

GOVERNANCE DOCUMENT

School of Education

College of Human Sciences

Iowa State University of Science and Technology

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GOVERNANCE DOCUMENT

SCHOOL OF EDUCATION Iowa State University

I. PREAMBLE

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

Mission, Vision and Governance

The mission of the School of Education is to create, share, and apply knowledge and to advocate for equal educational opportunities and socially responsible educational reform in Iowa, the nation and the world. The School will prepare excellent research-informed educators, researchers, administrators, and others in educational roles. (Approved by faculty May, 2011).

Vision

The School of Education will be a premier leader in education based on a strong foundation in the humanities and social sciences with a noted emphasis in leadership, and science, technology, engineering and mathematics (STEM) education. The School will advance research and scholarship in the areas of teaching, learning, and leadership and in the preparation of professionals for educational environments across multiple settings. (Approved by faculty May, 2011).

Concept of Shared Governance

Shared governance is a critical component of collegial and collaborative relationships in SOE. The existing structure underscores the collaborative relationship between faculty and college administration. The circle of collaboration in the college extends beyond faculty and includes staff and graduate and undergraduate students. Students are invited to serve on key college and departmental committees and are elected to serve on the Student Council.

The structure and procedures for faculty participation in governance have been clearly developed, approved, and established by the joint action of the various components of the college. Faculty representatives to various university, college, and school committees are

elected/selected by the faculty and/or appointed by the director and/or the dean according to procedures designated in this governance document.

Membership in faculty governance is extended to all faculty members on appointments of at least one academic year in length with a minimum of 50% FTE appointment in the college and with a status or rank of tenured or tenure-eligible faculty, lecturers, senior lecturers, clinicians, senior clinicians, and adjunct appointments at any academic rank. All such faculty members except the dean, associate deans, and director are eligible for election to the faculty committees at department levels. Elections are arranged and conducted by the faculty or the director in accordance with school governance documents.

II. MEMBERSHIP IN SCHOOL

- A. **CRITERIA.** All tenured, tenure-eligible faculty, senior clinicians, clinicians, senior lecturers, lecturers, and adjunct faculty with positions budgeted within the School are members of the faculty of the School. Unless specifically noted otherwise in this document, these definitions apply in any use of the term faculty member.
- B. **VOTING ELIGIBILITY.** Voting is limited to faculty members on appointments of at least one academic year in length with a minimum of 50% FTE appointment in the School and with a status or rank of tenured or tenure-eligible faculty, lecturers, senior lecturers, clinicians, senior clinicians, and adjunct appointments at any academic rank. Visiting professors, collaborators, affiliates, and non-tenure eligible research (NTER) appointments at any rank are excluded from voting. Faculty with a minimum of 50% FTE appointment in the School that are jointly administered by the CHS and another college and that meet the criteria specified above are eligible to vote. (Source: CHS Governance Document, 2012, p. 9)
- C. **VOTING PROCEDURES.** During SOE faculty meetings, two methods of voting regarding agenda items that require action will be implemented: 1) agenda items that relate to, Governance Document and other major issues will be conducted by electronic ballot within 7 calendar days after being presented for a vote during the faculty meeting; 2) agenda items such as modification of agenda, approval of *ad hoc* committees, etc. will be conducted by voice vote (or ballot). For agenda items related to item 1, a two-thirds vote is required for a motion to pass. For agenda items related to item 2, a simple majority is required for a motion to pass.

III. GOVERNANCE STRUCTURE

- A. **THE FACULTY.** The faculty is the legislative body of the School and has ultimate responsibility for approving educational policies and procedures of the School, including curriculum and course revisions and grading procedures.

- B. **COMMITTEES.** Committees are responsible for advising the faculty regarding the development of educational policies and procedures of the School. Except where noted herein, faculty members are appointed to committees by the Director.
- C. **DIRECTOR.** The Director is the School's chief executive officer and is responsible for carrying out School, College and University policies.

IV. ADMINISTRATION OF THE SCHOOL

A. DIRECTOR

1. **APPOINTMENT.** The School is administered by a Director, who is appointed by the Dean of the College of Human Sciences, subject to the approval of the Provost of the University, the President of the University, and the Iowa Board of Regents.
2. **LENGTH OF TERM.** The length of initial appointment of the Director varies from three to five years, depending on the School's administrative needs. The Dean sets the length of term of the appointment. Ordinarily, the Director serves two consecutive terms not to exceed 10 years.
3. **REAPPOINTMENT.** When appropriate, the Dean initiates the reappointment process in the next to last year of the Director's term in office by seeking the opinion of the faculty regarding whether the incumbent Director should be reappointed. The Dean then decides whether to reappoint the incumbent Director.
4. **REPLACEMENT.** If the Dean decides not to reappoint the incumbent Director, the Dean initiates the replacement process by seeking the opinion of the faculty regarding whether it favors an internal or external search. The Dean then decides whether there will be an internal or external search and appoints a search committee, which carries out the search according to University policies and practices. The search committee is responsible for recommending candidates to the Dean.
5. **VACANCY.** If the incumbent Director takes a leave from office, resigns, or is not able to complete the term in office, the Dean appoints an Acting Director after seeking the opinion of the faculty regarding the best candidates. The Acting Director serves in office until the Director returns from the leave or until a permanent Director is selected through the ordinary replacement process.
6. **REPLACEMENT FOR CAUSE.** The Dean may remove the Director for cause at any time during the Director's term in office. Should the Director be removed for cause, the Dean appoints an Acting Director after seeking the opinion of the faculty regarding the best candidates. The Acting Director serves until a Director is selected through the ordinary replacement process.

7. **RESPONSIBILITIES.** The Director's overall responsibilities include faculty development, program development and administration of the School. For specific responsibilities of the Director, see the School Policies and Procedures Manual.

8. **EVALUATION OF DIRECTOR.** As documented in the Faculty Handbook, Section 5.1.2, "*Periodically each Director/school director is evaluated on the basis of his or her administrative responsibilities and accomplishments. This review is normally initiated by the college dean as a part of a reappointment decision. Mechanisms for department/school faculty input are provided within the evaluation process.*"

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

B. ASSOCIATE DIRECTOR, ADMINISTRATION

1. **APPOINTMENT.** The Associate Director, Administration is a faculty member who is appointed by the Director after consulting with the Dean and the School's faculty. The Associate Director, Administration serves in at least half-time capacity in the position.

2. **LENGTH OF TERM.** The Associate Director is appointed to a two-year term, which is renewable. Ordinarily, no faculty member serves longer than a total of eight consecutive years as Associate Director.

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

4. **VACANCY.** If the Associate Director is unable to complete the term in office, the normal replacement process is initiated.

5. **REPLACEMENT FOR CAUSE.** The Director may remove the Associate Director for cause at any time during the Associate Director's term in office. Should the Associate Director be removed for cause, the Director initiates the regular appointment procedure for filling the vacancy.

6. **RESPONSIBILITIES.** The Associate Director, Administration undertakes School duties assigned by the Director. In addition, the Associate Director serves as Director

when the Director is temporarily absent. The Associate Director is expected to remain active as a scholar. For specific responsibilities of the Director, see the School Policies and Procedures Manual.

7. ANNUAL REVIEW. The Associate Director is evaluated annually by the Director, who consults with the faculty.

C. ASSOCIATE DIRECTOR, EDUCATOR PREPARATION

1. APPOINTMENT. The Associate Director, Educator Preparation is a faculty member who is appointed by the Director after consulting with the Dean and the School's faculty. The Associate Director, Educator Preparation serves in at least half-time capacity in the position.

2. LENGTH OF TERM. The Associate Director is appointed to a two-year term, which is renewable. Ordinarily, no faculty member serves longer than a total of eight consecutive years as Associate Director.

3. REAPPOINTMENT. When considering the reappointment of the Associate Director, the Director consults with the Dean and the School's faculty before making the reappointment decision.

4. VACANCY. If the Associate Director is unable to complete the term in office, the normal replacement process is initiated.

5. REPLACEMENT FOR CAUSE. The Director may remove the Associate Director for cause at any time during the Associate Director's term in office. Should the Associate Director be removed for cause, the Director initiates the regular appointment procedure for filling the vacancy.

6. RESPONSIBILITIES. The Associate Director, Educator Preparation undertakes School duties assigned by the Director. The Associate Director is expected to remain active as a scholar. For specific responsibilities of the Director, see the School Policies and Procedures Manual.

7. ANNUAL REVIEW. The Associate Director is evaluated annually by the Director, who consults with the faculty.

D. ASSOCIATE DIRECTOR, RESEARCH AND GRADUATE PROGRAMS

1. APPOINTMENT. The Associate Director, Research and Graduate Programs is a faculty member who is appointed by the Director after consulting with the Dean and the School's faculty. The Associate Director, Research and Graduate Programs serves in at least half-time capacity in the position.

2. **LENGTH OF TERM.** The Associate Director is appointed to a two-year term, which is renewable. Ordinarily, no faculty member serves longer than a total of eight consecutive years as Associate Director.

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

4. **VACANCY.** If the Associate Director is unable to complete the term in office, the normal replacement process is initiated.

5. **REPLACEMENT FOR CAUSE.** The Director may remove the Associate Director for cause at any time during the Associate Director's term in office. Should the Associate Director be removed for cause, the Director initiates the regular appointment procedure for filling the vacancy.

6. **RESPONSIBILITIES.** The Associate Director, Research and Graduate Programs undertakes School duties assigned by the Director. The Associate Director is expected to remain active as a scholar. For specific responsibilities of the Director, see the School Policies and Procedures Manual.

7. **ANNUAL REVIEW.** The Associate Director is evaluated annually by the Director, who consults with the faculty.

E. DIRECTOR OF UNDERGRADUATE EDUCATION (DUGE)

1. **APPOINTMENT.** The Director of Undergraduate Education (DUGE) is a faculty member who is appointed by the School Director after consulting with the Dean and the School's faculty. He/She serves at the pleasure of the Director. The DUGE serves in at least half-time capacity in the position.

2. **LENGTH OF TERM.** The DUGE is appointed to a two-year term, which is renewable.

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

4. **VACANCY.** If the DUGE is unable to complete the term in office, the normal replacement process is initiated.

5. **REPLACEMENT FOR CAUSE.** The Director may remove the DUGE for cause at any time during the Director's term in office. Should the DUGE be removed for cause, the Director initiates the regular appointment procedure for filling the vacancy.

6. **RESPONSIBILITIES.** The DUGE undertakes School duties assigned by the Director. The Director of Undergraduate Education chairs the Undergraduate Studies Committee and is responsible for carrying out School policy and making day-to-day administrative decisions concerning the undergraduate program. In addition, he/she is expected to remain active as a scholar. The Director of Undergraduate Education's teaching and other School responsibilities are adjusted to accommodate these administrative duties.

7. **ANNUAL REVIEW.** The DUGE is evaluated annually by the Director, who consults with the faculty.

F. **DIRECTOR OF GRADUATE EDUCATION (DOGE)**

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

2. **LENGTH OF TERM.** The DOGE is appointed to a two-year term, which is renewable.

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

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

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

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

7. **ANNUAL REVIEW.** The DOGE is evaluated annually by the Director, who consults with the faculty.

V. FACULTY MEETINGS

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

- A. **REGULAR FACULTY MEETINGS.** Regular faculty meetings are called by the Director and ordinarily are held at least monthly during the fall and spring semesters to conduct School business using an agreed upon structure such as Roberts Rules of Order. Faculty members wishing to discuss specific topics ordinarily will notify the Director at least 48 hours before the meetings so the topics can be on the agenda. Ordinarily, the agenda will be circulated by the Director to the faculty at least 24 hours before the meeting. Items on the agenda may be added, deleted or reordered if there is no objection from the faculty. If there is objection from the faculty, a simple majority vote of the faculty at the meeting decides the question.
- B. **EMERGENCY FACULTY MEETINGS.** Emergency faculty meetings may be called by the Director or by a petition signed by five or more faculty members provided at least two hours' notice is given and a reasonable effort has been made to notify faculty. Only business of an emergency nature may be conducted at an emergency faculty meeting.
- C. **INFORMATIONAL FACULTY MEETINGS.** Informational faculty meetings may be called by the Director or at the request of two or more faculty members. Any topic may be discussed at informational faculty meetings, but no binding votes may be taken.
- D. **VOTING PROCEDURES.** In order to conduct a vote on agenda items at a faculty meeting, two methods will be implemented depending on the agenda item: 1) agenda items that relate to P&T, Governance Document, and other major issues will be conducted by electronic ballot within 7 calendar days; 2) agenda items such as modification of agenda, approval of *ad hoc* committees, etc. will be conducted by voice vote (or ballot). For agenda items related to item 1, a two-thirds vote is required for a motion to pass. For agenda items related to item 2 a simple majority is required for a motion to pass. (Refer to A. Voting Procedures under "Membership in School.")
- E. **QUORUMS.** For regular and emergency faculty meetings, a quorum consists of a majority of the faculty members, excluding those on leave. A quorum is not required for an informational faculty meeting.
- F. **MINUTES.** The Director will ensure that minutes of faculty meetings are taken and distributed to the faculty members so the minutes can be considered and approved by the faculty at a subsequent faculty meeting.

VI. FACULTY COMMITTEES

One of the principal ways in which the faculty shares in the governance of the School is through participation in its committees. It is within committees that School policies and procedures are debated and developed before they are recommended to the faculty for approval.

A. The School committees are:

1. PROMOTION AND TENURE*
2. LONG-RANGE PLANNING
3. GRADUATE STUDIES
4. UNDERGRADUATE STUDIES
5. BUDGET ADVISORY
6. UNDERGRADUATE SCHOLARSHIPS
7. AWARDS
8. COMPUTATION ADVISORY COMMITTEE (CAC)
9. EARLY CHILDHOOD COORDINATING (ECE)
10. STUDENT GRIEVANCE

*Membership to P&T committee is based on tenure and rank status. Details about voting eligibility are provided in Section VIII - Promotion and Tenure Review Procedures.

Except where noted herein, the composition of the School committees, their responsibilities and procedures for appointment are found in the *School Policies and Procedures Manual* (see Addendum).

B. *AD HOC COMMITTEES.* *Ad Hoc* committees and sub-committees may be created by the Director, after approval by the faculty at a regular faculty meeting, to handle special assignments, such as the search for a new faculty member. In emergencies, *Ad hoc* committees may be created by the Director without prior approval of the faculty, but faculty approval must be sought at the next regular faculty meeting. *Ad hoc* committees disband when their assignments are completed.

VII. FACULTY APPOINTMENT POLICIES AND PROCEDURES

A. FACULTY APPOINTMENTS

When a vacancy in the faculty is to be filled, the guidelines to be followed are:

1. The duties and qualifications to be included in the position description will be based on consultations with the program coordinator and the faculty of the area in which the vacancy exists.
2. The "Notice of Vacancy" announcement must be approved by the Director, the Dean of the College, the Recruitment and Employment/Equal Opportunity and Diversity Offices, and the Executive Vice President/Provost.
3. The search committee will be comprised of no fewer than three faculty members appointed by the Director and must include members from the area in which the vacancy exists. The chair of the committee will be appointed by the Director.
4. The search committee, together with the faculty of the program area, will play an active role in the evaluation of applicants and should share their views with the Director. The faculty's and the Director's recommendations are then sent to the Dean.
5. Final negotiations associated with offers of employment are handled by the Director and the Dean of the College of Human Science.

More information can be found about appointment policies and procedures in the [Faculty Handbook](#), Sections 3.1-3.4.

B. DEPARTMENTAL NON-TENURE TRACK FACULTY

The School of Education does not consider non-tenure track faculty appointments to be a "right" or in any sense "automatic" upon meeting some set of criteria. Decisions are made on an individual basis where it is considered mutually beneficial to both the school and the candidate. The following sections define these appointments and the procedures to be followed in making such appointments.

C. TYPE OF APPOINTMENT

Adjunct appointments can be made at any academic rank from lecturer through professor. Appointments can be made for up to three years. The purpose of adjunct appointments is to address special circumstances related to teaching, research, service, or all three.

Persons considered for adjunct status should have:

- Professional expertise and practical experience needed by the program areas.
- An earned doctorate.
- Eligibility to serve on the graduate faculty.

Adjuncts should demonstrate evidence of quality and productivity by:

- Obtaining student evaluations for each class they teach.
- Participating in a review process with the Director, which should include a self-evaluation provided to the Director, with copies of syllabi of any courses taught, a

list of committees upon which the adjunct has served, and a reflective statement of the adjunct's contributions to the school.

Adjuncts are eligible for promotion, but cannot be granted tenure. If an adjunct volunteers to teach a night class, he or she will be compensated similarly to part-time lecturers. In the rare instance where an adjunct is used to teach classes during the day, arrangements for payment will be made by the Director with the sending agency.

Visiting appointments are normally intended to provide special input into the teaching or research program of the school. A visitor is usually a member of the faculty of another institution and is appointed at the rank held at that institution. A visitor may, however, also come from business, industry, or government, in which case the appointment is at a rank consistent with the individual's professional experience.

A visiting appointment is normally for one academic year but may be for a shorter period of time. The person is not considered to be tenured at Iowa State, nor does the visiting appointment count as a part of a probationary period leading to a promotion and tenure decision.

Lecturers and Clinicians are limited term, full- or part-time renewable appointments of no less than one semester and no more than three years.

Senior Lecturers and Senior Clinicians are limited term, full- or part-time renewable appointments not to exceed five years, requiring a notice of one year of intent not to renew. To be eligible for appointment as Senior Lecturer or Senior Clinician the individual shall have served as a Lecturer or Clinician or its equivalent for a minimum of six years or completed 12 semester FTEs of employment.

Affiliates are persons appointed to the faculty without financial obligation on the part of the university to carry out scholarly activities from which both the individual and the school will benefit. Affiliates are not employed on a regular basis outside the university. Ordinarily an affiliate appointment is initially made at the rank of assistant professor, although it may be made at other ranks if appropriate. It is typically made for at least one year but it may be made for up to three years. The conditions of the appointment, including the extent to which the school will provide support services for the individual, are stated in a written agreement signed by both parties at the time of the appointment. An affiliate is not tenured, and time spent in affiliate status is not considered to be service in a probationary period leading toward tenure.

Collaborators are persons appointed to the faculty with no financial commitment on the part of the university. Typically they are persons whose special expertise is deemed useful to the university in connection with a particular teaching or research program. A collaborator is not tenured, does not serve a probationary period leading toward tenure, and does not participate in the university's benefits program.

The use of **Part-time Instructors** should be limited. Use part-time personnel only for special expertise, and when purchasing time of faculty for grants and contracts.

D. **APPOINTMENT PRIVILEGES**

All of the above appointments are subject to review by the school at any time. None of these appointments include the voting rights pertaining to promotion and tenure of tenured and tenure-track appointments. Appointees are encouraged, but not required, to attend faculty meetings.

Nomination and Approval Procedures

Nomination for appointments can be made by any member of the faculty but usually would be put forward by several individual faculty or a program area. Nominations would include (a) a statement of the rationale for the appointment that includes the expected benefits for the appointee as well as the school, (b) suggested type of appointment, rank, and term, and (c) a resume or vita and any relevant support documents.

The Director will then formulate a recommendation, notify faculty of any intent to recommend an appointment, and make available appropriate materials (e.g., vita, area's statement of rationale) for faculty review at least one week before an initial faculty meeting discussion.

Evaluation, Renewal, and Advancement Policies

Non-tenure eligible faculty positions are term appointments eligible for renewal based upon the quality of performance and the continuing need of the unit. They are subject to approval by the dean and provost. Individuals appointed to these positions will be evaluated for compensation and advancement using established criteria appropriate to their positions.

Evaluations for renewal appointment will be conducted by an appropriate faculty committee and recommended by the Director/school at the time of reappointment. Additionally, performance evaluations conducted by a faculty member should be completed at least every six semesters of employment for those who will be considered for future re-appointment and shall be based on the individual's Personal Responsibility Statement. See the Faculty Handbook, Section 5.1.1.2, for related information on annual reviews.

E. **CRITERIA FOR ELIGIBILITY**

Lecturer and Clinician: a limited term, full or part-time appointment from one semester to three years and renewable. After a minimum of six years of the completion of 12 semester FTEs of employment, the individual has the right to be reviewed for advancement by the appropriate department/school committee. Criteria for advancement shall be based on the quality of work relative to the individual's Position Responsibility Statement. The three outcomes of this review include recommendation for advancement to Senior Lecturer or Senior Clinician; continuation of appointment as Lecturer or

Clinician; or non-renewal of contract. Individuals who are not recommended for advancement are eligible to reapply in subsequent years. An outcome of the review process should be to provide constructive feedback to the individual regarding progress in meeting departmental/school criteria for advancement.

Senior Lecturer and Senior Clinician: a limited term, full or part-time renewable appointment not to exceed five years, requiring a notice of one year of intent not to renew. To be eligible for appointment as Senior Lecturer or Senior Clinician the individual shall have served as a Lecturer or Clinician or its equivalent for a minimum of six years or completed 12 semester FTEs of employment.

Adjunct appointment: a limited term, full or part-time renewable appointment not to exceed five years for each appointment, requiring a notice of one year of intent not to renew except when the appointment is for a year or less.

Professional and Scientific (P&S) non-tenure-eligible appointment: employees on the P&S status may be appointed to limited term, renewable appointments, from one to five years, to carry out faculty duties as specified in the Faculty Handbook, Section 3.3.2.5.

Tenured and tenure-eligible faculty shall be responsible for selecting, reviewing, and renewing non-tenure-eligible faculty appointments, consistent with the principles of shared governance, and in accordance with each unit's governance document. This purview includes all personnel carrying out instructional duties providing course credit.

F. EVALUATION, RENEWAL, AND ADVANCEMENT PROCEDURES

In addition to the above policies established in conjunction with the faculty senate, the following practices apply to Lecturers, Senior Lecturers, Clinicians, Senior Clinicians, and Adjunct appointments:

- Since the appointment of Lecturers and Clinicians is for a specified period of time, no special notice of intent not to renew is necessary.
- Persons on appointment as Lecturers and Clinicians may be reviewed for advancement to Senior Lecturer or Senior Clinician and may be advanced without a search.
- Persons on adjunct appointment may be reviewed by an appropriate faculty committee for advancement to Adjunct Associate Professor or Adjunct Professor using established criteria appropriate to the position.
- Persons appointed as Senior Lecturer and Senior Clinician must receive notice by May 15 of the year preceding the end of the term appointment (or at least 12 months in advance of the end of the term appointment when the appointment end date is not May 15) of intent to renew or not renew.
- Renewal of Senior Lecturers and Senior Clinicians or adjunct appointments must be approved by the dean and the provost. Request for approval should include a summary of the review results and a statement regarding the continuing need of the unit.

- Both full-time and part-time non-tenure-eligible faculty will receive annual reviews as well as a review by a faculty committee at least every six semesters of employment.
- Review of individuals in these positions will be based on the Position Responsibility Statement (PRS) derived from the advertised position. At each renewal time, the PRS may change, depending on the continuing and/or changing needs of the unit. The PRS will be discussed and disagreements negotiated at that time as a part of the renewal agreement. The agreed upon PRS will be signed by both parties.

G. EVALUATION, RENEWAL, AND ADVANCEMENT OF ADJUNCT FACULTY
Adjunct faculty is eligible for advancement in accordance with university promotion policies. See Faculty Handbook, Section 5.4.1, for more information.

H. ADMINISTRATIVE ARRANGEMENTS

Members of the faculty of the program are budgeted in one of four ways:

1. Totally within the school
2. Partially within the department and partially within another university unit which is not an academic department
3. Partially within the school and partially within another academic unit
4. Totally within another university unit which is not an academic unit

I. COURTESY APPOINTMENTS

Courtesy appointments are university appointments to faculty members who receive no portion of the school budget for salary but who are recognized as contributing to school's programs and activities upon request and mutual agreement. Such appointments are controlled by the Provost's Office and are under the policies of the ISU Faculty Handbook, section 3.3.7 – Joint Appointments. Such appointments may be made either coincidental with, or subsequent to, the individual's original appointment.

Procedures for Courtesy Appointments

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

The Letter of Intent for a courtesy appointment must be signed by the chair of the faculty member's "home" department and the SOE Director, the dean or deans of the college(s) involved, and the provost. The individual's primary department is the faculty member's home department for purposes of evaluation, review, and initiating personnel actions. A letter from the SOE Director may be included as supplemental material in Promotion and Tenure dossiers submitted to the faculty member's primary department. The faculty member's tenure is assumed to reside in the primary department only. Committee and

teaching assignments must be agreed upon by the faculty member, the SOE Director, and the Director of the department in which the faculty member has a primary appointment. Courtesy appointments are reconsidered every three to five years, as stipulated in the Letter of Intent, for reappointment or termination. The participation of faculty members with courtesy appointments in SOE is reviewed annually by the Director.

Expectations and Rights

Faculty members with courtesy appointments are expected to participate in school activities, which may include some or all of the following: a) teach or team-teach one or more courses in the department (this may include courses in the faculty member's home department that are cross-listed with courses in SOE); b) participate on a major grant or research activity that would be jointly beneficial to both the school and the faculty member to be associated administratively in the SOE; c) serve as major professor for graduate students in SOE; d) serve on student POS committees; e) attend SOE faculty meetings, program area meetings, and school retreats as time allows; f) serve on SOE committees or take on other service assignments. Faculty who hold courtesy appointments will not have voting rights on issues for which a faculty vote is required.

J. POSITION RESPONSIBILITY STATEMENTS

Statement of Purpose

The Faculty Senate Position Responsibility Statement (PRS) policy, requires that tenured faculty members re-evaluate their position responsibilities with their chairs/directors, at least every five years, and provide for a school-level PRS Mediation Panel in cases where a faculty member and the Director disagree with a proposed change to the faculty member's PRS. The revised document also specifies that if an agreement between the faculty member and the Director does not emerge after the PRS panel issues an opinion on how the disagreement should be resolved, the matter will be forwarded by the party disagreeing with the proposed change to the faculty member's college where a mechanism is in place for further consideration and resolution. This document sets policies at the school and college levels to: (1) provide a starting point from which to construct individual position responsibility statements, (2) incorporate a fixed term for position responsibility statements, and (3) supply a mechanism to arbitrate disagreements at the college level. More information about PRSs can be found in the [Faculty Handbook](#), Section 5.1.1.1.5.

Tenured and Tenure-track Faculty

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

A standard appointment for tenured and tenure-track faculty in the School of Education is 40% research, 40% teaching and advising, 10% outreach, and 10% service to the institution or broader community. Faculty members with a 40% teaching appointment are expected to teach the equivalent of four (3-credit)

lecture courses per academic year and advise students in a manner consistent with school practices. Faculty members are expected to provide an effective learning experience for students.

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

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

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

Fixed-Term Faculty

Faculty Position Responsibility Statements (PRSs) for fixed-term faculty members should not exceed three years. Given typical changes in faculty member interests and opportunities, as well as school needs, it is appropriate to revise PRSs on a regular basis. The Faculty Handbook requires that they be reviewed at least every five years. At the time of initial hire and at appropriate intervals afterward, the Director and the faculty member will develop an individualized PRS reflecting the interests and expertise of the faculty member, the needs of the school and the university, research productivity, outreach opportunities, and other considerations.

Differential Work Loads

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

Evaluation

Faculty members will be evaluated based on their Position Responsibility Statements. A person with a large commitment to research in their PRS would be expected to publish more and direct more graduate students than a person whose PRS commits a small part of

their effort to research with a greater commitment to outreach, teaching, and other activities (e.g., administration).

New Faculty Members

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

School Director

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

Negotiation of Position Responsibility Statements

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

Below are some examples of changes in Position Responsibility Statements:

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

Disagreements on Position Responsibility Statements

The Faculty Handbook specifies that if either the faculty member or the Director disagrees with a proposed change to the faculty member's Position Responsibility Statement (PRS), either party may refer the matter to a school-level Position Responsibility Statements Mediation Panel. The procedures specified by the Faculty Handbook for handling such a disagreement follow Faculty Handbook section 5.1.1.5.1

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

K. TEACHING ASSISTANT REVIEW

The supervision of teaching assistants and the maintenance of teaching proficiency standards are the responsibilities of the departments/school in which teaching assistants perform their duties. To that end, departments/schools will evaluate the teaching proficiency of teaching assistants at the end of each academic period. The nature and scope of these evaluations will vary with the instructional setting and materials being taught.

Evaluations of teaching assistants will follow the procedures identified in the [Faculty Handbook](#), Section 5.6.1.

L. FACULTY REVIEW PROCESS

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

M. ANNUAL REVIEW

The Director will set the timeline and conduct in accordance with the date established by the Dean of the College of Human Sciences. The faculty member should provide the Director with requested information by the date established. In order to begin building the information necessary for Third-Year and Promotion and Tenure Reviews, faculty members and the Director are encouraged to use the [College of Human Sciences CV template](#) to convey this information. Although the annual review specifically considers faculty work during the previous three-year period to assess performance, faculty members are encouraged to consider the CV as cumulative and simply add information each year.

N. THIRD-YEAR REVIEW

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

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

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

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

Candidate's Preparation of Materials—TYR

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

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

It is the candidate's responsibility to ensure:

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

Each TYR file should include the following materials:

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

School-level Review—TYR

The SOE Promotion and Tenure Committee, or subcommittee thereof, will review each candidate's TYR materials by January 15 each year in order to allow time for the Director to complete their review and meet with each candidate. Once a candidate's materials have been reviewed by the committee, the chair of the committee will prepare an evaluative memo to the Director. The memo should include the name of the chair of the committee and names of the faculty members who served on that committee. The evaluation should be analytical, and not just a review of process, recitation of the CV, or a summary statement. The evaluation should point out, discuss, and analyze strengths and weaknesses in the case. It is a best practice to put concerns up front and deal with them

directly and clearly. The memo should conclude with a recommendation to the Director of the reappointment status of the candidate (see four possible status recommendations below). Candidates will meet with the committee to discuss the memo and recommendation put forward to the Director.

Director Review—TYR

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

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

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

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

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

The timeline for the TYR process is as follows:

Third-Year Review Process Timeline

May 1	SOE Director alerts all candidates of required third-year reviews to be completed in following academic year
Jan 15	Materials due to SOE Director for distribution
Feb 15	Committee completes review and forwards memo to Director
Feb – Mar	Committee meets with candidate
Apr 1	Director prepares and sends letter to candidate
Apr 8	Director Meets with candidate
Apr 15	All materials forwarded to Dean's Office
May 1	All materials forwards to Provost's Office

VIII. PROMOTION AND TENURE REVIEW PROCEDURES

A. INTRODUCTION AND BACKGROUND

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

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

Guiding Values and Commitments

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

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

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

Integrity. A commitment to integrity is intended to yield not only fair processes, but also predictable processes—although not necessarily predictable outcomes. Consistent with the ISU Faculty Handbook, Section 8.2.3, regarding conflict of interest, individuals should strictly avoid being in a situation to influence a university decision that could result in personal gain. Individual faculty members should recuse themselves or otherwise refrain from participating in the review of any promotion and/or tenure case that presents a personal conflict of interest. Conflicts of interest include conflicts arising

out of personal relationships, family relationships, and those arising out of activities outside of work. See also ISU Faculty Handbook, Section 5.2.4.1.3.

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

B. CANDIDATE'S PREPARATION OF MATERIALS

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

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

It is the candidate's responsibility to ensure:

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

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

- Candidate Information: Section 5.3.1.2 of the ISU Faculty Handbook. This should include all Position Responsibility Statements since date of employment.
- Promotion and Tenure Vita: The vita should be inclusive of the faculty member's scholarship, activities and accomplishments. The format of the vita is not specified, but it should reflect the norm within the discipline and be organized to present the candidate in a positive perspective. SOE faculty members are strongly encouraged to use the CHS CV template. See Section 5.3.1.1 of the ISU Faculty Handbook.
- Scholarship: See Sections 5.3.1.3 and 5.3.2.1 of the ISU Faculty Handbook for a list of suggested activities and accomplishments.

- Areas of Position Responsibilities and Activities: See Sections 5.3.1.4 and 5.3.2.2 of the ISU Faculty Handbook for a list of suggested activities and accomplishments in the four areas of faculty activity.
- Faculty Portfolio Narrative: See Section 5.3.2 of the ISU Faculty Handbook.
- Teaching Evaluations: Include evidence of teaching effectiveness, such as student and peer reviews. See Section 5.3.2.2.1 of the ISU Faculty Handbook.

C. IDENTIFICATION AND SELECTION OF EXTERNAL REVIEWERS

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

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

Reviewers are chosen for their ability to evaluate the candidate's activities and accomplishments impartially. They should generally be tenured professors at peer institutions or individuals of equivalent stature outside of academe who are widely recognized in the field. These individuals should be independent of the faculty member being reviewed (co-authors, co-principal investigators, dissertation/thesis advisors, or others with similarly close association should be excluded). Individual exceptions may be granted for small disciplines or other circumstances when it is not possible to exclude all co-authors or co-principal investigators. When necessary, however, these individuals should be solicited to detail the nature of collaborative projects or to respond to specific questions.

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

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

D. SCHOOL-LEVEL REVIEW

According to the College of Human Sciences Promotion and Tenure document, each unit must have a Promotion and Tenure Committee of faculty members to review candidates. Any member with a conflict of interest with respect to a candidate cannot participate in

reviewing that candidate. (ISU Faculty Handbook, Section 5.2.4.1.3.) Each unit must also have a document that sets forth the standards and procedures governing promotion and tenure of faculty within that unit. The unit document may specify standards that exceed those of the university or college, provided that they do not contradict university or college standards. The unit procedures for Promotion and Tenure Review must be approved by the tenured and probationary faculty of the school, the Director, the Dean, and the Provost.

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

How candidates are identified for review

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

The composition and voting eligibility of the P&T committee

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

All voting faculty will review the candidate's portfolio and then meet to discuss the material. The chair of the committee, who is elected by the members of the Promotion and Tenure Committee, will present a letter to the SOE Director, which indicates the vote and documents the reasons for the vote.

In order to avoid undue or unfair influence in promotion and tenure decisions, promotion and tenure procedures must ensure that the guiding principle of "one-person—one-vote" is compiled with a vote, or the equivalent of a vote, is defined as a vote, advice, or a recommendation on the specific question of whether or not a candidate should receive tenure and/or promotion. Specifically:

- If a faculty member votes on a promotion and tenure decision as a member of a departmental/school promotion and tenure committee, that faculty member may not vote again on the same decision at the departmental, school, college, or other levels.

- If a faculty member votes on a promotion and tenure decision at the departmental/school level, that faculty member may not vote again on the decision at the college or other levels.
- Since the chair/director of the department/school independently evaluates promotion and tenure decisions, he or she may not also vote on the decision at the departmental/school faculty, college, or other levels.
- Administrators participating in a promotion and tenure decision can only participate at the appropriate administrative level and are allowed to vote only once on the decision.

The timeline for Promotion and Tenure Review procedures is as follows:

Promotion and Tenure Review Process Timeline

May 1	Election of School P&T committee chair by voting eligible faculty. Communication from the School of Education Director to assistant professors subject to mandatory review as well as those candidates who have requested review to clarify timeline and process, including committee and candidate responsibilities
May 15	School P&T committee solicits list of up to six potential external reviewers from candidates. The Director, in consultation with appropriate SOE faculty members, generates list of additional names
Jun 15	Candidates submit materials that are needed for external review (including current vita, 25-page narrative summary, and three representative publications). Director contacts external reviewers and sends materials
Sept 1	Candidates submit full set of materials to the Director
Oct 1	School P&T committee completes review of materials and submits recommendation to eligible voting faculty
Oct 15	Meeting of eligible voting faculty held to vote on recommendations from School P&T committee. The School P&T committee will provide a written report of their recommendation, including all School vote tallies, to the Director
Nov 1	Committee recommendation, faculty vote, and Director recommendation submitted to College

The role of the Director in the review process

The Director shall:

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

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

- Letters of Evaluation from External Reviewers (provided by the school): See Section 5.3.3.1 of the ISU Faculty Handbook.
- Evaluations (provided by the school and Director): See Section 5.3.3.2 of the ISU Faculty Handbook.
- Recommendation for Promotion and Tenure Form (provided by the Director): See Appendix B of the College of Human Sciences Promotion and Tenure Document.

The circumstances under which faculty members may decline to be reviewed

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

E. CRITERIA FOR AWARDING TENURE

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

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

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

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

F. PROMOTION AND TENURE VOTING PROCEDURES

The School of Education will follow promotion and tenure voting procedures as outlined in the [Faculty Handbook](#), Section 5.2.4.1.

In order to avoid undue or unfair influence in promotion and tenure decisions, promotion and tenure procedures must ensure that the guiding principle of “one-person—one-vote” is compiled with a vote, or the equivalent of a vote, is defined as a vote, advice, or a recommendation on the specific question of whether or not a candidate should receive tenure and/or promotion. Specifically:

- If a faculty member votes on a promotion and tenure decision as a member of a departmental/school promotion and tenure committee, that faculty member may not vote again on the same decision at the departmental, school, college, or other levels.
- If a faculty member votes on a promotion and tenure decision at the departmental/school level, that faculty member may not vote again on the decision at the college or other levels.
- Since the chair/director of the department/school independently evaluates promotion and tenure decisions, he or she may not also vote on the decision at the departmental/school faculty, college, or other levels.
- Administrators participating in a promotion and tenure decision can only participate at the appropriate administrative level and are allowed to vote only once on the decision.

IX. POST-TENURE REVIEW AND GUIDING PRINCIPLES

A. CANDIDATES REVIEWED—PTR

Tenured faculty and continuous adjunct faculty will be reviewed in compliance with the school's Post-Tenure Review schedule policy. Joint appointment faculty members will be reviewed formally by their primary department. However, advice will be solicited from the secondary department(s). If a faculty member's appointment is 50% in two different departments, the Chair/Director of both department/School and the faculty member will decide which will serve as the primary department/School. University Policies about Post-Tenure Review can be found in the [Faculty Handbook](#), Section 5.3.5.

B. POST-TENURE REVIEW COMMITTEE

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

C. TENURED FACULTY'S PREPARATION OF MATERIALS—PTR

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

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

- Copies of the Director's annual reviews since the last PTR.
- A statement of the candidate's future plans and directions with respect to teaching, research, outreach, and service.
- Copies of no more than two publications, presentations, or other scholarly products since the last review.
- Any other additional information the candidate wishes to submit.

D. REVIEW SCHEDULE—PTR

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

Procedures—PTR

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

Initial Contact

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

Review

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

E. DIRECTOR ACTION

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

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

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

F. **MECHANISM FOR FACULTY MEMBER RESPONSE**

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

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

G. **RECOMMENDED TIMELINE FOR PTR REVIEWS**

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

The timeline for Post-Tenure Review procedures is as follows:

Review Process Timeline

Aug 15	The Director prepares any changes needed in the rotating schedule and announces changes to the department faculty
Sep 1	The Director informs the P&T committee of the candidates for PTR for the current academic year
Sep 15	The Director of the P&T Committee informs the candidates for PTR of the expected materials to submit and the submission deadline
Feb 1	Candidates for PTR submit materials to the Director
Feb 15	The P&T Committee plans its work and plans meetings with candidates for PTR to be completed by the end of the spring semester
Mar 25	The P&T Committee completes review of the candidates and submits recommendations to candidates for review as specified above
Apr 1	The P&T Committee makes any revisions in recommendations and submits them to the Director
Apr 20	The P&T Committee, Director, and Candidates meet as specified above

POLICIES AND PROCEDURES
Addendum to the Governance Document

School of Education
Iowa State University

I. INTRODUCTION

Policies and procedures contained in this document are subordinate to those of the School of Education Governance Document, the College of Human Sciences, Iowa State University of Science and Technology and the Iowa State Board of Regents. When conflicts arise between these policies and procedures and the School Governance Document and College, University or Regents policies, the School Governance Document and College, University or Regents policies prevail.

II. ADMINISTRATION

A. **DIRECTOR.** Among the Director's administrative responsibilities are:

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

B. **ASSOCIATE DIRECTOR, ADMINISTRATION.** Among the Associate Director's administrative responsibilities are:

1. Working collaboratively with the Director on budgets and/or teaching duties.
2. Serves as Director of the School when the Director is temporarily absent.
3. Assist in daily operations of the School, facilitate the strategic planning process, coordinate and prepare annual reporting requirements; coordinate academic program

- reviews; coordinate SOE committee assignments, supervise and evaluate SOE staff.
4. Other matters as assigned by the Director.
 5. The Associate Director is expected to remain active as a scholar.
- C. ASSOCIATE DIRECTOR, EDUCATOR PREPARATION. Among the Associate Director's administrative responsibilities are:
1. Supervision of Teacher Education Services, head of EPCC.
 2. Work with SOE and Board of Education Examiners on Chapter 79 and compliance issues.
 3. Collaborate with Secondary Education Programs in other colleges. Partners with other Regents on teacher education issues.
 4. Work with DUGE on Program Evaluation and assist with program reviews
 5. Other matters as assigned by the Director.
 6. The Associate Director is expected to remain active as a scholar.
- D. ASSOCIATE DIRECTOR, RESEARCH AND GRADUATE PROGRAMS. Among the Associate Director's administrative responsibilities are:
1. Collaborate with Center directors and faculty to develop, sustain and advance a research mission in the School.
 2. Develop and promote the integration of research programs and research initiatives in the School in collaboration with Center directors and School faculty.
 3. Lead, facilitate and support grant-writing activities for research investigations within the School and throughout its collaborative partnerships in academics and other stakeholders.
 4. Coordinate research and grant activities; and mentor with research and grant activities
 5. Other matters as assigned by the Director.
 6. The Associate Director is expected to remain active as a scholar.

E. DIRECTOR OF UNDERGRADUATE EDUCATION

1. The Director of Undergraduate Education is responsible for calling meetings of the Undergraduate Studies Committee at least monthly during the fall and spring semesters.

F. DIRECTOR OF GRADUATE EDUCATION

1. The Director of Graduate Education is responsible for calling meetings of the Graduate Committee at least monthly during the fall and spring semesters.

III. FACULTY COMMITTEES

The School's general policies in committee selection are:

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

Faculty members are appointed to committees for two- or three-year terms. All tenured, tenure-track, senior clinicians, clinicians, senior lecturers, lecturers, and adjunct faculty with positions budgeted within the School are members of the faculty of the School. Unless specifically noted otherwise in this document, these definitions apply in any use of the term faculty member.

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

Ad hoc committees and subcommittees may be created by the Director, after approval by the faculty at a regular faculty meeting, to handle special assignments, such as the search for a new faculty member. In emergencies, *ad hoc* committees may be created by the Director without prior approval of the faculty, but faculty approval must be sought at the next regular faculty meeting. *Ad hoc* committees disband when their assignments are completed.

Ordinarily, no untenured faculty member is assigned to serve as Chair of any standing or *ad hoc* committee or subcommittee, and no tenured faculty member is assigned to serve as Chair of more than one School committee or *ad hoc* committee or subcommittee. Ordinarily, no

untenured faculty member is assigned to serve on more than two School committees or *ad hoc* committees or subcommittees, and no tenured faculty member is assigned to serve on more than three School committee or *ad hoc* committees or subcommittees.

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

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

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

The School's Committees are:

- A. **PROMOTION AND TENURE.** This committee's major emphasis is with promotion and tenure review and the post tenure review process. Membership is dictated by the Promotion and Tenure Document (see Section VII).
- B. **LONG-RANGE PLANNING.** The Long-Range Planning (LRP) Committee develops the School's long-range plan and provides continuing advice to the School regarding changes in the plan. The long-range plan outlines the direction of the School for at least the next 3-5 years in regard to research and development, curriculum, faculty hiring, funding, technology, equipment, partnerships, and building and space needs. All committees provide the LRP Committee with their respective long-range plans for incorporation in the School's plan. The School's long-range plan, once approved by the tenured and tenure-track faculty, is reviewed by the faculty once each year, with any change requiring approval by the tenured and tenure-track faculty. Membership will include 6-8 faculty and staff representing different rank and program/content areas.
- C. **GRADUATE STUDIES.** This committee reports to the School's graduate faculty members. The Graduate Studies Committee advises the graduate faculty regarding all graduate program matters. This committee will be responsible for overall curriculum development, catalog changes, course sequence and coordination, and assessment. In addition, this committee is responsible to bring forward to the larger department any issue or policy that impacts any graduate program.

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

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

Membership includes members of the Graduate faculty, the Director of Graduate Education and the Director of Research and Graduate Programs. Specifically, faculty members include representatives from program areas. The size of the committee will be based on representation of rank, program/content area.

- D. UNDERGRADUATE STUDIES. This committee is responsible for overall curriculum development, course sequence, coordination and assessment, and catalog changes for the undergraduate program.

Committee membership includes faculty members and the Director of Undergraduate Education. The size of the committee will be based on representation of rank, program/content area.

- E. BUDGET ADVISORY. This committee will assist the Director regarding decisions related to financial management of the School of Education. Membership will include the SOE director and six representatives.
- F. UNDERGRADUATE SCHOLARSHIPS. This committee's major responsibility is to award all scholarships to eligible undergraduate students in the School of Education and Teacher Education. The committee works closely with the College Scholarship Committee and the College Alumni Officer. Membership will include six representatives.
- G. AWARDS. This committee's primary responsibility is to assist the school members in order to nominate eligible candidates for honor and awards available at the college, university, alumni sources, and outside sources. Membership will include six representatives.
- H. COMPUTATION ADVISORY COMMITTEE (CAC). This committee allocates student computer fee resources for educational and instructional purposes. Membership consists of three faculty, two undergraduate students, two graduate students, and one Ex Officio Member for Center for Technology in Learning and Teaching (CTLT). There must be at least one undergraduate and one graduate student on the committee at all times.
- I. EARLY CHILDHOOD COORDINATING (ECE). This is a joint committee between the School of Education and Department of Human Development and Family Studies to coordinate the joint administration of the early childhood education major. Membership is two faculty/staff members who teach in the ECE program along with the Director of Undergraduate Education.
- J. STUDENT GRIEVANCE. This committee will hear student grievances related to disputes over grades, course requirements, faculty or staff conduct, and administrative

policies and procedures. The committee shall be comprised of five tenured or tenure-track faculty members, at least two of who should be professors. A senior professor will chair the committee.

IV. AMENDING AND INTERPRETING THE GOVERNANCE DOCUMENT

- A. **AMENDING.** The Governance Document will be reviewed annually for revisions to insure congruency with college and university policies. A formal review of the document must occur every five years (*faculty approved on April 28, 2014*). Changes may be made in this document by a two-thirds vote of the faculty.
- B. **INTERPRETATION.** When different interpretations of the Governance Document arise, the Director decides the matter and reports that interpretation to the faculty. Any faculty member who disagrees with the Director's interpretation may take the matter to the faculty for resolution. The Director's interpretation may be overridden by a two-thirds vote of the faculty.

V. CURRICULAR CHANGES

Curriculum development and related matters, including curriculum and course revisions, degree program requirements, and graduation requirements, are faculty responsibilities. The responsibility of faculty for such matters is based on the understanding that this judgment is central to the teaching function and concepts of academic freedom. These functions in CHS are performed by departmental/school and college curriculum committees. College curriculum matters are voted upon by the eligible college faculty, the Faculty Senate Curriculum Committee, the Faculty Senate, and the Board of Regents. See Section 10.8 of the [Faculty Handbook](#) for the full description of the approval process.