsibilities related to teaching and learning.

##### 6.1.2.10.1 Appointment and Advancement

Teaching faculty are typically appointed at the rank of Assistant Teaching Professor. An early career teaching faculty member with a contract of one year or less may be appointed at the rank of Lecturer. Those with exceptional backgrounds (e.g., long careers in teaching in the field) may be appointed at the rank of Associate Teaching Professor or Teaching Professor (with the approval of the Dean).

A Lecturer who has completed three years of service shall be reclassified at the rank of Assistant Teaching Professor if renewed. In the fifth or later year of service as a term faculty member at ISU, an Assistant Teaching Professor may apply for advancement the following year to Associate Teaching Professor. In the fifth or later year of service as an Associate Teaching Professor at ISU, a faculty member may apply for advancement the following year to Professor of Practice.

##### 6.1.2.10.2 Appointment and Advancement Criteria

Evaluation of the candidate for appointment shall be based on the amount and level of academic and professional experience. Evaluation for advancement shall be based on performance of the position responsibilities in the candidate’s position responsibility statement (PRS).

For appointment or advancement to the rank of Associate Teaching Professor, the department committee must identify the candidate’s achievements in teaching, and

prior performance as a teaching faculty member when applicable, that demonstrate significant and substantial contributions or potential to contribute to the teaching mission of the college. The committee shall document the candidate's credentials relevant to expected position responsibilities.

For appointment or advancement to the rank of Teaching Professor, the department committee must identify the candidate's achievements that demonstrate exemplary contributions or potential to contribute to the teaching mission of the college. The committee shall document the candidate's credentials relevant to expected position responsibilities.

#### 6.1.2.10.3 Terms of Service

Teaching faculty may serve full or part-time, depending on departmental need. Teaching faculty contract lengths and non-renewal notice shall follow these requirements:

- Lecturer contracts shall be for a term of a one year or less. A notice of three months of intent not to renew is required.
- Assistant Teaching Professor contracts shall be for a term of one to three years. A notice of one year of intent not to renew is required, except when the appointment is only for one year, in which case a notice of three months is required.
- Associate Teaching Professor contracts shall be for a term of three to five years. A notice of one year of intent not to renew is required.
- Teaching Professor contracts shall be for a term of three to seven years. A notice of one year of intent not to renew is required.

#### 6.1.2.10.4 Conditions (and Restrictions) of Employment

- Teaching faculty are not eligible for tenure.
- Teaching faculty are eligible to serve on the Faculty Senate.
- Teaching faculty are not eligible for faculty professional development assignments.

#### 6.1.2.11 Adjunct Professor

According to the *Faculty Handbook*, adjunct faculty “typically are not focused on one area of faculty responsibility such as teaching or clinical activities” (FH 3.3.2.2). Appointments under this category may be appropriate in facilitating the University's quest to hire and retain excellent faculty, including dual-career couples, as well as carve out new areas of academic expertise and attract experts on extramural grants and contracts.



#### 6.1.2.11.1 Appointment and Advancement

Adjunct faculty are typically appointed at the rank of Adjunct Assistant Professor. Those with exceptional backgrounds (significant experience and achievements in relevant academic or professional careers) may be appointed at the rank of Adjunct Associate Professor or Adjunct Professor (with the approval of the Dean).

In the fifth or later year of service as a term faculty member at ISU, an Adjunct Assistant Professor may apply for advancement the following year to Adjunct Associate Professor. In the fifth or later year of service as an Adjunct Associate Professor at ISU, a faculty member may apply for advancement the following year to Adjunct Professor.

#### 6.1.2.11.2 Appointment and Advancement Criteria

Evaluation of the candidate for appointment shall be based on the amount and level of academic and professional experience. Evaluation for advancement shall be based on performance of the position responsibilities in the candidate's position responsibility statement (PRS).

For appointment or advancement to the rank of Adjunct Associate Professor, the department committee must identify the candidate's relevant achievements, and prior performance as a faculty member when applicable, that demonstrate significant and substantial contributions or potential to contribute to the mission of the college and document the candidate's credentials relevant to expected position responsibilities. The committee shall document the candidate's credentials relevant to expected position responsibilities.

For appointment or advancement to the rank of Adjunct Professor, the department committee must identify the candidate's achievements that demonstrate exemplary contributions or potential to contribute to the mission of the college and document the candidate's credentials relevant to expected position responsibilities. The committee shall document the candidate's credentials relevant to expected position responsibilities.

#### 6.1.2.11.3 Terms of Service

Adjunct faculty may serve full or part-time, depending on departmental need. Adjunct faculty contract lengths and non-renewal notice shall follow these requirements:

- Adjunct Assistant Professor contracts shall be for a term of one to three years. A notice of one year of intent not to renew is required, except when the appointment is only for one year, in which case a notice of three months is required.
- Adjunct Associate Professor contracts shall be for a term of three to five years. A notice of one year of intent not to renew is required.

- Adjunct Professor contracts shall be for a term of three to seven years. A notice of one year of intent not to renew is required.

#### 6.1.2.11.4 Conditions (and Restrictions) of Employment

- Adjunct faculty are not eligible for tenure.
- Adjunct faculty are eligible to serve on the Faculty Senate.

## 6.2 Hiring Procedures and Criteria

New appointments are requested by the respective department chair or program director. The hiring process begins only when approval from the Dean and the Provost is obtained. The candidate selection process, such as the duties of search committees, interview questions, number of on-campus interviewees, and any faculty voting, shall conform to related department, college, and university human resources policies.

The department chair or program director makes an offer of appointment to the selected position candidate through a Letter of Intent. The Letter of Intent serves the purpose to clarify those conditions of appointment, which may include initial academic rank, beginning salary (new appointments), the last day of the probationary period if there is one, the date by which a notification of intent not to review is to be issued, and other detailed conditions that are applicable to the appointment. The chair or program director and the candidate shall also discuss the Position Responsibility Statement.

Additional procedures to appoint term positions are described above and in FH 3.3.2.

## 6.3 Position Responsibility Statements

### 6.3.1 General Description

According to FH 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 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 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.

### 6.3.2 Procedures

At the time of appointment to any tenure-eligible, tenured or term faculty position, the department chair shall discuss with the new faculty member the development of a position responsibility statement in light of the position announcement. Mutual agreement and consent is to be obtained before the position responsibility statement takes effect. The mutually approved statement shall be maintained in the university's enterprise software system (e.g. Workday) and a copy included in the faculty dossier used for any performance review and evaluation process. The statement will be subject to regular review by the faculty member and department chair, and allow for flexibility in responsibilities over time and for the changing nature of faculty appointments.

A position responsibility statement shall not be changed unless any change is agreed upon by both the faculty member and the department chair. The statement may be mutually reviewed for potential change upon request by either the faculty member or the department chair, including as part of the faculty annual review. Otherwise, the statement shall be reviewed upon completion of tenure review, term faculty renewal or advancement review, five years after the last review in the case of a tenured faculty member or a term faculty member with a contract longer than five years, or an event when the faculty appointment is changed. Any revised statement must be promptly updated in the university's enterprise software system, with a copy included in the faculty dossier used for any performance review and evaluation process.

A faculty member who has an appointment with more than one department, program or school will have one position responsibility statement developed through consultation among all parties.

Department chairs and associate deans develop their position responsibility statements with the Dean. The statements include the administrative and departmental responsibilities of the positions.

### 6.3.3 Mediation

In case of disagreement on a position responsibility statement, procedures described in FH 3.4.4 shall be followed. Prior to the conclusion of the mediation process, the existing statement remains in effect.

## **7 EVALUATION AND REVIEW OF TENURE-ELIGIBLE AND TENURED FACULTY MEMBERS**

### **7.1 Preface**

A faculty member's performance in the areas described in their position responsibility statement is deemed necessary for achieving the mission of the college and the university, implying mutual responsibilities and expectations for the individual faculty member and the administration of the college. Thus, a primary role of the college's administration is to create an environment where its faculty can become effective contributors to the goals of the college. To help enhance faculty performance, and thereby, the goals of the college, the college shall conduct systematic and fair faculty review processes. It is expected that these processes will not only generate but also sustain a faculty nationally and internationally recognized for academic contributions.

### **7.2 General Guidelines for All Reviews**

Evaluation activities are categorized into four categories, namely, (1) on-going annual reviews of all faculty, (2) preliminary reviews of all untenured faculty, (3) promotion and tenure reviews, and (4) periodic reviews of all tenured faculty. All review and evaluation procedures will follow accepted university guidelines as specified in the *Faculty Handbook*. In the absence of specific department or college guidelines, or in case of conflict, guidelines specified in the *Faculty Handbook* will take precedence.

Deliberations relating to all reviews are highly sensitive, requiring openness and candor of all involved in the review process. Therefore, the confidentiality of these deliberations shall be maintained by each person involved in the review process.

All review reports and recommendations shall be provided to the faculty member as soon as practical, with the names and affiliations of outside reviewers redacted. The specific review reports include the department promotion and tenure committee recommendation and the department chair's recommendation. The department chair shall inform the faculty member in writing of the department promotion and tenure committee's recommendation and the department chair's recommendation before they are submitted to the Dean. The Dean will inform the faculty member of the college promotion and tenure committee's recommendation and the Dean's recommendation after the Dean has completed their review.

Each faculty member's performance must be reviewed and managed on the basis of achievements in the performance of responsibilities stated the position responsibility statement (PRS).

### 7.3 General Criteria for Evaluation

In all reviews, the focus shall be on performance appraisal and faculty development. Each review shall be supported by detailed description and assessment of the faculty member's performance with reference to the PRS. Each responsibility area, while important and valuable in its own right, must be considered in light of the percentage of effort assigned in the PRS. At the same time, a faculty member's unacceptable performance in any one responsibility area in the PRS (FH 7.2.2.6.1) should adversely affect the outcome of a review regardless of the assigned percentage.

Performance in each responsibility area should be based on departmental standards and participants in the review are expected to perform such evaluation in the most careful, informed and fair manner possible. While quantitative measures for evaluations are readily available and useful, it is important that the primary focus be on the quality, significance and long-term impact of one's accomplishments, not measurement convenience.

The following paragraphs describe general criteria for evaluating performance in each of the typical position responsibility areas.

A. Scholarship in Research: Research is an integral and significant part of the academic enterprise. Achievement in research is demonstrated through a record of original contributions in venues appropriate to one's primary and related discipline. Evidence of effective and quality research is most convincingly shown by publication in premier refereed journals.

The college believes that research scholarship forms the basic infrastructure for any academic enterprise and so expects high quality scholarship in research from its faculty. To fulfill the mission and goals of the college, faculty members are expected to make significant and long-lasting contributions to the disciplinary areas of the college. High quality research should be publishable in high-quality, peer-refereed journals.

Indicators of quality research include, but are not limited to, the following:

- Publication in the premier journals (based on documented ranking) of one's discipline. These journals will typically be clearly identified on the department's journal list document and on external lists of journal quality and impact.
- Publication in journals read by peers who do similar research.
- Publication of academic monographs and books.
- Leadership and individual contributions in research scholarship.
- Frequent citation of one's papers and other demonstrated evidence that the research impacts the faculty member's academic discipline and practitioner community.

- Obtaining external peer-reviewed grants for research and successful completion of them.
- Presentation of papers at national and international conferences.
- Editor, associate editor or member of editorial board of major journals in one's discipline.
- Awards and recognition for one's research achievements from peers beyond the college and university.
- Creation of intellectual property.

Faculty members using scholarship in research as their primary basis for promotion and tenure should demonstrate the ability to fulfill a variety of these indicators. Contributions in scholarship of teaching and learning may supplement disciplinary research contributions and are evaluated by the same criteria.

**B. Scholarly Teaching:** Effective teaching, at both the undergraduate and graduate level, is important to the college. Evidence of effective and quality scholarly teaching is most convincingly shown by activities both inside and outside the classroom with substantial emphasis on the development of students.

All faculty members are expected to contribute to the teaching and learning goals of the college. Performance measures that focus on in-class accomplishments, such as averages of student evaluations, are only one way to document excellence in scholarly teaching. If comparisons across faculty rely on student ratings, it is imperative that the student evaluation procedure be administered in a standardized manner. Faculty are also encouraged to document other sources of high quality teaching such as peer assessment of teaching, review of teaching materials, feedback from external stakeholders (e.g., alumni, corporate advisory boards, etc).

Indicators of quality teaching include, but are not limited to:

- Outstanding teaching performance over a significant period of time. This is evidenced by factors such as outstanding student ratings, student statements, graduate exit data, and peer reviews.
- Having taught courses at a rigorous and challenging level as evidenced by course expectations and conduct, syllabi and assignments, teaching materials, grading practices, and student learning.
- Documented application of insights from scholarship of teaching and learning (SoTL), including one's own SoTL efforts as well as the journal literature, to improve teaching and student development.
- Development of new courses, programs etc.
- Obtaining external peer-reviewed grants for teaching/instruction and student development activities.

- Development, use and evaluation of innovative methods, materials and tools.
- Chairing thesis and dissertation committees.
- National awards and recognition for one's teaching achievements from peers beyond the college and university.

C. Professional Service, Extension and Outreach, and Institutional Service: Faculty should play a role in advancing and improving the profession and society in which they are members. Evidence of effective professional service include participation in and, more importantly, contribution to local, regional, national and international business and professional associations; serving as editor and on editorial boards of journals; serving as referee for journals and conferences; and consulting activities that show a direct and tangible benefit to the institution and profession.

In accordance with the land-grant mission of the university, faculty who have extension and outreach responsibilities are expected to disseminate discipline-based information and know-how to the Iowa public beyond the ISU campus. Moreover, all faculty members should have the obligation to improve and contribute to their professional associations.

Indicators of effective extension and professional service include, but are not limited to:

- Organizing and leading workshops, conferences and training programs.
- Giving advice and counsel to businesses.
- Presenting to major practitioner groups.
- Presenting in executive development programs.
- Serving in officer positions in professional organizations.
- Serving as editor or editorial board member for journals.
- Serving as referee for journals or conferences.
- Participating in professional meetings as chairperson, moderator, panel member or discussant.

Institutional Service: Institutional service is vital for the effective functioning of the college and university. A faculty member's involvement in this role is evidenced by their participation in, and contribution to, faculty governance and committee assignments within the department, college and university; student advisement and placement activities; and guiding student clubs and organizations.

All faculty members are expected to play a vital role in the effective functioning of the department, college and university. Faculty members with administrative responsibilities should have significant expectations in this area.

Indicators of effective institutional service include, but are not limited to:

- Administrative leadership role within the college and university
- Member or officer of the Faculty Senate
- Chair of major college and university committees
- Advisor to student organizations
- Significant departmental or college fund raising
- Projects carried out for the college or university
- Member of department, college and university committees

#### 7.4 College Promotion and Tenure Committee

The primary responsibility of this committee is to review and evaluate faculty members being considered for tenure or promotion. The committee also reviews and evaluates probationary faculty performance under the preliminary review process. The committee shall provide a written report to the Dean identifying the strengths and weaknesses of each case in the areas identified in the PRS and recommending a decision.

Faculty holding administrative appointments may not serve on the committee nor participate in electing a member. The committee is composed of tenured faculty members, one elected by the tenure-eligible and tenured members of each of the departments. Each member should hold the rank of Professor, but if necessary, a tenured faculty member with the rank of Associate Professor may serve. Each department shall conduct its election annually. The chair shall be elected by the members of the committee. When a faculty member from the chair's department is to be reviewed during the chair's term, the committee shall elect an alternate to perform all chair duties for each such case.

All members shall attend all deliberations, but only the members of the committee outside of the candidate's home department may vote on the candidate's case. The committee member from the candidate's department may vote on the candidate only as a member of the department promotion and tenure committee (FH 5.2.4.3). To avoid undue or unfair influence on committee deliberations, the representative of the candidate's department shall limit their participation to ensuring that the dossier and departmental standards are fully and accurately portrayed, and shall not seek to sway the committee recommendation. The committee chair is responsible for ensuring that this requirement is followed.

If necessary, a member may recuse themselves due to a significant conflict of interest. All remaining members are required to cast either a yes or no vote on the case and may not abstain. In the case of a divided vote, the reasons for disagreement must be explained. All members voting on a case must be afforded the opportunity to have their views stated to their satisfaction in the committee report.



## 7.5 External Reviewers

The basic intent of soliciting external reviews is to get an impartial, objective assessment of scholarship performance from recognized individuals in the discipline. All tenure and promotion assessments shall include external reviewer letters. The external reviewers should be tenured professors who are widely recognized in the field. These reviewers will typically hold academic positions at peer or aspirant institutions, or hold other prominent positions in the academic discipline (e.g., journal editors).

The department promotion and tenure committee is responsible for soliciting reviews from appropriate and recognized peers in the field. These individuals should be independent of the faculty member being reviewed, not co-authors, dissertation directors, or others with similarly close association. The department committee and the department chair are responsible for ensuring the selected reviewers are appropriate, professionally unbiased and not unfairly influenced by members of the committee.

The department committee selects six external reviewers. Two or three of the six are selected from a list of nominations submitted by the candidate. The candidate shall nominate at least five potential reviewers. These nominations shall include a brief summary of each individual's qualifications for evaluating the candidate's scholarship and any relationship with the candidate. The candidate shall not have any contact with their potential reviewers regarding the pending review. Optionally, the candidate may submit with the nominations a list of up to three people who are not to be contacted as reviewers.

Each external reviewer shall receive a letter from the department committee outlining the specific areas requiring their evaluation and comment. At least four but no more than six papers written by the candidate should be submitted to the reviewers. The candidate will identify the articles to be sent. In addition, the reviewers shall receive the candidate's curriculum vitae, personal statement, current and any relevant past PRS as determined the candidate, and relevant parts of this document that describe general criteria and standards. The external reviewer should be asked to provide a brief (up to two pages) biographical profile or curriculum vitae that will help faculty and administrators in other disciplines to better understand the reviewer's qualifications and stature in their field. For the sake of uniformity in the review process, it is recommended that the sample letter in Appendix C, with any needed adaptations, be used.

Only those persons charged by the departmental promotion and tenure document, this document, and the *Faculty Handbook* with reviewing a case, and staff and academic administrators directly supporting their review, shall have access to the external reviewer letters. All such letters received by the department committee shall be forwarded to the department chair, Dean, and college promotion and tenure committee.

## 7.6 Annual Reviews

### 7.6.1 Purpose

Annual reviews of faculty are conducted to evaluate accomplishments during the year. This process is intended to systematically describe a faculty member's performance including their position-relevant strengths and weaknesses. The information gathered in this process is intended for two purposes - one, to serve as a basis for merit increases and, two, to serve as a basis for performance improvement and development.

### 7.6.2 Procedures

The annual review is conducted by the department chair based on the faculty member's PRS and the annual professional responsibility report (PRR) (see Appendix D for items to be included). The department chair provides a written statement regarding the faculty member's performance during the previous calendar year. Faculty who feel aggrieved in their annual reviews may appeal the department chair's evaluation using grievance procedures established in the *Faculty Handbook*. Similar procedures apply to faculty holding administrative positions, such as the department chair, associate deans, and Dean with reviews conducted by their immediate supervisors. Faculty with part-time appointments will be reviewed on the normal annual review cycle. For purposes of annual review, the percentage of the appointment must be taken into account when considering the appropriate level of accomplishment in that year.

### 7.6.3 Standards

The fundamental basis for assessment of a faculty member's performance is the PRS. The faculty member's performance is reviewed in the context of their PRS and is evaluated in relation to the general criteria in Section 7.4.

## 7.7 Preliminary Reviews of Probationary Untenured Faculty

### 7.7.1 Purpose

In addition to annual reviews, untenured faculty will undergo a probationary review at a time specified in a faculty member's appointment letter (or at a different time if an extension of the probationary period is granted). The primary purpose of this evaluation is to assess their progress toward promotion and tenure. This review should go beyond the "potential" criteria typically used in hiring new faculty. On the basis of this review and evaluation, a determination is made as to whether the probationary period should be continued or terminated.

### 7.7.2 Procedures

This review is initiated by the department and carried out by the department chair and the tenured faculty of the department. This should result in two independent assessments (a department chair report and a faculty report) of the faculty member. All

candidates are encouraged to use a peer review process in the evaluation of their teaching. These reports are forwarded to the Dean who shall then request the college P&T committee to provide an assessment of the faculty member. The college report should include an evaluation of the faculty member's strengths and weaknesses, their progress towards tenure, and their continued match with the institution. The Dean shall make a decision regarding reappointment, documenting the decision and justification in a letter to the Provost. A separate letter from the Dean will be sent to the candidate to inform the candidate of the decision, including justification for the decision with suggestions for improvements, if appropriate. Additional reviews may be conducted according to departmental governance policies.

All of these assessments should be based on the faculty member's PRS and should be consistent with the criteria and standards used for promotion and tenure in the college. The faculty member is expected to provide a copy of their current curriculum vitae, copies of all scholarly publications, and copies of papers under review including correspondence from editors. Annual review reports are included in the dossier. External letters are not normally expected as part of this review. Personal statements are required on the faculty member's performance of position responsibilities.

### 7.7.3 Standards

This review should be guided by every PRS in effect during the period under review. The faculty member, by the end of their preliminary review year, should be making reasonable progress toward obtaining tenure. Evidence of progress in terms of scholarly publications, including papers under review and working papers, shall be shown. The various assessment reports shall clearly indicate the faculty member's potential for significant contributions to scholarship in teaching and research and potential for achieving tenure. General criteria identified in Section 7.4 provide guidelines for these assessments.

## 7.8 Promotion and Tenure Reviews

### 7.8.1 Purpose

Promotion to Associate Professor or Professor and tenure are granted to a faculty member on the basis of an assessment of the faculty member's cumulative achievements in their personal responsibility areas.

### 7.8.2 Procedures

Promotion and tenure reviews begin at the department level (FH 5.2.4.2). Each department should have a document that sets forth the standards and procedures for promotion and tenure within that department. The department document must not

conflict with either this governance document or the *Faculty Handbook*. The department document must be approved by the department faculty, the Dean, and the Provost.

The department review consists of two separate evaluations resulting in two independent reports – one carried out by the department promotion and tenure committee and the other by the department chair. The department committee report becomes a part of the candidate's dossier which goes to the department chair. The department chair's report is added to the dossier which is submitted to the Dean. The Dean forwards to the college promotion and tenure committee the candidate's advancement dossier including the reports written by the department committee and chair. Faculty members with administrative appointments in the Dean's or Provost's office are not eligible to serve on either department or college P&T committees.

Each dossier submitted to the college committee shall include the following:

- The department chair's report providing an evaluation of the candidate's performance in each of the PRS areas.
- The department promotion and tenure committee report providing an evaluation of the candidate's performance on each of the three PRS areas, with particular emphasis given to scholarship. The report should provide a recommendation concerning the advancement decision and a tally of the vote. In the case of a closely divided vote, the reasons for disagreement should be explained. In all cases, committee members voting in the minority must be afforded the opportunity to have their views stated to their satisfaction in the committee report or a separate report.
- Letters of evaluation from external reviewers.
- A list of reviewers provided by the candidate and those identified by the department committee.
- A brief statement from the department committee identifying the academic stature of the reviewers and providing the reasons for the selection of the reviewers.
- A copy of the letter sent to the external reviewers requesting their assessment of the candidate.
- A list of potential reviewers who were contacted by the department but refused to provide a letter.
- Curriculum vitae and personal statement. The personal statement allows each candidate to summarize their goals, accomplishments and future plans with regard to their position responsibilities. A rationale for the application, including the timing of the application, should be included as part of this personal statement.

- The faculty portfolio documenting the candidate's activities and achievements in each of the PRS areas with emphasis on research. These materials may be presented in the following form:
  - A teaching portfolio that contains various measures of teaching performance, any indication of student learning, peer acknowledgements and other evidence consistent with the general criteria in section 7.3.
  - A research portfolio that contain summaries of completed, current and proposed research (supplemented by scholarship of teaching and learning if applicable), evidence of peer recognition and impact such as peer reviews, citation counts, awards and other evidence consistent with the general criteria in section 7.3.
  - An extension and professional service portfolio describing activities and achievements in this area. This provides evidence consistent with the criteria in section 7.3.
  - An institutional service portfolio describing activities and achievements in this area.

All publication entries should provide the names of co-authors in the order in which they appear in the publication. Papers under review should be clearly identified and the submission and review time-line should be provided.

### 7.8.3 Standards

Promotion to Associate Professor with tenure is based on an assessment of the faculty member's achievements in research scholarship and scholarly teaching. Normally, the emphasis of this assessment is placed on one's research performance because of the initial hiring and PRS expectations. The faculty member should have both a strong academic record and demonstrate promise of further development and productivity in their academic career. The faculty member should clearly demonstrate excellence in scholarship of research. The faculty member is also expected to demonstrate effectiveness in all other areas of position responsibility, including appropriate institutional and professional service. The criteria listed in Section 7.3 and the department promotion and tenure document form the basis for determining performance in these areas.

Promotion to associate professor and tenure are typically considered simultaneously. Assistant professors are typically reviewed in the final year of their probationary period.

Promotion to Professor is granted to a faculty member who has an established and well-regarded national or international reputation for scholarship. A faculty member seeking promotion to Professor is also expected to demonstrate effectiveness in all

areas of position responsibility, including significant institutional and professional service.

## 7.9 Post-Tenure Reviews

Departments are required to conduct a post-tenure peer review (PTR) of each tenured faculty member according to the procedures and principles specified by the *Faculty Handbook*.

The department chair is responsible for initiating the PTR process for each faculty member to be reviewed. The department's applicable governance document shall provide for the tenured faculty members of the department, excluding the member under review, to elect the committee to conduct the PTR. If no such election is provided for or held, all tenured faculty members of the department, excluding the member under review, shall serve on the committee.

The committee shall review the faculty member's performance over the period since the later of 1) the faculty member's previous PTR that resulted in an overall recommendation of either "superior" or "meeting expectations", or 2) the faculty member's most recent promotion or tenure review. Each tenured faculty member shall be reviewed once every seven years except when the *Faculty Handbook* provides for either an earlier review or an exemption from review. The timing of this review is independent of the candidate's last promotion and tenure review. The materials to be considered in the review are:

- All of the faculty member's position responsibility statements in effect during the period of the review.
- All of the faculty member's professional responsibility reports related to the period under review.
- The faculty member's current curriculum vitae.
- A personal statement submitted by the faculty member summarizing their professional performance during the period under review.

If the PTR is triggered by two consecutive unsatisfactory annual reviews, the following additional materials are to be considered:

- All of the department chair's annual evaluations of the faculty member for the period under review (not only the two unsatisfactory reviews).
- Any materials submitted by the faculty member that focus on the position responsibilities in which the chair evaluated performance as unsatisfactory.
- Any action plan in effect during the period under review for performance improvement in areas deemed below expectations by a previous PTR.

The review committee shall present its findings in a written report to the department chair. The department chair shall provide a copy of the report to the faculty member. If the report deems any area of performance to be “below expectations”, the faculty member may respond in a written statement to the department chair. Any such statement received shall be attached to the report before forwarding to higher administrative levels.

The department chair shall forward the report to the Dean, who shall review the report and forward it to the Provost.

## 8 SELECTION AND EVALUATION OF COLLEGE ADMINISTRATORS

### 8.1 Evaluation of the Dean

#### 8.1.1 Overview

The policy for the review of the Dean is based on FH 5.5, which describes the purposes and results of the review, specifically:

- The review program should serve two purposes: (a) provide constructive and systematic faculty evaluation of college Deans and administrative organization; and (b) provide faculty opinion for the evaluation of Deans by the Senior Vice President and Provost; and
- The results of a review should be an improved capacity by the college offices and Deans for maintaining academic programs, attaining goals established for the college, and securing resources that support the teaching, research, and service of the university.

Evaluation of the Dean shall take place at least once every five years. The evaluation process is initiated and a schedule is developed by the Senior Vice President and Provost in consultation with the Faculty Executive Council. Typically the Review Committee receives the Self-Assessment Report from the Dean in the fall semester of the fifth year and the committee provides the Senior Vice President and Provost with an evaluation report in the spring semester of the fifth year.

#### 8.1.2 Participants

Those involved in the review process include the Senior Vice President and Provost, the Dean, the FEC, the Review Committee, the faculty, and other appropriate individuals and organizations. The Senior Vice President and Provost shall oversee the formation of the Review Committee. The Review Committee is an *ad hoc* committee established for the specific purpose of conducting the faculty evaluation of the Dean. The committee consists of at least the following members:

- One tenured faculty member, not currently serving on the FEC, from each department;
- One tenured faculty member currently serving on and selected by the FEC;
- One member representing the Ivy staff.

#### 8.1.3 Description of Review Process

As an initial step in the evaluation process, the Dean will prepare a self-assessment report covering the accomplishments and priorities of the Dean and the administrative organization of the college since the last evaluation review, and goals for



the future of the college. The self-assessment report is based on the listing of administrative duties and responsibilities in this governance document.

Input will be solicited by the review committee from several sources who are knowledgeable about the functioning of the college, such as faculty, administrative unit leaders in the college, P&S staff, merit staff, selected student leaders, and others. Comments are also solicited from appropriate individuals and groups outside of the faculty that have been identified by the committee and the Dean. Such individuals and groups may include alumni, representatives from state agencies, professional organizations, and advisory boards aligned with all the disciplines of the college. Input will be collected using a variety of strategies, including surveys. All responses sent to the review committee will be treated as confidential correspondence, subject to applicable privacy laws.

#### 8.1.4 Review Committee Report

The review committee prepares a report based on the self-assessment report and on the solicited responses from faculty, as well as evidence provided by other appropriate individuals and organizations, regarding the performance of the Dean.

The committee report is sent to the Senior Vice President and Provost. The Senior Vice President and Provost, after consultation with the Review Committee, determines the appropriate format for reporting to the faculty the outcome of the review process.

### 8.2 Evaluation of Associate Deans

The associate deans serve at the pleasure of the Dean and hold term appointments which are renewable. An appointment renewal is made on the basis of an evaluation conducted by the Dean who will solicit input from appropriate college personnel, such as administrators, faculty, staff, and others who are knowledgeable about the individual's professional performance. Other individuals and groups may include alumni, student leaders, and representatives from state agencies or other organizations that have had professional contact with the respective associate dean. At the beginning of the final year of the associate dean's appointment, the Dean will meet with the associate dean to determine whether they are willing to be considered for reappointment for another term. The Dean will consider all input in making reappointment decisions.

### 8.3 Evaluation of Department Chairs

#### 8.3.1 Faculty Role in Selection of Department Chairs

Department chairs are appointed by the Dean, in consultation with the department faculty, for a term of three to five years. Department faculty provides feedback and serves an advising role for the selection of the department chair. The Dean appoints a department chair search committee and nominations are solicited from either inside or outside of the college at the Dean's discretion.

Department chairs are evaluated for renewal of appointment by the Dean on the basis of performance of administrative and other position responsibilities. (FH 5.1.2) At the beginning of the final year of the department chair's appointment, the Dean will meet with the chair to determine whether they are willing to be considered for reappointment for another term. After the response is received, the Dean will meet with the respective department's faculty to discuss the reappointment and will solicit input from the faculty and other appropriate college personnel such as staff and others who are knowledgeable about the individual's performance. Other individuals and groups may include alumni, administrators, student leaders, and representatives from state agencies or other organizations that have had professional contact with the respective department chair. The faculty will make a recommendation to the Dean, in the manner designated by the departmental governance document. The Dean will take the faculty recommendation into account in making the reappointment decision.

## 9 Departmental Journal Lists

### 9.1 Purpose and Objective

Each department shall establish a journal list. The list shall be adopted by a majority vote of faculty members with research responsibilities. An objective of this list is to provide a standard set of journal quality metrics, thereby improving the comparability of journal recognition across departments and aiding both departments and the college in consistently evaluating faculty research and publications. The journal lists in no way supplant or supersede the guidelines for research evaluation articulated elsewhere in this governance document or in FH 5.2.4.2.

### 9.2 Content of Journal Lists

Each department determines which journals to include in its list. The journal list should report the following external journal impact metrics for included journals, recognizing that some metrics may be unavailable for some journals: rank in the Academic Journal Guide by Chartered ABS, classification in the Australian Business Deans Council Journal Quality List, inclusion status in the list of journals used by the *Financial Times* in its rankings of MBA programs (“FT 50” or future revisions thereof), five-year impact factor from *InCites Journal Citation Reports* by Clarivate Analytics, SCIMago Journal Rank, and Source Normalized Impact per Paper (SNIP) by Elsevier.

Departments are free to include additional quantitative and qualitative information and to categorize and rank journals.

### 9.3 Limitations

Journal lists are not comprehensive, and thus it should not be assumed that a publication in a journal not on the list has no value. Often, new journals are introduced before lists can be updated, and it can be appropriate for a faculty member to publish occasionally in journals in related disciplines. Moreover, high impact work may appear in journals not explicitly on any department’s list. In addition, the university encourages interdisciplinary research, which could result in faculty publications in journals outside the home department’s list. If faculty members’ publications appear in journals not on the list, it is incumbent on the faculty member to demonstrate the quality and impact of the publication outlet. In these cases the guiding principle should be to determine how the outlet is viewed by the faculty member’s primary discipline and by the external academic community more broadly. When possible, measures of a particular article’s impact (e.g., policy influence, citations, etc.) should be documented and considered independently of the publication outlet.

#### 9.4 Updating Journal Lists

Departments may update journal lists as frequently as they wish. To ensure that the journal lists reflect the latest developments within the discipline, each department should conduct a review of its journal list at least once every three years.

## **APPENDIX A: STANDING COMMITTEES OF THE GENERAL FACULTY**

### **1. Academic Standards Committee**

- a. Reports to the Faculty.
- b. Voting members: Three members of the General Faculty and two undergraduate students.
- c. Non-voting members: an associate dean and at least one representative from the college's undergraduate advising office.
- d. Chair: Faculty member elected by the voting members of the committee.
- e. Terms of voting members: No more than two new faculty members should be appointed in any one year.
- f. Responsibilities:
  1. Recommends policy to the faculty on matters of academic standards.
  2. Oversees advising in the college.
  3. Oversees the college's admissions policy.
  4. Directs the college's honors program.
  5. Monitors college student awards and scholarships.
  6. Considers issues of academic honesty.
  7. Committee chair represents the college on the Faculty Senate Academic Standards and Admissions Committee.
  8. A faculty member on the committee represents the college on the University Honors Program Committee. The committee chooses this representative at the first meeting.

### **2. Cabinet**

- a. Reports to the Dean.
- b. Membership: Dean (chair), Associate Deans, department chairs, the Faculty Senate Caucus Chair, and the Chair of Faculty Executive Council.
- c. Responsibilities:
  1. Advises the Dean on the formation and implementation of administrative policy.
  2. Counsels with the Dean regarding matters of college resource utilization.

3. Advises the Dean on appointments of faculty members to college committees.
4. Advises the Dean on other matters of interest to the college, such as strategic planning.

### **3. Computer Advisory Committee**

- a. Reports to the Dean or whomever the Dean directs.
- b. Membership: Three members of the General Faculty, no more than two of whom may be from the same department, appointed by the Dean; three students, two undergraduate and one graduate, appointed by the Dean or the Dean's designee; the Information Technology Manager (non-voting); and an associate Dean (non-voting) appointed by the Dean.
- c. Chair: A faculty member elected by the committee.
- d. Term of voting members: Faculty, two year staggered (i.e., no more than two new members appointed in any one year); students, until the end of the current academic year, renewable.)
- e. Responsibilities:
  1. Assess and make recommendations regarding services provided by the Ivy information technology services in support of teaching and learning.
  2. Monitor and make recommendations regarding policies and schedules for information technology services and facilities for students.
  3. Assess college information technology needs and make recommendations for the acquisition of hardware, software, supplies and services for classrooms, faculty offices, labs and other facilities used by faculty members and students for teaching, learning and research.
  4. Act as the college Student Technology Fee Committee pursuant to the Memorandum of Agreement that established the university-wide student technology (formerly computer) fee. In cooperation with the Dean,
    - i. establish and monitor policies governing the expenditure of college student technology fee income.
    - ii. recommend and approve specific expenditures of student technology fee income.
    - iii. recommend and approve changes in the level of the Majors Pool portion of the student technology fee for any or all majors in the college.

5. The committee chair represents the college on the university Committee on the Advancement of Student Technology for Learning Enhancement and its fee allocation subcommittee.

#### **4. Curriculum Committee**

- a. Reports to the Faculty.
- b. Membership: Six members of the General Faculty, one each from the departments of Accounting, Finance, Information Systems and Business Analytics, Management and Entrepreneurship, Marketing, and Supply Chain Management, appointed by the Dean. The associate deans and representatives of the college's undergraduate and graduate programs offices serve as non-voting members.
- c. Chair: Elected by the committee.
- d. Term of voting members: Two year staggered (i.e., no more than three new members appointed in any one year whenever possible).
- e. Responsibilities:
  1. Recommend policy regarding the college core curriculum.
  2. Recommend policy relative to catalog course offerings and formally write policies approved by the faculty.
  3. Evaluate departmental curriculum changes.
  4. Evaluate new course offerings and the elimination of courses.
  5. The committee chair represents the college on the Faculty Senate Curriculum Committee.
  6. The associate Dean with responsibility for graduate programs represents the college on the Graduate College Curriculum Committee.

#### **5. Faculty Executive Council**

*The full charter of the Faculty Executive Council appears in section 2 of this document. This summary is provided for convenient reference.*

- a. Reports to the General Faculty.
- b. Membership: All Ivy faculty senators plus the Chair of the Faculty Executive Council (FEC Chair). All members vote.

- e. Chair: FEC Chair, elected by the General Faculty.
- d. Term of voting members: Faculty senators, three year staggered; FEC Chair, two years (calendar year basis).
- e. Responsibilities:
  1. Represents faculty concerns about academic and administrative matters.
  2. Coordinates, in conjunction with Ivy administration, the structure and efforts of all standing and ad hoc committees of the college related to General Faculty responsibilities and concerns.
  3. Serves as the governance council for the General Faculty.
  4. Coordinates annual evaluation of all Ivy administrators.
  5. Serves as the Dean's budget advisory committee.

## **6. Faculty Development Committee**

- a. Reports to the Dean.
- b. Membership: One tenured or tenure-eligible faculty member from each of the college's departments, appointed by the Dean.
- e. Chair: Elected by voting members of the committee.
- d. Term of voting members: Two years with no more than three new members in any one year whenever possible.
- e. Responsibilities:
  1. Develop, promote, and suggest faculty development initiatives in research, teaching, and service. This includes faculty internships with firms and not-for-profit organizations.
  2. Advise and consult with the Dean with regard to funding for faculty development initiatives and faculty internships in research, teaching, and service.
  3. Evaluate and advise the Dean on all candidates for all competitive faculty awards and grants administered by the college.
  4. Identify and advise the Dean with regard to award and grant opportunities for faculty outside the college and university.
  5. Develop and disseminate guidelines to the faculty that will be used to evaluate awards and grants when such guidelines do not already exist.



6. The chair represents the college on the university Faculty Senate Committee on Recognition and Development.

**7. International Programs Committee**

- a. Reports to the Curriculum Committee.
- b. Membership: Three members of the General Faculty appointed by the Dean. The associate dean for academic affairs and the study abroad coordinator serve as non-voting members.
- c. Chair: Elected by the committee.
- d. Term: Two-year appointment.
- e. Responsibilities:
  1. Recommend policy regarding the International Business curriculum, including integration of international business instruction across the college.
  2. Recommend policy regarding international experiential opportunities for students and faculty.
  3. Recommend policy for generating funds for international opportunities for students and faculty.
  4. Represent the college on university committees pertaining to the administration and promotion of international education and programs, such as the Study Abroad Executive Committee and the Council on International Programs.

**8. Promotion and Tenure Committee**

- a. Reports to the Dean.
- b. Membership: One tenured faculty member with the rank of full professor from each department elected in accordance with Section 7.4 of this document.
- c. Chair: Elected by the committee.
- d. Term: One-year appointment.
- e. Responsibilities: See Section 7.4 of this document.

**9. Assessment of Learning Committee**

- a. Reports to the Faculty.

- b. Membership: One faculty member (with college voting rights) representing each of the current undergraduate majors, appointed by the Dean. The associate deans serve as non-voting members.
- c. Chair: Elected by voting members of the committee.
- d. Term of voting members: Faculty, two-year staggered (i.e., no more than four new members appointed in any one year).
- e. Responsibilities:
  - i. Oversee college and departmental assessment processes for both undergraduate and graduate curricula
  - ii. Aid in the on-going development of direct outcomes assessment measures
  - iii. Consolidate, evaluate, and monitor assessment data within the college
  - iv. Communicate assessment information with Curriculum Committee, faculty and administration
  - v. Log/monitor actions taken by faculty in response to outcomes assessment

## **10. The MBA Core Faculty Team**

- a. Reports to the Associate Dean for Graduate Programs.
- b. Membership: The Core Team is comprised of the business faculty teaching the MBA core courses. Members are appointed and replaced by the respective department chairs in consultation with the associate Dean with responsibility for graduate programs. Input from the existing members of the Core Team should be sought.
- c. Chair: Elected by the voting members of the team.
- d. Terms: Terms of appointment to the Core Team will normally be for three years and are renewable. No more than three new Core Team members should be appointed in any one year.
- e. Stipend: The Dean shall determine whether a stipend will be provided to Core Team members for carrying out the myriad responsibilities required for successful design and delivery of the core curriculum, promotion of the MBA program, and professional development of the MBA students (these responsibilities are delineated below).

- f. **Responsibilities:** The Core Team is expected to provide leadership in core curriculum development and implementation as well as professional development and learning activities outside the classroom. The Core Team has the following roles and responsibilities. Failure to fulfill these responsibilities by an individual Core Team faculty member is cause to be replaced.
1. Maintain consistency in course content across the full and part-time MBA programs by teaching in all three programs.
  2. Develop integrative mechanisms that cut across the functional and organizational core content areas. The MBA core faculty are responsible for communicating the content of integrative mechanisms (e.g., books/readings, course outlines, cases, etc.) to other graduate faculty.
  3. The Core Team will continuously review the content and delivery of the MBA core curriculum, and will make recommendations to the college of Business Curriculum Committee regarding changes in the MBA core curriculum.
  4. Serve as the liaison between the MBA program and the college of Business Outcomes Assessment Committee.
  5. Help develop and participate in the MBA new student orientations, special lectures, workshops, colloquia, and similar events.
  6. Serve as mentors for MBA student teams, and assist in advising and counseling individual MBA students.
  7. Advise and participate in the organization and administration of MBAA service learning projects.
  8. Advise and participate in the organization and administration of MBA student team case competition.
  9. Serve as the selection committee for MBA student and team awards.
  10. Help promote and obtain feedback on MBA programs by participating in information forums, roundtables, and similar events and activities.
  11. Actively encourage the participation of other college faculty in MBA program events and activities.

## **11. Doctoral Program Committee**

- a. Reports to the associate Dean with responsibility for graduate programs.
- b. **Membership:** DOGE for the Ph.D. Program, all members of active doctoral area committees, and Associate Dean for Graduate Programs (non-voting).

- c. Chair: DOGE for the Ph.D. Program.
- d. Term of members: Members serve for the duration of their appointments as Ph.D. program chair, area committee member or associate Dean for graduate programs.
- e. Responsibilities:
  - 1. Make admission decisions.
  - 2. Recommend changes to doctoral curriculum and courses to the appropriate curriculum committee.
  - 3. Approve requests for study program extension and extended leave from students.
  - 4. Approve changes to the Ph.D. Handbook.
  - 2. Evaluate and recommend doctoral research grant applications to the Associate Dean for Graduate Programs.
  - 3. Review doctoral assistantship research time allocations.

## APPENDIX B: FACULTY ADVANCEMENT AND REVIEW DUE DATES

### Promotion and Tenure Reviews

On or before	Action
April 15	<p>The candidate provides a letter of intent and a list of names of five potential external reviewers to the department chair. The list must include a brief but specific description of the candidate's relationship, if any, with each of the possible reviewers. Only when there has been no prior direct or indirect contact is "no relationship" an acceptable description.</p> <p>Optionally, the candidate also may submit a list of up to three people in the field who will not be contacted as reviewers.</p> <p>The candidate may consult with ISU colleagues about appropriate reviewers and their institutions. The candidate should never have direct contact with potential external reviewers about the process.</p>
May 1	The department P&T committee meets to select and initiate contact with external reviewers.
September 1	The candidate submits the Promotion and Tenure Vita and Faculty Portfolio (including the personal statement and other material) to the department chair. The department P&T committee begins consulting with the candidate about the sample of scholarly products to be sent to the external reviewers.
September 15	The department sends a letter, the candidate's PRS in effect during the time period under review, the candidate's vita and personal statement, and the sample of scholarly products to the external reviewers.
October 15	Receive letters from the external reviewers.
Departmental date	The departmental P&T committee submits its report to the department chair.
November 10	The department chair submits the departmental committee and department chair reports to the Dean.
December 15	The college P&T committee submits its report to the Dean.

### **Preliminary Reviews of Probationary Untenured Faculty**

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On or before	Action
January 10	<p>The faculty member provides department chair with a copy of the faculty member's current curriculum vitae, copies of all research and teaching publications, and copies of papers under review including letters from editors, and a personal statement on the performance of position responsibilities.</p> <p>The department chair conveys the materials provided by the faculty member and copies of the faculty member's position responsibility statements and annual review reports to the department committee.</p>
February 28	<p>Department committee and department chair reports sent to the Dean with subsequent forwarding to college P&amp;T committee for evaluation.</p>
March 31	<p>College P&amp;T committee submits report to the Dean.</p>
April 30	<p>Dean's decision conveyed to the faculty member on or before this date.</p>

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### **Term Faculty Renewal of Appointment**

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On or before	Action
March 15	The faculty member submits their renewal review packet to the department. The departmental committee begins reviewing the case.
April 15	The departmental committee submits its report to the department chair.
April 30	The department chair notifies the faculty member of the decision and submits contract renewal documents to HR Coordinator if applicable.
May 15	Deadline for renewal contract or formal notice of non-renewal to be sent.

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### **Term Faculty Advancement**

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On or before	Action
November 1	The faculty member submits their advancement application packet to the department. The departmental committee begins reviewing the case.
December 1	The departmental committee submits its report to the department chair.
February 1	The department chair informs the faculty member of the departmental reports and submits the renewal packet and reports to the Dean.
February 28	The Dean notifies the faculty member in writing of the Dean's recommendation.
March 1	Materials for final decision are forwarded to the Provost's office.

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## **Post-Tenure Reviews**

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<b>On or before</b>	<b>Action</b>
December 1	Department chair notifies the faculty member to be reviewed of the need to conduct the PTR.
January 26	Faculty member submits current CV and personal statement to the department chair.  The committee to conduct the PTR is organized.
January 31	Department chair forwards all required materials to the chair of the review committee.
February 20	Review committee submits report.
March 1	Department chair meets with the reviewed faculty member to discuss the report and provide the faculty member with a copy.
March 8	Faculty member submits optional response to the PTR report to the department chair in case of a finding of “below expectations” in any performance area.
March 15	Department chair forwards post-tenure review materials to the Dean.
April 1	Dean forwards post-tenure review materials to the Office of the Senior Vice-President and Provost.
September 1	Department chair, review committee chair and faculty member complete and sign the performance improvement plan in case of a finding of “below expectations” in any performance area.

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## APPENDIX C: SAMPLE EXTERNAL REVIEWER LETTER

Dear \_\_\_\_\_ :

(Name) is being considered for tenure and promotion to the rank of (Associate Professor/Professor) at Iowa State University. The promotion and tenure review committee of the Department of (department) requests your candid assessment of Dr. (surname)'s scholarly contributions to the field of \_\_\_\_\_. You may recall that we discussed in the spring your availability to perform this service now.

(Enclosed/Attached) is a packet of Dr. (surname)'s recent publications, curriculum vitae, personal statement, and relevant parts of our promotion and tenure document. We would like your assessment of their works and your answers to these specific questions:

- Do you know (Name) and if so, for how long and under what circumstances?
- How would you assess the contribution to the discipline made by (Name)?
- Which publications would you judge to be most significant and why?
- How would you assess (Name)'s development as a researcher?

We would greatly appreciate any additional comments you might provide us.

Please note that Dr. (surname) has/has not waived their right to see the review letter written by you. Under university policy, Dr. (surname) will not be informed of or be allowed to view your name and affiliation. Faculty members and administrators who see your identity or comments while participating in the review process will hold them in confidence. It is possible that Dr. (surname) will see anonymized summaries of or quotes from your comments in internal review reports. Of course, it is impossible for any institution to guarantee that an external evaluator could not be identified as the result of subsequent litigation or regulatory action.

For your comments to receive full consideration, we request that your letter reach us no later than (date). We request that you e-mail your letter in PDF format and include a scanned or digitally reproduced traditional signature, or alternatively, mail a signed physical copy. If you are unable to provide your assessment by this date, please let me know as soon as possible.

Please include a brief (1 to 2 pages) biographical profile or curriculum vitae so that faculty and administrators in other disciplines, who will review this candidate, can better understand your qualifications as an external reviewer. If you have questions, please contact me by e-mail at (xxxxxxx@iastate.edu) or call me at (xxx) xxx.xxxx.

Sincerely,

(etc.)

(enclosures/attachments)

## **APPENDIX D: PROFESSIONAL RESPONSIBILITY REPORT ITEMS**

**I. SCHOLARSHIP.** All citations should be complete and all necessary bibliographic notation including: co-authors (in proper order of authorship, title of publication, journal or book in which the publication appears, volume number (if appropriate), date, publisher and place of publication (if appropriate), etc.

- A. Refereed journal articles (current year and previous year)
- B. Non-refereed journal articles (current year and previous year)
- C. Book, chapters in books, and monograph
- D. Other publications including proceedings
- E. Presentations and conference participation (with type of participation)
- F. Research and scholarship of teaching and learning papers under review (with journal and stage of review process, including dates))
- G. Research and scholarship of teaching and learning papers in process (indicate title and pages and targeted journal)
- H. Awards and honors in research or scholarship of teaching and learning.
- I. Research and scholarship of teaching and learning grants and proposals (list all proposals and describe results of your efforts)
- J. Creation of intellectual property

## **II. SCHOLARLY TEACHING**

- A. Significant curriculum and course development work
- B. Courses involved in outcomes assessment activities (Including any courses you taught that were selected to be used for college, departmental, or major related outcomes assessment activities and state the degree of involvement).
- C. Release time granted (describe purpose and outcomes)
- D. Student development
  - 1. Advising students
  - 2. Undergraduate honors committees (indicate chair or member)
  - 3. Independent study and internship courses (indicate course, semester, and student name)
  - 4. Graduate student committees (indicate student name and whether chair or member of the committee and whether it is a doctoral dissertation, master's thesis, or master's creative component.

5. Leadership and involvement in student case competitions, business plan development competitions, leading study abroad and study tour groups, and other events of a similar nature
6. Student publications (indicate role)
7. Student organizations (indicate role, e.g., advisor)
8. Placement of students at all levels of study (indicate role)
9. Awards and honors in teaching
- E. Teaching evaluations from continuing education and extension programs
- F. Teaching (other than scholarship of teaching and learning) grants and proposals (list all proposals and describe results of your efforts)
- G. Application of scholarship of teaching and learning to courses and student development
- H. Other

### **III. OUTREACH/PROFESSIONAL SERVICE PORTFOLIO**

- A. Continuing education, workshop activities, and non-credit offerings
- B. Consulting (for pay or no pay)
  1. Iowa companies, communities, and non-profit organizations (Including government agencies)
  2. Outside of Iowa
- C. Other outreach activities (e.g. research involving organizations from which the organization might benefit, student or faculty projects for the organization, etc.)
  1. Iowa companies, communities, and non-profit organizations (Including government agencies)
  2. Outside of Iowa
- D. Professional Service
  1. Editorial board activities
  2. Referee or reviewer involvement
  3. Association activities
- E. Awards and honors for professional service
- F. Other

### **IV. INSTITUTIONAL SERVICE**

- A. Department, college and university committees (including role)
- B. Generation of funds from non-research activities

C. Special assignments (including role)