

# CPH Faculty Handbook

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# The University and the College

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# UI Org Chart

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The University of Iowa Organizational Chart  
can be found at:

**[https://opsmanual.uiowa.edu/sites/opsmanual.uiowa.edu/files/wysiwyg\\_uploads/a01ui.pdf](https://opsmanual.uiowa.edu/sites/opsmanual.uiowa.edu/files/wysiwyg_uploads/a01ui.pdf)**

# UI Strategic Plan

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The University of Iowa Strategic Plan  
can be found at:

**[https://provost.uiowa.edu/sites/provost.uiowa.edu/files/wysiwyg\\_uploads/StrategicPlan2016-2021.pdf](https://provost.uiowa.edu/sites/provost.uiowa.edu/files/wysiwyg_uploads/StrategicPlan2016-2021.pdf)**

# The University of Iowa Operations Manual

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**The University of Iowa Operations Manual  
can be found at:**

**<http://opsmanual.uiowa.edu/>**

# University of Iowa Elected/Appointed Committees

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UI Faculty Senate: <http://www.uiowa.edu/facultysenate/>

UI Faculty Council: <http://www.uiowa.edu/facultysenate/faculty-senate-membership-2015-16>

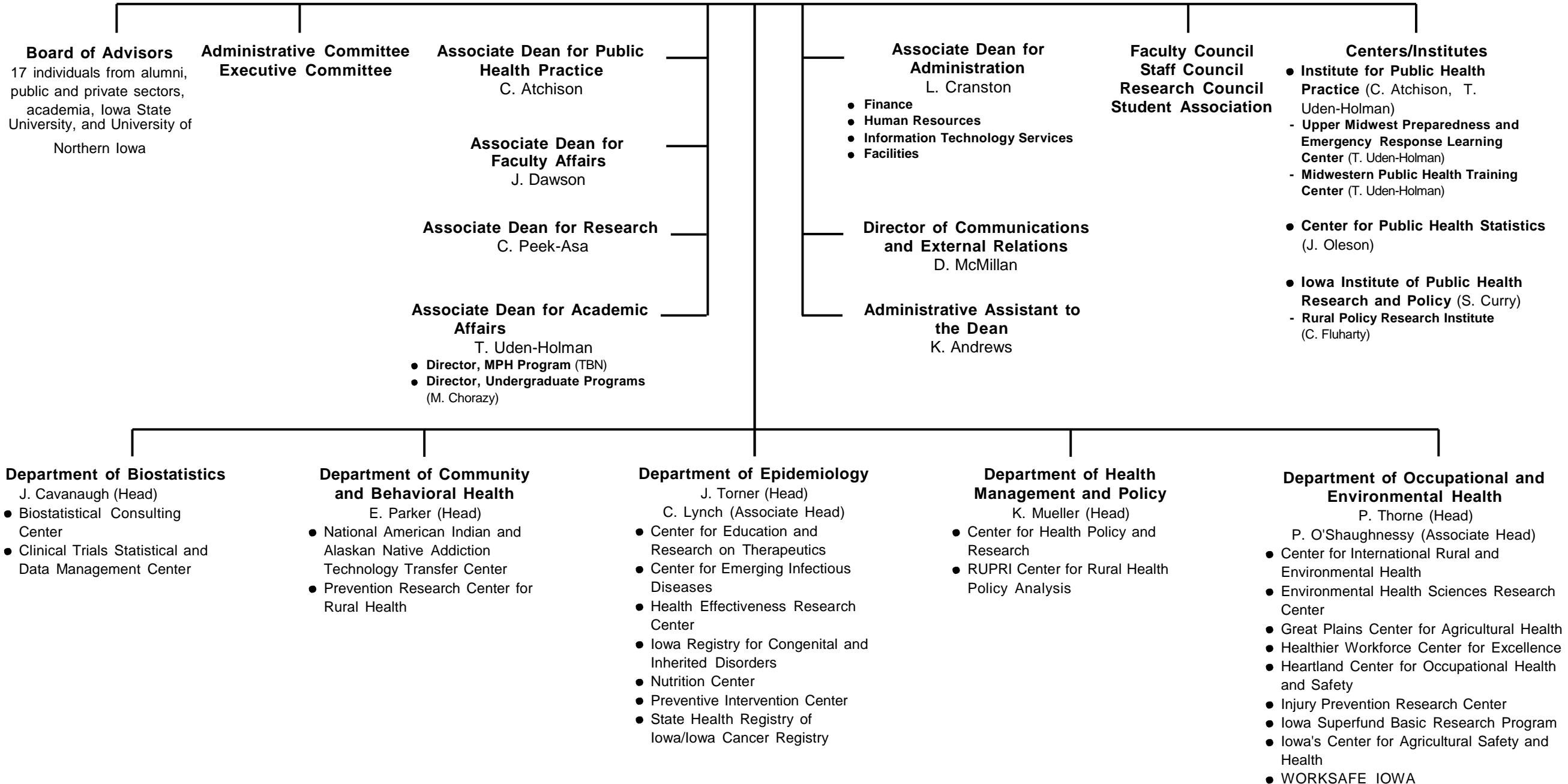
UI Graduate Council: <https://www.grad.uiowa.edu/facstaff/graduate-council>

UI Research Council: <http://rcouncil.research.uiowa.edu/>



**The University of Iowa  
College of Public Health  
FY 2016**

**Dean  
S. Curry**



# CPH Strategic Plan

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The College's FY2016-FY2020 strategic initiative was developed as a "living initiative" that guides annual objectives and measures to assure continued momentum in the growth and success of our college. The initiative emerged from a process that was participatory and aspirational and that culminated with the articulation of three primary aspirational goals related to education, research, and impact along with key strategies to achieve these goals. These strategies will guide annual work plans that focus on objectives and tactics.

<http://www.public-health.uiowa.edu/strategic-plan/>

# MANUAL OF PROCEDURE

## College of Public Health The University of Iowa

### PREFACE

The Manual of Procedure of the College of Public Health is designed to foster an active, informed faculty and a suitably counseled administration and to promote communication between the faculty and the administration as they jointly seek to achieve the aims of the College. Execution of the procedures in this manual should yield a record of policies, goals, and experiences of the College to guide it in its continuous striving for excellence. Structure and operating procedures are described; responsibilities are defined and distributed; and mechanisms to implement change are specified.

In pursuit of these purposes and within the legal framework of the Code of the State of Iowa and subject to the authority of the Board of Regents, State of Iowa and to the approval of the President, the following Manual of Procedure has been formulated.

### ARTICLE I. THE FACULTY

- 1.0 *Membership:* The faculty of the College of Public Health shall consist of a voting and a nonvoting faculty. The voting faculty shall consist of duly appointed tenure track and salaried clinical track professors, associate professors, and assistant professors of the College of Public Health. The nonvoting faculty of the College shall consist of other persons of academic rank, who may attend meetings of the faculty and have the right of the floor, but do not have voting privileges. The President of the University, the Provost of the University, and the Dean of the Graduate College shall be *ex-officio* members of the faculty. The Executive Committee shall be the judge of voting status.
- 2.0 *Powers and Duties:*
  - 2.1 The faculty may make recommendations to the Dean regarding policy, goals of the College, and the welfare of the faculty, including organization; policy; and performance of teaching, research, and service functions.
  - 2.2 The faculty shall formulate and recommend educational policies of the College.
  - 2.3 The faculty shall formulate and recommend admissions requirements and curricula of the College.
  - 2.4 The faculty shall be responsible for student promotion and shall recommend the granting of degrees.
  - 2.5 The faculty may organize itself, subject to this document, in any manner appropriate to the accomplishment of its duties.
- 3.0 *Meetings:*
  - 3.1 *Regular Meetings:* At least two meetings per semester of the faculty shall be held as determined by the Executive Committee. In addition to voting and nonvoting faculty, appointed staff who hold primary appointments in the College and student departmental representatives will be invited.
  - 3.2 *Special Meetings:* Special meetings of the faculty may be called by the Dean, the Executive Committee, the Faculty Council or on petition of at least ten members of the faculty.
  - 3.3 *Presiding Officer:* The Dean or the Dean's designated representative shall preside. The President of the University or the President's representative may choose to preside at meetings of the faculty.
  - 3.4 *Secretary:* The Dean's secretary shall distribute minutes of faculty meetings to members of the faculty within ten days after a meeting, and maintain a permanent file of such minutes. The agenda of each meeting and information pertinent to the agenda shall be prepared by the secretary and sent in advance of the meeting to members of the faculty.
  - 3.5 *Quorum:* Fifty percent of the voting faculty shall constitute a quorum.
  - 3.6 *Rules:* Meetings and voting shall be conducted according to Robert's Rules of Order, Revised. One-half of the voting faculty members present may require a mail referendum of the entire voting faculty on any question.

- 3.7 *Reports:* Reports of standing and special committees, and activities of the Executive Committee, the Faculty Council, the Public Health Research Council, and the Dean's office may be presented at faculty meetings.

## ARTICLE II. EXECUTIVE COMMITTEE

### 1.0 *Membership:*

The Executive Committee of the College of Public Health shall consist of the associate and assistant deans and the department heads. The administrator of the College, the communications director, the Dean, the **Chair (or one of the Co-Chairs) of the Faculty Council**, and the Dean's secretary are nonvoting ex officio members.

### 2.0 *Meetings:*

- 2.1 The Executive Committee shall meet bi-monthly and on call. Meetings of the Executive Committee shall be open to members of the faculty upon the request of the faculty members. The Executive Committee may vote to hold executive sessions, limited to members of the Executive Committee and other invited persons.
- 2.2 Fifty percent of the voting members of the Committee shall constitute a quorum.
- 2.3 The agenda for the Executive Committee meetings shall be distributed to the members before the meeting. The agenda shall be prepared by the Dean or the Dean's representative.

### 3.0 *Powers and Duties:* The Executive Committee--

- 3.1 Shall advise the Dean on matters pertinent to the function and welfare of the College.
- 3.2 May recommend policies to the Dean on subjects of concern to the College.
- 3.3 May call meetings of the faculty.
- 3.4 May prepare items to be included in the agenda of the faculty meetings.
- 3.5 Shall be available to participate in the selection of the Dean according to University procedure.
- 3.6 Shall initiate a review of the academic standing of each department in the College at least every five years by recommending individuals to the Dean for appointment to ad hoc review committees. The purpose of these committees shall be to evaluate teaching, research, and service functions of the department and to make appropriate recommendations to the Executive Committee and the Dean concerning departmental performance. When desirable, the opinion of qualified experts who are not members of the University faculty may be sought.
- 3.7 Shall meet with the Provost at least annually and report on the state of the College.
- 3.8 Shall investigate, and treat as it deems appropriate, matters presented to it for consideration by any member of the faculty.
- 3.9 Shall advise the Dean on long-term space needs for the College for research and teaching; space needs and desirable locations for research offices, laboratory facilities, computer laboratories, student commons, and classrooms; and Collegiate policy on space assignment and utilization for faculty, staff and students.
- 3.10 May call upon other members of the faculty and appoint ad hoc committees to assist the Executive Committee in the performance of its duties.
- 3.11 May organize itself, subject to this document, in any manner appropriate to the accomplishment of its duties.
- 3.12 Shall supervise elections in the College of Public Health. Such elections include the College's representative on the Graduate Council and Chair of the Faculty Council.

### 4.0 *Elections:*

Elections shall be conducted via nomination and election ballots. The Executive Committee shall distribute to the voting faculty of the College: the nominating ballot, a list of persons eligible for election, and a list of positions to be filled. On the nominating ballot, a faculty member may nominate one person for each vacant position. Twice as many nominees shall be chosen as there are vacancies. Those faculty members who receive sufficient votes to be nominated become the nominees upon consenting to run for the position. Each voter may vote for as many names as there are positions to be filled. A voter may vote for fewer than this number but may not cast more than one vote for one person.

## ARTICLE III. THE SUBDIVISIONS

- 1.0 *Departments:*
- 1.1 The executive officer (head) shall be responsible for budget making; fiscal management; faculty and staff recruitment and appointments; student admissions and placement; quality, content, and delivery of the departmental curriculum; alumni relations; fund development; and other activities that strengthen the educational, research, and professional service functions of the department. The head shall be the representative spokesperson of the department.
  - 1.2 Each department shall hold regular meetings to transact business of the department and discuss activities of concern to the College. Departmental policies shall be consonant with College policy in letter and spirit.
  - 1.3 The head, after consultation with the tenure-track faculty and salaried clinical-track faculty of the department senior in rank to the person being considered for appointment, shall recommend to the Dean the appointment or reappointment of tenure-track faculty members, salaried clinical track faculty members, and other non-tenure-track faculty; if the recommendation differs from the majority opinion of the appropriate members of the department, the reasons for this action shall be reported to them and to the Dean. Although exceptions will be allowed, the intent is that all faculty associate appointments will be limited to one three-year term.
  - 1.4 The head, after consultation with the tenured faculty of the department senior in rank to the person in the tenure track being considered for promotion or promotion with tenure, shall recommend to the Dean the promotion and/or tenure of the tenure track faculty member. The head, after consultation with the tenure-track faculty and salaried clinical track faculty of the department senior in rank to the person being considered for promotion, shall recommend to the Dean the promotion of the clinical track faculty member. If the recommendation differs from the majority opinion of the appropriate members of the department, the reasons for this action shall be reported to them and to the Dean. The College of Public Health Procedural Guidelines for Tenure and Promotion Decision-Making will be followed.
  - 1.5 When a department headship becomes vacant, the Dean in consultation with the Executive Committee shall appoint an ad-hoc committee to consider candidates. The committee shall assess the future role of the department in the College of Public Health and shall consult with members of the department and other persons whom they deem it advisable to consult, before submitting a list of preferred candidates. In accordance with University procedure the Dean of the College of Public Health shall recommend the appointment after consultation with the Executive Committee, the Faculty Council, the Public Health Research Council, and the department involved.
- 2.0 *Other Units:* Other units shall be administered in accordance with the same principles as those governing departments.

## ARTICLE IV. THE FACULTY COUNCIL

- 1.0 *Membership:* The Faculty Council shall be composed of five (5) tenured faculty (one to be elected by each department), and two (2) at-large members (one non-tenured tenure track faculty and one clinical track faculty, both to be elected by a college-wide faculty vote). Department heads, assistant and associate deans will not be eligible. The CPH Dean or her/his designee(s) will be *ex officio* members of the Faculty Council without a vote(s). The Faculty Council Chair (or one of the Co-Chairs) or designate will be an *ex-officio* member of the Executive Committee without a vote.
- 2.0 *Meetings:*
- 2.1 Regular meetings of the Faculty Council will be held at least twice a semester.
  - 2.2 At least once a year, the CPH Dean or his/her designee(s) will meet with the FC regarding College-wide issues and programs
  - 2.3 Meetings can be called by the Chair (or one of the Co-Chairs) of the Faculty Council or the Dean of the College.
  - 2.4 Meetings will be open to all College of Public Health faculty, except when personnel matters are discussed or the Faculty Council enters executive session.
- 3.0 *Power and Duties:* The Faculty Council shall —

- 3.1 Provide the College of Public Health Dean input on faculty views on important issues affecting the College.
- 3.2 Serve as the faculty advisory body to the CPH Dean on matters of concern to faculty, including planning and setting of overall priorities and objectives for the College, collegiate governance policies and procedures, and collegiate programs.
- 3.3 Oversee standing committees and form *ad-hoc subcommittees* within the Faculty Council structure as may be necessary.
- 3.4 Each standing committee will provide a report to the Faculty Council each Spring regarding its activities including lessons learned.
- 3.5 Whenever possible, at least one member of the Faculty Council will be a member on each of its standing committees.
- 3.6 Select members and chairs of standing and *ad-hoc committees* of the Faculty Council. The one exception is the Promotion and Tenure Committee, whose members (Collegiate Consulting Group) are elected by the CPH faculty with the chair being selected by the Faculty Council.
- 3.7 Report on activities of the Faculty Council to the College of Public Health faculty at least once in the Fall term and once in the Spring term.

#### 4.0 *Elections:*

- 4.1 Each department will elect an untenured, a tenured, and a clinical faculty member, where appropriate.
- 4.2 Only faculty with a 50 percent time or more appointment are eligible to vote for members of the Faculty Council or to serve on the Faculty Council.
- 4.3 Each elected member will hold a three-year term.
- 4.4 In the event a faculty member resigns or is unable to fulfill his/her responsibilities, it is the responsibility of the Chair (or one of the Co-Chairs) of the Faculty Council and the affected department to identify an eligible replacement committee member to serve the remainder of the term of office.
- 4.5 Every department may have three representatives on the Faculty Council. Those departments that do not have one or more untenured, tenured, and clinical faculty may elect someone to the Council from an existing faculty category.
- 4.6 When a unit hires a person who fills a "vacant" category, that category will be filled for that department at the next Faculty Council election.
- 4.7 Upon nomination by the Faculty Council of one or more candidates, eligible College of Public Health faculty will vote to select the Chair (or Co-Chairs) of the Faculty Council. This election will take place annually, with no limit on the number of terms for the Faculty Council chair (or Co-Chairs).
- 4.8 The voting policy of the CPH Faculty Council requires that only elected members of the Council may vote.
- 4.9 At least a 50% quorum is required in order for the Faculty Council to conduct official business. In addition, all motions that may result in a recommendation being made to the Executive Committee and/or the entire College of Public Health faculty must have the support of the majority of all Faculty Council members. Hence, if a motion is passed at a Faculty Council meeting, but the affirmative votes do not exceed the 50% threshold, a vote by email or campus mail will be used.

#### 5.0 *Standing Committees:*

- 5.1 Faculty Promotion and Tenure Committee/Collegiate Consulting Group
- 5.2 Curriculum Committee

## ARTICLE V. THE PUBLIC HEALTH RESEARCH COUNCIL

- 1.0 Research Council Charge: The role and functions of the CPH Research Council include the following: 1) To develop and to facilitate collaborative research and research training within the College, within the University, and outside the University; 2) To identify research training opportunities resulting from and required by the collaborative research; 3) To identify problems or barriers that prevent the advancement of research and research training goals; and 4) To identify innovative public health research initiatives and develop support structures that will advance the strategic goals of the College.

- 2.0 *Membership:* The Public Health Research Council shall be composed of the following: one elected member per department at any rank who is a PI or director of a core or facility on a funded project, one to three center leaders (Director, Deputy Director, Associate Director or equivalent) elected at-large by all CPH center directors, a CPH faculty member currently serving on the UI Research Council, when applicable, and one representative from the University Hygienic Laboratory. The ex officio members will consist of the CPH Dean, CPH Associate Dean for Research, CPH Associate Dean for Administration, and the Research Office Administrative Service Specialist. The Chair will be elected for one year and is eligible for re-election. Administrative support shall be provided by the CPH Research Office. All elected members shall have the right to vote.
- 3.0 *Elections and Terms of Office:* The elected members of the Council shall have renewable three-year terms. Newly elected members will start their terms at the beginning of the academic year and end after the summer of their third year. Elections for department representatives will be held in late spring or early summer. The yearly Center director election will take place prior to the election of new departmental members. A Council member elected to serve as a representative of Centers is not eligible to fill a departmental representative position simultaneously. At the first meeting of the Council in the academic year, the Council will choose the next Chair elect who will begin as Chair the following year.
- 4.0 *Vacancies* In the event that an elected member is unable to complete his/her term or resigns from the Council, an election will be held, as appropriate, by either the member's department or by the CPH center directors to select a new member for the remainder of the original term. If upon vacancy, the remaining term is less than nine months, the Council Chair, in consultation with other Research Council members, shall decide whether to hold an election or allow the position to remain vacant until the next regular election in the spring.
- 5.0 *Meetings:*
- 5.1 The Public Health Research Council shall meet at least six times per year on regularly recurring dates and at other times upon call of the Dean or the Dean's representative. Meetings shall be open to members of the faculty upon their request. Executive sessions may be declared by majority vote of the Public Health Research Council, and shall be limited to members of the Public Health Research Council and other invited persons.
- 5.2 Research Council Chair, or the Chair's representative, shall preside.
- 5.3 Fifty percent of the voting membership of the Public Health Research Council shall constitute a quorum.
- 5.4 Minutes of all meetings shall be kept for future use of the Public Health Research Council and the Dean. The minutes will be taken by the office of the Associate Dean for Research.
- 5.5 The agenda for Public Health Research Council meetings shall be prepared by the Research Council Chair and shall be distributed to the members before each meeting. Agenda items may be submitted to the Chair by members of the Public Health Research Council.
- 6.0 *Powers and Duties:*
- 6.1 Shall advise the Dean on matters pertaining to research of the College.
- 6.2 Shall undertake administrative functions assigned to it by the Dean.
- 6.3 Shall consider matters referred to it by the Executive Committee and the faculty.
- 6.4 Shall consult with the Dean concerning the Dean's recommendation for appointment of a departmental executive (Article III, 1.5).
- 6.5 Shall distribute appropriate minutes of each meeting to members of the faculty.
- 6.6 Shall initiate Research Council elections.
- 6.7 May organize itself, subject to this document, in any manner appropriate to the accomplishment of its duties.

## ARTICLE VI. THE DEAN

- 1.0 The executive of the College of Public Health shall be the Dean, appointed according to University protocol. The Dean shall be a tenured member of the faculty, and as Dean of the faculty shall be its representative spokesperson and interpreter.

- 2.0 The responsibilities of the Dean shall include faculty recruitment and appointments; educational and research programs; admissions, placement, and student affairs; budget making; fiscal management; alumni relations; fund raising; strategic planning development and implementation; public practice leadership; space utilization and equipment; and other activities that strengthen the educational, research, and professional service functions of the College.
- 3.0 The Dean shall recommend all faculty promotions, including promotions involving the granting of tenure, to the Provost after review by the Faculty Promotion and Tenure Committee, a standing committee of the Faculty Council, which shall serve as the Collegiate Consulting Group in the promotion and tenure process. The Dean shall also recommend all tenure faculty appointments to the Provost after review by the Faculty Promotion and Tenure Committee. The Executive Committee will advise on all non-tenure appointments. The Dean shall appoint faculty committees after consultation with the Executive Committee and the Faculty Council, except those elected by the voting faculty as provided elsewhere. The Dean shall recommend to the Provost individuals for the position of associate and assistant deans after consultation with the Executive Committee.
- 4.0 The Dean may assign specific administrative duties to associate and assistant deans and may delegate executive authority to them. The Dean shall make known to the faculty the principal areas of responsibility delegated to the associate and assistant deans.
- 5.0 At least every five years, the Dean shall meet with the head and with the faculty of each department to review the department. Ordinarily, the Dean's review shall be coordinated in time with the review of the department initiated by the Executive Committee. (See Article II.,3.6) The Dean shall also meet yearly with each department to ascertain the opinions and suggestions of the faculty members concerning departmental administration, organization, morale, and objectives, and to determine the willingness of the head to continue as the departmental executive.

#### ARTICLE VII. COMMITTEES

- 1.0 *General Statement:* There shall be standing and special committees with representation from each department. Permanent records of committee deliberations shall be kept in the Dean's office.
- 2.0 *Types of Committees:*
  - 2.10 Standing Committees
    - 2.11 Standing committees are appointed by the Dean. The members shall ordinarily serve a term of three years, so staggered that not more than one-third of the committee will be changed each year. The standing committees of the College are as follows.
      - Computation and Informatics Committee
      - Diversity Committee
      - College of Public Health Awards Committee
    - 2.12 Faculty members, professional and merit staff, and student members of appointed standing committees shall be chosen from nominations provided by the Executive Committee.
  - 2.20 Special Committees
    - 2.21 Special committees may be created by the Dean, the Executive Committee, the Faculty Council, the Public Health Research Council, or the faculty. They will be given their charge by the appointing authority.
    - 2.22 The term of office may be designated by the appointing authority or continuous until the task is completed.
- 3.0 *Officers:* Each committee shall have a chairperson and such other officers as may be designated by the appointing authority.
- 4.0 *Reports:*
  - 4.1 Standing committees shall report in writing to the faculty at least annually, or on their own initiative, or on request of the faculty, the Executive Committee, the Faculty Council, or the Dean. Appropriate minutes of elected faculty committees shall be available to members of the faculty on request.



4.2 Special committees shall report in writing to their appointing authority, whenever a specific assignment is completed. A committee may also report its progress on its own initiative or upon request of its appointing authority. A copy of the report shall be kept on file in the Dean's office.

5.0 *Vacancies:* Vacancies on a committee shall be filled by the authority which appointed the committees.

#### ARTICLE VIII. AMENDMENTS

1.0 *Procedure:*  
Amendments to the Manual may be introduced at regular or special meetings of the faculty. If a resolution to amend is passed by a simple majority of members present, the Dean or the Dean's representative shall present the amendment(s) in writing to the entire faculty within ten days. The Executive Committee shall conduct the written referendum 30 days later. Ratification requires a three-fifths majority of those eligible to vote thereon, and the approval of the Provost; if the Provost does not veto any amendment(s) within 60 days following written notification of the faculty's action, it (they) shall become a part of this manual.

Adopted by the Faculty of the College of Public Health, October 13, 2000 and as amended November 4, 2005.

Approved by the Provost, December 7, 2000 and as amended June 30, 2006.

Approved by the Provost, June 30, 2006 and as amended November 16, 2009.

Approved by the Provost, November 16, 2009 and as amended February 2, 2010.

Approved by the Provost, February 2, 2010 and as amended July 9, 2015.

Approved by the Provost, July 13, 2015 and as amended September 9, 2015.

Approved by the Provost, September 14, 2015.

# CPH Faculty Council

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The Faculty Council holds regular meetings (usually once per month) and is composed of five (5) tenured faculty (one to be elected by each department), and two (2) at-large members (one non-tenured tenure track faculty and one clinical track faculty, both to be elected by a college-wide faculty vote).

## **Purpose:**

Provide the College of Public Health dean with input on faculty views on important issues affecting the college.

Serve as the faculty advisory body to the dean on matters of concern to faculty, including planning and setting of overall priorities and objectives for the college, collegiate governance policies and procedures, and collegiate programs.

Oversee standing committees and form ad-hoc subcommittees within the Faculty Council structure as may be necessary.

Select members of standing and ad-hoc committees of the Faculty Council and recommend membership on college-wide committees.

Report on activities of the Faculty Council to the College of Public Health faculty at least once in the Fall term and once in the Spring term.

<http://www.public-health.uiowa.edu/faculty-council/>

# CPH Appointed Collegiate Committees

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## **Administrative Committee:**

<http://www.public-health.uiowa.edu/administrative-committee/>

## **Executive Committee:**

<http://www.public-health.uiowa.edu/executive-committee/>

## **Alumni Relations Council:**

<http://www.public-health.uiowa.edu/alumni-relations-council/>

## **Awards Committee:**

<http://www.public-health.uiowa.edu/awards-committee/>

## **Computation and Informatics Committee:**

<http://www.public-health.uiowa.edu/computation-and-informatics-committee/>

## **Diversity Committee:**

<http://www.public-health.uiowa.edu/diversity-committee/>

## **Public Health Research Council:**

<http://www.public-health.uiowa.edu/research-council/>

## **Staff Representatives to Faculty Meetings:**

<http://www.public-health.uiowa.edu/staff-representatives-to-faculty-meetings/>

# Organizational Review

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## College of Public Health

### Departmental Review Guidelines

#### **Purpose of the Review**

The departmental review should assist the faculty, Dean and University administration in (1) evaluating how effectively the department is achieving its goals; (2) identifying the department's strengths and weaknesses; and (3) developing strategic plans and priorities for future directions of the department. The review recommends what steps need to be taken to ensure that the department's mission is fulfilled, to improve the department's quality, and increase its centrality to the missions of the college and the university.

#### **Scope of the Review**

The scope of the review includes the following topics:

1. Overview and Goals (including departmental Vision and Mission, and responses to previous recommendations).
2. Strengths and Opportunities (including faculty, staff, students, and alumni, as well as physical facilities and important collaborations).
3. Teaching (academic programs and other teaching).
4. Research (publications, research funding, faculty offset).
5. Service (to the institution, profession, and community).
6. Interplay Among Teaching, Research, and Service.
7. Conclusion (summary and future plans).

Additionally the Dean may advise the DEO to focus on specific areas of the above, or to address additional questions specific to that department.

#### **Outline of Process**

The Review process has four main components:

1. The department first completes a Self-Study.

2. An Internal Review Committee, comprised primarily of collegiate faculty outside of the department, does an assessment based on the Self-Study and interviews of members of the department, and then submits recommendations.
3. External reviewers from outside the university, acting independently of the Review Committee, does its own assessment and makes recommendations.
4. The Dean assimilates the Self-Study, the Internal Review Committee's Report, and the External Reviewer's report, and makes final recommendations for the department.

*\*Note: University policy labels the Self-Study as the "internal review", and uses the term "external" to include non-departmental reviewers inside and outside the university. In this policy, we use the words "internal" and "external" as described in this outline.*

## Departmental Self-Study

The point of departure for the review is a departmental Self-Study prepared in consultation with, and approved by, the faculty of the department. The Self-Study document should be no longer than 15 pages plus one page per academic program, plus appendices. The following is a template for the Self-Study, which may be modified in consultation with the Dean's Office in order to be more relevant to a particular department. (Self-Study Template available in "Helpful Documents" section of the CPH Faculty Handbook)

## The Review Committee

**Nomination and Selection of the Internal Review Committee.** The DEOs of the departments not the subject of the review should nominate at least one faculty member to serve on the Committee. One or more non-CPH faculty from the university may also be nominated by the department or the Executive Committee. The Dean, in consultation with the Executive Committee, makes the final decision on committee membership.

**Internal Review Committee Charge.** The Internal Review Committee should proceed with judgment appropriate to the situation and among other things, should receive the materials collected by the Department, including the self-study and other relevant background information, and should interview the DEO, faculty, key staff, and students of the department. The interviews should occur in a "site visit" format, and departmental staff should facilitate the scheduling of the interviews. The Internal Review Committee should assess and evaluate all aspects of the department, as listed above in the *Scope* section. The Internal Review Committee should proceed in an open, yet discrete and confidential, manner to assure the success of the review process.

**Internal Review Committee Report.** The Committee's report is to contain its member's perspective, opinions, and recommendations. The report need not include material from the Self Study or other materials prepared by the Department, except as necessary to support specific recommendations. The report should not include items such as direct quotations of dialogue from Review Committee meetings or direct quotations from departmental members or others interviewed. It must be in a form and of a substance suitable for transmission to the faculty of the Department under review, as well as other recipients of the report in the Central Administration. Specifically, comments that might be construed as pertaining to confidential personnel matters should not be included in the body of the report. These comments may be submitted to the Dean under separate cover for inclusion in the relevant personnel file.

A preliminary draft of the review and its recommendations should be prepared by the Internal Review Committee and submitted to the Dean, who will forward it to the Executive Committee for review and comment. The Executive Committee will scrutinize the report for factual errors, but not to change its thrust, and will recommend modifications to be considered by the Internal Review Committee.

The final report is to be submitted by the Internal Review Committee to the Dean. Any additional materials collected by the Committee that were not in the Self-Study should also be transmitted to the Dean. Any notes taken by Committee members during the interviews should be destroyed once the entire Review process has been completed.

**Department's Response to the Internal Review Committee Report.** The Dean shall discuss the Review Committee Report with the DEO, who then discusses it with the Departmental faculty. If the DEO, or any member of the Departmental faculty, objects to any portion of the review or the recommendations arising from it, they may so indicate in a letter to the Dean. These letters become a part of the review file in the Dean's Office. The Dean may refer the contested matter back to the Review Committee for further consideration. The additional or amended findings of the latter shall then be presented to the Executive Committee for discussion and action. Upon approval, they shall be added to the review file in the Dean's Office.

## **External Reviewers**

**Nomination and Selection of External Reviewers.** The department may recommend to the Dean possible outside external reviewers. They should be individuals from within the discipline(s) represented in the department. The department should provide a brief background of each proposed reviewer. The information should include contact

information and resumes, biosketches, or CV's to demonstrate their qualifications to be reviewers. External reviewers should be members of the faculty at peer institutions and may not be individuals who have a close professional relationship (e.g., as co-author, former advisee, or mentor) of any member of the department. The Dean appoints and invites external reviews in consultation with the Executive Committee.

**External Reviewers' Charge.** The external reviewers interview faculty, staff, and students in the department. They may also interview other faculty and administrators suggested by the department, or the College. The department will prepare the schedule of the reviewers' interviews and transmit the schedule to the reviewers and the Dean the week before the review visit. The reviewers may meet with departmental faculty individually or in groups, as determined by the DEO in consultation with the faculty. The department should encourage as many students as possible to participate in the review. The visit usually begins with an orientation meeting with the Dean and ends with an exit interview with the Dean.

Consistent with the practices governing site visits of professional accrediting teams, the College asks that the external reviewers not receive or accept social invitations, including invitations to meals, from individual faculty members or subgroups in the department being reviewed, to ensure that the review process is fair and neutral and that it is perceived as fair and neutral.

**External Reviewers' Report.** The external reviewers prepare a written report to the Dean. The report should not include items such as direct quotations from their interviews or other comments that might be construed as pertaining to confidential personnel matters. The Dean reviews the report with the Executive Committee before transmitting the report to the department.

**Department's Response to the External Reviewers' Report.** As in the case of the Internal Review Committee report, the department may respond to the Dean regarding the External Reviewers' Report. However, the External Reviewers are usually not asked to modify their report.

## **Final Recommendations**

**Recommendations from the Dean.** The Dean drafts recommendations, based on the Self Study, the Review Committee Report, the External Reviewers' Report, and any responses from the department. These draft recommendations are shared with the Dean of the Graduate College and the Provost. The Dean then finalizes the recommendations and shares them with the DEO and the departmental faculty, and reports them to the Central

Academic Officers and Regents in compliance with the University procedures. Based on the review, the department should create or update their strategic plan to address the recommendations. After approximately three years, the Provost Office asks for a progress report from the department.

**Access to the Review Documents.** When the Dean's response to the review reports has been transmitted to the department, all the review materials are treated as public documents, except those that are prepared with an explicit expectation of confidentiality. The department has the responsibility of making the review materials available to faculty, staff, and students of the department upon request. The College should make the review materials available to others upon request.

**Overview of Timetable.** The review process will normally be completed in a year from the time the department begins the self-study.

- The Dean notifies each department of the schedule of its review.
- The Dean arranges the timing of the self-study.
- The Review Committee and External Reviewers are scheduled to conduct their interviews following the completion of the self-study.
- When the Review Committee and External Reviewers submit their reports, the department conveys its respective responses in a timely manner (e.g., within one month).
- Following receipt of the Dean's recommendations, the Department updates its strategic plan, as necessary, to address the recommendations.
- Approximately three years after the review is finalized, the department prepares a progress report for the Provost office.



UNIVERSITY OF IOWA

**Schedule of Academic Program Reviews (2007-08 to 2020-21)**

A=Accreditation; C=College Review; D=Departmental Review; L=Licensure (State); P=Program; O=Other

COLLEGE, DEPARTMENT, PROGRAM	Review Year and Type of Review														Normal Accreditation Review Cycle	Accreditation Organization or Other External Agency	
	07- 08	08- 09	09- 10	10- 11	11- 12	12- 13	13- 14	14- 15	15- 16	16- 17	17- 18	18- 19	19- 20	20- 21			
COLLEGE OF PUBLIC HEALTH (Collegiate Review) (MPH)				A	C							A	C			7 years	Council on Education for Public Health (CEPH)
Biostatistics (MS, PhD)	D							D									
Community and Behavioral Health (2-MS, 2-MPH, 2-PhD)	D							D									
Epidemiology (MS, PhD)			D						D								
Health Management and Policy (MHA, PhD)					A	D						A	D			7 years	Commission on Accreditation of Healthcare Management Education (CAHME)
Industrial Hygiene (MS) (OEH)						A						A				6 years	Accreditation Board for Engineering and Technology (ABET)
Occupational and Environmental Health (MS, PhD)					D							D					

# Accreditation Information

The University of Iowa College of Public Health (UI CPH) is accredited by the Council on Education for Public Health ([CEPH](#)) which is an independent agency recognized by the US Department of Education to accredit schools of public health. These schools prepare students for entry into careers in public health. The UI CPH has been accredited since 2000.

At its June 16-18, 2011 meeting, the CEPH Board of Directors acted to accredit the College of Public Health at the University of Iowa for a seven-year term, extending to July 1, 2018.

<http://www.public-health.uiowa.edu/accreditation-information/>

# General Faculty Responsibilities/Policies/Resources

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# Faculty Rights & Responsibilities

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- [Acceptable Use of Information Technology Resources](#)
- [Affirmative Action and Equal Employment Opportunity Statement of Policy and Purpose](#)
- [Anti-Retaliation](#)
- [Conflicts of Commitment and Interest](#)
  - See also: [Conflicts of Commitment and Interest Policies at the University of Iowa](#)
- [Conflict of Interest in Employment \(Nepotism\)](#)
- [Conflict Management](#)
- [Criminal Background Checks](#)
- [Disability Protections Policy and Accessibility Statement](#)
- [Drug Free Environment](#)
-  [FERPA Certification Requirements for Instructors](#)
- [Financial Fraud Policy](#)
- [Fleet Safety Program](#)
- [Human Rights](#)
- [Iowa Gift Law](#)
- [Leaves of Absence / Paid Absences](#)
  - [Family Medical Leave Act](#)
  - [Parental Leave Policy](#)
- [Lobbying Restrictions Applicable to Public Employees and Officials](#)
- [Nondiscrimination Statement](#)
- [Oral Communication Competence of Instructional Staff](#)
- [Personnel Files - Faculty Access to](#)
- [Post-Tenure Effort Allocation Policy \(PTEAP\)](#)
- [Professional Ethics and Academic Responsibility](#)
  - See also [University Contacts for Reporting Misconduct](#)
- [Religious Observance](#)
- [Sexual Harassment](#)

- [Sick Leave Policy](#)
  - See also: [Sick Leave Policy for Academic Year Faculty](#)
- [Social Media Use on the Internet](#)
- [Violence](#)
- [Visitors in the Workplace](#)

# Academic Freedom and Standards

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The basic functions of the University are the advancement and dissemination of knowledge, the development of critical intelligence, and the education of citizens and professional workers for the society of which the University is a part.

The indispensable condition for the successful discharge of these functions is an atmosphere of intellectual freedom. Unless he or she is free to pursue the quest for knowledge and understanding, wherever it may lead, and to report and discuss the findings, whatever they may be, the University faculty member cannot properly perform his or her work. As a participant in an enterprise that depends upon freedom for its health and integrity, the faculty member has a special interest in promoting conditions of free inquiry and furthering public understanding of academic freedom.

Freedom entails responsibilities. It is incumbent upon the faculty member to accept the responsibilities which are concomitant with the freedom he or she needs.

Those responsibilities are: 1) to students, 2) to scholarship, 3) to colleagues, 4) to the University, and 5) to the larger community which the University serves. To make these responsibilities operational, it is necessary that ethical and professional standards be adopted to guide faculty members in their conduct and that effective mechanisms be established to monitor and enforce compliance with these standards.

<http://opsmanual.uiowa.edu/human-resources/professional-ethics-and-academic-responsibility>

# Grievance Procedures

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The procedures described in the grievance section of the Operations Manual constitute the exclusive remedy within the University for a faculty member who wishes to challenge the legitimacy of some University administrative action or non-action that affects the faculty member.

<http://opsmanual.uiowa.edu/human-resources/faculty-dispute-procedures/grievance>

# Office of the Ombudsperson

The Office of the Ombudsperson is a resource for any member of the university community - including students, faculty, and staff - with a problem or concern. We provide informal conflict resolution, mediation services and advocacy for fair treatment and fair process.

<http://www.uiowa.edu/~ombud/>



Confidential Neutral Informal Independent

Home
About Us
Code of Ethics
How We Can Help
FAQs
Reports and Documents
Resources
Upcoming Training

## Welcome!

The Office of the Ombudsperson is a resource for any member of the university community - including students, faculty, and staff - with a problem or concern. We provide informal conflict resolution, mediation services and advocacy for fair treatment and fair process. Our services are:

- [Confidential](#)
- [Neutral](#)
- [Informal](#), and
- [Independent](#)

We offer a safe place to discuss any concerns you might have about the university or its policies or procedures, and we will answer your questions, help you figure out your options, refer you to other offices if necessary, and help you to resolve your concerns (see [How We Can Help](#)). The University of Iowa Operations Manual prohibits retaliation against staff, faculty and students for contacting the Ombuds office (see [Job Security and Protection of Students](#)).

We look forward to working with you. Our contact information is located [here](#).

### Note to Our Visitors:


The Office of the Ombudsperson is based on the principles of confidentiality, neutrality, informality and independence. By deciding to speak with an ombudsperson, you understand that we will abide by these principles. This means that you understand that the Ombuds Office does not keep records of or disclose confidential information; the Ombuds will not participate in or testify in any formal proceeding, even if asked; and talking with an ombudsperson does not mean that you are notifying The University of Iowa about your concerns.

### [Confidentiality](#)

The Office of the Ombudsperson maintains strict confidentiality. The only exceptions to this are:

- If we learn that there is a risk of physical harm to anyone.
- If we are ordered by a court or required by law to disclose information.

This makes the Office of the Ombudsperson a safe place to talk about any concerns, including but not limited to sexual harassment or misconduct, discrimination, violation of policies, and unethical behavior.





## FERPA Training and Certification Requirements for Instructors

### OVERVIEW

To ensure the UI campus community is in compliance with FERPA regulations, all UI instructors, including TAs, are required to complete the online [FERPA training module and quiz](#) at least once during their employment at the University. After having completed the training, instructors will be required to attest to an **Annual Certification Notice** in subsequent years. Anyone needing administrative access to student records information in MAUI, beyond the class list information, must also complete the [MAUI Access Request Form](#), which requires DEO approval.

Instructors	Additional Administrative Access to Student Records	Annual Certification
<p>All instructors, including TAs, regardless of number of years at UI or faculty rank, must complete the online <a href="#">FERPA training module and quiz</a> at least <u>once</u> during their careers at UI. New instructors must complete the training within the first two months of UI employment.</p> <p><u>MAUI and ICON Users:</u> Instructors who have <u>not</u> completed the online training module will have their MAUI access deactivated and will not be recognized as an approved “Course Instructor” in the ICON system until they have completed the online <a href="#">FERPA training module and quiz</a>. This will include being blocked from online access to class lists and student records, including student ID card photos.</p> <p><u>Instructors who do not use MAUI or ICON:</u> Instructors who have access to students’ Education Records will be informed by their college of the need to complete the online <a href="#">FERPA training module and quiz</a>.</p> <p><u>Instructors who do not use the MAUI system and who have 0% or very short-term appointments:</u> Instructors may complete the online <a href="#">FERPA training module and quiz</a> or may read the Registrar’s <a href="#">FERPA Handbook for Faculty and Staff</a> and verify in writing that they have read the handbook. The college should preserve the written verification.</p>	<p>Staff/faculty members who need access to more complete student records via MAUI/OSIRIS and Infobank are required to also complete and receive DEO approval on the <b>MAUI</b> Access Request Form, which can be found on the Office of the Registrar’s website: <a href="http://registrar.uiowa.edu/faculty-staff">http://registrar.uiowa.edu/faculty-staff</a></p>	<p>All instructors, including TAs, regardless of number of years at UI or faculty rank, must certify each January that they understand the University’s confidentiality requirements, including FERPA.</p> <p>An annual certification statement will be sent on January 1<sup>st</sup> to employees who have completed the FERPA training to remind them to attest to the “UI Confidentiality Statement” on the Employee Self-Service site.</p> <p>In the future, instructors who have <u>not</u> completed the online certification by a specific date will be blocked from online access to class lists and student records, including student ID card photos.</p>

### MONITORING COMPLIANCE:

- Departmental and collegiate HR Representatives can monitor compliance with the FERPA training requirement using the following “HR Training Reports” in Employee Self-Service (**Course Code “WFERPA”**): “ICON Student Status by Course,” “Training by Dept and Course,” or “Training Activity by Employee.”
- The Office of the Provost will send out an annual reminder to notify campus of these requirements and will run a FERPA Training Compliance Report to test compliance of relevant instructors two weeks after the start of the Fall and Spring semesters. The results will be sent to the Associate Deans for Faculty and Faculty HR Reps in each college.

**For additional information, please contact:** Angie Johnson, Office of the Provost

Phone: 319.335.0084 or Email: [angelique-johnson@uiowa.edu](mailto:angelique-johnson@uiowa.edu)

A .pdf of this document is located on the Office of the Provost website: <http://provost.uiowa.edu/files/provost.uiowa.edu/files/ferpa.pdf>

# IRB (Institutional Review Board)

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(Information obtained from Human Subjects Office:  
<http://hso.research.uiowa.edu/irb-overview>)

## IRB Overview

The Institutional Review Board (IRB) is charged with the protection of human subjects in research, regardless of whether the research is subject to federal regulation and regardless of sponsorship. Each board consists of University of Iowa faculty and staff, and representatives from the Iowa City community. The IRB reviews research that: (1) is sponsored by the institution, (2) is conducted by or under the direction of any employee or agent of this institution in connection with his or his institutional responsibilities, (3) is conducted by or under the direction of any employee or agent of this institution using any property or facility of this institution, or (4) involves the use of this institution's non-public information to identify or contact human subjects.

There are three IRBs at the University of Iowa. All IRBs consider the risks to the subjects, the anticipated benefits to the subjects and/or others, the importance of the knowledge that may be gained, and the informed consent process to be employed.

Application materials are pre-reviewed by the Human Subjects Office staff for completeness and are then forwarded to the appropriate IRB chair for review. The IRB chair determines whether a protocol is eligible for expedited review or is exempt from the regulations. Most minimal risk studies can be classified as expedited or exempt. If the study can be classified as expedited or exempt, the chair communicates directly with the principal investigator, generally via e-mail, regarding any issues or revisions that are required prior to approval. Notice of approval is sent to the principal investigator via HawkIRB.

Applications requiring full board review (those that are greater than minimal risk) are placed on the agenda of the next available full board meeting and the Human Subjects Office notifies the principal investigator of the meeting date. Application materials are distributed to IRB members at least one week before the meeting. This lead time gives members a chance to review the materials and to develop their concerns or recommendations. The principal investigator is notified of the results of the meeting via HawkIRB or e-mail. After the principal investigator responds to the issues or revisions required by the full board, he or she is notified of approval via HawkIRB or campus mail.

For a complete description of IRB procedures, please refer to the [UI Investigator's Guide](#).

# Conflict of Interest

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(Source: <http://provost.uiowa.edu/conflicts-commitment-and-interest-policies>)

## Conflicts of Commitment and Interest Policies at the University of Iowa

The University of Iowa strives to ensure that its academic, health care, business, research, and teaching endeavors are conducted in a manner free of potential or actual conflicts of interest. A conflict exists whenever personal, professional, commercial, or financial interests or activities outside of the University have the possibility (either in actuality or in appearance) of:

1. interfering with UI employees' ability to fulfill their employment obligations;
2. compromising a faculty or staff member's professional judgment;
3. biasing research or compromising, or giving the appearance of compromising, the sound professional judgment of its investigators; or
4. resulting in personal gain for the employee or employee's immediate family, at the expense of the University and/or the state.

Given the breadth of activities conducted in fulfillment of the University's mission, unique policies govern key areas of the University enterprise. Disclosure, review, and management are critical to the application of the following Conflicts of Commitment and Interest policies. Under these policies, few activities that represent, or appear to represent, a conflict are actually prohibited. Rather, the rules require conflicts to be disclosed, reviewed, and managed appropriately.

For additional information about management of conflicts of commitment or interest, please consult the following policies and resources:

Key Area	Policy	For More Information
Consensual Relationships	<a href="#">Consensual Relationships Involving Students</a> (OM II-5)	<b>Office of Equal Opportunity and Diversity</b> Phone: 319.335.0705 (voice); 319.335.0697 (TDD) or email: <a href="mailto:diversity@uiowa.edu">diversity@uiowa.edu</a>  Website: <a href="http://diversity.uiowa.edu/policies/consensual-relationships-involving-students">http://diversity.uiowa.edu/policies/consensual-relationships-involving-students</a>

<b>Continuing Medical Education</b>	<a href="#">Content Validation Guidelines</a>	<b>Continuing Medical Education Office, UI Carver College of Medicine</b> Phone: 319.335.8599 Website: <a href="http://www.medicine.uiowa.edu/cme/">http://www.medicine.uiowa.edu/cme/</a>
<b>eCOI Disclosure System</b>	eCOI is an electronic disclosure system that fulfills reporting requirements of the COI-Research, Workplace, Health Care, and CME policies. For other requirements, see specific policies.	<b>eCOI Website:</b> <a href="http://research.uiowa.edu/era-ecoi">http://research.uiowa.edu/era-ecoi</a> eCOI User's Guide: <a href="https://ecoi.uiowa.edu/pdf/ecoi_user_guide.pdf">https://ecoi.uiowa.edu/pdf/ecoi_user_guide.pdf</a>
<b>Employment (Nepotism)</b>	<a href="#">Conflict of Interest in Employment</a> (OM III-8)	<b>University Human Resources COI-Employment</b> Phone: 319.335.0056 Website: <a href="http://www.uiowa.edu/hr/administration/conflict.html">http://www.uiowa.edu/hr/administration/conflict.html</a>
<b>Faculty Effort</b>	<a href="#">Conflict of Commitment</a> (OM II-18.4)	<b>Office of the Associate Provost for Faculty - COI</b> Phone: 319.335.3991 or email: <a href="mailto:faculty@uiowa.edu">faculty@uiowa.edu</a> Website: <a href="#">/conflict-commitment</a>
<b>Health Care</b>	<a href="#">UI Health Care Conflict of Interest and Commitment Policy Regarding Interactions with Industry</a>	<b>UI Health Care Conflict of Interest Office</b> Phone: 384-5252 or e-mail: <a href="mailto:coi@healthcare.uiowa.edu">coi@healthcare.uiowa.edu</a> Website: <a href="http://www.uihealthcare.org/ConflictofInterest/">http://www.uihealthcare.org/ConflictofInterest/</a>
<b>Purchasing</b>	<a href="#">Purchasing – Conflict of Interest</a> (OM 11.14)	<b>COI-Purchasing/Travel</b> Phone: 319.335.0115 Website: <a href="http://www.uiowa.edu/purchasing/policy/coi.htm">http://www.uiowa.edu/purchasing/policy/coi.htm</a>
<b>Research</b>	<a href="#">Conflict of Interest in Research</a> (OM II-18.6)	<b>Conflict of Interest in Research Office, Office of the Vice President for Research and Economic Development</b> Phone: 335-8892 or email: <a href="mailto:coi-research@uiowa.edu">coi-research@uiowa.edu</a> Website: <a href="http://coi.research.uiowa.edu/">http://coi.research.uiowa.edu/</a>

<p><b>Workplace</b></p>	<p><a href="#">Conflict of Interest in the Workplace</a> (OM II-18.5)</p>	<p>For Faculty: <b>Office of the Associate Provost for Faculty - COI</b></p> <p>Phone: 335-3991 or email: <a href="mailto:faculty@uiowa.edu">faculty@uiowa.edu</a></p> <p>For Staff and Executives: <b>University Human Resources – COI</b></p> <p>Phone: 319.335.0056 or email: <a href="mailto:HR-help@uiowa.edu">HR-help@uiowa.edu</a></p> <p>Website: <a href="#">/conflict-interest-workplace</a></p>
<p><b>Other Conflict of Interest Policies</b></p>	<p><a href="#">Other UI Policies Related to Conflicts of Interest</a> (OM II-18.8)</p>	<p>Please see the individual policies for additional information.</p>

# Mentoring

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In 2012, the College of Public Health implemented a formal mentoring policy in an effort to provide more support to junior faculty. Mentoring plans should be helpful to the junior faculty member and flexible to change as the needs of the faculty member change over time.

New junior faculty should identify mentors and develop a mentoring plan/MOU with their mentors to set expectations of all parties involved. These plans should be completed by the end of the first semester of employment in the College and sent to the Office of the Associate Dean for Faculty Affairs for their records.

The Office of the Associate Dean for Faculty Affairs will follow up with junior faculty on an annual basis to ensure that the mentoring plan is still effective and to be aware of any changes that need to be made. Substantial changes to mentoring plans can be made at any time. Please notify the Office of the Associate Dean for Faculty Affairs so that records can be updated.

# CPH Faculty Mentoring Policy

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## **College of Public Health Faculty Mentorship Program**

**FC Final Draft**

**Original: April 8, 2011**

**Updated: March 13, 2015**

Mentoring is a personalized, one-on-one approach to learning. The term signifies a trust-based arrangement by which a senior person provides beneficial counsel for a person with less experience. Mentoring takes many forms, both formal and informal, and there is a rich tradition of mentoring in many professions. Being mentored by persons with experience and excellent skills should be an integral part of everyone's professional development. We recognize that mentoring requires time, energy, and enthusiastic participation but we also recognize that the results of a successful mentorship program can be extraordinary.

In what follows, we present the key elements of a successful mentorship program. These include establishing a viable structure, identifying critical mentorship activities, establishing a process for matching and maintaining mentorships, and developing a method for program evaluation.

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### **Mentoring Structure**

An assistant professor, whether on a tenure, clinical or research track, must have a formal mentoring plan. An associate professor has the option of having a formal mentoring plan. This plan should include a minimum of two mentors. One of the mentors might be described as a "hands-on" mentor and the other might be a "meta-mentor." A hands-on mentor would share a common scholarly interest with the mentee, and provide advice (and collaborate) with a mentee on matters pertaining to scholarship, research, and teaching. For example, the hands-on mentor might provide feedback on grant proposals, review manuscripts, help prepare lectures, and other such activities. The hands-on mentor and mentee would meet on a regular basis.

Because a relationship with a hands-on mentor has the potential for professional conflicts of interest, a meta-mentor is also needed. Ideally, this meta-mentor would be someone who does not collaborate closely with or derive any patent professional benefit from either the mentee or the other mentor. As such, the meta-mentor can provide opinions on any number of issues such as mentee workload expectations, department performance criteria, college service responsibilities, and more general advice about personal health, workplace

harassment, or family planning. The meta-mentor would meet on a less frequent basis than the hands-on mentor. A meta-mentor might also help overcome problems that might occur if a hands-on mentor is not sufficiently engaged with the mentee and could advocate for the mentee should the need arise.

While it is important that at least one mentor represent the mentee's department, there may be some difficulty identifying two mentors from the same department. As such, it may be necessary (and encouraged) to seek a mentor from outside the department or the college, and in today's interdisciplinary research environment, it certainly should not be unexpected that at least one of the mentors would come from a different department or college.

The period of mentorship should last throughout the probationary period for tenure-track faculty, and through the contractual period for clinical and research track faculty. The period of mentorship for associate professors will be mutually determined by mentor and mentee.

## **Mentoring Activities**

Mentors are expected to assist mentees' in developing their academic careers by providing support in the area of teaching, research and service. The following are some examples of discrete mentoring activities that one or both mentors may provide:

### **1. Tenure and Promotion**

Mentors may play an important role in the mentee's tenure and promotion by:

- a. Discussing with the mentee, the department's tenure/promotion requirements (as a complement to what was presented by the DEO);
- b. Periodically evaluating the mentee's progress towards achieving these requirements and working with the mentee to identify gaps or areas that require further development (as a complement to the DEO annual review);
- c. Helping to prepare annual review and promotion materials;
- d. Helping to respond to annual and promotion reviews

### **2. Scholarship**

Mentors can play an important role in mentee's scholarship by enhancing the mentee's progress in several areas including research, grant writing, publishing, and professional networking and visibility. Examples of mentoring activities that might be included under scholarship include:

- a. Grant writing and funding:
  - Providing mentee opportunities to serve as a co-investigator;
  - Identifying grant-funding opportunities;
  - Referring mentee to grant skill development workshops; and resources as needed;



- Reviewing mentee's grant applications.
  
- b. Publications
  - Offering opportunities for co-authorship;
  - Developing ideas for papers on which the mentee can serve as a lead author;
  - Identifying journals for manuscript submission;
  - Reviewing manuscript drafts
  
- c. Professional development
  - Assisting with identifying professional associations and conferences;
  - Recommending mentee to editors to serve as a reviewer or on editorial board;
  - Recommending mentee to serve on grant review panels;
  - Nominate mentee for awards that are appropriate for their fields, work and career level.
  
- 3. Teaching

Mentors can enhance their mentee's teaching skills by

  - a. Reviewing course syllabi and lecture materials;
  - b. Discussing ways to enhance teaching skills;
  - c. Identifying opportunities, resources and workshops for skill development
  - d. Providing feedback on students' class evaluations and other presentations
  
- 4. Service

Mentors are expected to advise their mentee on the appropriate level of service to their department, college and university as well as to national organizations.

  - a. Underscoring the role of service relative to scholarship and teaching;
  - b. Monitoring number of committees appointed to and workload expectations;
  - c. Identifying service opportunities in local, state, or national organizations;
  - d. Providing feedback on mentees actual service activity.
  
- 5. Project and personnel management
  - a. Inform mentee of university resources and processes available to resolve problems at work including personnel and project management;
  - b. Provide advice on successful strategies for personnel and project management.
  
- 6. Balancing work and life

- a. Inform mentee of university resources available to promote individual health;
- b. Invite/encourage to join in outside, non-professional activities.

### **Matching Mentors and Mentees**

A mutual agreement between the mentor and mentee is critical for the relationship to succeed. An unwilling mentor is unlikely to be helpful, and an unwilling mentee is unlikely to accept guidance.

The departmental executive officer (DEO) should facilitate the initial pairing between mentees and potential mentors, something likely to occur during the hiring process or during the first semester of employment. Mentors should generally be of a higher rank than mentees.

After arranging meetings with a variety of potential mentors, the mentee should determine which mentors are most suitable and then ask these individuals to engage in a relationship for no less than a year. The mentee and mentor should then develop a memorandum of understanding that lists out the nature of the relationship, the actual tasks being performed, and the expected frequency of contact. This MOU should be sent to the DEO.

### **Accountability and Tracking of Success**

Although the mentor may provide advice in many areas, it is the responsibility of the mentee to develop and achieve goals to meet the standards for productivity and promotion. Individual mentor-mentee relationships should be evaluated and possibly revised annually. The DEO will have the MOUs at hand and can engage the mentee and mentor in separate conversations, as he or she sees fit. This conversation should include a discussion on the progress of the mentor-mentee relationship with both the mentor and mentee. In regard to the mentee, the DEO may use this as a time to suggest changes to the mentoring relationship as part of a more general plan to overcome areas of deficiency in the mentee's professional development. Moreover, the DEO might request a separate report be filed by the mentor about the mentee's progress as a way to get another perspective on mentee's performance or document mentor's level of engagement with mentee. The DEO should be encouraged to incentivize the mentor's successful involvement with the mentee. The DEO also should provide an opportunity for either party to request and be released from a mentoring relationship without penalty.

From the department and college perspective, several metrics might be considered for evaluating the success of a mentoring program. These include:

- Level of engagement (how many times did mentee-mentor meet, what tasks were addressed);
- Levels of satisfaction of mentees and mentors with relationship
- Continuation or dissolution of relationships;

- Correlations between mentee success in teaching, scholarship and service with level of engagement, satisfaction and continuation of relationship.

# CPH Mentoring Plan TEMPLATE

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## **Mentoring Plan for (faculty member, Department)**

*Short description of who the mentors for the faculty member will be and what role they play (i.e. mentor, meta-mentor, etc.)*

*Description of how often the mentors each meet with the faculty member and in what capacity they will be mentoring the faculty member (i.e. Research, teaching, service, specialty, promotion & tenure, etc.)*

The mentoring team, *primary mentor, other mentors*, will meet annually with (*faculty member name*).

## **(Faculty Member Name) Milestones in Progression to Promotion and Tenure**

### **Year 1**

#### **Scholarship**

1. Develop a publication track record
  - a. Manuscript title or topic: \_\_\_\_\_
  - b. Manuscript title or topic: \_\_\_\_\_
  - c. Manuscript title or topic: \_\_\_\_\_
  - d. Other?
2. Develop research funding for program of research
  - a. Identify and submit pilot funding grants through \_\_\_\_\_
  - b. Develop research and grant writing collaboration
    - i. Collaboration 1
    - ii. Collaboration 2
    - iii. Collaboration 3
  - c. Collect pilot data
  - d. Other?
3. Professional Development goals
  - a. E.G. identifying membership to a professional organization and participating in a conference.
  - b. Other

#### **Teaching**

1. Courses to teach and/or preparing to teach
2. Student Advising
3. Participation in teaching related committees

## **Service**

1. Serve on collegial and/or departmental committees: *Name of committee(s)*

## **Year 2**

### **Scholarship**

1. Develop a publication track record
  - a. Additional manuscripts based on previous pilot projects
  - b. Manuscripts based on new pilot data
2. Develop research funding for program of research
  - a. Collect pilot data
  - b. Submit/resubmit/secure R-level grants using pilot data (potential mechanisms below)
    - Examples
3. Participate in collaborative grant writing efforts: to be identified

### **Teaching**

1. Courses to be taught
2. Student Advising
3. Teaching related committees

## **Service**

1. Serve on collegial and/or departmental committee: *Name of committee(s)*
2. Continue to be involved in committee/taskforce for a national organization
3. Become involved in state/regional service activities: to be discussed with DEO

## **Year 3**

### **Scholarship**

1. Continue to develop publication track record
2. Continue to prepare and submit applications for external funding mechanisms
  - Examples
3. Conducted funded research projects
4. Continue to participate in collaborative grant writing efforts

### **Teaching**

1. Continue to teach 2 courses per year
2. Continue to advise and mentor as assigned
3. Continue to participate in examination and dissertation committees

### **Service**

1. Continue to serve on collegial and departmental committees
2. Seek a leadership position in a national organization

3. Continue to be involved in state/regional service activities

# CPH Faculty Awards

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## **Faculty Mentor Award**

The College of Public Health Faculty Mentor Award recognizes faculty members who have provided outstanding mentorship to junior faculty. Faculty without a primary appointment in the College of Public Health are eligible, should they have a record of mentoring CPH junior faculty to success. This award is to be given on odd years.

## **Faculty Research Award**

Research is essential for recognition and support of the college. The purpose of this award is to recognize outstanding research contributions of one faculty member annually.

## **Faculty Teaching Award**

Effective teaching is the basic element of any college. The purpose of this award is to annually recognize the outstanding teaching of a selected College of Public Health faculty member.

## **Faculty Service Award**

Faculty service is critical to the effective functioning of the college. The purpose of this award is to annually acknowledge a faculty member who has made significant and sustained contributions to the College of Public Health, to the state of Iowa, and to his/her profession in the area of service.

# University Faculty Awards

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(Source: <http://provost.uiowa.edu/faculty-awards>)

## **Faculty Development Awards Program**

The University of Iowa Faculty Development Awards Program offers paid leaves and fellowships to encourage scientific inquiry, research, artistic creation, clinical/technical expertise, and innovation in teaching.

- [Career Development Awards](#)
- [Old Gold Summer Fellowships](#)
- [Faculty Fellowships](#) (The May Brodbeck Humanities Fellowship and the James Van Allen Natural Science Fellowship, awarded in alternate years.)

## **Other Awards for UI Faculty**

### **Michael J. Brody Award for Faculty Excellence**

- The Brody Award is named in honor of the late Michael J. Brody, former president of the UI Faculty Senate. It recognizes outstanding faculty who have made exceptional service contributions to the UI and the community.

### **Instructional Improvement Awards**

- Sponsored by the Council on Teaching, the Instructional Improvement Awards provide special funding to support instructional initiatives that will make exceptional and specific contributions to teaching.

### **Lola Lopes Award for Undergraduate Student Advocacy**

- The Lola Lopes Award for Undergraduate Student Advocacy recognizes administrators, staff, or faculty outside of their teaching roles who serve as strong and effective advocates for undergraduate students and the undergraduate experience. The award is administered by the Office of the Provost.

### **President & Provost Award for Teaching Excellence**

- The President & Provost Award for Teaching Excellence, administered by the UI Council on Teaching, recognizes faculty members who have demonstrated a sustained, high level of teaching excellence.



## Regents Award for Faculty Excellence

- Six University of Iowa faculty members have won the 2011 Regents Award for Faculty Excellence. Given by the Board of Regents, State of Iowa, the award honors faculty members for work representing a significant contribution to excellence in public education.

<u>Award</u>	<u>Award Source</u>	<u>Nomination Guidelines</u>	<u>Collegiate Method of Submission</u>	<u>Who Submits the Nomination</u>	<u># of Nominations Allowed</u>	<u>Approximate Due Date</u>
President & Provost Award for Teaching Excellence	University	<ul style="list-style-type: none"> <li>• Requires a letter from the Dean explaining the College’s nomination process that <u>must</u> provide clear evidence of meaningful participation by students in the nomination and selection process.</li> <li>• Requires 5 letters of support from current and former students; 3 letters of support from faculty colleagues (at least one should be from the DEO).</li> </ul>	<ul style="list-style-type: none"> <li>• We typically submit the faculty who have won our Collegiate teaching award the previous Spring.</li> </ul>	<input type="checkbox"/> Awards Committee <input checked="" type="checkbox"/> Dean’s Office <input type="checkbox"/> Other: _____	3	Annually in January/February
Scholar of the Year	VP Research Office	<ul style="list-style-type: none"> <li>• Honors nationally-recognized achievement in research. Recognizes outstanding research, scholarly and/or creative activities by tenured and/or research/clinical track faculty members.</li> <li>• Eligibility: All current tenure-track, research track or clinical faculty members with a 50 percent or greater appointment</li> <li>• Criteria:               <ul style="list-style-type: none"> <li>- Superior scholarship as evidenced by recent publications in prestigious journals;</li> <li>- Winner of a prestigious book prize;</li> <li>- Receipt of distinguished awards from one's peers, or professional societies;</li> <li>- Receipt of a major center grant;</li> <li>- Consistent record of highly cited, influential publications;</li> <li>- Publication of book or creative</li> </ul> </li> </ul>		<input type="checkbox"/> Awards Committee <input type="checkbox"/> Dean’s Office <input checked="" type="checkbox"/> Other: (Anyone in the UI Community)  <b>**Cc: the Dean’s Office on submission</b>	Unlimited	Annually in January/February

<u>Award</u>	<u>Award Source</u>	<u>Nomination Guidelines</u>	<u>Collegiate Method of Submission</u>	<u>Who Submits the Nomination</u>	<u># of Nominations Allowed</u>	<u>Approximate Due Date</u>
		<p>works of art; and/or</p> <ul style="list-style-type: none"> <li>- Editorial board membership of a peer-reviewed journal; external peer recognition of scholarly accomplishment (e.g. best paper, best poster).</li> <li>• Required materials: <ul style="list-style-type: none"> <li>- Letter of Nomination - Attach a brief description, NO MORE THAN 750 words in length, describing the nominee's qualifications and accomplishments.</li> <li>- Up to three <i>confidential</i> letters of endorsement [Letters of support from a variety of constituents, UI and non-UI (e.g., experts in the field), will have a greater impact].</li> <li>- CV (up to 10 pages).</li> </ul> </li> <li>• A selection committee will be appointed to evaluate nominations with respect to the award criteria.</li> <li>• Nomination form found at: <a href="http://research.uiowa.edu/scholar-year">http://research.uiowa.edu/scholar-year</a></li> </ul>				
Early Career Scholar of the Year	VP Research Office	<ul style="list-style-type: none"> <li>• Honors tenure-track or research/clinical track faculty members within their <u>first seven years post PhD</u> and <u>first five years of service</u> at the University of Iowa, who are currently involved in research and/or scholarly activity and show promise of making a significant contribution to their field.</li> <li>• Eligibility: All current tenure-track, research track or clinical faculty</li> </ul>		<input type="checkbox"/> Awards Committee <input type="checkbox"/> Dean's Office <input checked="" type="checkbox"/> Other: (Anyone in the UI Community)  <b>**Cc: the Dean's Office on submission</b>	Unlimited	Annually in January/February

<u>Award</u>	<u>Award Source</u>	<u>Nomination Guidelines</u>	<u>Collegiate Method of Submission</u>	<u>Who Submits the Nomination</u>	<u># of Nominations Allowed</u>	<u>Approximate Due Date</u>
		<p>members with a 50 percent or greater appointment.</p> <ul style="list-style-type: none"> <li>• Criteria: <ul style="list-style-type: none"> <li>- Superior scholarship as evidenced by recent publications in prestigious journals;</li> <li>- Winner of a prestigious book prize;</li> <li>- Receipt of distinguished awards from one's peers, or professional societies;</li> <li>- Receipt of a major center grant;</li> <li>- Consistent record of highly cited, influential publications;</li> <li>- Publication of book or creative works of art; and/or</li> <li>- Editorial board membership of a peer-reviewed journal; external peer recognition of scholarly accomplishment (e.g. best paper, best poster).</li> </ul> </li> <li>• Required materials: <ul style="list-style-type: none"> <li>- Letter of Nomination - Attach a brief description, NO MORE THAN 750 words in length, describing the nominee's qualifications and accomplishments.</li> <li>- Up to three <i>confidential</i> letters of endorsement [Letters of support from a variety of constituents, UI and non-UI (e.g., experts in the field), will have a greater impact].</li> <li>- CV (up to 10 pages).</li> </ul> </li> <li>• Nomination form found at:</li> </ul>				

Award	Award Source	Nomination Guidelines	Collegiate Method of Submission	Who Submits the Nomination	# of Nominations Allowed	Approximate Due Date
		<a href="http://research.uiowa.edu/early-career-scholar-year">http://research.uiowa.edu/early-career-scholar-year</a>				
Leadership in Research	VP Research Office	<ul style="list-style-type: none"> <li>• Honors leadership of a large, collaborative interactive team science grant at the University of Iowa (e.g. NIH P-series, multi-center, high-impact clinical trial, resident/fellow training).</li> <li>• Eligibility: All current tenure-track, research track or clinical faculty members with a 50 percent or greater appointment</li> <li>• Criteria: <ul style="list-style-type: none"> <li>- Superior scholarship as evidenced by recent publications in prestigious journals;</li> <li>- Winner of a prestigious book prize;</li> <li>- Receipt of distinguished awards from one's peers, or professional societies;</li> <li>- Receipt of a major center grant;</li> <li>- Consistent record of highly cited, influential publications;</li> <li>- Publication of book or creative works of art; and/or</li> <li>- Editorial board membership of a peer-reviewed journal; external peer recognition of scholarly accomplishment (e.g. best paper, best poster).</li> </ul> </li> <li>• Required materials: <ul style="list-style-type: none"> <li>- Letter of Nomination - Attach a brief description, NO MORE THAN</li> </ul> </li> </ul>		<input type="checkbox"/> Awards Committee <input type="checkbox"/> Dean's Office <input checked="" type="checkbox"/> Other: (Anyone in the UI Community)  <b>**Cc: the Dean's Office on submission</b>	Unlimited	Annually in January/February

Award	Award Source	Nomination Guidelines	Collegiate Method of Submission	Who Submits the Nomination	# of Nominations Allowed	Approximate Due Date
		<p>750 words in length, describing the nominee's qualifications and accomplishments.</p> <ul style="list-style-type: none"> <li>- Up to three <i>confidential</i> letters of endorsement [Letters of support from a variety of constituents, UI and non-UI (e.g., experts in the field), will have a greater impact].</li> <li>- CV (up to 10 pages).</li> <li>• Nomination form found at: <a href="http://research.uiowa.edu/leadership-research">http://research.uiowa.edu/leadership-research</a></li> </ul>				
Distinguished Achievement in Publicly Engaged Research	VP Research Office	<ul style="list-style-type: none"> <li>• Recognizes an individual faculty member who has put addressing public needs and direct engagement with the public in the service of improving quality of life through research at the forefront of his or her academic activities.</li> <li>• Eligibility: All current tenure-track, research track or clinical faculty members with a 50 percent or greater appointment</li> <li>• Criteria: <ul style="list-style-type: none"> <li>- Superior scholarship as evidenced by recent publications in prestigious journals;</li> <li>- Winner of a prestigious book prize;</li> <li>- Receipt of distinguished awards from one's peers, or professional societies;</li> <li>- Receipt of a major center grant;</li> <li>- Consistent record of highly cited,</li> </ul> </li> </ul>		<input type="checkbox"/> Awards Committee <input type="checkbox"/> Dean's Office <input checked="" type="checkbox"/> Other: (Anyone in the UI Community)  <b>**Cc: the Dean's Office on submission</b>	Unlimited	Annually in January/February

<u>Award</u>	<u>Award Source</u>	<u>Nomination Guidelines</u>	<u>Collegiate Method of Submission</u>	<u>Who Submits the Nomination</u>	<u># of Nominations Allowed</u>	<u>Approximate Due Date</u>
		<p>influential publications;</p> <ul style="list-style-type: none"> <li>- Publication of book or creative works of art; and/or</li> <li>- Editorial board membership of a peer-reviewed journal; external peer recognition of scholarly accomplishment (e.g. best paper, best poster).</li> </ul> <ul style="list-style-type: none"> <li>• Required materials: <ul style="list-style-type: none"> <li>- Letter of Nomination - Attach a brief description, NO MORE THAN 750 words in length, describing the nominee's qualifications and accomplishments.</li> <li>- Up to three <i>confidential</i> letters of endorsement [Letters of support from a variety of constituents, UI and non-UI (e.g., experts in the field), will have a greater impact].</li> <li>- CV (up to 10 pages).</li> </ul> </li> <li>• Nomination form found at: <a href="http://research.uiowa.edu/distinguished-achievement-publicly-engaged-research">http://research.uiowa.edu/distinguished-achievement-publicly-engaged-research</a></li> </ul>				
Faculty/Staff Startup of the Year	VP Research Office	<ul style="list-style-type: none"> <li>• This prestigious award will honor two deserving startups affiliated with the University of Iowa. Recipients of this award exhibit passion, devotion and innovation in planning and deploying their startup and have either made significant progress over the years, or have made an impact as determined by jobs created, revenue generated, or</li> </ul>		<input type="checkbox"/> Awards Committee <input type="checkbox"/> Dean's Office <input checked="" type="checkbox"/> Other: (Anyone in the UI Community)  <b>**Cc: the Dean's Office on submission</b>	Unlimited	Annually in January/February

<u>Award</u>	<u>Award Source</u>	<u>Nomination Guidelines</u>	<u>Collegiate Method of Submission</u>	<u>Who Submits the Nomination</u>	<u># of Nominations Allowed</u>	<u>Approximate Due Date</u>
		<p>other metrics. For the purpose of this award, a startup is defined as a breakout company that has been operational for 3 years or less. This award process is conducted in partnership with the Office of the Vice President for Research and Economic Development and the John Pappajohn Entrepreneurial Center.</p> <ul style="list-style-type: none"> <li>• Eligibility: Candidate must be an owner of the company and currently employed by the University of Iowa, on a full-time basis, at the time of the application.</li> <li>• Process: <ul style="list-style-type: none"> <li>Step 1: Submit Nominee Information Form</li> <li>Step 2: Submit one-page Executive Summary outlining the areas below.</li> </ul> </li> </ul> <ol style="list-style-type: none"> <li>1. Executive Overview <ul style="list-style-type: none"> <li>• Date founded (Month/Year)</li> <li>• Describe the company and its product(s) and/or service(s)</li> <li>• Revenue (to date)</li> <li>• Investments to date</li> </ul> </li> <li>2. Market Assessment <ul style="list-style-type: none"> <li>• Market size</li> <li>• Target market</li> <li>• Competitive advantage</li> </ul> </li> <li>3. Achievements and milestones</li> </ol>				



Award	Award Source	Nomination Guidelines	Collegiate Method of Submission	Who Submits the Nomination	# of Nominations Allowed	Approximate Due Date
		<ul style="list-style-type: none"> <li>• Describe the business achievements &amp; milestones reached</li>   <li>4. Next Steps               <ul style="list-style-type: none"> <li>• Describe the future growth plans for the business over the next 12 months</li> </ul> </li>   <li>5. Management Team               <ul style="list-style-type: none"> <li>• List and briefly describe the backgrounds of key owners and any other management team members</li> <li>• Outside boards and advisors</li> </ul> </li>   <li>• Nomination form found at:  <a href="http://research.uiowa.edu/startup-year-award">http://research.uiowa.edu/startup-year-award</a> </li> </ul>				
Diversity Catalyst Award	EOD	<ul style="list-style-type: none"> <li>• Designed to honor faculty or staff members, programs, or departments, and students or student organizations engaged in diversity initiatives during the previous academic year that have promoted the development of an inclusive, diverse campus community at the UI.</li> <li>• The nominee has developed or implemented an innovative program, policy, or activity to enhance diversity within the university; and/or</li> <li>• The nominee's contributions are distinctive and have a positive effect on building respect for diversity within the university community;</li> <li>• The nominee has gone above and</li> </ul>	<ul style="list-style-type: none"> <li>• A campus-wide committee of peers will determine the winners.</li> </ul>	<input type="checkbox"/> Awards Committee <input type="checkbox"/> Dean's Office <input checked="" type="checkbox"/> Other: (Anyone in the UI Community)  <b>**Cc: the Dean's Office on submission</b>	Unlimited  Eligibility -Faculty -Graduate Student -Staff -Undergraduate Student	Annually in January

Award	Award Source	Nomination Guidelines	Collegiate Method of Submission	Who Submits the Nomination	# of Nominations Allowed	Approximate Due Date
		beyond his/her job responsibilities <ul style="list-style-type: none"> <li>Nominators are requested to fill out an <a href="#">online nomination form</a> and encouraged to submit up to two letters of support to <a href="mailto:diversity-awards@uiowa.edu">diversity-awards@uiowa.edu</a>.</li> </ul>				
Regents Award for Faculty Excellence	University	<ul style="list-style-type: none"> <li>Nominations should be received from the College level.</li> <li>Requires 2 supporting letters from faculty in the nominee's department or college.</li> </ul>	<ul style="list-style-type: none"> <li>Dean's Office will solicit and collect nominations to submit.</li> <li>Discussed and selected at Executive Committee.</li> </ul>	<input type="checkbox"/> Awards Committee <input checked="" type="checkbox"/> Dean's Office <input type="checkbox"/> Other: _____	2 (determined by size of college's faculty)	Annually in February
Jean Y. Jew Women's Rights Award	Women's Resource & Action Center and Council on the Status of Women	<ul style="list-style-type: none"> <li>Honors a faculty, staff, or student member of the University Community who has demonstrated outstanding effort or achievement in improving the status of women at the University.</li> <li>Candidates should have a strong record of support for women's rights in a broad sense, a commitment to women's rights at the UI, and one or more of the following related to women's rights:               <ul style="list-style-type: none"> <li>Particular contributions to the UI</li> <li>Long-standing record of leadership, effort, and activism.</li> <li>Accomplishments with national scope or impact.</li> </ul> </li> <li>Requires: Cover form, 2-page</li> </ul>	<ul style="list-style-type: none"> <li>Departments can submit directly to the selection committee.</li> </ul>	<input type="checkbox"/> Awards Committee <input type="checkbox"/> Dean's Office <input checked="" type="checkbox"/> Other: (Faculty/Students/Off-Campus Constituents)  <b>**Cc: the Dean's Office on submission</b>	Unlimited	Annually in February

<u>Award</u>	<u>Award Source</u>	<u>Nomination Guidelines</u>	<u>Collegiate Method of Submission</u>	<u>Who Submits the Nomination</u>	<u># of Nominations Allowed</u>	<u>Approximate Due Date</u>
		statement explaining the nominee's qualifications for the award (including accomplishments; current resume/CV; up to 3 letters from individuals that elaborate/expand on the nominee's resume/CV)				
May Brodbeck Distinguished Achievement Award	Committee on the Celebration of Excellence and Achievement Among Women	<ul style="list-style-type: none"> <li>• Have significant years of service within the University community in a professional or service capacity</li> <li>• Should be considered role models and mentors for women and/or girls</li> <li>• Candidates' contributions should demonstrate significant impact through attributes such as leadership, innovation, and/or subject matter expertise</li> </ul>		<input type="checkbox"/> Awards Committee <input type="checkbox"/> Dean's Office <input checked="" type="checkbox"/> Other: _____	1 Staff or faculty member	Annually in February
CPH Faculty Teaching Awards	College	<ul style="list-style-type: none"> <li>• Nominations may be made by students, staff, faculty, or outside collaborators.</li> </ul>	<ul style="list-style-type: none"> <li>• CPH Awards Committee selects the recipients.</li> </ul>	<input checked="" type="checkbox"/> Awards Committee <input type="checkbox"/> Dean's Office <input type="checkbox"/> Other: _____	Unlimited	Annually in March
CPH Faculty Service Award	College	<ul style="list-style-type: none"> <li>• Nominations may be made by students, staff, faculty, or outside collaborators.</li> </ul>	<ul style="list-style-type: none"> <li>• CPH Awards Committee selects the recipients.</li> </ul>	<input checked="" type="checkbox"/> Awards Committee <input type="checkbox"/> Dean's Office <input type="checkbox"/> Other: _____	Unlimited	Annually in March
CPH Faculty Research Award	College	<ul style="list-style-type: none"> <li>• Nominations may be made by students, staff, faculty, or outside collaborators.</li> </ul>	<ul style="list-style-type: none"> <li>• CPH Awards Committee selects the recipients.</li> </ul>	<input checked="" type="checkbox"/> Awards Committee <input type="checkbox"/> Dean's Office <input type="checkbox"/> Other: _____	Unlimited	Annually in March
CPH Faculty Mentoring Award	College	<ul style="list-style-type: none"> <li>• Nominations may be made by faculty.</li> <li>• Awarded to an outstanding mentor of junior faculty.</li> </ul>	<ul style="list-style-type: none"> <li>• CPH Awards Committee selects the recipients.</li> </ul>	<input checked="" type="checkbox"/> Awards Committee <input type="checkbox"/> Dean's Office <input type="checkbox"/> Other: _____	Unlimited (given every other year;	Annually in March

<u>Award</u>	<u>Award Source</u>	<u>Nomination Guidelines</u>	<u>Collegiate Method of Submission</u>	<u>Who Submits the Nomination</u>	<u># of Nominations Allowed</u>	<u>Approximate Due Date</u>
		<ul style="list-style-type: none"> <li>Faculty without a primary appointment in the CPH would be eligible, should they have a record of mentoring CPH junior faculty to success.</li> <li>Award given every other year (Starting in 2015).</li> </ul>			odd years)	
Hancher Finkbine Medallion for Faculty	University	<ul style="list-style-type: none"> <li>Award rotates among the colleges.</li> </ul>	<ul style="list-style-type: none"> <li>Departments submit to the office of the Associate Dean for Faculty Affairs</li> <li>Nominations to be sent to the University level are selected by the CPH Awards Committee.</li> </ul>	<input checked="" type="checkbox"/> Awards Committee <input type="checkbox"/> Dean's Office <input type="checkbox"/> Other: _____		Annually in March
Michael J. Brody Award for Faculty Excellence in Service	University	<ul style="list-style-type: none"> <li>Nominations can be made by faculty, students, or off-campus constituents.</li> <li>Must have 3 letters of endorsement by faculty members.</li> </ul>	*** I have no information in my records of how we have chosen our nominations for this award.	<input type="checkbox"/> Awards Committee <input type="checkbox"/> Dean's Office <input checked="" type="checkbox"/> Other: (Faculty/Students/Off-Campus Constituents)  <b>**Cc: the Dean's Office on submission</b>		Annually in March
James N. Murray Award	University Honors Program (Omicron Delta Kappa)	<ul style="list-style-type: none"> <li>Presented to a tenure-track faculty member who has not yet received tenure. Typically a younger scholar with less than six years of service at the UI.</li> <li>Recipients demonstrate outstanding rapport with students and create an exemplary classroom atmosphere.</li> <li>Nominations can be submitted by anyone in the UI Community.</li> </ul>	<ul style="list-style-type: none"> <li>We have not submitted for this before.</li> </ul>	<input type="checkbox"/> Awards Committee <input type="checkbox"/> Dean's Office <input checked="" type="checkbox"/> Other: (Anyone in the UI Community)  <b>**Cc: the Dean's Office on submission</b>		Annually in March

<u>Award</u>	<u>Award Source</u>	<u>Nomination Guidelines</u>	<u>Collegiate Method of Submission</u>	<u>Who Submits the Nomination</u>	<u># of Nominations Allowed</u>	<u>Approximate Due Date</u>
		Collaboration between students and faculty is encouraged in the nomination process.				
Marion L. Huit Award	University Honors Program (Omicron Delta Kappa)	<ul style="list-style-type: none"> <li>Presented to a tenured faculty member who exemplifies dedication, concern for, and interaction with students that make an excellent educator.</li> <li>Nominations can be submitted by anyone in the UI Community. Collaboration between students and faculty is encouraged in the nomination process.</li> </ul>	<ul style="list-style-type: none"> <li>We have not submitted for this before.</li> </ul>	<input type="checkbox"/> Awards Committee <input type="checkbox"/> Dean's Office <input checked="" type="checkbox"/> Other: (Anyone in the UI Community)  <b>**Cc: the Dean's Office on submission</b>		Annually in March
Presidential Lecturer	University	<ul style="list-style-type: none"> <li>Nomination of faculty colleagues.</li> <li>Letter of support describing the nominee's major accomplishments and reasons they are a strong candidate (required).</li> </ul>	<ul style="list-style-type: none"> <li>In the past, the nomination has been submitted from the Dean's Office with a letter of support by the Dean.</li> </ul>	<input type="checkbox"/> Awards Committee <input checked="" type="checkbox"/> Dean's Office <input type="checkbox"/> Other: _____		Annually in April
Alumni Awards	College	<ul style="list-style-type: none"> <li>Office of Communications/Alumni Relations solicits nominations.</li> </ul>	<ul style="list-style-type: none"> <li>Alumni Relations Council selects the recipient of this award.</li> </ul>	<input type="checkbox"/> Awards Committee <input type="checkbox"/> Dean's Office <input checked="" type="checkbox"/> Other: (faculty, staff, other alumni, co-worker of alumnus, etc.)		Annually in the Spring
Hansen Award	College	<ul style="list-style-type: none"> <li>A committee in the Dean's office solicits nominations for this award.</li> </ul>	<ul style="list-style-type: none"> <li>Recipient is chosen by the Executive Committee.</li> </ul>	<input type="checkbox"/> Awards Committee <input checked="" type="checkbox"/> Dean's Office <input type="checkbox"/> Other: _____		Annually in the Spring/Summer
CPH Distinguished Faculty Lecturer	College		<ul style="list-style-type: none"> <li>A small subgroup of the Executive Committee works in conjunction with</li> </ul>	<input type="checkbox"/> Awards Committee <input type="checkbox"/> Dean's Office		Annually in the Spring/Summer

<u>Award</u>	<u>Award Source</u>	<u>Nomination Guidelines</u>	<u>Collegiate Method of Submission</u>	<u>Who Submits the Nomination</u>	<u># of Nominations Allowed</u>	<u>Approximate Due Date</u>
			the Research Office to collect nominations and choose the recipient.	<input checked="" type="checkbox"/> Other: (CPH Research Office & Executive Committee)		?
New Investigator Research Award	College		<ul style="list-style-type: none"> <li>Research Council chooses the recipients of this award.</li> </ul>	<input type="checkbox"/> Awards Committee <input type="checkbox"/> Dean's Office <input checked="" type="checkbox"/> Other: (Research Council)		Annually
"Above and Beyond" Award	University of Iowa Disability Planning & Action Committee (DPAC)	<ul style="list-style-type: none"> <li>Exemplifies commitment to the university disability community</li> <li>Demonstrates exceptional initiative in support of the persons with disabilities within in the university</li> <li>Has gone above and beyond job responsibilities in providing service to persons with disabilities at the University of Iowa</li> </ul>		<input type="checkbox"/> Awards Committee <input type="checkbox"/> Dean's Office <input checked="" type="checkbox"/> Other: (A faculty member in the department)  <b>** online application</b>	Unlimited	Annually in September
Outstanding Faculty Mentor Award	Graduate College	<ul style="list-style-type: none"> <li>Recognizes exemplary mentoring of doctoral students by UI Graduate Faculty.</li> <li>Departments eligible to nominate on different years.</li> <li>Mentor must have been a member of the UI Graduate faculty for at least 5 years and have mentored at least 3 students who have completed doctoral degrees at Iowa.</li> <li>Once nominated, a mentor will need to provide a statement of mentoring philosophy (following the award criteria), a CV, and a list of current/past doctoral students advised at the</li> </ul>		<input type="checkbox"/> Awards Committee <input type="checkbox"/> Dean's Office <input checked="" type="checkbox"/> Other: (A faculty member in the department)  <b>**Cc: the Dean's Office on submission</b>	1 from eligible department  <b>Eligibility: CPH (Odd-numbered years)</b>	Annually in November

<u>Award</u>	<u>Award Source</u>	<u>Nomination Guidelines</u>	<u>Collegiate Method of Submission</u>	<u>Who Submits the Nomination</u>	<u># of Nominations Allowed</u>	<u>Approximate Due Date</u>
		University of Iowa, organized by year of graduation. <ul style="list-style-type: none"> <li>• Mentor nominees must also provide contact information for one current student and one graduate, each of whom will submit recommendation letters.</li> </ul>				

# Named Professorships and Endowed Chairs

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## Named Professorships

The College nominates members of its own faculty who have shown exceptional merit in research and teaching for named professorships. The University has established the following criteria for appointment to a named chair:

- The faculty member must have stimulated or substantially altered his or her field through scholarly or artistic work.
- The faculty member must have achieved international recognition by peers in the field.
- The faculty member must have made exceptional teaching contributions.

Upon receiving a nomination, the Dean consults the College's Executive Committee. If advised by the Committee to pursue the nomination, the Dean will consult at least three external evaluators who are nationally or internationally known in the discipline. The Dean may then forward a collegiate nomination to the Provost, who consults a University-wide Faculty Advisory Committee on Distinguished Professorships, the members of which are holders of named and endowed chairs. The College and the UI Foundation cooperate to provide financial support for the salary and research of those who receive named professorships.

## Endowed Chairs

The College or the department may receive endowments to fund chairs. If the endowment is made to the College, the Dean consults the Executive Committee and the terms of the endowment before designating the department in which the chair will be filled or the units that will share a joint appointment. The criteria for endowed chairs are the same as those listed above for named chairs.

Endowed chairs are generally filled through external searches. In filling these positions, the College intends to build on its areas of strength and to add scholars of exceptional distinction to its faculty. The search committee for such a position includes departmental faculty, the Dean or the Dean's designate, and one or more faculty members who hold endowed chairs.



## Office of the Executive Vice President and Provost

### GUIDELINES FOR NAMED FACULTY POSITIONS AT THE UNIVERSITY OF IOWA

#### I. Definitions and funding guidelines:

- A. “Named faculty positions” include endowed deanships, chairs, professorships, and fellowships, as well as named professorships or fellowships that are supported by temporary funds. .
- B. See the UI Foundation Named Gift Recognition Guidelines (<http://president.uiowa.edu/files/president.uiowa.edu/files/NGRGuidelinesoftheUIandUIF.pdf>) for the minimum endowment or commitment required for each type of named faculty position, and for additional guidance regarding naming opportunities.

#### II. Appointments for named faculty positions shall be term appointments and are decided by the provost.

- A. Nominations for named faculty appointments must be submitted by the dean of the college to the provost.
- B. The term of appointment for a chair is normally five to seven years, and for a professorship or fellowship, three to five years. Appointments may be renewed with the approval of the provost (see Section IV). An endowed deanship is tied to the dean’s appointment.
- C. If an appointment is designated as renewable, a review will be conducted prior to renewal. This review’s purposes are to ensure that the criteria for the initial selection of the holder of the position continue to be consistent with the donor’s intent, and that the holder of the position continues to meet the appointment criteria.
- D. Appointments that are not term-limited or were made prior to June 27, 2007 will remain in force, except in cases of dereliction of duty or unproductive or ineffective scholarship, service and/or teaching.

#### III. Criteria for appointment to a named faculty position (as appropriate to the award):

Regardless of the primary basis of the appointment (scholarship, teaching, or clinical practice), all appointees to named positions are expected to have a satisfactory record of

accomplishment in all of the missions relevant to their specific rank and track, *i.e.*, teaching, service, creative work/scholarship, or clinical practice.

A. For appointments based primarily on scholarship, the individual must have:

1. Stimulated or substantially altered his/her field through scholarly or artistic work.
2. Received international recognition by peers within the field, as relevant.
3. Be tenured.

B. For appointments based primarily on teaching, the individual must have:

1. Demonstrated truly exceptional contributions to the teaching mission of the institution defined as being of the caliber normally recognized by the President and Provost Award for Teaching Excellence, and greater than those usually recognized by the Collegiate Teaching Awards.
2. Received local, national, and/or international recognition within the educational field, as relevant.
3. An appointment in either the tenure or clinical track.

C. For appointments based primarily on clinical practice, the individual must have:

1. Demonstrated truly exceptional contributions to the clinical service mission of the institution.
2. Received local, national, and/or international recognition for clinical accomplishments within the field, as relevant.
3. An appointment in either the tenure or clinical track.

IV. Material to be submitted:

A. For all appointments:

1. Funding agreement ([http://provost.uiowa.edu/faculty/fachandbk/policies/funding\\_agreement.pdf](http://provost.uiowa.edu/faculty/fachandbk/policies/funding_agreement.pdf)). Before a faculty member can be appointed to a named position, a funding agreement must be signed by both the UI Foundation and the provost to confirm that an appropriate funding stream(s) has been established for the position and that the position conforms to UIF naming guidelines (<http://president.uiowa.edu/files/president.uiowa.edu/files/NGRGuidelinesoftheUIandUIF.pdf>).

B. For appointments based primarily on scholarship:

1. Letter of nomination from the dean defining the nominee's field, providing a detailed description of the nominee's scholarly or artistic contribution to his or her field, and evaluating the quality of his or her teaching (include comparisons with one or two distinguished people who hold similar endowed positions at peer institutions, *e.g.*, AAU, Big Ten, major public, Doctoral/Research Universities-Extensive, or institutions in which the corresponding department is of peer quality). In addition, the letter should include a brief description of the process by which the nominee was selected.
2. The nominee's current *curriculum vitae*, accompanied by an explanation from a colleague, department chair, or other administrator explaining how the c.v. should be interpreted (*e.g.*, quality of publication outlets; prestige of awards).
3. Three to five letters from outside reviewers analyzing in detail the quality of the individual's scholarly or artistic work, with specific reference to its impact on the field; a biosketch of each referee from a federal grant or Who's Who publication (or a current *curriculum vitae*); and an explanation of the personal or professional relationship of each referee to the nominee.
4. Three to five of the nominee's major publications (or samples/records of artistic work) and published reviews, if any exist, of that work.

C. For appointments based primarily on teaching:

Because teaching at The University of Iowa takes place in such diverse settings and is documented in so many different ways, it is possible that individual nominations will not include all of the materials in 5 through 7 below. A nomination will be judged complete if the materials submitted provide compelling evidence of truly exceptional contributions to the teaching mission of the institution.

These appointments are generally made at the named professorship or faculty fellowship level, and not at the chair level.

1. A letter from the dean and DEO describing the candidate's teaching accomplishments, including descriptions of instructional innovations and curriculum development as appropriate.
2. A personal statement by the candidate describing his or her teaching philosophy and practice.
3. A current *curriculum vitae*, with teaching accomplishments highlighted.

4. Three to five letters from professionals familiar with the candidate's teaching. Letters from professionals outside the University of Iowa are useful in establishing national and international recognition.
5. Three to five letters from former students.
6. Summaries of student evaluations of teaching.
7. Exemplary syllabi, assignments, tests or other documents demonstrating the candidate's approach to teaching.

D. For appointments based primarily on clinical practice:

Because clinical practice at The University of Iowa takes place in diverse settings and is documented in many different ways, it is possible that individual nominations may not include material described in 5 and/or 6 below. A nomination will be judged complete if the materials submitted provide compelling evidence of truly exceptional contributions to the clinical service of the institution.

These appointments are generally made at the named professorship or faculty fellowship level, and not at the chair level.

1. A letter from the dean and DEO describing the candidate's clinical practice accomplishments.
2. A personal statement by the candidate describing his or her clinical practice philosophy and practice.
3. Current *curriculum vitae*, with clinical practice accomplishments highlighted.
4. Three to five letters from professionals familiar with the candidate's clinical practice. Because the best judges of clinical practice are peer clinicians, letters supporting appointments in this category may be from professionals either inside or outside the University of Iowa.
5. Letters from patients or clients, no more than 3 to 5, may be submitted in support.
6. Outcome data, client evaluations, or other quality data related to the specific area of clinical practice may be submitted.

V. Renewal of a term position:

The dean will submit:

- A. A letter to the provost proposing the renewal, describing the accomplishments that merit continued appointment.
- B. The nominee's current *curriculum vitae*.
- C. An updated funding agreement.
- D. Two letters from individuals outside the University. Requirement for outside letters may be waived in special circumstances, but only with the consent of the provost.

VI. Reappointment from professorship to chair or fellowship to professorship:

If funding permits, a named faculty position may be upgraded (*i.e.*, a professorship may be upgraded to a chair or a fellowship to a professorship) upon consultation with the UI Foundation and approval by the provost. The current holder of the position must qualify for the newly designated position and a new funding agreement must be executed. The Office of the Provost will notify the UI Foundation of the new faculty appointment.

The dean will submit:

- A. A letter to the provost proposing the change, and describing the accomplishments of the holder of the appointment that merit this change.
- B. The nominee's current *curriculum vitae*.
- C. An updated funding agreement.
- D. Two outside letters.

VII. Types of appointments:

- A. Deanship or University Librarian: Endowment funds provide a flexible resource for a dean or University librarian to meet special needs and opportunities in his/her college (but not as a supplement for the dean's or librarian's salary).
  1. Requires the University-wide minimum endowment per current UIF/UI agreement.
  2. Tied to position.
  3. Example title: "XXX Dean's Chair in the Liberal Arts and Sciences."
- B. Faculty chair: The highest honor bestowed by the University on an outstanding member of the faculty. Endowment income is used as deemed appropriate by the dean of the

college and the provost to supplement the salary of the faculty member and/or to support the academic pursuits and endeavors of the holder of the chair.

1. Requires the University-wide minimum endowment per current UIF/UI agreement.
2. Fixed term of appointment with an expectation of renewal so long as the holder continues to meet the criteria for appointment to the chair.
3. Example title: “XXX Chair in Engineering.”

C. Named professorship: To recognize distinguished faculty and provide an annual amount in partial support of salary or teaching, research, or scholarship expenses.

1. Requires the University-wide minimum endowment (for endowed positions) or minimum guaranteed funding stream per current UIF/UI agreement.
2. Fixed term of appointment with or without expectation of renewal, as specified in the appointment letter.
3. Example title: “XXX Professor of Cardiology.”

D. Named faculty fellowship: To support faculty development in teaching or research from the junior (and above) ranks:

1. Requires the University-wide minimum endowment (for endowed positions) or minimum guaranteed funding stream per current UIF/UI agreement.
2. Fixed term of appointment.
3. Example title: “XXX Fellow of Law.”

E. Collegiate appointments (or other non-endowed, non-donor named faculty appointments):

1. Each college must have criteria and procedures approved by the provost.
2. Funding must be available to support these positions at the level required in the UIF naming guidelines document (<http://president.uiowa.edu/files/president.uiowa.edu/files/NGRGuidelinesoftheUIandUIF.pdf>), and the funds are to be provided solely by the collegiate unit. The naming college must confirm to the provost that an appropriate funding stream(s) has been established for the position and that the position conforms to UIF naming guidelines.
3. Appointments are decided at the collegiate level.

4. Collegiate appointments are renewable term appointments.
5. Holders of collegiate appointments will be designated in such a way that distinguishes them from donor-named University chairs and professors:
  - a. Collegiate Fellow or Scholar
  - b. College of XXX Distinguished Professor

#### VIII. Visiting chairs and professorships

Visiting named chairs and professorships are a special form of named faculty positions that are used to bring distinguished individuals to campus to enrich the academic environment for a specified period of time. (*Note: The Ida Cordelia Beam Distinguished Visiting Professorships are governed by a separate set of guidelines that can be found at: <http://provost.uiowa.edu/ida-cordelia-beam-distinguished-visiting-professorships-program>.*)

Traditional named chair and professorship positions may be utilized for appointment of a visiting chair or professor in limited circumstances (*e.g.*, where a nominee is not otherwise available nor expected within a reasonable timeframe for the traditional chair or professorship), subject to the criteria and approvals required for visiting named chairs or professorships and to any donor intent restrictions.

- A. Appointments for visiting named chairs and professorships shall be term appointments and are approved by the provost.
  1. Nominations for visiting named chairs and professorships must be submitted by the dean of the college to the provost.
  2. Appointments are approved by the provost. The term of appointment for a chair or professorship may be a minimum of one semester and up to two years. Appointments may be renewed for up to an additional two year term with the approval of the provost (see Section V).
  3. Renewal requires a review to ensure that the criteria for the initial selection of the holder of the position continue to be consistent with the donor's intent, and that the holder of the position continues to meet the appointment criteria.
- B. Criteria for appointment to a named visiting named chair or professorship
  1. Distinguished achievements in academia or other career pursuits.
  2. Received local, national, and/or international recognition in his/her field.

C. Materials to be submitted

1. A letter of nomination from the dean defining the nominee's qualifications.
2. The nominee's current *curriculum vitae* if he/she is an academic or comparable career profile if he/she is not an academic.
3. A statement from the dean detailing the responsibilities of the nominee while he/she holds the visiting chair or professorship and the expected length of term of the appointment.
4. Funding Agreement (see [http://provost.uiowa.edu/files/provost.uiowa.edu/files/funding\\_agreement.pdf](http://provost.uiowa.edu/files/provost.uiowa.edu/files/funding_agreement.pdf)). The naming college must complete a funding agreement, which must be signed by both the UI Foundation and the provost to confirm that an appropriate funding stream(s) has been established for the position and that the position conforms to UIF naming guidelines (<http://president.uiowa.edu/files/president.uiowa.edu/files/NGRGuidelinesoftheUIandUIF.pdf>).

D. Renewal of a named visiting chair or professorship

The dean will submit:

1. A letter to the provost proposing the renewal and describing the campus activities of the nominee during his/her previous term.
2. An updated funding agreement.

E. Title

Example title: "XXX Visiting Professor of Nursing."

F. Other

See the other sections of these guidelines regarding naming protocols, stewardship requirements, and publicity information imposing the same requirements on named visiting chairs and professorships as is required for permanent named positions.

IX. Naming protocols:

- A. By law, donors are not permitted to designate a gift for a particular person as the holder of a named position.



B. Name selection: The exact name applied to an endowment fund or named temporary fund for faculty support will be agreed upon by the donor(s), the UI Foundation, and the appropriate UI dean/director with final approval reserved for the provost.

C. The generic name of a named faculty position should remain standard but may be preceded by a name suggested by the donor and followed by a collegiate or department modifier. If the appointee is an associate professor, the word “associate” appears in the title (*e.g.*, the “Jane and John Doe Associate Professor of Chemistry”). Some examples might include:

1. For positions based on scholarship:

a. John and Jane Doe Chair in Psychology

b. Robert Smith Chair in Economics

c. John and Jane Doe Professor of Psychology

d. Robert Smith Professor of Economics

2. For positions based on teaching, the term “teaching” must modify the title (*e.g.*, John Doe Teaching Professor in Economics).

3. For positions based on clinical practice, the term “clinical” must modify the title (*e.g.*, John Doe Professor of Clinical Practice in Dermatology).

D. Additional modifying terms such as “distinguished” or “endowed” should be avoided.

X. Stewardship:

A. Deans are asked to cooperate with the UI Foundation to be sure that donors receive updates on the activities of the holders of named faculty positions at least annually.

B. Annual or periodic collegiate and/or University events recognizing donors of named faculty positions should be coordinated through the UI Foundation. To ensure appropriate donor stewardship and adequate record keeping, copies of all documentation related to any named appointments, fund agreements, and correspondence with donors will be kept on file with the UI Foundation.

XI. Publicity:

A. The Office of the Provost provides the collegiate dean with written notification of the approval of a named faculty appointment. The dean should inform the appointee in

writing, copied to the provost. Copies of notification documents are shared with the UI Foundation.

- B. After the provost has officially approved the appointment, publicity related to named faculty appointments should be coordinated with the UI Foundation by the collegiate dean, consulting with the provost as necessary. Issues related to donor wishes to remain anonymous, campaign recognition, timing, etc., will all be considered before publicity moves forward.
- C. Collegiate deans are responsible for communicating with collegiate staff about faculty appointments to named positions.

## XII. Retirement:

Upon retirement, the holder of a permanent appointment may continue to use the title with “emeritus” added. Holders of term appointments will no longer carry the designation, but may continue to list the named faculty position on their *curricula vitae* with the term clearly stated.

# Emeritus Faculty Appointments

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(Source: <http://provost.uiowa.edu/emeritus-faculty-status>)

Emeritus status is conferred upon certain Faculty members of the rank of Professor, Associate Professor and Assistant Professor who retire after having served the University under honorable circumstances for a significant period of time, or, in other cases, may be conferred by central administration or the Board of Regents, State of Iowa. All exceptions must be in writing and approved by the Provost. The Emeritus Faculty Council must also be notified.

## Privileges

Emeritus status affords faculty and staff members the following rights and privileges:

1. A free parking tag, provided they had a paid parking tag at the time of retirement;
2. Listing as an active member of the University of Iowa community for the purposes of off-campus access to online library services;
3. Membership in the Emeritus Faculty Association, provided they hold Emeritus Faculty status

## Emeritus Faculty and Temporary Employment

Emeritus faculty members may be temporarily employed by a department after achieving emeritus status. An employment agreement must be drawn up by the employing department (see Offer Letter Template below).

**In all cases, the individual should be appointed as a temporary employee and the department must contact the Benefits Office to ensure that the appointment will not conflict with any retirement agreement already in place.**

In general, Emeritus faculty temporary employment agreements are renewable but may only be approved for **one year** at time. The title used for the reappointment is "(appropriate rank) Emeritus" and the classification code is FE\_\_ (rank of Emeritus status).

Depending on the appointment type the following forms can be used when appointing an emeritus to a temporary position.

- Short Term Non Student
- Bi Weekly Non Student Hourly
- Temporary First Semester
- Temporary Second Semester
- Summer Session

# Tenure Track and Tenured Faculty

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# Tenure-Track and Tenured Appointments

## **New Tenure-Track Appointments**

### ***Departmental Hiring Plans***

Departments are expected to have prioritized hiring plans that reflect strategic planning initiatives and anticipated faculty losses over a three-to-five-year period. These written plans must be the product of faculty discussion and may be revised whenever the department undergoes changes that affect priorities. Departments base proposals for new faculty searches (see below) on the most current hiring plan.

### ***Authorization of New Faculty Searches***

Faculty lines vacated by resignation or retirement revert to the College. Under collegiate policy, faculty positions that become vacant as a result of negative reappointment or negative tenure decisions ordinarily remain in the department. However, searches to fill these positions must be explicitly authorized by the Dean.

## **Collegiate Criteria for Appointment to Faculty Rank**

The criteria for tenure-track appointments are specified further in the University's *Operations Manual* ([section III-10.4](#)) and in departmental policy. Faculty members appointed at any rank should hold a doctorate or other terminal degree in the discipline or present with equivalent training and experience as appropriate to the particular appointment.

### ***Assistant Professors***

Appointments at the rank of assistant professor shall ordinarily not exceed a total of seven years of service and thus shall be reviewed for tenure no later than during the sixth year of service.

Faculty members appointed to the rank of assistant professor are ordinarily expected

1. to show promise of ability as a teacher; and

2. to have begun a promising program of research, scholarly productivity, or creative professional work, supported by publications or the equivalent, consistent with eventual promotion to associate professor.

### ***Associate Professors***

Faculty members are expected to have served at the rank of assistant professor for a period of time sufficient to have established a record in the areas of teaching, research, scholarship, or creative work, and of service that meets the criteria below and shows unmistakable promise of promotion to full professor. Most faculty members in the College serve a probationary period of six years.

Faculty promoted or appointed to the rank of associate professor are ordinarily expected

1. to have convincing evidence that the candidate is an effective teacher of undergraduate, graduate, postdoctoral, and professional students, as appropriate;
2. to have national recognition for a productive program of research, scholarship, or creative work, supported by substantial publications (or equivalent artistic creations), as appropriate to the discipline;
3. to have participated in departmental, collegiate, and/or University service and, if appropriate, professional service will be expected at an appropriate level;
4. to have proven that the quality and quantity of teaching, scholarly accomplishment, and service should give unmistakable promise of promotion to full professor.

### ***Professors***

Candidates for promotion to full professor are expected to have established a record since promotion to associate professor that demonstrates a pattern of sustained development and substantial growth in achievement and productivity in the areas of teaching, research, scholarship, or creative work, and of service.

Faculty promoted or appointed to the rank of professor are ordinarily expected

1. to have a consistent record of high-quality teaching in undergraduate and graduate teaching, including successful guidance of doctoral candidates to the completion of their degree programs, as applicable;
2. to have sustained continued scholarly achievement of high quality, accompanied by unmistakable evidence that the candidate is a nationally

- and, where applicable, internationally recognized scholar, or creative artist in the chosen field; and
3. to have a record of significant and effective service to the department, college, and/or the University, and, if appropriate, the profession.

### ***The Faculty Rank of Instructor***

Instructors are appointed as the result of tenure-track searches and fulfill all the requirements for appointment at the rank of assistant professor except that they have not yet completed the dissertation or thesis required for the doctoral or other terminal degree program in which they are candidates. The appointment is for a non-renewable term of one academic year. The tenure clock starts with the initial appointment as instructor.

To be promoted to the rank of assistant professor, the instructor must obtain a letter from the graduate college of the degree-granting institution specifying the date on which the final deposit of the dissertation or thesis project was accepted and the date on which the degree will be conferred. The promotion is effective as of the date on which the degree requirements were completed.

If the College has not received verification by March 1 of the first year of tenure-track appointment that all requirements for the terminal degree have been completed, the College will notify the faculty member on that date that the appointment has been terminated. Under University policy (*Operations Manual, III-12.2a*), notice of non-renewal of probationary faculty appointment must be made by March 1 if the appointment is to expire at the end of the first year of service.

# Tenure-Track and Tenured Reviews

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## **General Procedures for Faculty Review**

### ***Departmental, Collegiate, and University Review Procedures***

Each department has a statement of procedures that describes the review of tenured and probationary faculty members for a variety of purposes, including annual review of non-tenured faculty, review for tenure or promotion, and review of tenured faculty. The department's review procedures must conform with the College's procedures as described in this Handbook and with University procedures outlined in the *Operations Manual* (<http://opsmanual.uiowa.edu/>) and the University's *Faculty Handbook* (<http://provost.uiowa.edu/faculty-handbook>).

New faculty members receive copies of the University, College, and departmental faculty review procedures at the beginning of the appointment. Both the faculty member and the reviewers consult these procedures for each review.

Each year, all faculty are also evaluated for merit salary increases during the DEO's salary conference with the Dean.

### ***Maintaining a Professional Dossier***

Each faculty member submits materials for use in his or her periodic reviews. For this purpose, the faculty member must maintain an updated curriculum vitae; keep student evaluations of teaching on file; and preserve copies of scholarly publications, records of creative work, and copies of teaching materials. For the dossier submitted in reviews for tenure and/or promotions, see "Helpful Documents" section of CPH Faculty Handbook. The dossier includes the faculty member's teaching portfolio.

### ***Evaluation of Teaching***

The College requires that evaluations of teaching be solicited from students in every course. Departments generally use standardized evaluation forms that are appropriate to the types of instruction in their courses. The faculty member is ordinarily responsible for keeping his or her student evaluations on file for use in faculty reviews. These evaluations are necessary evidence of teaching effectiveness in all reviews of tenure-track and tenured faculty.



Each peer evaluation of teaching must include classroom observation. At a minimum, one class session must be observed and reported on as part of the review of teaching in each annual review of probationary (not-yet-tenured) faculty, each review for promotion and/or tenure, and each peer review of tenured faculty. In preparation for the promotion review, each associate professor must also have a peer review of teaching, including at least one classroom observation, every second year. The peer evaluation of teaching must also include a review of syllabi and other materials from a variety of levels of instruction, evidence of successful supervision of graduate students, and other evidence of teaching quality (see Peer Evaluation of Teaching form in the “Helpful Documents” section of the CPH Faculty Handbook). Under Regents’ policy, the assessment of teaching must explicitly consider the oral communication competence of the candidate.

### ***DEO’s Role in the Review Process***

The DEO oversees faculty review processes and ensures that the department meets the deadline for reporting on the review and making recommendations. The DEO informs the faculty member under review of the timeline of the review and the materials the faculty member must submit. The DEO also sees that review committees are formed, where required by University, Collegiate, or departmental procedures. As soon as the departmental review process is completed, the DEO communicates the results to the faculty member and to the Dean.

### ***Faculty Member’s Right to Respond to the Review***

In all review processes, the DEO or review committee shares the review report with the faculty member under review. The faculty member has the right to respond to the review, and that response becomes a part of the review file forwarded to the Office of the Dean.

# Tenure-Track and Tenured Probationary Reviews

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## **Annual Review for Non-tenured Faculty**

### ***Purpose of the Review***

Each year the DEO reviews every non-tenured, tenure-track faculty member in the department. The review provides the faculty member with an assessment of his or her performance in teaching, scholarly or creative work, and professional service. The review ensures that the faculty member receives the guidance necessary for meeting promotion and tenure standards, but it does not in any way prejudge the review for promotion and tenure.

The DEO provides a copy of the assessment to the probationary faculty member, who may respond in writing. The response, if any, is transmitted to the Office of the Dean as part of the review file.

### ***Deadlines for Transmission to the College***

For third-year reappointment reviews, the DEO transmits the review materials to the Dean's Office by March 1. The Dean and Associate Dean for Faculty Affairs discuss these materials before forwarding them to the Office of the Provost with the College's recommendation on reappointment.

For all probationary reviews except the third-year review, the DEO transmits the materials to the Dean's Office by April 1. The materials are reviewed in the Dean's Office before being forwarded to the Office of the Provost.

### ***First year of Initial Three-year Contract***

The faculty member receives an abbreviated review in the spring semester, including an evaluation of teaching.

### ***Second-year Review***

The faculty member receives a substantive, evaluative review based on his or her record in teaching and scholarly or creative work since the appointment began. The

primary purpose of the review is to advise the faculty member on how well he or she is progressing toward meeting departmental and collegiate expectations of a tenurable record. The review report should outline substantive suggestions and specific expectations for teaching, research, and service.

In rare cases, it may be clear during the second-year review that the department is extremely unlikely to make a positive recommendation for contract renewal in the third-year review. If the Office of the Dean and the Office of the Provost approve a departmental recommendation that the third year be the final year of appointment, the faculty member receives a notice of termination from the Dean. According to University policy, a faculty member who has been in a tenure-track position for two or more years must receive at least 12 months' notice of non-renewal ([Operations Manual, III-12.2](#)).

### ***Third-year Reappointment Review***

The faculty member receives a comprehensive review that covers the entire period since the initial appointment. University policy states that this review will “take into account the faculty member’s proven teaching effectiveness and research productivity and potential. It also should include an evaluation of departmental, collegiate, and University educational goals and include a determination of the likely role of the faculty member in achieving such goals” ([Operations Manual, III-10.1a\(4\)\(b\)](#)). The review addresses the question, “Is this individual making appropriate progress toward a tenure review that might have positive results?”

The review report addresses the criteria of the department, the College and the University (see the [Operations Manual, III-10.4](#)) for promotion to associate professor. It provides informative and useful evaluation of progress made to date and describes work that remains before the candidate reaches tenure review. The report also offers advice on how to improve any areas of deficit or how to prioritize activities. The DEO or the chair of the review committee discusses the report with the faculty member under review.

A recommendation to renew the contract through the year the tenure decision is due (ordinarily an additional three years) should be based on an unqualifiedly positive assessment. If the third-year review conveys serious concerns or reservations, the department should recommend non-renewal of the contract. If the Dean and the Provost approve such a recommendation, the faculty member would receive a notice of non-renewal from the Dean and a one-year terminal appointment.

The DEO transmits the review materials, including an updated CV, to the Dean’s Office no later than March 1, with the department’s recommendation for renewal or non-renewal of the contract.

The Dean and Associate Dean for Faculty Affairs of the College discuss these materials and then transmit them to the Office of the Provost with the College's recommendation on contract renewal. The Dean may also write a response to the review, addressed to the DEO, concerning issues raised in the review. The DEO would discuss this letter with the faculty member, and the Dean's Office would include the letter with the materials forwarded to the Office of the Provost.

### ***Fourth-year and Fifth-year Reviews***

In each year after the third-year contract renewal, the faculty member receives a review that concentrates on the previous year's activities and assesses what progress is essential in preparation for the tenure review. During the fifth-year review, the department should begin planning for the tenure review the following fall, including consideration of potential external referees.

### ***Sixth-year Tenure Review***

The faculty member undergoes a comprehensive review of teaching, scholarship or creative work, and service from the time of the initial appointment as set forth in the Promotion and Tenure Guidelines.

## **Exceptions to the Six-year Tenure Timetable**

Ordinarily the annual review of probationary faculty in the College of Public Health follows the six-year timetable. However, a faculty member may ask for an early review for promotion and/or tenure, or a shorter timetable may have been specified in the offer of appointment. Exceptions to the six-year timetable are described in this section.

### ***Faculty First Appointed at Mid-year***

For a faculty member first appointed at mid-year, the tenure timetable begins at the start of the next academic year. The DEO must submit an evaluation of teaching during the first semester of appointment and an assessment of communication competence (see "[Oral Communication Competence of Instructional Staff.](#)" [Operations Manual III-13.1](#)).

### ***Extensions of the Probationary Period***

A faculty member who qualifies for an extended probationary period submits a request for extension to the DEO, who forwards it to the Dean's Office with his or

her recommendation. Upon approval by the Dean, the extension request is sent to the Executive Vice President and Provost for approval.

A request for an extended probationary period that reaches the Office of the Provost by July 1 will affect the probationary review conducted during the subsequent academic year. For example, an extension requested in the summer following the second year of the standard six-year probationary period would delay the third-year contract-renewal review by one year.

An extension does not change the normal criteria for a tenurable record, nor does it imply that the faculty member will be held to a standard higher than the one he or she would have had to meet if the tenure decision had been made in the year when it was originally scheduled. On the other hand, an extension of the probationary period does not guarantee that the faculty member's contract will be extended through the year in which the tenure decision is due.

### ***Grounds for Extension***

**New Parent Responsibilities.** The University policy states that for each minor child newly added to the family of a probationary faculty member (e.g., biological, adopted, stepchild, or by guardianship) during the probationary period or within two years prior to the initial appointment, the probationary period shall be automatically extended by one year. The faculty member may decline any automatic extension for which the faculty member is eligible by written notification to the faculty member's DEO at any time prior to the academic year in which the promotion review is scheduled. If the probationary faculty member has more than two children added to the family during the probationary period or within two years prior to the initial appointment, the faculty member may request a one-year extension for each child beyond the automatic two-year extension. The request should be made in writing to the DEO, Dean, and Executive Vice President and Provost. For additional information regarding this policy see [UI Operations Manual 10.1\(4e\)](#).

**Unpaid Leave without Fringe Benefits.** The tenure clock stops when a faculty member takes an approved unpaid leave without fringe benefits for personal or professional reasons.

**Temporary Impediment.** Probationary faculty occasionally have their original tenure timetable extended because of a significant but temporary impediment to the usual patten of productivity expected of a tenure-track faculty member – for example, on account of serious illness.

# Post-Tenure Reviews

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## **Review of Tenured Faculty**

### ***Desired Outcomes of the Review***

These periodic reviews should address the quality of the faculty member's performance in the areas of teaching, scholarship, and service and should result in recommendations that help to enhance that performance. They also inform departmental decisions about merit pay increases, course staffing, distribution of responsibilities for departmental service, professional development and leaves of absence, nomination for teaching awards, and other decisions under the department's purview.

## CPH Post-Tenure Review Policy

This is the University Policy for Tenured Faculty Members, with the specific procedures for the for the College of Public Health imbedded **in bold** within text boxes. (Pages 4 and 5 approved by CPH Faculty council on October 21, 2011; approved by faculty vote on November 18, 2011. Modified and approved by faculty vote on November 24, 2014.)

### **10.7 REVIEW OF TENURED FACULTY MEMBERS.**

(Faculty Senate 3/29/11; amended Faculty Council 8/11)

Note: Effective August 2011, this policy has been revised. For individual changes, see the [redlined version](#).

#### a. Introduction.

(1) Scope. This section establishes procedures to be followed by the University in conducting reviews of a tenured faculty member's academic performance in areas of teaching, scholarship, and service. There are two kinds of review of tenured faculty: annual reviews conducted by the unit head, and periodic reviews conducted by faculty peers.

(a) An annual review should, in the main, be evaluative, but may also be formative and developmental.

(b) A peer review should, in the main, be formative and developmental, and should facilitate and encourage professional vitality.

(2) Academic freedom. All proceedings under this section shall respect the principles of academic freedom and tenure stated in the Statement on Tenure and Academic Vitality at The University of Iowa (III-10.1a(2) above), which commits the University to the principle that "free inquiry and expression are essential to the maintenance of excellence; tenure is essential to free inquiry and expression." The expectation is that all post-tenure reviews will respect the significance and importance of tenure.

(3) Rationale. A tenured faculty member has the responsibility of strengthening his or her university citizenship through his or her work in education, research, and service. The faculty member must also ensure that he or she continues to strive to meet this responsibility. Post-tenure review is a process that has been developed to assess a tenured faculty member's progress. The process includes annual review or evaluation conducted by the faculty member's unit head, and a five-year review conducted by the faculty member's peers.

b. Annual review of tenured faculty. An annual performance review of all tenured faculty members, through a process developed by the unit head (DEO, or equivalent) in consultation with the faculty of the department, or in nondepartmental units with the faculty of the college, and approved by the dean and Provost, is conducted by the unit head as part of the salary-setting process. Review of tenured faculty shall include an evaluation of research/scholarship, teaching, and service. As part of this review, each

faculty member must make available to the unit head materials specified in the statement of the department's review process (e.g., vitae, teaching evaluations, etc.).

**In the College of Public Health, the departments will use the following process with regards to annual reviews of tenured faculty, within the context of university policy:**

- 1. All tenured faculty with less than a 50% administrative appointment will be reviewed by their DEOs on an annual basis. This review is intended to be evaluative (as part of the salary-setting process), as well as developmental. If a promotion review or a five-year post-tenure peer review is being held, then that review will also serve the purpose of the annual review.**
- 2. The faculty member will provide the following to the DEO by January 15:**
  - a. An updated electronic CV.**
  - b. Copies of teaching evaluations from students (ACE forms and summaries) and from peers for courses taught since the past review.**
  - c. A document, either in narrative or list form, summarizing the accomplishments of the previous year and future goals. This should address previously-stated goals, as well as any concerns raised in the most recent past review. It may also contain concerns or suggestions that the faculty member wants to express.**
  - d. Additional materials, if requested (e.g., copies of publications).**
- 3. The DEO and the faculty member will meet to discuss the above materials. The DEO will bring a copy of the most recent review (post-tenure or promotion), and will also provide a copy of the "TFEA" ("Tenured Faculty Effort Allocation") form that was filled out the previous year. This meeting will be in person unless otherwise dictated by unusual circumstances, such as extended leaves. The DEO may determine the length of this meeting, but the following are to be included:**
  - a. A comparison of the previous year's TFEA plan with the accomplishments achieved in the last year (including the amount of salary offset).**
  - b. Discussing, filling out, and signing the TFEA form.**
  - c. The DEO should provide feedback on past performance and future plans, which is essential to improving performance. The faculty may also express needs that, if met, could facilitate success in achieving future plans.**
  - d. The DEO should indicate how the faculty member's performance in the last year compares to previously-stated goals and to departmental expectations. Any rubric or formula used for making comparisons should be explained. The university policy for follow-up (next page) will be used if significant deficiencies are noted.**
- 4. By the Friday following the university Spring Break, the DEO will write a letter summarizing the meeting(s) where the review was performed. This letter may be of any length, but substantive concerns should be specified. The faculty member will have 10 business days to respond by letter, if he/she chooses. The DEO letter will have a place for the faculty member's signature, acknowledging receipt of the letter.**



When, as a result of an annual review, the unit head concludes that there are significant deficiencies related to teaching, research, or service, the unit head shall provide written notifications of these conclusions to the faculty member being reviewed, and the faculty member will be given an opportunity to respond in writing. The final report and the faculty member's response will be sent to the dean and will be kept with the faculty member's personnel records.

The annual review will consider, as appropriate, issues of long-term research, instructional development, or service that cannot be adequately represented on a strictly annual basis. Faculty members being reviewed by their department for the special purpose of promotion may be exempted from this annual faculty review requirement.

c. Five-year peer review of tenured faculty.

(1) Overview. In a shared-governance academic environment, the faculty plays an indispensable role in appointment, reappointment, promotion, tenure, and dismissal of faculty members. One of the ways that faculty exercise this responsibility is through the formal process of peer review. Post-tenure peer review is intended to acknowledge achievements and to provide an appropriate mechanism to encourage constructive responses to normal changes that are likely to occur over the course of a successful academic career. The developmental nature of post-tenure review mandates that a faculty member being reviewed should be accorded adequate time to respond to the review and to improve performance where necessary, prior to initiation of any proceedings which may be viewed as adversarial or punitive.

(2) Procedure. All tenured faculty members will undergo a peer review once every five years subsequent to their most recent tenure or promotion review. Faculty members are exempted from their scheduled five-year peer review if:

(a) they are being reviewed for promotion to a higher rank during the year of the scheduled review,

(b) they are within one year of announced retirement or are on phased retirement, or

(c) they serve as DEO, assistant dean, associate dean, or dean.

The five-year peer review will include a comprehensive review by a committee composed of tenured faculty peers in the same college as the faculty member undergoing review and at the same or higher academic rank appointed by the DEO or dean in consultation with the faculty member who is to be reviewed. DEOs and other academic administrators may not serve on peer review committees. The outcome of this peer review is confidential and confined to the

faculty member being reviewed, the review committee, the DEO, the dean, others directed by the faculty member, and in special circumstances the Provost.

(3) Plan. Consistent with the foregoing, each college must develop and implement a plan for the five-year peer review of each tenured faculty member. The plan is to include specific guidelines regarding:

(a) selection of the five-year peer review committee;

**In the College of Public Health, the committee will be composed of a minimum of three tenured faculty peers from CPH at the same or higher academic rank as the faculty member undergoing review (“the faculty member”). This committee will be chosen by the DEO in consultation with the faculty member, and approved by the Dean. When possible, the committee must include a minimum of one member from within and one external to the faculty member’s department. Deans and DEOs may not serve on peer review committees. Formal mentors may be included in the committee. The membership of the committee will be known to the faculty member.**

(b) committee procedures and timelines;

**In the College of Public Health, the faculty member and DEO shall make relevant materials available for review no later than January 15<sup>th</sup>. The committee shall review the faculty member’s five-year record, comparing it to the performance standards in the faculty member’s department. The committee shall prepare a written report that summarizes the strengths and weaknesses of the faculty member’s performance. The report may also contain specific suggestions to the faculty member to aid in career development and to address departmental and collegiate needs. The written report shall be submitted to the DEO by March 1<sup>st</sup>, who will forward to the faculty member. The faculty member will have 15 business days to provide a written response, if desired. The reviewed materials, the original committee report, the faculty member’s response (if any), and a cover letter from the DEO are to be forwarded to the Dean by March 31<sup>st</sup>.**

(c) materials to be reviewed;

**In the College of Public Health, the faculty member shall supply a copy of his/her CV, along with a personal statement (2000 word limit) regarding teaching, research and service, including a summary of previous accomplishments and plans for the next five years. The DEO shall supply copies of the following for the previous five years: Student evaluations of teaching (ACE) evaluations along with Departmental norms, peer evaluations of teaching, a record of annual salary offset percentages, and Post-Tenure Effort Allocation forms. The faculty member and DEO may supply additional information deemed relevant. They should also respond to committee requests for additional materials.**

(d) distribution and use of the committee's written report; and

**See text box under (3)(b), above. Also, in the College of Public Health, as per university regulations, the outcome of this peer review is confidential and confined to the faculty member being reviewed, the review committee, the DEO, the dean, others designated by the faculty member, and in special circumstances the Provost.**

(e) mechanisms for the faculty member to respond.

**As explained under (3)(b), above, the faculty member will have 15 business days to insert a written response to the committee's report into the review record; they also may respond in writing to the DEO summary letter. They may also decide to respond to specific findings of the review by modifying their professional activities during the months and years that follow.**

Faculty members of the college will approve the plan by vote. The dean and Provost will approve each plan and ensure consistency with review processes across the departments and colleges.

A faculty member who believes that she or he has been treated unfairly at any point during the five-year peer review process may seek redress of her or his grievance within the scope and framework of [III-29.6 Faculty Dispute Procedures](#).

d. Special cases procedures. If, after receiving the results of the five-year peer review, the dean, on advice of the peer review committee and in consultation with the DEO, if one exists, concludes, on the basis of the peer review's findings, that the faculty member's performance has fallen for a significant period of time below the expected standard of performance for the faculty member's unit, then the dean may initiate discussions with the faculty member concerning the development of a plan to address problems uncovered in the review. Such discussion may focus on the faculty member's individualized portfolio. The plan will be put in writing, will contain a justification for its implementation, will provide a specific timetable for evaluation of acceptable progress (normally to occur at the faculty member's next five-year review), and will provide a description of possible consequences for not meeting expectations by the time of that evaluation. The DEO and/or dean may monitor progress through the annual review and give feedback to the faculty member.

If the plan prepared by the peer review committee and the dean is not agreed to by the faculty member, then the faculty member will provide a written justification for not agreeing to the plan. The plan and the faculty member's response will be submitted to the Provost, who will make the final determination as to whether the plan should be implemented. If the faculty member believes that there are grounds for grievance, then the faculty member may seek redress of his or her grievance within the scope and framework of [III-29.6 Faculty Dispute Procedures](#).

In deciding whether or not to implement such a plan, it is important that the dean and DEO respect the importance of tenure and the academic freedom it is designed to protect. With respect to research, there is a critical distinction between a faculty member who has ambitious research programs that they are actively pursuing and the very few faculty members who have no such plans and who have had no work in progress for a substantial period of time. It is expected that if plans envisioned focus on research productivity, they would typically be appropriate only for the latter group.

If the plan is implemented, then the dean (or dean's designee) and the DEO will oversee the faculty member's progress under the plan. If after the agreed-to time period, the dean and the DEO, in consultation with the peer review committee, find no acceptable progress, then the DEO, the dean, the Provost, and the peer review committee will meet to decide which of the consequences described in the plan will go into effect. The consequences will be implemented by the dean, in consultation with the DEO, and monitored by the Provost.

Use of the special review procedures described above does not preclude deans from utilizing available, alternative procedures for addressing problems of unacceptable performance of duty ([III-29.7](#), [III-29.8](#)). On those rare occasions where a faculty member has proved unwilling or unable to benefit from developmental assistance to improve his or her performance, the administration may feel compelled to proceed against the faculty member in a disciplinary or unfitness proceeding, where the burden of proof is on the administration to show that the proposed sanction is justified. However, deans are strongly encouraged to proceed with formative and developmental plans before resorting to such measures.

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# Expected Standards of Performance for Tenured Faculty

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University of Iowa College of Public Health

Productivity Standards Statement

(Approved by CPH Faculty Council on 3/23/2012; approved by DEOs and Dean on  
3/27/2012)

The five departments in the College of Public Health (Biostatistics, Epidemiology, Community & Behavioral Health, Health Management & Policy, and Occupational & Environmental Health) each have expectations for promotion from Assistant Professor to Associate Professor, and from Associate Professor to Professor. The minimal expectation for annual productivity rate for tenured faculty who are at each of these ranks is the same as what was required to achieve promotion to these ranks. In other words, it is expected that there will not be a drop-off in productivity post-promotion. However, there can be a shift in the balance of productivity within and among the areas teaching, scholarly research, and service, when documented through the Post-Tenure Effort Allocation agreement that is updated during annual reviews.

# Tenure Track Promotion and Tenure

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[\(<http://opsmanual.uiowa.edu/human-resources/faculty/review-and-promotion-procedures>\)](http://opsmanual.uiowa.edu/human-resources/faculty/review-and-promotion-procedures)

- a. The question of promotion of faculty may be brought up at any time deemed appropriate, but if not considered earlier, it should be brought up for formal consideration between the dean and the departmental executive officer as follows: assistant professors during the final year of the probationary period as defined by the college, and associate professors no later than the seventh year after promotion to that rank. Promotion may take place earlier if the qualifications and promise of the individual concerned warrant such action. Individual faculty members may request review for promotion, tenure, or both, at any time, and shall be afforded such review by the applicable department or non-departmentalized college. The offer letter to a faculty member whose initial appointment will begin at a time other than the start of the fiscal or academic year or who has previous years of service at another institution should specify when the tenure and promotion review will take place.
- b. A candidate for tenure and/or promotion or reappointment shall be evaluated under the relevant, clearly defined standards of the faculty member's academic unit(s) that were 1) in effect at the time of the faculty member's initial appointment or promotion to the rank currently held; 2) any such standards in effect since that time; or 3) any such standards in effect at the time of the evaluation, whichever of these the candidate elects. However, no standards may be applied if they were superseded more years ago than the time specified as normal time at rank (adjusted to account for any extension, family leave, or illness granted to the faculty member). For assistant professors, the normal time in rank is six years, unless the college has established a longer probationary period norm (III-10.1a(4)(c)), and for associate professors seven years (see paragraph a above). The candidate shall make an election under this section no later than the end of the academic year prior to the academic year in which the candidate is considered for tenure and/or promotion or reappointment. Absent such election, the standards for evaluation shall be those standards in effect at the end of the academic year before the academic year in which the candidate is considered for tenure and/or promotion or reappointment.

# Procedures for Tenure and Promotion Decision-making at The University of Iowa, including the Procedures Specific to the College of Public Health

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# Procedures for Tenure and Promotion Decision-Making at The University of Iowa, including the Procedures Specific to the College of Public Health

## General Principles

The Procedures for Tenure and Promotion Decision-Making (hereafter “Procedures”) establish a uniform system of procedures to be used in all academic units of the University. Each college of the University will also establish its own written Procedures governing its tenure and promotion decision-making, to guide academic units where circumstances require or permit flexibility or variation. (For a list of items in these Procedures that specifically require that Collegiate Procedures be followed, see Appendix A.) The Provost must approve all Collegiate Procedures.

These are *procedures* only. For University policies regarding *criteria* for tenure and promotion, refer to section III.10.4 of the Operations Manual. The substantive standards contained therein must be satisfied and are not affected by these Procedures. College of Public Health department-specific performance expectations are described in Appendix B.

These Procedures rely upon several principles:

- (1) Decisions granting or denying tenure or promotion should be based on a written record of achievement.
- (2) The content of the record that will be relied upon should be known by the candidate and the decision-makers, except as otherwise provided for in these Procedures.
- (3) Except for variation related to the nature of the candidate's academic activity, the content of the record should be the same for all candidates in the same academic unit.
- (4) The governing procedures should be the same for all candidates across the University, except where conditions or academic cultures justify variation among colleges or among departments within a college.
- (5) University and Collegiate Procedures should be applied consistently to all candidates.
- (6) Each faculty member participating in the tenure and promotion decision-making process may do so at only one level of the process: departmental, collegiate, or provostial. Faculty with collegiate or provostial administrative appointments of 50% or greater shall participate in their administrative office, except in rare and special circumstances at the discretion of the Provost.

## I. Definitions

The term “promotion” refers to both promotion and tenure, except where these Procedures clearly distinguish between them.

The term “scholarship” refers to creative work as well as traditional research and publication (see section I.B.(3)(d) of these Procedures).

A “candidate” is any faculty member for whom it is the year of required tenure review or any faculty member who has indicated his or her interest in being reviewed for tenure and/or promotion in accordance with the college’s written Procedures governing promotion decision making.

**In the College of Public Health, a promotion review may be initiated either by the department (in the case of a mandatory review) or by the faculty member. In accordance with University policy, a review *must* be performed during the final probationary year. In all other years, a decision to conduct a review should be made no later than August 1 of the academic year in which the review is planned. Specifically, , if a faculty member wishes to be considered by the department for promotion, the DEO should be informed in writing no later than August 1 of the academic year the faculty member wishes to be considered. ←NOTE: By AAUP Policy, which the University of Iowa follows in this regard, non-mandatory reviews for tenure or promotion may be initiated only by the faculty member. A departmental faculty may recommend to one of its members that s/he be considered for promotion, but the faculty member must be the one who actually initiates the process.**

The “dossier” is the set of primary materials assembled by the candidates as described in section I.B.(3). The dossier contains appendices all or part of which may be transmitted with the dossier to successive participants in the process as described in section I.B.(4).

The “Promotion Record” is the dossier plus all of the materials that are added to it and transmitted to successive participants in the evaluation process.

The “Departmental Consulting Group” (DCG) consists of all tenured members of the candidate’s department at higher academic ranks (and, for tenure decisions, tenured faculty members of the same rank), excluding the collegiate Dean and Provost, faculty with collegiate or provostial administrative appointments of 50% or greater, and any faculty member with a disqualifying conflict of interest. If there are fewer than four faculty members in a department who are qualified to serve on the DCG, qualified University of Iowa faculty members from outside the department to serve on the DCG must be identified in accordance with the college’s written Procedures governing promotion decision making, for a minimum of four faculty members in total.

**In the College of Public Health, the candidate being reviewed may indicate faculty members who may have a conflict of interest. The final composition of the DCG will be made known to the candidate.**

**If there are fewer than four faculty members in a department who are qualified to serve on the DCG, additional members will be chosen using the following**

**procedure: The faculty candidate will be asked to provide a list of up to three faculty members of appropriate rank who are familiar with his or her area of study. The DEO, in consultation with the DCG, shall identify additional choices, and from among this combined list, select the needed number of outside faculty in order to make the size of the Departmental Consulting Group equal to the minimum number of four. At least one of those chosen must be from the list submitted by the faculty candidate.**

The “Collegiate Consulting Group” (CCG) consists of faculty selected according to each college’s written Procedures governing promotion decision making. The Collegiate Procedures shall establish guidelines for the membership of the Group and how it will function within the boundaries of these Procedures.

**In the College of Public Health, the Collegiate Consulting Group consists of appropriate members of the Faculty Promotion & Tenure Committee, as specified in the College of Public Health Manual of Procedure. The membership roster of the CCG will be available to the candidate.**

**Occasionally the DEO will be unable to perform the assigned functions, for example, if the DEO is being reviewed for promotion, the DEO is not of appropriate rank, or a conflict of interest exists with a faculty member being reviewed. In these cases, the Dean will appoint an appropriate senior faculty member from the College to perform the duties in the affected cases; this person may be an Associate Dean as long as he or she is not otherwise involved in the promotion review at the Collegiate level.**

The term “Departmental Executive Officer” or “DEO” throughout these Procedures refers to the person or entity who has been expressly designated by the college (in the college’s written Procedures governing promotion decision making) to perform one or more of the functions assigned by these Procedures to the DEO. Under this definition, each college has discretion, through the college’s written procedures governing promotion decision making, to determine who will be given responsibility to perform any of the functions assigned to the DEO by these Procedures. In a nondepartmentalized college (where “departmental” generally means “collegiate” and “functions of the DEO” ordinarily means “functions of the collegiate Dean”), the college has exactly the same discretion through its written Procedures governing tenure and promotion decision making to determine who will be given the responsibility to perform the functions assigned by these Procedures to the Dean in lieu of the DEO.

In nondepartmentalized colleges, the term “departmental” throughout these Procedures will ordinarily mean “collegiate” where that substitute usage fits the context, and the functions of the DEO will be performed by the collegiate Dean. (Some steps of these Procedures that expressly involve the DEO will become inapplicable.) In nondepartmentalized colleges that have department-like units such as “areas” or “divisions,” the written Collegiate Procedures governing promotion decision making must specify the role of these units and their administrative officers for the purposes of

promotion decision making.

“Participate” means to have input into a promotion decision, including but not limited to such activities as preparing a written report or review of the candidate’s work, participating in a formal discussion of the candidate’s qualifications, voting on a recommendation for or against promotion, or providing consultation, except as provided for elsewhere in these procedures.

## **II. Basis for Evaluation: The Promotion Record**

The qualifications of a candidate for promotion will be determined on the basis of the Promotion Record, which, when it reaches the Office of the Provost, will consist of the following material, preferably in this order:

- (i) the "Recommendation for Faculty Promotion" cover sheet (see Appendix C);
- (ii) the collegiate Dean's letter making a recommendation to the Provost;
- (iii) the recommendation, vote, and report (if any) of the CCG;

**In the College of Public Health, the CCG will provide the Dean a written report. See Section II.A(5).**

- (iv) the DEO's letter making a recommendation to the Dean;
- (v) the recommendation, vote, and report of the DCG;
- (vi) any letters submitted by the candidate at specified stages of the process to correct errors in the internal peer evaluations of the candidate’s teaching, scholarship, and service, or the DCG’s report, or to respond to a letter or report of the DEO, Dean, or CCG;
- (vii) the candidate's Curriculum Vitae (C.V.) in the college’s standard format which documents the candidate’s educational and professional history
- (viii) a section on the candidate's teaching, including
  - (a) the candidate's personal statement on teaching,
  - (b) documentation of peer evaluation of the candidate's teaching, and
  - (c) all other materials related to the candidate's teaching, including those specified in I.B.(3).(c);
- (ix) a section on the candidate's scholarship, including

- (a) the candidate's personal statement on scholarship,
  - (b) documentation of internal peer evaluation of the candidate's scholarship,
  - (c) documentation of external peer evaluation of the candidate's scholarship, and
  - (d) all other materials related to the candidate's scholarship, including those specified in I.B.(3).(d);
- (x) a section on the candidate's service, including
- (a) the candidate's personal statement on service,
  - (b) documentation of peer evaluation of the candidate's service, and
  - (c) all other materials related to the candidate's service specified in I.B.(3).(e); and
- (xi) supplementary material to be added to the Promotion Record as expressly provided in these or Collegiate Procedures, entered in the appropriate section of the Record. Materials added to the original dossier or materials in the original dossier that are amended, should be labeled as such, including the date when added or amended and with amendments clearly marked.

**The College of Public Health does not require additional supplementary material.**

### **III. Other Considerations**

Although Annual Reviews of Probationary Faculty are not ordinarily a part of the Promotion Record, they shall be added by the DCG, DEO, CCG, or Dean if they are used to support a recommendation for or against promotion.

A candidate has the right to withdraw his or her dossier from further consideration at any point before the Provost has made his/her final decision regarding tenure and/or promotion. In the case of a mandatory tenure review, withdrawal of the dossier must be accompanied by a letter of resignation effective no later than one year past the end of the current appointment. If a candidate withdraws his or her dossier from further consideration, the original dossier, including appendices and any supplemental material added by the candidate, shall be returned to the candidate. All other materials in the Promotion Record at the time of withdrawal shall be returned to the candidate's department, which shall retain them following the normal departmental or collegiate

schedule for retention of promotion and tenure materials. The candidate shall not have access to these materials.

A college, or department with the concurrence of its college, may apply in individual cases to the Provost for an exemption from any of these Procedures for a legitimate and valid reason. The college or department has the burden of convincing the Provost that the exemption adds value, fairness and weight to the evaluation.

In the case of a joint-appointment candidacy for promotion, the departments/colleges involved will follow the Procedures described in Appendix D of this document.

### *Promotion Decision-making Procedure*

#### **I. Department level procedure**

A. It is the DEO's responsibility at the time points below to inform the candidate in writing of the material that will be required to be included in the promotion dossier, and of the candidate's responsibility to compile and submit the dossier by the specified date in the academic year of the promotion decision.

- in the year of appointment to a tenure-track position
- in the year of any contract renewal
- no later than the beginning of the academic year in which the promotion decision will be made

#### B. The Dossier

(1) It is the candidate's responsibility, with the advice of the DEO, to compile and submit substantive material for inclusion in the promotion dossier (the core of the Promotion Record) on or before the date specified in the college's written Procedures governing promotion decision-making. In the absence of such a specified date in the college's written Procedures, the specified date will be September 1 of the academic year in which the promotion decision is to be made.

**In the College of Public Health, the dossier will be submitted to the department on or before September 1, unless the department has a written policy that requires submission by an earlier date.**

(2) It is the responsibility of the DEO to advise the candidate in compiling material for the dossier, to complete the compilation of the dossier (and subsequently to complete compilation of the Promotion Record by adding materials to it throughout the departmental decision-making process), and to ensure to the greatest extent possible that the Promotion Record serves as a fair and accurate evaluation of the candidate's strengths and weaknesses, and is not purely a record of advocacy for

the candidate. The responsibility to advise the candidate in compiling the dossier material is not limited to the immediate period of the tenure and promotion review, but rather is an ongoing responsibility that begins when the faculty member is appointed to the department.

(3) The dossier will contain the following, in the order listed unless otherwise noted. A current CV in the college's standard format may be used in place of the individual items listed below, provided that either all the listed elements are contained in the CV or any missing elements are supplied separately.

(a) the "Recommendation for Faculty Promotion" cover sheet, with the section that is to be filled out by the candidate completed (see Appendix C);

(b) a record of the candidate's educational and professional history (C.V.) including at least the following sections, preferably in the order listed:

(i) a list of *institutions of higher education* attended, preferably from most to least recent, indicating for each one the name of the institution, dates attended, field of study, degree obtained, and date the degree was awarded;

**In the College of Public Health, the order will be from least to most recent.**

(ii) a list of *professional and academic positions held*, preferably from most to least recent, indicating for each one the title of the position, the dates of service, and the location or institution at which the position was held; and

**In the College of Public Health, the order will be from least to most recent.**

(iii) a list of *honors, awards, recognitions, and outstanding achievements*, preferably from most to least recent.

**In the College of Public Health, the order will be from least to most recent.**

(c) a record of the candidate's teaching at The University of Iowa, including:

(i) the candidate's *personal statement on teaching*, consisting of a summary and explanation---normally not to exceed three pages---of the candidate's accomplishments and future plans concerning teaching, and comments on these accomplishments and plans and on other items included in the dossier related to teaching;

(ii) a list of the candidate's *teaching assignments* on a semester-by-semester basis, preferably from most to least recent;

**In the College of Public Health, the order will be from least to most recent.**

- (iii) a list of *graduate students, fellows, or other postdoctoral students supervised*, including each student's name, degree objective, and first post-graduate position;
- (iv) a list of *residents for whom the faculty member has provided substantial and prolonged supervision* throughout all or most of their training program, including each student's name and first post-residency position;
- (v) a list of *other contributions* to instructional programs;
- (vi) copies of *course materials*, including syllabi, instructional Web pages, computer laboratory materials, and so forth (see I.(B)(4)); and
- (vii) as an appendix to the dossier, copies of teaching evaluations by students for each course taught (the candidate will include all student teaching evaluations in her or his custody for each course taught) (see I.(B)(4));

**In the College of Public Health, “student” is defined as any learner, including, but not limited to: undergraduate, medical and other professional students; medical residents and fellows; graduate students and post-doctoral fellows; other faculty; and practicing health care professionals.**

- (d) a record of the candidate's scholarship, including:
  - (i) the candidate's *personal statement on scholarship*, consisting of a summary and explanation---normally not to exceed three pages---of the candidate's accomplishments and future plans concerning scholarship, and comments on these accomplishments, plans, and other items included in the dossier related to scholarship;
  - (ii) a list, preferably from most to least recent, of the candidate's *publications or creative works* with, for each multi-authored work or coherent series of multi-authored works, a brief statement of the candidate's contribution to the work or series of works;

**In the College of Public Health, the order will be from least to most recent.**

- (iii) a list of all *published reviews of scholarship* of which the candidate has knowledge;
- (iv) a list of *attained support including grants and contracts* received by the candidate;
- (v) a list of *invited lectures and conference presentations*;



- (vi) a list of *pending decisions* regarding the candidate's scholarship *that might affect the promotion deliberations*, including, for example, grant proposals, book contracts, and other publishing decisions anticipated in the near future;
  - (vii) a list of all *inventions and patents*; and
  - (viii) as an appendix to the dossier, copies of the candidate's published work (and work that is in print or has been accepted for publication), indicating where each work has been or will be published;
- (e) a record of the candidate's service to the department, college, university, profession, community, and State of Iowa including:
- (i) the candidate's *personal statement on service*, consisting of a summary and explanation---normally not to exceed two pages---of the candidate's accomplishments and plans concerning service, and comments on these accomplishments and plans and on other items included in the dossier related to service; and
  - (ii) a categorized list, preferably from most to least recent, of *offices* held in professional organizations; *editorships* of journals or other scholarly publications; *service on review panels*; service on departmental, collegiate, or university committees; departmental, collegiate, or university *service positions*; relevant *community involvement*; *service to the State of Iowa*; and other contributions;

**In the College of Public Health, the order will be from least to most recent.**

**In the College of Public Health, the term “service” will include the provision of clinical service for those faculty who provide such service. In the tenure track, however, clinical service alone will not be sufficient to fulfill this criteria for promotion.**

**(iii) if the faculty member engages in the provision of clinical care, a listing, from least to most recent, should be provided of clinical activities in each of the years since the initial appointment or the last promotion (Section XIII of the College of Public Health curriculum vitae) .**

- (f) within the appropriate section(s) of the dossier as listed above, other information relevant to the candidate's record in teaching, scholarship, or service that is deemed to be important in the candidate's judgment or required by the college's written Procedures governing promotion decision-making.

**In the College of Public Health, no additional information is required.**

- (4) Where the volume of material of a particular kind which is required to be included in the dossier is large and potentially unmanageable, a candidate, in consultation with the DEO, may select and identify representative portions of the required material for special attention. Only the material selected as representative will become part of the Promotion Record and will be transmitted to successive participants in the promotion decision-making process.

Required materials segregated from the representative material will be available for review and will be located in a readily accessible location under the DEO's custody. If any participant in the promotion decision-making process relies upon initially segregated material in preparing a written evaluation of the candidate's qualifications, that material should be added to the Promotion Record, the fact of that addition should be noted in the written evaluation, and the candidate should be notified in writing of the addition at the time it is made.

**In the College of Public Health, if a representative selection is made of publications, 5 should be selected.**

- (5) The candidate's work in progress that is not completed by the specified date but that is anticipated to be completed in the fall—early enough for full and deliberate evaluation, as determined by the DEO—may be identified at the time the dossier is submitted and added to the dossier if and when it is completed.
- (6) Other materials (including updated CVs and personal statements) that could not have been available by the specified date but which are completed early enough for full and deliberate evaluation may be added to the promotion dossier by the candidate through the DEO. Materials added to the original dossier or materials in the original dossier that are amended, should be labeled as such, including the date when added or amended and with any amendments clearly marked.
- C. (1) It is the candidate's responsibility to cooperate in obtaining peer evaluation of the candidate's teaching, scholarship, and service as described in the following sections, D-F. Each college will specify in its written Procedures governing promotion decision-making whether these peer evaluations will be carried out by individual members of the department, by one or more faculty committees, or by some combination of these methods, as well as what process the reviewers will follow.

These peer evaluations of the candidate's teaching, scholarship, and service will be contained in one or more reports that analyze the relevant materials in the Promotion Record as detailed in the respective sections that follow, and shall be signed by each peer evaluator. These reports are intended to go beyond a mere *description* of what the candidate has included in the dossier and provide a

thorough *evaluation* of the quantity and quality of the candidate's teaching, scholarship, and service from a departmental perspective.

D. It is the candidate's responsibility to cooperate in obtaining internal peer evaluation of the candidate's teaching by participating in the following process:

(1) The college's written Procedures governing promotion decision-making must specify a method of peer evaluation of teaching--which must include peer observation of teaching if practicable--and must identify those teaching activities and materials that will be evaluated by peers.

**In the College of Public Health:**

**The DEO will appoint a subcommittee of the DCG (hereafter called the "Internal Peer Review Committee") having a minimum of three members, to write a report evaluating the candidate's teaching, research, and service. The membership of this Internal Peer Review Committee will be made known to the candidate. With regards to teaching, materials to be reviewed include anything placed in the dossier by the candidate and the DEO, including, but not limited to: student evaluations (e.g., "ACE" forms), peer observation reports, course syllabi, lecture handouts, web pages or other electronic teaching materials, chapters from textbooks aimed at a student audience, and lists of teaching activities included in the C.V.**

**The range of teaching activities conducted by faculty in the College of Public Health, and hence subject to this evaluation, is broad and includes, but is not limited to: lectures; small group facilitation in the non-clinical setting; clinical teaching in the ward or clinic; and graduate student advising. Teaching performed outside the institution (for example, at national meetings, or as part of continuing medical education events) may be included, but these activities may not constitute the sole source of teaching activities for evaluation.**

(2) With respect to the observation of classroom, laboratory, practicum, or other forms of teaching, the college's written Procedures governing promotion decision-making will specify the number (or range of numbers) of teaching occasions to observe; the number (or range of numbers) of consecutive semesters in which observations will occur; the number (or range of numbers) of observing faculty members; the method of choosing faculty observers; the method of recording, reporting, and informing the candidate of the observation; and any other protocol concerning the observation process.

### **In the College of Public Health**

**The minimum criteria for an adequate quantity of peer observation reports are:**

**Observation of at least three separate teaching activities since the time of the initial appointment or the last promotion.**

**Reports must be received from a total of at least two different observers; for example, one observer may report on two teaching activities, and a second observer may report on the third; or, two observers may report on the same activity, and one of the two may then report on two additional activities, and so on.**

**At least one observation must be made in the year prior to application for promotion. "The year prior to promotion" is defined as the fall semester through the summer term, concluding *before* the beginning of the fall semester when the promotion application is being reviewed.**

**The DEO, in consultation with the DCG, will select the faculty members to perform the observations.**

**A template review instrument will be provided; departments may modify the template to meet their own needs as long as the same form is used for each faculty member reviewed in a given year. (Appendix E)**

**The observers' reviews will be submitted to the internal review committee.**

**The reviews will be shared with the candidate, after the identity of the reviewer has been removed.**

- (3) When the evaluation of teaching involves the peer observation of teaching activities, the college's written Procedures governing promotion decision-making will provide for
- (a) consistent treatment of candidates;
  - (b) an adequate basis for fair evaluation; and
  - (c) avoidance of an undue burden on either the observed candidate or the observing faculty members or an undue disruption of any observed class or other teaching situation.

- (4) If expressly authorized by the college's written Procedures governing promotion decision-making, video observation that is consistent with the substance of this section may be substituted for actual observation of a teaching activity with the candidate's consent.

**In the College of Public Health, video observation may be substituted.**

- (5) The DEO will add to the appropriate appendix of the Promotion Record any student teaching evaluations that may have been solicited by the department as part of its regular promotion review process.
- (6) The peer evaluation of the candidate's teaching will be contained in a report that analyzes the relevant materials in the Promotion Record, and will include:
- (a) a comparative analysis of the quality of the candidate's teaching in the context of the candidate's department or unit;
  - (b) a summary analysis of the student teaching evaluation data contained in the Promotion Record, including departmental average comparison data where possible;
  - (c) a description, where appropriate, of the balance between the candidate's undergraduate and graduate teaching;
  - (d) a description and assessment of the candidate's academic advising responsibilities; and
  - (e) a consideration of any special circumstances concerning the faculty member's teaching performance.
- (7) The faculty members who perform the peer evaluation of the candidate's teaching as described in (6) above will enter their report into the section of the Promotion Record that is dedicated to the history and evaluation of the candidate's teaching.
- E. It is the candidate's responsibility to cooperate in obtaining peer evaluation of the candidate's scholarship by participating in the following process:

- (1) Internal peer evaluation.

- (a) An internal peer evaluation of the candidate's scholarship will be carried out within the candidate's department. The internal peer evaluation of the candidate's scholarship will be contained in a report that analyzes the relevant materials in the Promotion Record, excluding the external evaluations of the candidate's scholarship, and will include a statement concerning the norms for publication and/or creative activity in the relevant field, a brief description of the quality of journals or other forums in which the candidate's work has appeared, and a brief description of the norms of authorship and co-authorship in the field.

**In the College of Public Health, the Internal Peer Review Committee will provide**

**an internal peer evaluation of the candidate's dossier related to scholarship. If the candidate's scholarship is in an area in which there is not at least one faculty member in the Department who has the expertise to perform a comprehensive evaluation, at least one additional faculty member from the University of Iowa, but outside the Department, may be chosen to join the committee.**

(b) The faculty members who perform the peer evaluation of the candidate's scholarship will enter their report into the section of the Promotion Record that is dedicated to the history and evaluation of the candidate's scholarship.

(2) External peer evaluation.

(a) Selection of external evaluators of scholarship will begin on or before a date specified in the college's written Procedures governing promotion decision-making or, if not specified in the collegiate Procedures, no later than September 30, of the academic year in which the promotion decision will be made.

**In the College of Public Health, the date will be September 30.**

(b) The college's written Procedures governing promotion decision-making will specify the number of external reviewers (with a recommended range of four to eight) and how it will be determined what sample or portion of the candidate's work the reviewers are to evaluate.

**In the College of Public Health, eight assessments from external reviewers will be sought and a minimum of four must be received and placed in the promotion dossier. Each reviewer will be provided the candidate's: a) c.v.; b) personal statement; and c) five publications from among those submitted in dossier. These five are to be selected by the DEO with the advice of the candidate.**

(c) The DEO will solicit from the candidate a list of four appropriate external reviewers from peer institutions (e.g. AAU, CIC or Big Ten, major public, Carnegie Research I) or institutions in which the corresponding department or individual evaluator is of peer quality.

(d) The DEO will add suggestions to the list and give it to those faculty members who have been assigned to complete an internal peer review of the candidate's scholarship; those faculty will add other potential external reviewers as specified in the college's Procedures governing promotion and tenure decision-making, and return the completed list to the DEO.

(e) The DEO will share the completed list of potential external reviewers with the candidate. The candidate shall identify any potential external reviewers with whom s/he has worked in any capacity and describe the nature of the relationship. If the candidate feels that any potential external reviewer on the

list might be unfairly biased, the candidate may prepare a written objection and give it to the DEO, who will take the objection into consideration when selecting external reviewers.

- (f) In identifying potential external reviewers, all participants in the selection process will take into account the standing of the prospective reviewer in the discipline, the likely knowledge of the reviewer of the material to be reviewed, the apparent impartiality of the reviewer, and the contribution of the reviewer to achieving an overall "balanced" review among the reviewers on any criterion for which there might be a range of perspectives. It is critical to avoid any situation in which a personal and/or professional relationship (including advising, mentoring, co-authoring, etc.) between the candidate and a prospective reviewer is such that it could undermine the reviewer's apparent impartiality.
- (g) The DEO will determine, in accordance with the college's Procedures governing promotion decision making, which of the potential external reviewers will be asked to provide a letter of review.

<p><b>In the College of Public Health, the DEO, after the consultation described above, will select the final list to be invited.</b></p>
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- (h) The DEO or Dean, using a form letter which substantially conforms to the sample letter contained in Appendix F, will ask the reviewers identified in (g) above to provide an assessment of the quality and quantity of the candidate's scholarship.
- (i) After or in anticipation of an invitation to an external reviewer to evaluate the candidate's published work, neither the candidate nor any other faculty member other than the DEO or Dean will communicate with the reviewer concerning the subject of the review or the review process.
- (j) The DEO will keep a record of:
  - (i) the list of suggested reviewers,
  - (ii) the names of persons invited to review,
  - (iii) the names of actual reviewers,
  - (iv) comments submitted by the candidate, the DEO, and the internal faculty reviewers,
  - (v) correspondence and other communications between the DEO or Dean and invited reviewers and actual reviewers.

- (k) All letters received from external reviewers will be entered by the DEO into the Promotion Record in the section dedicated to the history of and evaluation of the candidate's scholarship, along with:
- (i) a list of all invited reviewers—indicating whether the reviewer was suggested by the candidate, the DEO, or the internal faculty reviewers—and a brief explanation of why any invited reviewer declined;
  - (ii) the candidate's written objection to any potential external reviewer on the basis of unfair bias, if a letter was solicited from that reviewer over the candidate's written objection;
  - (iii) a copy of the letter or letters of solicitation to external reviewers;
  - (iv) a brief description of each external reviewer's qualifications;
  - (v) a statement of how the reviewer knows the candidate's work. (See Appendix F.)
  - (vi) a statement that identifies and addresses circumstances which might call into question the impartiality of the reviewer; and
  - (vii) an explanation of why the choice of a reviewer was made, if the reviewer is not from a peer institution but from an institution where the corresponding department or individual evaluator is of peer quality.

Letters from external reviewers shall not be placed in the Promotion Record until after the internal peer evaluations have been completed and entered into the Promotion Record.

- F. It is the candidate's responsibility to cooperate in obtaining internal peer evaluation of the candidate's service by participating in the following process:

**In the College of Public Health, the internal peer evaluation of service will be carried out by the Internal Peer Review Committee.**

- (1) The peer evaluation of the candidate's service will be contained in a report that analyzes the relevant materials in the Promotion Record, and will include a comparative analysis of the quality of the candidate's service in the context of the expected service contributions in the department, college, University, community, the State of Iowa, and the profession.
- (2) The faculty members who perform the peer evaluation of the candidate's service will enter their report into the section of the Promotion Record that is dedicated to the history and evaluation of the candidate's service.



G. The candidate will be given an opportunity to respond to the internal peer evaluations as follows:

- (1) The DEO will send to the candidate a copy of the internal peer evaluations of the candidate's teaching, scholarship, and service that have been entered into the appropriate sections of the Promotion Record.
- (2) The candidate will be allowed a limited time period, specified in the college's written Procedures governing promotion decision-making, to submit in writing any corrections to errors in the internal peer evaluations of the candidate's teaching, scholarship, and service.

**In the College of Public Health, the candidate will have 10 working days in which to respond.**

- (3) If the candidate submits a letter correcting errors in the internal peer evaluations of the candidate's teaching, scholarship, and service, the DEO will enter it into the Promotion Record before the DCG makes its recommendation.

H. The DCG will participate in the promotion decision-making process as follows:

- (1) Following the principle that each individual participating in the promotion decision-making process may vote for or against the granting of promotion to a candidate only once, DCG members who are also members of the CCG will participate in the promotion decision for a candidate from their department at the departmental level and may not participate in the CCG's deliberations or voting in regard to that candidate.
- (2) The DEO may attend the meetings of the DCG, but may not vote, participate in the discussion other than to provide factual information, or contribute to the written report summarizing its discussion.
- (3) The Promotion Record available to the DCG will consist of the candidate's dossier with appendices (publications and student teaching evaluations, including those student teaching evaluations added to the Promotion Record by the DEO); the external peer evaluation of scholarship and internal peer evaluations of scholarship, teaching, and service, entered into the appropriate sections of the Record; and the candidate's letter correcting errors in the internal peer evaluations, if any.

- (4) The DCG will meet to discuss the candidate's qualifications, to vote by secret ballot for or against the granting of promotion, and, in accordance with the college's written Procedures on promotion decision-making, to assign one or more of its members to prepare a summary report of the discussion, document the final vote, and enter that information into the Promotion Record. The summary report will contain a recommendation for or against the granting of promotion based on the written Procedures of either the department or the college, as applicable, stating the criterion vote (e.g., simple majority, two-thirds majority) that defines a positive recommendation for promotion. This report shall not reiterate the details of the internal and external peer reviews or restate other material already in the dossier; rather, it shall identify those specific aspects of the dossier that formed the basis of the DCG recommendation.

**In the College of Public Health, the DCG will select one of its members to prepare a summary report, which will then be reviewed by the entire group. Revisions will be made if needed, and then the report will be placed into the Promotion Record. If the vote is not unanimous, the DCG Summary Report must contain sections describing the factors that were in support of both sides of the vote. A positive recommendation will be forwarded if the majority of the voting DCG members are in favor of the promotion.**

- (5) The results of the DCG's vote and the summary report of its discussion will be transmitted to the DEO as part of the candidate's Promotion Record and also provided to the candidate, redacted as needed by those who prepared the summary report to protect the confidentiality of any individual contributions, whether from students, external reviewers, or University of Iowa faculty members.
- (6) The candidate will be allowed a limited time period, specified in the college's written Procedures governing promotion decision-making, to submit in writing to the DEO any corrections of factual errors about the candidate's record in the DCG's summary report of its discussion.

**In the College of Public Health, the candidate will have 10 working days in which to respond.**

- (7) If the candidate submits a letter correcting errors in the DCG's summary report, the DEO will enter it into the Promotion Record before making a recommendation to the Dean.
- I. The DEO will participate in the promotion decision-making process as follows:
- (1) Based on the Promotion Record, the DEO will recommend that promotion be granted or denied in a separate letter to the collegiate Dean for each candidate.
  - (2) As with the DCG report, the DEO's letter to the Dean should not reiterate the details of material that already is in the dossier. Rather, it will explain her or his

reasons for recommending for or against promotion, and, when the vote of the DCG is not followed, will explain why the contrary recommendation is being made and will address any disagreement between the DEO's evaluation and the evaluation of the DCG as reflected in the summary report of the DCG's discussion.

(3) Even if the DEO recommends that the candidate be promoted, the DEO's letter to the Dean will address any negative aspects of the Promotion Record; and, if tenure is recommended, the DEO will indicate in the letter to the Dean how the candidate has met the criteria for tenure.

(4) The DEO's letter will be transmitted to the Dean as part of the candidate's Promotion Record.

J. The candidate will be given the opportunity to respond to a recommendation against promotion by the DEO as follows:

(1) At the same time that the Promotion Record is submitted to the Dean, if the DEO's recommendation is negative, the DEO will provide the candidate with a copy of the DEO's letter to the Dean.

(2) The candidate then, upon request, will have access to the Promotion Record, with the following provisions:

(a) the external reviews of the candidate's scholarship must be redacted as appropriate to protect the confidentiality of reviewers;

(b) any comments in the Promotion Record referring to external reviews of the candidate's scholarship must be redacted as appropriate to protect the confidentiality of reviewers; and

(c) the student evaluations of the candidate's teaching which were added to the Promotion Record by the DEO must be redacted to protect the confidentiality of student evaluators.

(3) The candidate for a limited time period, specified in the college's written Procedures governing promotion decision-making, has the right to submit to the Dean:

**In the College of Public Health, the candidate will have 5 working days to respond.**

(a) a written response to the DEO's negative recommendation and

(b) additional information to be included in the Promotion Record.

**In the College of Public Health, the candidate will have 5 working days beyond the period specified in (2) to submit a letter of response to the Dean and/or add additional information to the Promotion Record.**

(4) If the candidate submits a written response to the Dean for inclusion in the Promotion Record, the candidate also shall give the DEO a copy of the response.

K. The following steps will be used to evaluate 0% secondary promotions that are entirely within the College of Public Health. For cross-college joint promotions, the two departments involved will decide how the secondary department will play a subordinate consultative role in the tenure and promotion process. This determination is made by mutual agreement of the faculty member, both DEOs, and the Dean(s) at the beginning of the joint appointment and set forth in a letter of agreement, copied to the Provost.

(1) The secondary department receives a copy of the promotion dossier (CV with personal statements) from the primary department.

(2) Copies of other supporting documents such as external reviewer letters and publications can also be requested (the secondary department does not request any outside letters of their own).

(3) Eligible faculty in the secondary department then vote.

(4) The DEO of the secondary department writes a letter to the CPH Dean including the departmental vote (a copy should **not** be mailed to the primary department/college).

(5) The promotion packet (excluding appendices) is sent to the CPH Dean.

(6) The promotion packet is then sent to the FP&T committee of the College of Public Health's Faculty Council.

(7) The FP&T Committee reviews and votes on the promotion and provides a brief summary report to the CPH Dean (including the recorded vote and recommendation).

(8) The CPH Dean writes a letter to the primary department/college with the promotion recommendation.

(9) The primary department obtains the signatures of the secondary department DEO and the CPH Dean on the Recommendation for Faculty Promotion form.

## II. College level procedure

- A. If the candidate submits a written response to the DEO's letter to the Dean, the Dean will place the response in the Promotion Record.
- B. The CCG shall participate in the promotion decision-making process as follows:
- (1) Each college with multiple units must include in its written Procedures governing promotion decision-making a procedure for establishing a faculty CCG, as well as guidelines for the membership of the Group and how it will function. Members of a CCG who have participated in a promotion decision for a particular candidate at the departmental level may not participate in the CCG's deliberations or voting in regard to that candidate.

**In the College of Public Health, the Collegiate Consulting Group will consist of appropriate members of the Faculty Council Promotion & Tenure Committee, as specified in the College of Public Health Manual of Procedure. The membership roster of the CCG will be available to the candidate.**

- (2) The Dean and Associate Deans may attend the meetings of the CCG, but the Dean may not vote or contribute to the written report summarizing its discussion.
- (3) The Promotion Record available to the CCG will consist of the Promotion Record available to the DEO, the DEO's letter, and the candidate's letter of response (if any) following receipt of the DCG's recorded vote and summary report and the recommendation of the DEO. Although the appendices to the Promotion Record (consisting of student teaching evaluations and publications) are part of the Promotion Record, the determination of whether and when these appendices are physically moved to the Dean's custody will depend on the college's written policy governing promotion decision making.

**In the College of Public Health, in addition, each candidate in the tenure track must submit copies of 5 papers that have either been published, or accepted for publication. The complete Appendices to the promotion Record will be maintained in the Departmental Office, but may be requested by the Collegiate Consulting Group or the Dean for review as needed.**

- (4) If the CCG finds it necessary for clarification or supplementation of the Promotion Record, the CCG may submit to the DCG and/or the DEO a written request for additional information. The CCG will enter any information thus obtained into the Promotion Record.
- (5) The CCG will meet, in accordance with the college's written Procedures governing promotion decision-making,

- (a) to discuss the candidate's qualifications,
- (b) to vote and make a recommendation for or against the granting of promotion, , stating the criterion vote (e.g., simple majority, two-thirds majority) that defines a positive recommendation for promotion in the College's written procedures for tenure and promotion decision making, and
- (c) to assign one or more of its members
  - (i) to prepare a summary report of the discussion, if its recommendation to the Dean is negative and contrary to that of the DCG or DEO, or if such a report is required by the college's written Procedures on promotion decision-making;
  - (ii) to document the final vote, and
  - (iii) to enter that information into the Promotion Record.

**In the College of Public Health, each candidate for promotion shall be assigned to a primary and secondary reviewer from among the CCG. These two reviewers will review the entire dossier that is submitted to the Dean. The remainder of the CCG will review the candidate's curriculum vitae, personal statements, and letters from the DCG and the DEO. The Committee will meet to discuss each candidate, and advise the Dean by a vote. The vote will not be by secret ballot, and the allowable votes shall consist of yes, no, or abstention. Those who abstain will be expected to explain to the group the reason for the abstention. The criterion vote is a simple majority. Only those members who are of appropriate rank and track according to University guidelines will vote on individual candidates. Specifically: a) only members who are in the tenure track will vote on tenure track recommendations; b) both clinical track and tenure track members may vote on candidates in the clinical track; c) in either track, only those members who hold a higher rank than the candidate may vote. CCG members will absent themselves from any and all discussion or votes regarding candidates from any department in which they themselves are appointed. The CCG will provide the Dean a written report that recommends specific actions on promotion and tenure, including vote counts and reasons for **and/or** against recommendations. **If the vote is not unanimous, the CCG Report must contain sections describing the factors that were in support of both sides of the vote. A positive recommendation will be forwarded if the majority of the voting CCG members are in favor of the promotion.****

- (6) The CCG's vote and recommendation, and the summary report of its discussion, if any, will be transmitted to the Dean as part of the candidate's Promotion Record.

**In the College of Public Health, the CCG will provide a written report to the Dean as described in II.A.(5) above.**

- C. The candidate will be given the opportunity to respond to the CCG's recommendation under the following conditions:

(1) If the CCG's recommendation is negative and contrary to that of the DCG or DEO, the candidate shall be provided with a copy of the CCG's vote and summary report and, upon request, will have access to the Promotion Record, with the following provisions:

- (a) the external reviews of the candidate's scholarship must be redacted as appropriate to protect the confidentiality of reviewers;
  - (b) any comments in the Promotion Record referring to external reviews of the candidate's scholarship must be redacted as appropriate to protect the confidentiality of reviewers; and
  - (c) the student evaluations of the candidate's teaching which were added to the Promotion Record by the DEO must be redacted to protect the confidentiality of student evaluators.
- (2) The candidate, for a limited time period specified in the college's written Procedures governing promotion decision making, has the right to submit a written response to the CCG's negative recommendation.

**In the College of Public Health, the candidate has 10 working days to respond.**

D. The Dean shall participate in the promotion decision-making process as follows:

- (1) If the candidate submits a written response to the CCG's negative recommendation, the Dean will place the response in the Promotion Record.
- (2) When any materials which were not available at the time of the departmental action are forwarded by the DEO to the Dean, the Dean, in consultation with the DEO, will make a determination whether it is likely that the new material would have substantially altered the departmental evaluation of the candidate's record by the DCG and/or the DEO. If, in the Dean's judgment, a substantial change in the departmental evaluation is likely, the Dean will return the case to the DEO for reconsideration of the Promotion Record, as appropriate, so that the Dean will be able to act in the light of an accurate indication of departmental judgments.
- (3) Based on the Promotion Record, including the response of the candidate, if any, to the CCG report, the collegiate Dean will recommend that promotion be granted or denied in a separate letter to the Provost for each candidate.
- (4) The Dean's letter to the Provost will explain the Dean's reasons for recommending for or against promotion. As with previous steps in this process, the Dean's letter to the Provost shall not reiterate the details of material that already is in the dossier; rather, it shall identify those aspects of the dossier that formed the basis of the Dean's recommendation.

- (5) When the Dean's recommendation is contrary to the vote of the DCG, the recommendation of the DEO, and/or the recommendation of the CCG, the Dean's letter will explain why the contrary recommendation is being made.
- (6) The Dean's letter will be transmitted to the Provost as part of the candidate's Promotion Record.
- (7) At the same time that the Dean's letter is submitted to the Provost, the Dean will inform the DEO of the recommendation that has been forwarded to the Provost. The DEO, in turn, will inform the members of the DCG of the Dean's recommendation and also will inform the candidate if the Dean's recommendation is positive.
- (8) The Dean will transmit to the Provost one copy of the Promotion Record for each candidate in the college, and a single copy of the college's written Procedures governing promotion decision-making.

E. The candidate will be given the opportunity to respond to a negative recommendation by the Dean as follows:

- (1) At the same time that the Promotion Record is submitted to the Provost, if the Dean's recommendation is against promotion, the Dean will provide the candidate with a copy of the Dean's letter to the Provost.
- (2) The candidate then, upon request, will have access to the Promotion Record, with the following provisions:
  - (a) the external reviews of the candidate's scholarship must be redacted as appropriate to protect the confidentiality of reviewers;
  - (b) any comments in the Promotion Record referring to external reviews of the candidate's scholarship must be redacted as appropriate to protect the confidentiality of reviewers; and
  - (c) the student evaluations of the candidate's teaching which were added to the Promotion Record by the DEO must be redacted to protect the confidentiality of student evaluators.
- (3) The candidate, for a limited time period specified in the college's written Procedures governing promotion decision-making, has the right to submit:
  - (a) a written response to the Dean's recommendation and
  - (b) any additional information to be included in the Promotion Record.



**In the College of Public Health, the candidate will be allowed 10 working days to access the Promotion Record and submit a letter of response to the Provost.**

- (4) If the candidate submits a letter of response to the Provost for inclusion in the Promotion Record, the candidate also shall give the Dean a copy of the response.

### **III. University level procedure**

A. The Provost shall participate in the promotion decision-making process as follows:

- (1) The Promotion Record available to the Provost will consist of the Promotion Record available to the Dean, the Dean's letter, and the candidate's response (if any) to the recommendation of the Dean. Although the appendices to the Promotion Record (consisting of student teaching evaluations and publications) are part of the Promotion Record, they will not normally be physically moved to the Provost's custody unless the Provost requests them.
- (2) When any materials that were not available at the time of the departmental or collegiate action are forwarded to the Provost, the Provost will make a determination whether it is likely that the new material would have substantially altered the evaluation of the candidate's record. If, in the Provost's judgment, a substantial change in the departmental or collegiate evaluation is likely, the Provost will return the case to the DEO or Dean, respectively, for supplementary action, including additional review by the Dean if appropriate, so that the Provost will be able to act in the light of an accurate indication of departmental and collegiate judgment.
- (3) On the basis of the Promotion Record available to the Provost, the Provost will make a decision that promotion should be granted or denied, and will recommend that the Board of Regents grant promotion to those candidates determined to be deserving.
- (4) In making the promotion decision, the Provost may, at the Provost's discretion, consult with other administrators, including the associate provosts and the collegiate deans.

B. The candidate shall be informed of the Provost's decision as follows:

- (1) The Provost will inform the Dean in writing of the Provost's recommendation to the Board of Regents.
- (2) The Dean will inform the candidate in writing of the Provost's recommendation to the Board of Regents, and in the case of a recommendation against promotion or tenure will inform the candidate of the availability of the official Faculty Dispute Procedures of the University Operations Manual (section

III.29.1—III.29.5), and will enclose a copy via certified mail.

- (3) The collegiate Dean will inform the DEO of the Provost's recommendation who, in turn, will inform the members of the DCG and, in the case of a recommendation for promotion also will inform the candidate.

## Appendix A – Points to be determined by Collegiate Procedural Guidelines

The following points must be covered by the Collegiate Procedures (as approved by the Provost) to satisfy a requirement of or to provide a variation from a provision of these Procedures:

- General Principles: how qualified faculty members from outside the department will be identified to serve on the DCG, if there are fewer than four faculty members in the department who are qualified to serve on the DCG.
- General Principles: who will perform the functions assigned in these Procedures to the DEO, if they will not be performed by an individual who holds that title;
- General Principles: in nondepartmentalized colleges, what the role of department-like units and their administrative officers, if any, will be;
- General Principles: how and when a candidate for whom it is not the year of required tenure review will notify the department and/or college of his or her interest in being reviewed for tenure and/or promotion;
- I.B.(1) the date substantive material for the promotion dossier will be due from the candidate, if before September 1;
- I.B.(3)(f) any supplementary material to be included in the dossier in addition to the required minimum described in these procedural guidelines;
- I.C. who shall perform the internal peer evaluations of teaching, scholarship, and service;
- I.D.(1) – (4) details about the process of peer observation of teaching;
- I.E.(2)(a) when the process of selection of external reviewers will begin;
- I.E.(2)(b) how many external reviewers will be asked to provide assessments of the candidate's scholarship, and what sample of the candidate's scholarship each will review;
- I.E.(2)(d) the process by which the faculty members assigned to perform internal peer review of the candidate's scholarship will go about adding to the list of proposed external reviewers;
- I.E.(2)(g) the process by which the DEO will go about selecting the final list of external reviewers;

- I.F.(4) The criterion vote (e.g., simple majority, two-thirds majority) that defines a positive recommendation for promotion. Departmentalized colleges may allow departments to make this determination.
- 
- I.G.(2) the period of time allowed the candidate to review the internal peer evaluations of teaching, scholarship, and service for errors (normally five to ten working days);
- I.H.(4) details of the DCG's voting procedure, and how the DCG determines which of its members will prepare the summary report of its discussion, document the final vote, and enter that information into the Promotion Record;
- I.H.(6) the period of time allowed the candidate to submit in writing to the DEO any corrections of factual errors regarding the candidate's record in the DCG's report (normally five to ten working days);
- I.J.(3) the period of time allowed the candidate to submit a response after receipt of a DEO's negative recommendation to the Dean (normally five to ten working days);
- II.B.(1) how the CCG is formed and performs its functions:
- III.B.(3) whether and when the appendices to the Promotion Record are physically transmitted to the Dean;
- II.B.(5) the procedure according to which the CCG will vote and make a recommendation for or against the granting of promotion (including the criterion vote [e.g., simple majority, two-thirds majority] that defines a positive recommendation for promotion according to the College's written Procedures for tenure and promotion decision making), whether a summary report of the CCG's discussion is required (when it is not required by these Procedures), and how the CCG will determine which of its members will prepare the summary report of its discussion (if any), document the final vote and recommendation, and enter that information into the Promotion Record;
- II.C.(2) the period of time allowed the candidate to submit a response after receipt of the CCG's negative recommendation to the Dean; and
- II.E.(3) the period of time allowed the candidate to submit a response after receipt of the Dean's negative recommendation to the Provost (normally five to ten working days).

The comments on the Procedures (Appendix G) suggest additional matters that might be covered in Collegiate Procedures.

## Appendix B – Qualifications for Specific Ranks

### 10.4 QUALIFICATIONS FOR SPECIFIC RANKS.

Each academic unit is expected to develop detailed tenure and promotion criteria consistent with the following qualifications. If the pattern and practice in some units deviates markedly from these norms, such units may seek approval of the provost for alternate criteria.

a. Assistant Professor.

(1) Promise of ability as a teacher.

(2) Holder of the doctorate or its equivalent.

(3) Promise of scholarly productivity, supported by publications, as appropriate to the discipline.

(4) Term of appointment is typically three years, although it may be for a shorter period of time if recommended by the departmental executive officer and the dean of the college.

(5) Appointments at the rank of assistant professor shall ordinarily not exceed a total of seven years or service and thus shall be reviewed for tenure no later than during the sixth year of service. Unless otherwise agreed upon, the status of a faculty member who has served both as an instructor and as assistant professor in this University should be reviewed at the end of six years of service in the two ranks combined. A faculty member for whom a denial-of-tenure recommendation has been made by the Provost shall be given notification of a terminal year of appointment.

b. Associate Professor.

(1) Convincing evidence from peer-review and student assessments that the candidate is an effective teacher.

(2) Demonstration of scholarly achievement supported by substantial publications, including first-authored publications, of high quality, and by grant support, some of which is as principal or co-principal investigator, as appropriate to the discipline(s).

(3) Evidence of departmental, collegiate, and/or University service and, if appropriate, professional service.

(4) The quality and quantity of teaching, scholarly accomplishment, and service should give unmistakable promise of promotion to full professor.

(5) A tenure appointment, except that for persons appointed from off the campus, the initial appointment may be for a term of three years or less.

c. Professor.

(1) Consistent record of high-quality teaching at all appropriate instructional levels, including successful guidance of doctoral graduate students to the completion of their degree programs, where applicable.

(2) Continued scholarly achievement of high quality, including substantial first-authored publications and grant support, some of which is as principal or co-principal investigator, as appropriate to the discipline, accompanied by unmistakable evidence that the candidate is a nationally and, where applicable, internationally recognized scholar in the chosen field.

(3) The candidate should have a record of significant and effective service to the department, college and/or the University, and, if appropriate, to the profession.

(4) A tenure appointment, except that for persons appointed from off the campus, the initial appointment may be for a term of three years or less.

**Appendix C– Recommendation for Faculty Promotion Cover Sheet**

(generated in UI Workflow system)

## Appendix D--Review Procedures for Faculty with Joint Appointments

- A. In the case of a non-0% joint-appointment candidacy for promotion, the departments shall form (a) joint internal review committee(s) (see Section I.C. below), roughly proportional in its (their) makeup to the percentage of faculty effort in each department and with at least one committee member from each department. The DEO(s) or the candidate may seek approval of the dean(s) for an alternative structure in exceptional circumstances, including cases of marked discrepancy between percentage effort and percentage salary support across the two units, or in the case of a joint but non-interdisciplinary appointment, such that joint review is inappropriate. When standard review procedures differ between units (e.g., delegation of review of teaching, research and service to separate subcommittees vs. using a single internal review committee for all three areas), a joint decision shall be made establishing procedures that are mutually acceptable to the faculty member and the units in advance of deliberations of the review committee(s). The joint internal review committee shall report, both in writing and at (a) meeting(s) with at least one internal review committee member from each department present, to each DCG.
- B. The departments involved must determine, together with the affected faculty member, whether the DCGs will meet jointly or separately and, if jointly, whether the DCGs will have joint or separate votes and reports. If separately, (a) if a faculty member holds a 50-50 joint appointment each DCG will make an independent and primary decision using its college's written policy governing promotion decision making; (b) if a faculty member holds a 1% to 49% joint appointment in a department, the departments involved must determine, together with the affected faculty member, whether each DCG will make an independent decision or whether the DCG in which the faculty member holds the smaller percentage appointment will be limited as described in section C below. These determinations should be made by mutual agreement of the faculty member, both DEOs, and the Dean (s) early in the joint appointment and set forth in a letter of agreement, copied to the Provost.
- C. If a faculty member holds a 1% to 49% appointment in a department, and a determination is made that that department shall not make an independent decision, then that department shall participate in the following manner (see sections II.(g) and II.(H) for additional detail).
- (1) The DCG shall:
- (a) receive the candidate's dossier including the letters of the external reviewers;
  - (b) review and discuss the candidate's qualifications;
  - (c) make a recommendation for or against the granting of promotion based on a secret-ballot vote;



- (d) write a brief report of its discussion, including its vote and recommendation for or against the granting of promotion. If a majority of the DCG request, it may delegate writing this report to the DEO.
- (2) The DEO shall:
- (a) write a letter
    - (i) reporting the DCG discussion, including its vote and recommendation for or against the granting of promotion, if requested by a majority of the DCG to do so, and
    - (ii) making an independent recommendation that promotion be granted or denied;
  - (b) add the DCG report, if any, and this letter to the Promotion Record, and
  - (c) submit the Promotion Record to the primary department in time for consideration by the DCG of that department.

Similarly,

- (3) the CCG of the college in which a faculty member has a 1% to 49% appointment shall:
- (a) receive the candidate's Promotion Record from the DEO of the primary department;
  - (b) review and discuss the candidate's qualifications, and
  - (c) make a recommendation for or against the granting of promotion based on a secret-ballot vote, with a brief report of its discussion if the recommendation is negative. If a majority of the CCG requests, it may delegate writing this report to the Dean.
- (4) The Dean shall:
- (a) write a letter
    - (i) reporting the CCG discussion, including its vote and recommendation for or against the granting of promotion, if requested by a majority of the CCG to do so, and
    - (ii) making an independent recommendation that promotion be granted or denied;

- (b) add the CCG report, if any, and this letter to the Promotion Record;
- (c) submit the Promotion Record to the primary college in time for consideration by its CCG.

**C.** If a faculty member holds a 0% joint appointment (i.e. secondary appointment) in a department, that department may be limited to a subordinate consultative role in the tenure and promotion process and the affected departments may decide how this role shall be carried out. These determinations should be made by mutual agreement of the faculty member, both DEOs, and the Dean(s) at the beginning of the joint appointment and set forth in a letter of agreement, copied to the Provost. In general, the review of secondary faculty should focus on whether the candidate has been fulfilling the expectations in the secondary unit, based on appointment letters. An evaluation letter from the secondary DEO is the most important document for this review. There does not need to be a formal DCG or departmental vote, but the DEO will discuss the candidate with departmental faculty before writing the letter. The secondary Dean will write a brief letter addressed to the candidate's primary unit, endorsing or not endorsing the secondary DEO recommendation. There does not need to be a formal CCG, unless the secondary Dean requests one. The secondary Dean and DEO should sign the recommendation form indicating their recommendations with respect to the secondary faculty member's candidacy for promotion. This is to be done independently of whatever the primary department/college may recommend. If a determination is made in the secondary unit to not promote the faculty member (and the primary unit has decided to promote him/her), the secondary unit shall decide whether to reappoint at the new rank when the appointment is up for renewal. In that case the DEO and the Dean of the secondary unit shall contact the faculty in the primary unit to explain their decision. If the secondary unit votes in favor of promotion and the primary unit does not, the primary unit's decision supersedes the secondary unit's decision, and the decision by the secondary unit should not have any influence or be considered in any promotion or tenure decisions by the primary unit.

**Appendix E - College of Public Health Peer Evaluation of Teaching**

(Found in Helpful Documents section)

**Appendix F – Sample Letter from Departmental Executive Officer to External Reviewer**

(Found in Helpful Documents section)

## Appendix G - Comments on the Procedures

I.B.(2) The candidate and the DEO should work together to ensure that a candidate's teaching, research, and service, including those activities of an interdisciplinary or multidisciplinary nature, are accurately portrayed in the promotion dossier.

I.B.(3)(c) It is assumed that all faculty members obtain regular student evaluations of their teaching in accordance with collegiate and University policy and that, under the college's policy, there are adequate provisions for consistent practice to ensure the integrity of the evaluation process and to ordinarily preserve the anonymity of the student evaluators. A college is permitted to include evaluations by students who are identified but whose identity is treated as confidential vis-à-vis the candidate. When such a practice is employed, it is imperative that the college's written policy governing promotion decision making specify its details and that it be applied evenhandedly. The candidate's dossier is not expected to include teaching "evaluations" used for experimental, mentoring, or other non-evaluative purposes.

I.B.(3)(f) The college may want to require additional items in the dossier such as teaching materials; refereed conference papers; invited papers, lectures, or presentations; unfunded grant proposals; etc. The college's written policy governing promotion decision making should specify the items required and apply the requirement evenhandedly to all candidates.

I.B.(6) Examples of "materials which could not have been available by the specified date" include decisions on submitted manuscripts or grant proposals after the specified date, published book reviews of which the candidate had no previous knowledge, teaching evaluations of classes being taught in the fall semester.

I.D. The minimal procedures specified here for evaluation of teaching are not assumed to be adequate for purposes of mentoring and teaching-improvement, and this proposal is not intended to discourage other and different methods for satisfying those purposes.

It should be stressed that "teaching" is described here in traditional terms and that appropriate extrapolations must be made for teaching in fields such as the creative or performance arts.

I.D.(2) This provision in no way privileges or elevates "observation" over such written materials as course syllabi or teaching materials created by the candidate. These written materials will be a part of the candidate's dossier and will be subject to evaluations as part of the total record on the basis of which the candidate is evaluated. Nor should this provision be taken to devalue still other aspects of the teaching process, such as supervising in a clinical setting, supervising dissertation work, advising graduate students, or overseeing the work of teaching assistants; although those teaching activities are not easily reduced to writing nor are they ordinarily subject to observation, these activities are important and nothing in these Procedures prevents a college that is able to evaluate these other teaching activities from doing so as part of the promotion

decision-making process. In this connection, as elsewhere, the critical requirement is that a college inform candidates in its written policy governing promotion decision making that this evaluation will occur and how it will be carried out, as well as that the college apply its policy consistently to all candidates.

I.E.(2)(j) Although the records related to external reviewers that are required to be kept under subsection I.D.(2)(j) do not become a part of the Promotion Record concerning each candidate, they would be available for consideration should a question subsequently arise concerning the denial of a promotion to that candidate or another candidate for promotion in the department.

I.H.(1) The integrity of academic decision making requires that all participants base their evaluation on a careful study of the relevant materials, and standards of ethical academic behavior require nothing less. The integrity of particular academic decisions also requires 1) that all faculty members honor their duty to participate fully in the assessment of their colleagues, and 2) that the evaluation of the candidate's qualifications not be compromised by the participation of anyone having a disqualifying conflict of interest. This requirement entails that any faculty member or administrator who would otherwise participate in the recommendation to grant or deny a promotion should be disqualified if that person has a relationship or interest which would give the appearance of biasing that person either in favor of or against the candidate. Conflicts of interest exist not because actual bias is assumed, but because of the appearance of a lack of sufficient impartiality. Whether a disqualifying conflict of interest does exist often presents the difficult question of degree, and it depends upon a determination by a participant in the process to identify the conflict and to disqualify herself or himself when appropriate. In lieu of disqualification, it can be sufficient that the circumstances giving rise to an apparent conflict of interest be fully disclosed. When disqualification is required, that can be effected by a decision of a member of the DCG not to vote or otherwise to participate in the evaluation process; at a stage of the process involving a single decision maker, such as the DEO or the collegiate Dean, more burdensome arrangements for a substitute decision maker would have to be made. Although treatment of conflicts of interest in the college's written policy governing promotion decision making would be appropriate, these Procedures have not attempted to address the specific situations that might create conflicts of interest nor to provide procedures for avoiding them. (For general guidelines on conflict of interest, refer to sections II.18 and III.8 of the University's Operations Manual.)

The integrity of the promotion decision-making process also requires that all documentary material be available only to those entitled to participate in the process and that every participant treat as confidential all information obtained from reading documents in the Promotion Record or from participating in any discussion concerning the qualifications of a candidate for promotion.

I.H.(2) In non-departmentalized colleges, the Dean attends the meeting of the DCG in the same manner as the DEO unless otherwise specified in the college's written Procedures on promotion decision-making and approved by the Provost.

I.H.(4) This is the first point in the decision process at which there is a specific reference to transmitting the Promotion Record. Prior to this stage of the process, it is assumed that the Promotion Record is compiled within the department under the joint management and custody of the DCG and the DEO. If the location of the Promotion Record would not otherwise be clear, the college's written policy governing promotion decision making should provide some means of informing decision-makers of the location of various materials comprising the Promotion Record from time to time as the decision process moves from the candidate to the DCG to the DEO.

I.H.(5) Because the Promotion Record may be redacted to protect reviewers' confidentiality where appropriate, it will be especially important that the DCG's report and the DEO's letter be written in sufficient detail to enable the candidate to submit a written response should be candidate choose to do so.

## Performance Expectations for Tenure-Track Faculty Relating to Promotion and Tenure

Department of Biostatistics  
College of Public Health  
University of Iowa

***Note: This document is intended to be used as a set of guidelines only. It supplements, and does not replace, the current University of Iowa Operations Manual. Collegiate procedures for the promotion review process are detailed in the College of Public Health Guidelines on Promotion and Tenure.***

### General Principles

Faculty in Biostatistics are expected to show excellence in two kinds of teaching:

- i) disciplinary teaching of Biostatistics to Biostatistics graduate students.
- ii) cross disciplinary teaching to non-Biostatistics students (also known as “service” teaching) where Biostatistical methods and concepts are taught to those in other disciplines.

This is elaborated in Section A.

Faculty in Biostatistics are expected to demonstrate excellence in two kinds of research:

- i) methodological research in statistics.
- ii) collaborative research.

This is elaborated on in Section B.

Several important differences should therefore be noted between the Biostatistics Department and other Departments in the College of Public Health. Research in biostatistics is not always research in public health:

- i) disciplinary Biostatistical methodological research is mathematical and theoretical research.
- ii) biostatistical collaboration occurs across the medical, health and basic sciences, not just in public health.

Biostatistics has evolved from the discipline of Statistics, a basic mathematical and computational science. Academic Biostatisticians perform cross-disciplinary research and teaching, bringing their disciplinary research training in Statistics, to the health, policy and biological sciences. The combination of disciplinary and cross-disciplinary research and teaching is important to recognize in the promotion and tenure process.

It is also important to recognize that faculty may move to a Biostatistics Department from a Statistics, or other Department, where the criteria for promotion are very different. A guiding principle is that faculty being considered for promotion in a Biostatistics Department should not be penalized for having made such a transition. This is expanded upon in the Appendix.

### Criteria for Promotion:

The University of Iowa Operations Manual gives criteria for promotion which are not repeated here. The following guidelines augment the University criteria and interpret them in the context of a Biostatistics Department.

### Performance Expectations:

#### *A. Teaching:*

Biostatistics faculty members are required to demonstrate effectiveness in disciplinary teaching in our Biostatistics graduate program and also “service” teaching of Biostatistical methods to non-Biostatistics majors. Both types of teaching are part of the mission of the Department of Biostatistics.

1. Key indicators of teaching performance for Biostatistics faculty:
  - a. Student evaluations, both numerical and open-ended comments.
    - i. Student evaluations tend to be less favorable for required vs. elective courses, for larger vs. smaller classes and for service courses versus disciplinary courses. Therefore, in interpreting student evaluations, factors likely to affect student evaluations for specific courses should be taken into account. When possible, evaluations for an instructor of a course should be compared to evaluations of other instructors in the Department of the same course, taught at different times. The Department of Biostatistics will file all student evaluations and provide anonymous Departmental norms for scrutiny in the evaluation of teaching. The evaluations of the candidate for promotion will be compared with the evaluations of faculty members at or above the rank to which promotion is being considered. Evaluations of the candidate should be approximately equivalent to those of higher rank. Evaluations are expected to be consistently excellent or show a record of improvement over time.
    - ii. The distribution of scores from student evaluations is more informative than simply examining means. For example, a rating of “3” by 100% of students is not the same as a bimodal distribution of “5” or “1” by 50% each. Also, a mean of “4” in a class of 5 students is not the same as a mean of “4” in a class of 30 students).
  - b. Peer evaluations of teaching should be approximately equivalent to those of faculty of the rank to which promotion is being considered. Evaluations should also be consistently excellent or show a record of improvement over time.
  - c. Teaching awards or other recognition of teaching excellence.
  - d. Effort towards professional development in teaching through participation in workshops at the University of Iowa and professional meetings.
  - e. Successful mentoring of student research.
    - i. Candidates for promotion from assistant to associate professor are expected to devote less effort to mentoring student research than faculty members with tenure. Establishing a research agenda in the first few years is more important than advising PhD dissertations. Faculty at the rank of assistant professor, however, should contribute to mentoring student research to the extent appropriate, for example by serving as a member of a student’s dissertation committee, through the advising of MS/MPH students in a preceptorship or



practicum experience. Some service on exam committees in non-Biostatistics programs is also expected. Although service as adviser of a PhD dissertation in Biostatistics is not a requirement for promotion from assistant to associate professor, an individual should be in a position to start advising a PhD student towards the end of her/his probationary period. Advising before that time is laudable and meritorious, if successful, but should be undertaken with caution.

- ii. For candidates for promotion from associate professor to professor, success as a mentor of student research as described for promotion to associate professor is required. In addition important indicators include:
  1. Advising a student's PhD dissertation (where enrollment permits).
  2. Advising student presentations and publications.
- iii. Because candidates for promotion to full professor with tenure should usually have demonstrated the ability to successfully advise or co-advise a PhD student, if a candidate has not done so, reasons should be addressed in the promotion dossier.
- iv. At the time of initial appointment to the University of Iowa some temporary reduction in teaching load may be granted to facilitate the transition. Apart from this temporary initial reduction, candidates for consideration for tenure are expected to have followed the Collegiate and Department norm of teaching 2 semester-long courses per year. Once tenure has been granted, however, the post tenure effort allocation policy allows for more flexibility and a tenured associate professor being considered for promotion to full professor may have deviated from the norm in teaching effort.

#### *B. Research:*

Academic Biostatisticians are expected to publish collaborative scientific research, where the most appropriate statistics may or may not be straightforward and known techniques, and also to publish disciplinary research in statistical methodology. As in academic Biostatistics units elsewhere, both collaborative scientific research and methodological research in statistics are required for the granting of tenure in the Biostatistics Department.

**Methodological research** in statistics requires mathematical novelty and rigor and is more of a basic science than an applied science. It does not involve the collection and analysis of primary data and it is not typically research in public health or the health sciences. Methodological research is the development of new and innovative statistical techniques for the analysis of data or the design of experiments or investigation into the performance of existing techniques; it typically involves mathematical methods and/or computational methods. Methodological publications may take years to write and the publication process is necessarily very slow because refereeing methodological papers requires verifying proofs of theorems or computer code. A record of 1-2 high quality methodological publications a year in top peer-reviewed statistical journals, with 1-3 authors is a strong record of methodological publications for an individual in a tenure-track position in a department with no requirement for collaborative research. Because collaborative research is also required in Biostatistics, however, and because funding for methodological research is scarce, the quantity of methodological research expected is less than this in the Biostatistics Department.

Methodological publications in statistical and biostatistical journals may have fewer co-authors than is the norm for many other applied disciplines represented in colleges of public health. Also, in methodological research where all authors play an essential role,

alphabetical authorship is frequently used, and each author plays an essential but different role. Alternatively, a student may be mentored through the writing of a publication and given first authorship, with the faculty member guiding the writing and research process. The order of authorship should be explained on the candidate's list of publications along with a description of the role the candidate played in multiply authored publications.

**Scientific collaborative research** may or may not require novel statistical methodology. Determining the most appropriate statistical techniques to use does not always require developing novel statistical methods, but it is a scientific research activity that requires leadership and innovation. Biostatistical leadership in collaborative research does not typically lead to first authorship. Similar leadership and national and international recognition can be recognized by invitations to speak at non-statistical scientific conferences and workshops, invitations to organize scientific session, refereeing and editorship activities in non-statistical journals, and participation on peer-review panels of non-statistical research proposals.

For collaborative publications in non-statistical journals the impact and the quality of the publication should be evaluated.

Because biostatistical leadership may not be readily apparent (biostatistical leadership for example does not always lead to first authorship) the DEO, in consultation with the DCG, may request evaluations from collaborators about the candidate's biostatistical leadership. Individuals may be suggested by the candidate. These evaluations are necessarily from collaborators, will often be internal to the University of Iowa, and are in addition to the external evaluation of research. Such evaluators should be asked to comment on the candidate's contributions to the collaborative research, for example their role in writing grant proposals, the independence of their research contributions, and their contributions to the field in which the collaboration occurs.

**Summary:** The ultimate measure of performance in research is a national or international reputation for advancing the state of knowledge in the field. Different individuals possess different strengths and weaknesses, and different disciplines have different ways of disseminating information or measuring impact. This document provides some general guidance for key indicators of research performance for faculty in the Department of Biostatistics.

Key indicators of performance for research and scholarship:

- a. Peer-reviewed publications or software:
  - i. The magnitude of the faculty member's contribution to advancing knowledge is what matters, not the mere quantity of publications. A large number of low impact publications cannot serve as a substitute for quality. A relatively small number of very high impact publications may provide the basis for a substantial contribution to knowledge, if confirmed by other indicators of research impact. For candidates for promotion from assistant to associate professor with tenure, the candidate should have publications (or have accepted for publication) based not only on their thesis but also on methodological results which are not in their thesis and either extend their thesis or are in a different area or areas. The number may be small but the quality should be high. Quality should be judged both by journal quality and content, recognizing that sometimes high quality publications appear in moderately prestigious journals. Truly innovative publications which challenge usual assumptions are sometimes difficult to

publish in high quality selective journals, but over time have a large impact. A smaller number of publications should be of very high quality and potential high impact. For the granting of tenure in Biostatistics, methodological publications which go beyond the PhD thesis are required. A reasonable goal would be 4-6 such publications. If a candidate's record was at the minimum, the publications would have to be of very high quality and high impact.

- ii. Creative scholarship can take several forms other than traditional peer-reviewed papers, such as computer programs for innovative methods. Computer programs, when distributed through the open source mechanism, can potentially have considerable impact and are to be considered part of scholarly creativity. A peer-reviewed program and package can be the equivalent of a high quality publication and opinions about these scholarly contributions should be sought from the external evaluators.

Note also that:

- Junior faculty are encouraged to try to focus their collaborations in one or at most two collaborative areas so that they can get a deeper understanding of the science and make better contributions. This is not required however and may not always be advisable.
- Candidates with post-doctoral research experience prior to their appointment at UI, either as a post-doc or as faculty elsewhere, often will have had papers published during that period. While such prior publications add to the candidate's overall body of research and should be part of the evaluation, publications during the probationary period at the University of Iowa typically would be necessary to provide evidence of an ongoing high level of research productivity required for promotion and tenure. The exception would be if a candidate at the associate professor level was being considered for tenure alone, having been appointed as associate professor in their first University of Iowa appointment. Then the time from appointment to promotion might be very short, and their research record might be based on research done elsewhere.
- For candidates for promotion from associate professor to professor, research done since the appointment as associate professor is evidence of an ongoing high level of research productivity and will be the primary basis for further promotion to professor.
- For promotion to professor the balance between collaborative medical research and statistical methodological research may vary widely among individuals. The majority of the research may be in either one or the other or may be balanced between the two. In either case evidence of leadership is required. As explained above, leadership in the discipline of biostatistics is demonstrated in several ways, and not only through first authorship of papers and being a principal or co-principal investigator on grants. First authorship on a substantial number of publications is therefore not required for the discipline of Biostatistics in order to demonstrate "Continued artistic or scholarly achievement of high quality, accompanied by unmistakable evidence that the candidate is a nationally and, where applicable, internationally recognized scholar or creative artist in the chosen field" as articulated in the University of Iowa Operations Manual [III.10.4 \(as of September 2005\)](#). Promotion to full professor does require unmistakable evidence that the candidate is a nationally recognized scholar in biostatistics. Similarly, principal or co-principal

investigator status on grants is not required. If the candidate has pursued primarily collaborative research, then biostatistical leadership may be reflected in being the lead biostatistician on grants.

b. Citation frequency:

- i. Although imperfect, one objective measure of research impact is citation frequency. Given the lag between the publication of a paper and measurement of its impact in the form of citation frequency, in general it would be inappropriate to set any specific quantitative expectation for citation frequency for candidates for promotion from assistant to associate professor. Nonetheless, some indication of increasing citation frequency helps to demonstrate scholarly achievement supported by substantial publications.

c. External reviewers:

- i. The intent of external promotion and tenure reviews is to provide an objective evaluation by individuals who are experts in the candidate's area of research. Therefore, as a general rule, evaluations by frequent coauthors, former thesis advisors, former colleagues, or close friends are to be avoided. Evaluations by experts who have not had such relationships with the candidate should be sought.
- ii. Although external reviewers can and do comment on performance in the areas of teaching and service, their assessments of the candidate's contribution to knowledge in the field are primarily important.

d. Research funding:

- i. External research funding is an essential element of the fiscal health of the Department, and the College. Funding through collaborative research reflects a signal that the research is important, has been subject to peer review and the candidate's contributions to the research are valued and recognized. Funding for methodological research is scarce (the NIH for example funds very little methodological research); consequently, funding as a Principal Investigator is not required for a Biostatistician. Biostatisticians, however, should play a scientific leadership role on research projects. The most relevant quantitative measure of funding for Biostatistics faculty relates to the total faculty effort and biostatistics graduate research assistantships supported. Leadership roles on funded research projects are required for promotion to full professor and can either be demonstrated by acting as a Co-Principal Investigator or Investigator playing a biostatistical leadership role. An example of a leadership role is being a Director of a Biostatistical Core in a large project.
- ii. Candidates for promotion from assistant to associate professor should consistently meet departmental expectations regarding salary offsets from external research funding. In June 2005, this is 50% offset.
- iii. Candidates for promotion from associate to full professor should consistently meet or exceed departmental expectations regarding salary offsets from external research funding and demonstrate leadership roles on funded research. In June 2005, this is 50% offset. Note, however, that the post tenure effort allocation policy allows for deviation from the Departmental norm for tenured faculty. If funded effort is increased then classroom teaching effort and service expectations may be decreased appropriately, or vice-versa.
- iv. Although funding as a PI on a grant is not required for promotion to any rank, it is noteworthy and supports the case for promotion.

### *C. Service*

Because of the cross-disciplinary nature of biostatistics, professional service for a biostatistician is cross-disciplinary as well as disciplinary, including service to medical and other health sciences professions and journals.

1. Key indicators of service performance for Biostatistics:
  - a. Service on departmental, collegiate or university-level committees
  - b. Service as a scientific journal peer-reviewer
  - c. Service providing NIH/NSF/NSA/VA/CDC peer review
  - d. Service on the editorial board of a scientific journal
  - e. Service as a journal editor
  - f. Service on committees for a scientific or professional organization
  - g. Service as an officer of a scientific or professional organization
  - h. Service as a session organizer at scientific meetings
  - i. Participation on boards or task forces at the community, regional, national or international level
  - j. Service to the State of Iowa
2. Candidates for promotion to associate professor with tenure are expected to demonstrate service at the local level and increasing service effort nationally. Effectiveness is hard to evaluate but the best indicator is recognized by demand: a candidate for promotion who is asked to serve in several capacities is likely effective.
3. Candidates for promotion to professor with tenure are expected to demonstrate effective service at the local level and at the national/international level.

### Tenure Decisions:

In general, a grant of tenure is a much more momentous decision than promotion among those with tenure. For candidates for promotion from assistant to associate professor, the tenure decision is tied to the promotion decision. For faculty initially appointed as an untenured associate or full professor, the performance expectations for a grant of tenure at that rank would be equivalent to the performance expectations for promotion to that rank. Specific performance criteria during the candidate's probationary period at the University of Iowa are difficult to specify as individuals vary greatly in their experience before their UI appointment. An individual who had been primarily in a research position elsewhere may have an established excellent collaborative research record, but not had the opportunity to demonstrate excellence in methodological research or teaching which will need to be demonstrated at the University of Iowa. In contrast, an individual with a research record of primarily methodological research and teaching elsewhere may need to demonstrate excellence in collaborative research at the UI for the granting of tenure. An individual who has had a requirement for a large amount of funded effort in their previous position is unlikely to have an outstanding record of methodological research.

## Appendix:

Biostatistical science includes collaborative research in the health sciences, public policy and biological sciences. Academic Biostatisticians are expected to publish both collaborative scientific research and also to publish disciplinary research in statistical methodology. As in academic Biostatistics units elsewhere, both collaborative scientific research and methodological research in Statistics is required for the granting of tenure in the Biostatistics Department at the University of Iowa. Statistics Departments, Mathematics Departments, and similar Departments typically do not require such collaborative research and tenure and promotion is often granted in Statistics and other Departments entirely on the basis of methodological research. Some highly ranked Statistics Departments do not value collaborative applied research and actively discourage faculty from undertaking it.

Many individuals however move to Biostatistics Departments from other academic departments or other positions in government or industry. It is important to understand the distinction when evaluating a candidate for promotion or tenure, particularly when a candidate has made such a transition. In Statistics Departments the teaching load is typically high, 3 or 4 semester long courses per year, potentially involving large undergraduate classes of 100 students or more. Time available for research is therefore less in a Statistics Department and there is usually no requirement for funded research. Because methodological papers can take so long to write and because the review process can take several years, fewer publications are the norm. A record of 2 good methodological publications a year in high quality statistical journals would be considered an excellent publication record in a high quality Statistics Department, and 1 publication a year is often considered worthy of tenure if the publications are of high quality.

A guiding principle is that a candidate being considered for promotion in the Biostatistics Department should not be penalized for having made a transition. Their record should be evaluated bearing in mind the different activities required and different work load expectations in different positions elsewhere.

**Acknowledgement: The Department of Biostatistics faculty members gratefully acknowledge that this document was drawn up using existing guidelines from the Department of Health Management & Policy as a template from which to develop our guidelines.**

## **Performance Expectations for Tenure-Track Faculty Relating to Promotion and Tenure**

Department of Community and Behavioral Health  
College of Public Health  
University of Iowa

This document is based on the approved document in the Department of Health Management and Policy, College of Public Health, University of Iowa.

Acknowledgment of the effort that was put into this document and permission to take from it is greatly appreciated.

### General Principles:

- “The bar is always rising.” Enhancing the quality and reputation of the Department’s research and educational programs over time entails increasing the quality of the faculty. A level of performance that was sufficient for promotion or tenure in the past may not be sufficient now, and the level of performance that is sufficient now may not be sufficient in the future.
- Meeting performance expectations is “necessary but not sufficient” for promotion and, especially, tenure. Changes in the Department’s overall budget, projected enrollment, or research and educational priorities also play a key role. This principle is intended to be consistent with University policy as stated in OM (III-10.1a.(4)(c))<sup>1</sup>.
- The activities within each portfolio of teaching, research and service need to be considered as a complete package. These will vary between faculty members in the department given other administrative and organizational positions they may be involved in.

### Criteria for Promotion:

As stated in the University operations manual:

“The criteria for promotions include teaching, research, and other professional contributions. Since teaching and research are the central functions of the faculty, other professional contributions are considered subsidiary to these fundamental tasks. The length of service, whether long or short, does not constitute, of itself, a qualification for promotion nor the sole justification for the denial of same.” (OM III 10.2)

The general qualifications for faculty appointment at (or promotion to) specific ranks stated in the operations manual are (OM III 10.4):

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<sup>1</sup> University of Iowa 2005 Operations Manual, March 2005

“b. Associate Professor.

- (1) Convincing evidence that the candidate is an effective teacher of, as appropriate, undergraduate, graduate, postdoctoral, and professional students.
- (2) Demonstration of ... scholarly achievement supported by substantial publications ... of high quality, as appropriate to the discipline(s).
- (3) Departmental, collegiate, and/or University service and, if appropriate, professional service will be expected at an appropriate level.
- (4) The quality and quantity of teaching, scholarly/artistic accomplishment, and service should give unmistakable promise of promotion to full professor.

c. Professor.

- (1) Consistent record of high-quality teaching at all appropriate instructional levels, including successful guidance of doctoral graduate students to the completion of their degree programs, where applicable.
- (2) Continued artistic or scholarly achievement of high quality, accompanied by unmistakable evidence that the candidate is a nationally and, where applicable, internationally recognized scholar or creative artist in the chosen field.
- (3) The candidate should have a record of significant and effective service to the department, college, and/or the University and, if appropriate, to the profession.”

In short, promotion and tenure decisions are to be based on a record of achievement in teaching, research, and service. Of course, the specific elements of performance in teaching, research, and service that reflect a level of achievement worthy of promotion are subjective, and any evaluation process must be sufficiently flexible to encompass differences across faculty in disciplinary training, teaching assignments, and research expertise.

Performance Expectations:

*Teaching:*

1. General criteria as stated in the operations manual:

“The prime requisites for an effective teacher are intellectual competence, integrity, and independence; a willingness to consider suggestions and to cooperate in teaching activities; a spirit of scholarly inquiry which leads to the development and strengthening of course content in the light of developments in the area of interest, as well as to improve methods of presenting material; a vital interest in teaching and working with students and, above all, the ability to stimulate their intellectual interest and enthusiasm. The quality of teaching is admittedly difficult to evaluate. This evaluation is so important, however, that recommendations for promotion should include evidence drawn from such sources as the collective judgment of



students, of student counselors and of colleagues who have visited the individual classes or who have been closely associated with the person's teaching as supervisor or in some other capacity, or who have taught the same students in subsequent courses. Academic counseling or advising of students should be recognized as an important component of the teaching process, and due credit should be given to faculty members who exert an unusual effort in this function.” (III 10.2(a))

2. Key indicators of teaching performance for CBH:
  - a. Peer evaluations of teaching- this will be weighted the heaviest in consideration of teaching quality
  - b. Teaching awards or other recognition of teaching excellence
  - c. Successful mentoring of student research
    - i. Candidates for promotion from **assistant** to **associate** professor are expected to devote less effort to mentoring student research. Faculty at the rank of assistant professor should contribute to mentoring student research to the extent possible, for example as a member of a student’s dissertation. However, service as chair of a dissertation committee should not be a criterion for promotion from assistant to associate professor. Service on Masters’ thesis or MPH practicum as a chair and committee member is expected.
    - ii. For candidates for promotion from **associate** professor to **professor**, success as a mentor of student research is an important component of teaching performance. Indicators include:
      1. Chairing a student’s dissertation committee
      2. Student presentations and publications
      3. Awards for student presentations and publications
  - d. Student evaluations, both numerical and open-ended comments.
    - i. Student evaluations tend to be less favorable for required vs. elective courses, for larger vs. smaller classes, and so forth. Therefore, in interpreting student evaluations, factors likely to affect student evaluations for specific courses must be taken into account. When possible, evaluations for an instructor of a required course should be compared to evaluations of other instructors of the same course.
    - ii. The distribution of scores from student evaluations is more informative than simply examining means, particularly in small classes. For example, a rating of “3” by 100% of students is not the same as a bimodal distribution of “5” or “1” by 50% each. Also, a mean of “4” in a class of 5 students is not the same as a mean of “4” in a class of 30 students).

*Research:*

The overriding philosophy is that a faculty member will have an identified stream of research indicated by their publications, grants/contracts and student research projects. This stream may be in a content area or methods area but in all cases will demonstrate the addition of new science to this area.

1. General criteria as stated in the operations manual:

“[P]ublications in media of quality are expected as evidence of scholarly interest pursued independently of supervision or direction. ... Quality of production is considered more important than mere quantity. Significant evidence of scholarly merit may be either in a single work of considerable importance or a series of studies constituting a general program of worthwhile research. The candidate should pursue a definite, continuing program of studies, investigations or creative works.” (OM III 10.2(b))

In addition, for the purposes of promotion and tenure decisions<sup>2</sup> the Department of Community and Behavioral Health affirms that the following need to be included as consideration issues for faculty conducting research in the area of Community-Based Research(CBR). Community-based research (CBR) is an overarching term used to encompass a variety of approaches, including participatory action research, feminist participatory research, collaborative inquiry and systems change programs. It is a critical orientation to public health research and practice that redresses health disparities resulting from environmental causes. CBR takes place when trained health professionals and community members work together to critically examine and change the socio-political and physical environment in an effort to improve people’s health. Although definitions may vary, CBR is generally defined as a collaborative process that equitably involves all partners in the research process and recognizes the unique strengths that each brings. It begins with a research topic of importance to the community with the aim of combining knowledge and action for social change.

Key principles are:

- often the role of the faculty member is one of collaboration with health agencies and communities, rather than the more traditional role of "principal investigator;"
- the results of the work are directly and immediately applicable, as compared to the more "distant" application of research findings;
- a faculty member works with a national, state, or local health agency, or directly with a community, to help solve some current public health problem;
- CBR usually involves helping health agencies assess public health problems or, plan, implement or evaluate public health programs;
- CBR often involves helping communities or health agencies assess public health problems, assure the delivery of public health services, or develop public health policies;
- CBR often involves the faculty member in direct contact with communities or populations that are the clients, recipients or beneficiaries of public health programs or services;
- the program planning, implementing and evaluating process is often long-term and time intensive;

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<sup>2</sup> Based on guidelines developed by Emory University.

- the "scholarly" product of CBR includes peer-reviewed articles, books, chapter, and presentations to professional meetings, but also may take the form of technical reports and organizational program documents;
  - CBR often has an advocacy component;
  - there is a linkage between a faculty member's CBR experiences and the teaching of public health graduate students; such linkage may be in the classroom or it may be in supervised field experiences, or other similar types of experiences in which graduate students work with or under the supervision of the CBR faculty member;
  - there can be a research component to CBR: CBR oriented research is defined by communities/agencies and deals with immediate problems; the practitioner/researcher collaborates with communities/agencies and the research is jointly owned; and,
  - CBR may directly facilitate the research of others as in the case of biostatistical or methodological collaboration.
2. The CBH faculty are diverse in terms of their disciplinary backgrounds and research focus areas. In many cases, faculty in CBH publish papers in the area of community-based research that require more time to come to fruition and a greater coordination of co-authors than is the norm for many other disciplines typically represented in colleges of public health. As a result, some of the usual quantitative benchmarks for research productivity (such as the total number or number of "co-authored" publications) **may** not be applicable and must be taken into account with the research conducted. No differential between multi-authored and solo authored papers will be considered.
3. The ultimate measure of performance in research is a national or international reputation for advancing the state of knowledge in the field ("the candidate is a nationally and, where applicable, internationally recognized scholar ... in the chosen field"). Different individuals possess different strengths and weaknesses, and different disciplines have different ways of disseminating information or measuring impact. As a result, any quantitative measure of performance will by nature be more suggestive rather than prescriptive for any individual. Nonetheless, it is useful to provide some general guidance for key indicators of research performance for CBH:
- a. Peer-reviewed publications:
    - i. Ordinarily one would expect faculty in CBH to contribute on average 3 peer-reviewed publications per year after the completion of the PhD, where the faculty member is lead author on one-third or more, with the majority of these papers appearing in quality journals in the area of their research. (see item *iii* below).
      1. For candidates for promotion from **assistant to associate** professor with tenure, this means that in most cases the candidate should have in the range of 12-15 papers published (or accepted for publication).
        - Candidates with post-doctoral research experience prior to their appointment at UI, either as a post-doc or as faculty elsewhere, often will have had papers published during that period.

- While such prior publications add to the candidate's overall body of research, publication of on average 2 or 3 papers per year during the probationary period at UI usually would be necessary to provide evidence of an ongoing high level of research productivity required for promotion and (especially) tenure.
2. For candidates for promotion from **associate professor to professor**, citation frequency (see item 3b below) may be a more reliable indicator of the cumulative impact of the candidate's research than the cumulative number of publications. Nonetheless, in most cases a candidate for full professor normally would be expected to have, at a minimum, 50 published papers in quality peer-review journals, with evidence of an ongoing high level of research productivity.
    - ii. Evidence of journal quality could consist of quantitative measures such as the journal's impact factor score, published rankings of journal quality based on surveys of researchers in a particular area, or attestations of journal quality by external reviewers of the candidate's promotion/tenure dossier.
- b. Citation frequency:
- i. Although imperfect, one objective measure of research impact is citation frequency. A published paper that has never been cited by anyone several years after its publication is unlikely to have made a significant contribution to knowledge. Conversely, review articles, methodological papers, and papers presenting estimates of prevalence or costs of specific diseases tend to be cited more frequently than papers addressing a specific research issue. Also, papers published in peer-reviewed journals targeted to practitioners (rather than researchers) may be read and used often but cited less frequently.
  - ii. Given the lag between the publication of a paper and measurement of its impact in the form of citation frequency, in general it would be inappropriate to set any specific quantitative expectation for citation frequency for candidates for promotion from assistant to associate professor. Nonetheless, some indication of a trend toward increasing citation frequency helps to demonstrate "scholarly achievement supported by substantial publications."
  - iii. For candidates for promotion **to full professor** only, citation frequency can be an extremely important indicator of impact. Generally, one would expect a candidate for promotion to full professor to have a cumulative total of around 250 citations or more, with a substantial number of citations to papers where the candidate was the lead author, and where one paper does not account for virtually all citations. To evaluate this, we use the *Web of Science* to access the Institute for Scientific Information's *Science Citation Index* and *Social Science Citation Index*.
- c. External reviewers:
- The intent of external promotion and tenure reviews is to provide an arms-length evaluation by individuals who are leading experts in the candidate's area of

expertise. Therefore, as a general rule, evaluations by frequent coauthors, former thesis advisors, former colleagues, or close friends tend to have less impact than evaluations by experts who have not had such relationships with the candidate. In identifying potential external reviewers, all participants in the selection process will take into account the standing of the prospective reviewer in the discipline, the likely knowledge of the reviewer of the material to be reviewed, the apparent impartiality of the reviewer, and the contribution of the reviewer to achieving an overall "balanced" review among the reviewers on any criterion for which there might be a range of perspectives. It is critical to avoid any situation in which a personal and/or professional relationship (including advising, mentoring, co-authoring, etc.) between the candidate and a prospective reviewer could undermine the reviewer's apparent impartiality.

- i. Although external reviewers can and do comment on performance in the areas of teaching and service, their assessments of the candidate's contribution to knowledge in the field are particularly important.

d. Research funding:

- i. External research funding is an essential element of the fiscal health of the Department, the College, and the University. However, in an academic institution the fundamental role of external research funding is (or should be) to provide the means to expand scientific knowledge. The fact that others are willing to provide financial support for the faculty member's research provides a signal that the research is important and timely.
- ii. Funding in dollars is not a direct measure of potential contribution. In particular, CBH faculty often obtain external funding for projects that do not entail extensive primary data collection, expensive equipment or research supplies, or other types of "pass-through" expenditures. The most relevant quantitative measure of funding for CBH faculty relates to the total faculty effort and graduate research assistantships supported.
- iii. In general, funding from a source using peer review to guide funding decisions provides a clearer indicator of likely contribution to knowledge than non-peer-reviewed grants or contracts.
- iv. Funding as a PI serves as an indicator of an individual faculty member's contribution to the funded research effort. Accordingly:
  1. In most cases one would expect a candidate for promotion from **assistant to associate** professor to have externally funded grants or contracts support as a PI to demonstrate the likelihood of future support for the candidate's developing research agenda.
  2. Candidates for promotion from **associate to full** professor should have had several externally funded grants or contracts as a PI.
- v. Candidates for promotion from **assistant to associate** professor should demonstrate a trend toward consistently meeting or exceeding departmental expectations regarding salary offsets from external research funding, including a trend toward a significant portion of salary offsets coming from funded projects where the candidate is the PI.

- vi. Candidates for promotion from **associate to full professor** should consistently meet or exceed departmental expectations regarding salary offsets from external research funding, with a significant portion of salary offsets coming from funded projects where the candidate is the PI.

#### 4. Community Based Research

Competence in CBR can be demonstrated by providing the following types of materials and information at time of promotion and tenure:

- Description of CBR activities;
- For each CBR project, the nature and duration of the project, and the role played by the faculty member;
- Documentation that the CBR contributions have had important effects on policy, and/or on a community, agency or program;
- Evidence that the CBR activities involved or resulted in the creation or development of new public health knowledge;
- Evidence that the CBR activities have contributed to the teaching activities of the faculty member and/or the department; for instance, that teaching is directed at CBR issues such as assessing public health problems, assuring the delivery of public health service, or developing public health policies;
- Evidence that teaching contributions include linking classroom activities and other teaching activities with public health agencies;
- Evidence that new knowledge, methods, or policies derived from the candidate's CBR have diffused to other communities, or health agencies;
- Evidence that new CBR ideas, policies, programs, methods, etc. have been disseminated through publications. In addition to articles in refereed journals, "publication" can mean producing technical reports that are used by public health agencies and/or communities to help them assess public health problems, assure the delivery of public health services, or develop public health policies.
- Receiving honors or awards in recognition of outstanding contributions to CBR;
- Invitations by other institutions or health agencies to help plan, organize or review CBR activities;
- Appointments to national commissions, committees, boards, etc. related to CBR;
- Grants and contracts received by other groups and agencies to fund CBR activities.

#### *Service:*

##### 1. General criteria as stated in the operations manual:

“From time to time, a faculty member is called upon to render major professional services to the University or to society in general. Such contributions should be evaluated in terms of the effectiveness with which the service is performed, its relation to the general welfare of the University and its effect on the development of the individual.” (OM III 10.2(c))

2. Key indicators of service performance for CBH:
  - a. Service on departmental, collegiate, or university-level committees
  - b. Service as a journal peer-reviewer
  - c. Service on an NIH/AHRQ/VA or similar study section
  - d. Service on the editorial board of a journal in the field
  - e. Service as a journal editor (includes assistant and associate editorship)
  - f. Service on ad hoc committees for a scientific or professional organization
  - g. Service as an elected or appointed officer of a scientific or professional organization
  - h. Participation on boards or task forces at the community, regional, national, or international level.
  - i. Service to the State of Iowa or other governmental entities
3. Candidates for promotion **to associate professor with tenure** are expected to demonstrate a trend toward increasing service effort.
4. Candidates for promotion **to full professor** should have a demonstrated record of achievement in service.

Tenure Decisions:

In general, a grant of tenure is a much more momentous decision than promotion among those with tenure. For candidates for promotion from assistant to associate professor, the tenure decision usually is tied to the promotion decision. For faculty initially appointed as an untenured associate or full professor, the performance expectations for a grant of tenure at that rank would be, at an absolute minimum, equivalent to the performance expectations for promotion to that rank. Performance during the candidate's probationary period at the University of Iowa would be an especially important consideration in the tenure decision.

CBR Issues that are Relevant to Promotion and Tenure:

Schools and College of Public Health are currently implementing guidelines to inform their promotion and tenure process. The Community-Campus Partnership and Association of Schools of Public Health strongly support such initiatives. Thus, this effort by the University of Iowa, College of Public Health, Department of Community & Behavioral Health, reflects a broader trend of large schools and public health organizations to recognize the value of CBR in public health.

# **Performance Expectations for Tenure-Track Faculty Relating to Promotion and Tenure**

**Department of Epidemiology  
College of Public Health  
University of Iowa**

*This document is based on the approved documents in the Department of Health Management and Policy and the Department of Community and Behavioral Health, College of Public Health, University of Iowa. Acknowledgment of the effort that was put into this document and permission to take from it is greatly appreciated.*

## General Principles

- One of the components of our mission is scholarship. The definition of the composition, quantity and quality of scholarship is changing and will change with further development of electronic publishing.
- The evaluation is based upon the entire performance of scholarship, teaching and service. These are necessary components and may not be sufficient for promotion and/or tenure.
- Changes in the Department's overall budget, projected enrollment, or research and educational priorities also play a key role. This principle is intended to be consistent with University policy as stated in OM (III-10.1a.(4)(c))<sup>1</sup>.
- A level of performance that was sufficient for promotion or tenure in the past may not be sufficient now, and the level of performance that is sufficient now may not be sufficient in the future.

## Criteria for Promotion

As stated in the University operations manual:

“The criteria for promotions include teaching, research, and other professional contributions. Since teaching and research are the central functions of the faculty, other professional contributions are considered subsidiary to these fundamental tasks. The length of service, whether long or short, does not constitute, of itself, a qualification for promotion nor the sole justification for the denial of same.” (OM III 10.2)

The general qualifications for faculty appointment at (or promotion to) specific ranks stated in the operations manual are (OM III 10.4):

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<sup>1</sup> University of Iowa 2005 Operations Manual, March 2005



#### Associate Professor.

- (1) Convincing evidence that the candidate is an effective teacher of, as appropriate, undergraduate, graduate, postdoctoral, and professional students.
- (2) Demonstration of artistic or scholarly achievement supported by substantial publications or equivalent artistic creations or performances, of high quality, as appropriate to the discipline(s).
- (3) Departmental, collegiate, and/or University service and, if appropriate, professional service will be expected at an appropriate level.
- (4) The quality and quantity of teaching, scholarly/artistic accomplishment, and service should give unmistakable promise of promotion to full professor.

#### Professor.

- (1) Consistent record of high-quality teaching at all appropriate instructional levels, including successful guidance of doctoral graduate students to the completion of their degree programs, where applicable.
- (2) Continued artistic or scholarly achievement of high quality, accompanied by unmistakable evidence that the candidate is a nationally and, where applicable, internationally recognized scholar or creative artist in the chosen field.
- (3) The candidate should have a record of significant and effective service to the department, college, and/or the University and, if appropriate, to the profession.

Promotion and tenure decisions are based on a record of achievement in teaching, research, and service. Of course, the specific elements of performance in teaching, research, and service that reflect a level of achievement worthy of promotion are subjective. Any evaluation process must be sufficiently flexible to encompass differences across faculty in disciplinary training, teaching assignments, and research expertise. It is a multi-decision process where the dossier and documentation become the ultimate means of judging proficiency and competency.

#### Performance Expectations

## Teaching

### 1. General criteria as stated in the operations manual:

“The prime requisites for an effective teacher are intellectual competence, integrity, and independence; a willingness to consider suggestions and to cooperate in teaching activities; a spirit of scholarly inquiry which leads to the development and strengthening of course content in the light of developments in the area of interest, as well as to improve methods of presenting material; a vital interest in teaching and working with students and, above all, the ability to stimulate their intellectual interest and enthusiasm. The quality of teaching is admittedly difficult to evaluate. This evaluation is so important, however, that recommendations for promotion should include evidence drawn from such sources as the collective judgment of students, of student counselors and of colleagues who have visited the individual classes or who have been closely associated with the person's teaching as supervisor or in some other capacity, or who have taught the same students in subsequent courses. Academic counseling or advising of students should be recognized as an important component of the teaching process, and due credit should be given to faculty members who exert an unusual effort in this function.” (III 10.2(a))

### 2. Key indicators of teaching performance for Epidemiology:

- a. Peer evaluations of teaching
  - i. Required and documented adequacy of teaching quality
- b. Teaching awards or other recognition of teaching excellence
- c. Teaching development or improvement activities
  - i. Course development or major revision
  - ii. Continuing education in teaching methods
  - iii. Publication of teaching or curriculum methods or evaluation
- d. Successful mentoring of student thesis and preceptorship or practicum research
  - i. Candidates for promotion from **assistant** to **associate** professor are expected to devote less effort to mentoring student research. Faculty at the rank of assistant professor should contribute to mentoring student research to the extent possible, for example as a member of a student's dissertation. However, service as chair of a dissertation committee should not be a criterion for promotion from assistant to associate professor. Service on Masters' thesis, research preceptor or MPH practicum as a chair and committee member is expected.
  - ii. For candidates for promotion from **associate** professor to **professor**, success as a mentor of student research is an important component of teaching performance. Indicators include:
    1. Chairing a student's dissertation committee
    2. Mentoring student presentations and publications
    3. Awards for student presentations and publications
- e. Student evaluations, both numerical and open-ended comments.

- i. Student evaluations are to be interpreted based upon class size, teaching format and level of the students. Factors likely to affect student evaluations for specific courses must be taken into account. When possible, evaluations for an instructor of a required course should be compared to evaluations of other instructors of the same course.
- ii. The distribution of scores from student evaluations is more informative than simply examining means, particularly in small classes. For example, a rating of “3” by 100% of students is not the same as a bimodal distribution of “5” or “1” by 50% each. Also, a mean of “4” in a class of 5 students is not the same as a mean of “4” in a class of 30 students).
- iii. Supplemental teaching evaluations are encouraged and will be considered in addition to required evaluations.
- f. Professional post-graduate education
  - i. Directing or teaching courses/symposia to students and trainees in epidemiology, public health and other colleges (medical, pharmacy or nursing students, medical residents or fellows)
  - ii. Directing or teaching of continuing education courses/symposia for professional audiences such as public health practitioners, physicians, pharmacists, nurses, etc.

### Research

The faculty member should be developing and demonstrating scholarly activity which is evidenced by research publications, funding and recognition at a local, state, national and international level.

1. General criteria as stated in the operations manual:

“In most of the fields represented in the programs of the University, publications in media of quality are expected as evidence of scholarly interest pursued independently of supervision or direction. An original contribution of a creative nature is as significant or as deserving as the publication of a scholarly book or article. Quality of production is considered more important than mere quantity. Significant evidence of scholarly merit may be either in a single work of considerable importance or a series of studies constituting a general program of worthwhile research. The candidate should pursue a definite, continuing program of studies, investigations or creative works.” (OM III 10.2(b))

2. The Epidemiology faculty is diverse in terms of their disciplinary backgrounds and research focus areas. Also some of the research involves state, national or international collaborations. These factors of publication policies and publication as a cooperative group should be considered through the impact of the research. The usual qualitative and quantitative benchmarks for research productivity (such as the total number or number of “co-authored” publications) **may** not be applicable and must be taken into account with the research conducted. No differential between multi-authored and solo authored papers will be considered.

The ultimate measure of performance in research is a national or international reputation for advancing the state of knowledge in the field (“the candidate is a nationally and, where applicable, internationally recognized scholar ... in the chosen field”). Different individuals possess different strengths and weaknesses, and different disciplines have different ways of disseminating information or measuring impact. As a result, any quantitative measure of performance will by nature be more suggestive rather than prescriptive for any individual.

Scholarship activities will be assessed according to a relative priority. It is expected that products of research be documented in the dossier to understand the complete scope of the research. The portfolio is not specific to composition but may be adapted for the faculty member’s field of study. Clearly peer-reviewed scholarship is given top priority and consideration for promotion and tenure.

a. Priorities of scholarship-related productivity are as follow:

Very High importance

- Peer-reviewed journal articles

High importance

- Research books
- Invited presentations, scientific conference
- Peer-reviewed presentations
- Textbook, editor
- Chapters
- Invited presentations, academic
- Invited presentations, public health conference
- Poster presenter, national or international conference
- Visiting professor
- Public health reports and documents
- Invited editorials

Medium importance

- Poster presenter, regional conference
- Technical reports
- Laboratory/ technical manual

Lower importance

- Non-peer reviewed manuscripts/letters to journals
- Patents
- Research website
- Progress reports

Other indicators of research productivity include:

1. Partnership development/ Cooperative networks
2. Policy Development
3. Interdisciplinary research
4. Elected membership or fellow status in national or international organization
5. Selection and serving on peer review panels
6. National scientific committee membership
7. Awards from National/International Organizations

b. Research funding:

- i. External research funding is an essential element of the fiscal health of the Department, the College, and the University. However, in an academic institution the fundamental role of external research funding is (or should be) to provide the means to expand scientific knowledge. The fact that others are willing to provide financial support for the faculty member's research provides a signal that the research is important and timely.
- ii. It is expected that with a tenure-track appointment that the faculty member conducts research.
- iii. Funding as measured by dollars is not a direct measure of achievement.
- iv. The faculty member should have demonstrated evidence that their intellectual ideas are fundable.
- v. In general, funding from a source using peer review to guide funding decisions provides a clearer indicator of likely contribution to knowledge than non-peer-reviewed grants or contracts.
- vi. Funding as a PI serves as an indicator of an individual faculty member's contribution to the funded research effort. Accordingly:
  1. In most cases one would expect a candidate for promotion from **assistant to associate** professor to have externally funded grants or contracts support as a PI to demonstrate the likelihood of future support for the candidate's developing research agenda.
  2. Candidates for promotion from **associate to full** professor should have had several externally funded grants or contracts as a PI.
- vii. Candidates for promotion from **assistant to associate** professor should demonstrate a trend toward consistently meeting or exceeding departmental expectations regarding salary offsets from external research funding, including a trend toward a significant portion of salary offsets coming from funded projects where the candidate is the PI.
- viii. Candidates for promotion from **associate to full professor** should consistently meet or exceed departmental expectations regarding salary offsets from external research funding, with a significant portion of salary offsets coming from funded projects where the candidate is the PI.

## Service

### 1. General criteria as stated in the operations manual:

“From time to time, a faculty member is called upon to render major professional services to the University or to society in general. Such contributions should be evaluated in terms of the effectiveness with which the service is performed, its relation to the general welfare of the University and its effect on the development of the individual.” (OM III 10.2(c))

### 2. Key indicators of service performance for Epidemiology:

- a. Service on departmental, collegiate, or university-level committees
- b. Service as a journal peer-reviewer
- c. Service on an NIH/AHRQ/VA/CDC or similar study section
- d. Service on the editorial board of a journal in the field
- e. Service as a journal editor (includes assistant and associate editorship)
- f. Service on ad hoc committees for a scientific or professional organization
- g. Service as an elected or appointed officer of a scientific or professional organization
- h. Departmental or multidisciplinary center administration
- i. Administrative activities associated with grants/contracts and research centers
- j. Participation on boards or task forces at the community, regional, national, or international level.
- k. Service to the State of Iowa or other governmental entities
- l. Service to the public in the state of Iowa, the nation, or internationally through the planning or presentation of educational programs

### 3. Candidates for promotion **to associate professor with tenure** are expected to demonstrate a trend toward increasing service effort.

### 4. Candidates for promotion **to full professor** should have a demonstrated record of achievement in service.

## External reviewers

The intent of external promotion and tenure reviews is to provide an arms-length evaluation by individuals who are leading experts in the candidate's area of expertise. Therefore, as a general rule, evaluations by frequent coauthors, former thesis advisors, former colleagues, or close friends tend to have less impact than evaluations by experts who have not had such relationships with the candidate. In identifying potential external reviewers, all participants in the selection process will take into account the standing of the prospective reviewer in the discipline, the likely knowledge of the reviewer of the material to be reviewed, the apparent impartiality of the reviewer, and the contribution of the reviewer to achieving an overall "balanced" review among the reviewers on any criterion for which there

might be a range of perspectives. It is critical to avoid any situation in which a personal and/or professional relationship (including advising, mentoring, co-authoring, etc.) between the candidate and a prospective reviewer could undermine the reviewer's apparent impartiality.

Although external reviewers can and do comment on performance in the areas of teaching and service, their assessments of the candidate's contribution to knowledge in the field are particularly important.

### Tenure Decisions

In general, a grant of tenure is a much more momentous decision than promotion among those with tenure. For candidates for promotion from assistant to associate professor, the tenure decision usually is tied to the promotion decision. For faculty initially appointed as an untenured associate or full professor, the performance expectations for a grant of tenure at that rank would be, at an absolute minimum, equivalent to the performance expectations for promotion to that rank. Performance during the candidate's probationary period at the University of Iowa would be an especially important consideration in the tenure decision.

## **Performance Expectations for Tenure-Track Faculty Relating to Promotion and Tenure**

Department of Health Management and Policy  
College of Public Health  
University of Iowa

***Note: This document was adopted by consensus at the June 1, 2004 faculty meeting and is intended to be used as a set of guidelines only.***

### General Principles:

- “The bar is always rising.” Enhancing the quality and reputation of the Department’s research and educational programs over time entails increasing the quality of the faculty. A level of performance that was sufficient for promotion or tenure in the past generally not be sufficient now, and the level of performance that is sufficient now may not be sufficient in the future.
- Meeting performance expectations is “necessary but not sufficient” for promotion and, especially, tenure. Changes in the Department’s overall budget, projected enrollment, or research and educational priorities also play a key role. This principle is intended to be consistent with University policy as stated in OM (III-10.1a.(4)(c)).

### Criteria for Promotion:

As stated in the University operations manual:

“The criteria for promotions include teaching, research, and other professional contributions. Since teaching and research are the central functions of the faculty, other professional contributions are considered subsidiary to these fundamental tasks. The length of service, whether long or short, does not constitute, of itself, a qualification for promotion nor the sole justification for the denial of same.” (OM III 10.2)

The general qualifications for faculty appointment at (or promotion to) specific ranks stated in the operations manual are (OM III 10.4P:

“b. Associate Professor.

- (1) Convincing evidence that the candidate is an effective teacher of, as appropriate, undergraduate, graduate, postdoctoral, and professional students.
- (2) Demonstration of ... scholarly achievement supported by substantial publications ... of high quality, as appropriate to the discipline(s).



- (3) Departmental, collegiate, and/or University service and, if appropriate, professional service will be expected at an appropriate level.
- (4) The quality and quantity of teaching, scholarly/artistic accomplishment, and service should give unmistakable promise of promotion to full professor.

c. Professor.

- (1) Consistent record of high-quality teaching at all appropriate instructional levels, including successful guidance of doctoral graduate students to the completion of their degree programs, where applicable.
- (2) Continued artistic or scholarly achievement of high quality, accompanied by unmistakable evidence that the candidate is a nationally and, where applicable, internationally recognized scholar or creative artist in the chosen field.
- (3) The candidate should have a record of significant and effective service to the department, college, and/or the University and, if appropriate, to the profession.”

In short, promotion and tenure decisions are to be based on a record of achievement in teaching, research, and service. Of course, the specific elements of performance in teaching, research, and service that reflect a level of achievement worthy of promotion are subjective, and any evaluation process must be sufficiently flexible to encompass differences across faculty in disciplinary training, teaching assignments, and research expertise.

Performance Expectations:

*Teaching:*

1. General criteria as stated in the operations manual:

“The prime requisites for an effective teacher are intellectual competence, integrity, and independence; a willingness to consider suggestions and to cooperate in teaching activities; a spirit of scholarly inquiry which leads to the development and strengthening of course content in the light of developments in the area of interest, as well as to improve methods of presenting material; a vital interest in teaching and working with students and, above all, the ability to stimulate their intellectual interest and enthusiasm. The quality of teaching is admittedly difficult to evaluate. This evaluation is so important, however, that recommendations for promotion should include evidence drawn from such sources as the collective judgment of students, of student counselors and of colleagues who have visited the individual classes or who have been closely associated with the person's teaching as supervisor or in some other capacity, or who have taught the same students in subsequent courses. Academic counseling or advising of students should be recognized as an important component of the teaching process, and due credit should be given to faculty members who exert an unusual effort in this function.” (III 10.2(a))

2. Key indicators of teaching performance for HMP:
  - a. Student evaluations, both numerical and open-ended comments.
    - i. Student evaluations tend to be less favorable for required vs. elective courses, for larger vs. smaller classes, and so forth. Therefore, in interpreting student evaluations, factors likely to affect student evaluations for specific courses should be taken into account. When possible, evaluations for an instructor of a required course should be compared to evaluations of other instructors of the same course.
    - ii. The distribution of scores from student evaluations is more informative than simply examining means, particularly in small classes. For example, a rating of “3” by 100% of students is not the same as a bimodal distribution of “5” or “1” by 50% each. Also, a mean of “4” in a class of 5 students is not the same as a mean of “4” in a class of 30 students).
  - b. Peer evaluations of teaching
  - c. Graduate exit interviews or alumni feedback.
  - d. Teaching awards or other recognition of teaching excellence
  - e. Successful mentoring of student research
    - i. For candidates for promotion from associate professor to professor, success as a mentor of student research is an important component of teaching performance. Indicators include:
      1. Chairing a student’s dissertation committee (where enrollment permits)
      2. Student presentations and publications
      3. Awards for student presentations and publications
    - ii. Candidates for promotion from assistant to associate professor are expected to devote less effort to mentoring student research. Faculty at the rank of assistant professor should contribute to mentoring student research to the extent possible, for example as a member of a student’s dissertation. However, service as chair of a dissertation committee should not be a criterion for promotion from assistant to associate professor.

*Research:*

1. General criteria as stated in the operations manual:

“[P]ublications in media of quality are expected as evidence of scholarly interest pursued independently of supervision or direction. ... Quality of production is considered more important than mere quantity. Significant evidence of scholarly merit may be either in a single work of considerable importance or a series of studies constituting a general program of worthwhile research. The candidate should pursue a definite, continuing program of studies, investigations or creative works.” (OM III 10.2(b))
2. The HMP faculty are diverse in terms of their disciplinary backgrounds and research focus areas. In many cases, faculty in HMP publish longer papers with fewer co-authors than is the norm for many other disciplines typically represented in colleges

- of public health. As a result, some of the usual quantitative benchmarks for research productivity (such as the total number or number of “co-authored” publications) may not be applicable.
3. The ultimate measure of performance in research is a national or international reputation for advancing the state of knowledge in the field (“the candidate is a nationally and, where applicable, internationally recognized scholar ... in the chosen field”). Different individuals possess different strengths and weaknesses, and different disciplines have different ways of disseminating information or measuring impact. As a result, any quantitative measure of performance will by nature be more suggestive rather than prescriptive for any individual. Nonetheless, it is useful to provide some general guidance for key indicators of research performance for HMP:
    - a. Peer-reviewed publications:
      - i. The magnitude of the faculty member’s contribution to advancing knowledge is what matters, not the mere quantity of lines on a CV. A large number of low quality publications cannot serve as a substitute for quality. Conversely, a relatively small number of very high quality peer-reviewed publications may provide the basis for a substantial contribution to knowledge, if confirmed by other indicators of research impact.
      - ii. Ordinarily one would expect faculty in HMP to contribute on average 2 to 3 peer-reviewed publications per year after the completion of the PhD, where the faculty member is lead author on one-third or more, with the majority of these papers appearing in quality journals (see item *iii* below).
        1. For candidates for promotion from assistant to associate professor with tenure, this means that in most cases the candidate should have had 10 to 15 papers published (or accepted for publication) during his/her probationary period.
          - Candidates with post-doctoral research experience prior to their appointment at UI, either as a post-doc or as faculty elsewhere, often will have had papers published during that period.
          - While such prior publications add to the candidate’s overall body of research, publication of on average 2 or 3 papers per year during the probationary period at UI usually would be necessary to provide evidence of an ongoing high level of research productivity required for promotion and (especially) tenure.
        2. For candidates for promotion from associate professor to professor, citation frequency (see item *3b* below) may be a more reliable indicator of the cumulative impact of the candidate’s research than the cumulative number of publications. Nonetheless, in most cases a candidate for full professor normally would be expected to have, at a minimum, 40 published papers in quality peer-review journals, with evidence of an ongoing high level of research productivity.
      - iii. Evidence of journal quality could consist of quantitative measures such as the journal’s impact factor score, published rankings of journal quality based

on surveys of researchers in a particular area, or attestations of journal quality by external reviewers of the candidate's promotion/tenure dossier.

b. Citation frequency:

- i. Although imperfect, one objective measure of research impact is citation frequency. A published paper that has never been cited by anyone several years after its publication is unlikely to have made a significant contribution to knowledge. Conversely, review articles, methodological papers, and papers presenting estimates of prevalence or costs of specific diseases tend to be cited more frequently than papers addressing a specific research issue. Also, papers published in peer-reviewed journals targeted to practitioners (rather than researchers) may be read and used often but cited less frequently.
- ii. Given the lag between the publication of a paper and measurement of its impact in the form of citation frequency, in general it would be inappropriate to set any specific quantitative expectation for citation frequency for candidates for promotion from assistant to associate professor. Nonetheless, some indication of a trend toward increasing citation frequency helps to demonstrate "scholarly achievement supported by substantial publications."
- iii. For candidates for promotion to full professor, citation frequency can be an extremely important indicator of impact. Generally, one would expect a candidate for promotion to full professor to have a cumulative total of around 250 citations or more, with 150 or more representing citations to papers where the candidate was the lead author, and where one paper does not account for virtually all citations. To evaluate this, we use the *Web of Science* to access the Institute for Scientific Information's *Science Citation Index* and *Social Science Citation Index*.

c. External reviewers:

4. The intent of external promotion and tenure reviews is to provide an arms-length evaluation by individuals who are leading experts in the candidate's area of expertise. Therefore, as a general rule, evaluations by frequent coauthors, former thesis advisors, former colleagues, or close friends tend to have less impact than evaluations by experts who have not had such relationships with the candidate. In identifying potential external reviewers, all participants in the selection process will take into account the standing of the prospective reviewer in the discipline, the likely knowledge of the reviewer of the material to be reviewed, the apparent impartiality of the reviewer, and the contribution of the reviewer to achieving an overall "balanced" review among the reviewers on any criterion for which there might be a range of perspectives. It is critical to avoid any situation in which a personal and/or professional relationship (including advising, mentoring, co-authoring, etc.) between the candidate and a prospective reviewer could undermine the reviewer's apparent impartiality.
  - i.

- ii. Although external reviewers can and do comment on performance in the areas of teaching and service, their assessments of the candidate's contribution to knowledge in the field are particularly important.
- b. Research funding:
  - i. External research funding is an essential element of the fiscal health of the Department, the College, and the University. However, in an academic institution the fundamental role of external research funding is (or should be) to provide the means to expand scientific knowledge. The fact that others are willing to provide financial support for the faculty member's research provides a signal that the research is important and timely.
  - ii. Funding in dollars is not a direct measure of potential contribution. In particular, HMP faculty often obtain external funding for projects that do not entail extensive primary data collection, expensive equipment or research supplies, or other types of "pass-through" expenditures. The most relevant quantitative measure of funding for HMP faculty relates to the total faculty effort and graduate research assistantships supported.
  - iii. In general, funding from a source using peer review to guide funding decisions provides a clearer indicator of likely contribution to knowledge than non-peer-reviewed grants or contracts.
  - iv. Funding as a PI serves as an indicator of an individual faculty member's contribution to the funded research effort. Accordingly:
    - 1. In most cases one would expect a candidate for promotion from assistant to associate professor to have externally funded grant or contract support as a PI to demonstrate the likelihood of future support for the candidate's developing research agenda.
    - 2. Candidates for promotion from associate to full professor should have had several externally funded grants or contracts as a PI.
  - v. Candidates for promotion from assistant to associate professor should demonstrate a trend toward consistently meeting or exceeding departmental expectations regarding salary offsets from external research funding, including a trend toward a significant portion of salary offsets coming from funded projects where the candidate is the PI.
  - vi. Candidates for promotion from associate to full professor should consistently meet or exceed departmental expectations regarding salary offsets from external research funding, with a significant portion of salary offsets coming from funded projects where the candidate is the PI.

*Service:*

- 1. General criteria as stated in the operations manual:

“From time to time, a faculty member is called upon to render major professional services to the University or to society in general. Such contributions should be evaluated in terms of the effectiveness with which the service is performed, its

relation to the general welfare of the University and its effect on the development of the individual.” (OM III 10.2(c))

2. Key indicators of service performance for HMP:
  - a. Service on departmental, collegiate, or university-level committees
  - b. Service as a journal peer-reviewer
  - c. Service on an NIH/AHRQ/VA or similar study section
  - d. Service on the editorial board of a journal in the field
  - e. Service as a journal editor (includes assistant and associate editorship)
  - f. Service on ad hoc committees for a scientific or professional organization
  - g. Service as an elected officer of a scientific or professional organization
  - h. Participation on boards or task forces at the community, regional, national, or international level.
  - i. Service to the State of Iowa or other governmental entities
3. Candidates for promotion to associate professor with tenure are expected to demonstrate a trend toward increasing service effort.
4. Candidates for promotion from associate to full professor should have a demonstrated record of achievement in service.

#### Tenure Decisions:

In general, a grant of tenure is a much more momentous decision than promotion among those with tenure. For candidates for promotion from assistant to associate professor, the tenure decision usually is tied to the promotion decision. For faculty initially appointed as an untenured associate or full professor, the performance expectations for a grant of tenure at that rank would be, at an absolute minimum, equivalent to the performance expectations for promotion to that rank. Performance during the candidate’s probationary period at the University of Iowa would be an especially important consideration in the tenure decision.

## Performance Expectations for Tenure-Track Faculty Relating to Promotion and Tenure

Department of Occupational and Environmental Health  
College of Public Health  
The University of Iowa

*Note: This document was adopted by consensus at the April 29, 2005 departmental faculty meeting and modified in response to the Associate Provost's suggestions on September 2, 2005. It is intended to be used as a set of guidelines only. Section 3.2.1 of this document was revised at the May 18, 2012 departmental faculty meeting.*

### Criteria for Promotion:

As stated in the University operations manual:

“The criteria for promotions include teaching, research, and other professional contributions. Since teaching and research are the central functions of the faculty, other professional contributions are considered subsidiary to these fundamental tasks. The length of service, whether long or short, does not constitute, of itself, a qualification for promotion nor the sole justification for the denial of same.”

The general qualifications for faculty appointment at (or promotion to) specific ranks stated in the operations manual are:

#### “b. Associate Professor.

- (1) Convincing evidence that the candidate is an effective teacher of, as appropriate, undergraduate, graduate, postdoctoral, and professional students.
- (2) Demonstration of ... scholarly achievement supported by substantial publications ... of high quality, as appropriate to the discipline(s).
- (3) Departmental, collegiate, and/or University service and, if appropriate, professional service will be expected at an appropriate level.
- (4) The quality and quantity of teaching, scholarly/artistic accomplishment, and service should give unmistakable promise of promotion to full professor.

#### c. Professor.

- (1) Consistent record of high-quality teaching at all appropriate instructional levels, including successful guidance of doctoral graduate students to the completion of their degree programs, where applicable.
- (2) Continued artistic or scholarly achievement of high quality, accompanied by unmistakable evidence that the candidate is a nationally and, where applicable, internationally recognized scholar or creative artist in the chosen field.

- (3) The candidate should have a record of significant and effective service to the department, college, and/or the University and, if appropriate, to the profession.”

In short, promotion and tenure decisions are to be based on a record of achievement in teaching, research, and service. Of course, the specific elements of performance in teaching, research, and service that reflect a level of achievement worthy of promotion are subjective, and any evaluation process must be sufficiently flexible to encompass differences across faculty in disciplinary training, teaching assignments, and research expertise.

#### Performance Expectations:

##### *Teaching:*

1. General criteria as stated in the operations manual:

“The prime requisites for an effective teacher are intellectual competence, integrity, and independence; a willingness to consider suggestions and to cooperate in teaching activities; a spirit of scholarly inquiry which leads to the development and strengthening of course content in the light of developments in the area of interest, as well as to improve methods of presenting material; a vital interest in teaching and working with students and, above all, the ability to stimulate their intellectual interest and enthusiasm. The quality of teaching is admittedly difficult to evaluate. This evaluation is so important, however, that recommendations for promotion should include evidence drawn from such sources as the collective judgment of students, of student counselors and of colleagues who have visited the individual classes or who have been closely associated with the person's teaching as supervisor or in some other capacity, or who have taught the same students in subsequent courses. Academic counseling or advising of students should be recognized as an important component of the teaching process, and due credit should be given to faculty members who exert an unusual effort in this function.”

2. Measures of teaching performance for Occupational and Environmental Health include:
  - 2.1. Favorable student evaluations, both numerical and open-ended comments
  - 2.2. Favorable peer evaluations of teaching
  - 2.3. Receipt of teaching awards or other recognition of teaching excellence
  - 2.4. Successful mentoring of student and post doctoral research
    - 2.4.1. Candidates for promotion to the rank of associate professor with tenure should contribute to mentoring student and post doctoral training and research, including activities such as:
      - 2.4.1.1. Advising and training
      - 2.4.1.2. Serving on or chairing dissertation and thesis committees
      - 2.4.1.3. Directing internships, externships, and practica
      - 2.4.1.4. Mentoring presentations and publications



- 2.4.2. Candidates for promotion from associate professor to full professor, should participate in the activities listed above and are expected to have chaired doctoral committees.

*Research:*

1. General criteria as stated in the operations manual:

“[P]ublications in media of quality are expected as evidence of scholarly interest pursued independently of supervision or direction. ... Quality of production is considered more important than mere quantity. Significant evidence of scholarly merit may be either in a single work of considerable importance or a series of studies constituting a general program of worthwhile research. The candidate should pursue a definite, continuing program of studies, investigations or creative works.”

2. The Occupational and Environmental Health faculty are diverse in terms of their disciplinary backgrounds and research focus areas. Because of this diversity, indicators for quality are similarly diverse.
3. In view of the diversity of our field, any quantitative measures of performance will by nature be more suggestive rather than prescriptive for any individual. Nonetheless, it is useful to provide some general guidance for key indicators of research performance for Occupational and Environmental Health:

- 3.1. Scholarly reputation

- 3.1.1. One important measure of performance in research is a national or international reputation for advancing the state of knowledge in the field (“the candidate is a nationally and, where applicable, internationally recognized scholar ... in the chosen field”).

- 3.2. Peer-reviewed publications:

- 3.2.1. Typically, one would expect faculty in Occupational and Environmental Health to publish 2 to 4 peer-reviewed publications per year where the faculty member is senior author (as defined within the field) on one-third or more, with the majority of these papers appearing in journals referenced in the National Center for Biotechnology Information, PubMed database.

- 3.2.1.1. For candidates for promotion to associate professor with tenure, this means that in most cases the candidate should typically have had 15-20 papers published (or accepted for publication) during his/her probationary period.

- 3.2.1.1.1. Candidates with post-doctoral research experience prior to their appointment at The University of Iowa, either as a post-doc or as faculty elsewhere, often will have had papers published during that period.

- 3.2.1.1.2. While such prior publications add to the candidate’s overall body of research, publication of on average 2 or 4 papers per year during the probationary period at The University of Iowa usually would be necessary to provide evidence of an ongoing high level of research productivity required for promotion and (especially) tenure.

- 3.2.1.2. Most candidates for promotion from associate professor to full professor would normally be expected to have 40 published papers in quality peer-review journals, with evidence of an ongoing high level of research productivity.
  - 3.2.1.2.1. Evidence of publication impact could consist of quantitative measures such as the journal's impact factor score, citation frequency, published rankings of journal quality based on surveys of researchers in a particular area, or attestations of journal quality by external reviewers of the candidate's promotion/tenure dossier.
- 3.3. External reviewers:
  - 3.3.1. The intent of external promotion and tenure reviews is to provide an objective evaluation by individuals who are leading experts in the candidate's area of expertise. Therefore, as a general rule, evaluations by frequent coauthors, former thesis advisors, former colleagues, or close friends should be avoided.
- 3.4. Research funding:
  - 3.4.1. In most cases one would expect a candidate for promotion to associate professor with tenure to have externally funded grant or contract support as a principal investigator to demonstrate the likelihood of future support for the candidate's developing research agenda.
  - 3.4.2. Candidates for promotion from associate to full professor should have had several externally funded grants or contracts as a principal investigator.
  - 3.4.3. Activity as co-investigator of externally funded grants or as director of a center facility or core are additional measures of research support.
  - 3.4.4. Candidates for promotion to associate professor with tenure should demonstrate a trend toward meeting or exceeding departmental expectations regarding salary offsets from external research funding.
  - 3.4.5. Candidates for promotion from associate to full professor should consistently meet or exceed departmental expectations regarding salary offsets from external research funding.

*Service:*

1. General criteria as stated in the operations manual:
 

“From time to time, a faculty member is called upon to render major professional services to the University or to society in general. Such contributions should be evaluated in terms of the effectiveness with which the service is performed, its relation to the general welfare of the University and its effect on the development of the individual.”
2. Candidates for promotion to associate professor with tenure are expected to demonstrate a trend toward increasing service effort.
3. Candidates for promotion from associate to full professor should have a demonstrated record of achievement in service.
4. Examples of service performance for Occupational and Environmental Health may include:

- 4.1. Academic Service
  - 4.1.1. Service on editorial boards
  - 4.1.2. Peer review of scientific articles
  - 4.1.3. Service on a standing study section
  - 4.1.4. Service on ad-hoc review panels for federal agencies
  - 4.1.5. Service in some other form of the scientific peer-review grant process
  - 4.1.6. Service as an officer or board member of a relevant professional or not-for-profit organization
- 4.2. Participation in professional and community education
  - 4.2.1. Provide continuing education courses, traditional or via distance learning technology to professional, community, international audiences
- 4.3. Dissemination of news and information
  - 4.3.1. Production and distribution of specialty newsletters
  - 4.3.2. Contribution of articles or columns to non-academic publications
- 4.4. Work to inform and strengthen public policy
  - 4.4.1. Conduct conferences related to public policy and analysis
  - 4.4.2. Service on a governmental technical committee
- 4.5. Provide consultation and technical assistance in occupational and environmental health
  - 4.5.1. Provision of fee-for-service consultation through WorkSafe Iowa
  - 4.5.2. Provision of technical assistance to local/state/regional entities
- 4.6. Contribution of innovations or products that enhance the practice of occupational and environmental health

# Post-Tenure Effort Allocation

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## **Post-tenure Allocation of Effort**

The University's Policy on Post-tenure Allocation of Effort is available from the Provost's Office or on-line at <http://opsmanual.uiowa.edu/human-resources/faculty/post-tenure-effort-allocation>.

## **The "Portfolio" Principle**

Under the University's Policy on Post-tenure Effort Allocation, faculty members and their DEOs may negotiate individualized agreements (or "portfolios") in which the proportion of time or effort devoted to each of the three areas of the department's mission (teaching, research, and service) differ from the department's norms for a period of time. Annual salary increases will reflect merit in the performance of activities specified in the portfolio.

## **Unit Norms as the Basis of Individualized Portfolios**

Each department has specified (in a simple percentage-of-effort formula) its expectations for a typical full-time faculty member's "portfolio" of instructional activity, scholarly or creative activity, and service to the institution. The Dean and the Provost must approve any changes to these norms.

The department has also developed a statement of what activities this typical portfolio comprises. These statements reflect disciplinary norms and reinforce the expectation that both a strong, up-to-date curriculum and national visibility in scholarly and/or creative work are the joint responsibility of the entire departmental faculty. The statement will be the basis of any individualized portfolio agreements negotiated within the department, which must specify in writing the activities the faculty member will undertake during the term of the agreement.

## **The DEO's Responsibility for Managing the Allocation of Faculty Effort**

Either the faculty member or the DEO may initiate the discussion of an individualized portfolio, with the understanding that faculty are not automatically entitled to portfolios and that any portfolio negotiated must be in the best interest of both the department and the faculty member. The arrangement may not compromise the department's ability to fulfill its teaching, research, and service obligations. The faculty member may not reduce his or her teaching or

scholarly/creative contribution to 0% for any period of time. The portfolio must not compromise a tenured faculty member's progress toward promotion.

The DEO submits all portfolio agreements to the Dean, who must approve them before they can be implemented in the next academic year. The DEO must also distribute to the faculty a description of each portfolio agreement and an explanation of how the department will continue to fulfill its mission while the agreements are in force.

# Clinical Track Faculty

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# Clinical Track Appointments

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## **Clinical Faculty Appointments and Criteria for Rank**

Following the adoption of the University of Iowa Policy on Clinical Faculty Appointments ([Operations Manual, III-10.9](#)), the College's Executive Committee approved the following collegiate policy.

### ***General Statement of Philosophy***

For a few areas of the College, clinical-track appointments may be more appropriate than tenure-track appointments for some faculty positions, given the type of responsibilities expected. The number of such appointments will not exceed 20% of the faculty of the College.

### ***Definition of Clinical Faculty in Public Health***

The clinical faculty appointment code will be used for appointments of renewable-term faculty whose instructional activities and service are in programs subject to professional accreditation that requires extensive supervision of practicum or internship experiences and whose professional development expectations do not include research of the sort expected of tenure-track faculty. This code is not used for faculty positions where classroom teaching is the sole or primary form of instructional activity.

### ***Recruitment of Clinical Faculty***

Searches for clinical-track faculty will follow all relevant affirmative action and collegiate review procedures, just as for tenure-track faculty recruitment.

### ***Clinical Faculty Ranks***

The ranks will be the same as for tenure-track faculty: instructor (clinical), assistant professor (clinical), associate professor (clinical), professor (clinical). For each appointment, the appointing department will establish clear criteria for promotion, in accord with the Collegiate guidelines.

### ***Terms of Appointment***

Clinical-track faculty appointments are academic-year appointments. Initial appointment will be for a one-, two-, or three-year term. The first three years are considered “probationary.” Reappointment after the initial three years of appointment is for a three-year term, although a two-year reappointment term is mandated for appointments at the instructor rank. Reappointment terms for up to seven years are possible for appointments at the associate professor and full professor ranks after at least three years of service at The University of Iowa, if departmental faculty and the Dean deem a longer term appropriate for the individual and the circumstances of the program served.

### ***Salary***

Salary is dependent on rank, market factors, and qualifications. Salary increments are determined on an annual basis. Criteria will generally be 60% on merit in clinical or other supervision and related teaching; 20% on merit in professional development and stature in the profession; and 20% on merit in service to the department, the institution, and the profession.



# Clinical Track Reviews

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## **Review of Clinical Faculty**

All clinical-track faculty will be reviewed annually throughout the probationary period, generally one to three years in duration. After three years, or prior to that if a promotion is contemplated, a full-scale, departmental-collegiate review will be completed ([Operations Manual, III-10.9.d\(1\)](#)). Reappointment may then be made for three to seven years thereafter. University policy requires that the department establish written performance standards for the position. Reviews will be carried out according to procedures established by the department for clinical faculty review, using the position description and the performance standards for the position. The review will be forwarded to the Associate Dean for Faculty Affairs' office, as well as being shared with the clinical faculty member. Departmental recommendations on reappointment are subject to Collegiate review.

## ***Non-renewal and Termination***

A decision in the final year of a term of appointment not to renew the appointment of a salaried or unsalaried clinical-track faculty member may be made for failure to meet written standards of competence and performance established by the unit and the College or on the grounds of changed economic circumstances or program needs such that the position itself is terminated. Appropriate written notice of termination must be given ([Operations Manual III-10.9h\(1\)\(c\)](#)). Termination of clinical faculty during the term of the appointment must be for failure to meet written standards of competence and performance established by the unit and the College or due to serious violation of University policies. Salaried clinical-track faculty have the same access to the Faculty Dispute Procedures as tenure-track faculty in cases of non-renewal or termination ([Operations Manual, III-29](#)).

## ***Responsibilities***

Clinical or other supervision, program oversight, and related teaching are assumed to take at least 60% of the working hours of a clinical faculty member, with professional development 20% and service 20% for the average appointee in this category. The position does not have a research component or expectation of research accomplishments, although professional development and professional service may involve research in some cases. For the most part, a clinical-track faculty member will not be assigned a course intended solely for graduate students except in the service of a professional masters or doctorate program, or as part of a professional preparation program.

Although clinical faculty do not automatically become members of the Graduate Faculty, it may from time to time be appropriate to request temporary Graduate Faculty status for service on a particular graduate committee; the College must endorse such a request from a department.

### ***Rights***

The clinical faculty member will participate in faculty governance processes as defined by the University, the College, and the department.

# Clinical Track Promotion

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(<http://opsmanual.uiowa.edu/human-resources/faculty/clinical-track-policy>)

- (1) Salaried clinical faculty. The question of promotion of clinical faculty may be brought up during any regular promotions cycle. Promotion of salaried clinical faculty will follow University and collegiate "Procedures for Clinical-Track Promotion Decision Making at The University of Iowa." All recommendations for promotion of salaried clinical faculty are submitted to the Board of Regents for approval.
- (2) Nonsalaried clinical faculty. Procedures and criteria for the promotion of nonsalaried clinical faculty shall be adopted by individual colleges and approved by the Office of the Executive Vice President and Provost. The provisions of III-10.5 and those regarding salaried clinical faculty described herein do not apply.

# Procedures for Clinical-track Promotion Decision-making at The University of Iowa

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## Procedures for Clinical-track Promotion Decision-Making at The University of Iowa, including the procedures specific to the College of Public Health

### General Principles

The Procedures for Clinical-Track Promotion Decision-Making (hereafter “Procedures”) establish a uniform system of procedures to be used in all academic units of the University. Each college of the University that employs clinical-track faculty also will establish its own written Procedures governing its promotion decision-making for salaried clinical-track faculty, to guide academic units where circumstances require or permit flexibility or variation. (For a list of items in these Procedures that specifically require that Collegiate Procedures be followed, see Appendix A.) The Provost must approve all Collegiate Procedures.

These are *procedures* only. For University policies regarding *criteria* for promotion of clinical-track faculty, refer to section III.10.9 of the Operations Manual. The substantive standards contained therein must be satisfied and are not affected by these Procedures. College of Public Health-specific Procedures are described in Appendix B.

These Procedures rely upon several principles:

- (1) Decisions granting or denying promotion should be based on a written record of achievement.
- (2) The content of the record that will be relied upon should be known by the candidate and the decision-makers, except as otherwise provided for in these Procedures.
- (3) Except for variation related to the nature of the candidate's academic activity, the content of the record should be the same for all candidates in the same academic unit.
- (4) The governing procedures should be the same for all candidates across the University, except where conditions or academic cultures justify variation among colleges or among departments within a college.
- (5) University and Collegiate Procedures should be applied consistently to all candidates.
- (6) Each faculty member participating in the promotion decision-making process may vote for or against the granting of promotion to a candidate only once.

### I. Definitions

The term “professional productivity” refers to professional works and activities as described in section I.B.(3)(d)ii—I.B.(3)(d)vii of these Procedures.

A “candidate” is any salaried clinical-track faculty member who has indicated his or her interest in being reviewed for promotion in accordance with the college’s written

Procedures governing promotion decision making.

**In the College of Public Health, a promotion review may be initiated either by the department or by the faculty member. The decision to conduct a review should be made no later than August 1 of the academic year in which the review is planned. Specifically, if the departmental faculty recommend that a promotion review is to be initiated, the faculty member should be notified of this in writing no later than August 1. Similarly, if a faculty member wishes to be considered by the department for promotion, the DEO should be informed in writing no later than August 1 of the academic year the faculty member wishes to be considered.**

The “dossier” is the set of primary materials assembled by the candidates as described in section I.B.(3). The dossier contains appendices all or part of which may be transmitted with the dossier to successive participants in the process as described in section I.B.(4).

The “Promotion Record” is the dossier plus all of the materials that are added to it and transmitted to successive participants in the evaluation process.

The “Departmental Consulting Group” (DCG) consists of all tenured, tenure-track, and clinical-track faculty at or above the rank being sought by the candidate, excluding the collegiate Dean and Provost, faculty with collegiate or provostial administrative appointments of 50% or greater, and any faculty member with a disqualifying conflict of interest. If there are fewer than four eligible faculty and/or if there are no eligible clinical-track faculty to serve as the DCG, the Dean, in consultation with the eligible faculty, will identify additional faculty outside the department so that the DCG consists of a minimum of four faculty and has clinical-track faculty representation. The college’s written Procedures governing promotion decision-making also may specify further the composition of the DCG to include additional clinical-track faculty from outside the department.

**In the College of Public Health, if there are fewer than four faculty members in a department who are qualified to serve on the DCG, additional members will be chosen using the following procedure: The faculty candidate will be asked to provide a list of up to three faculty members of appropriate rank who are familiar with his or her area of study. The DEO, in consultation with the DCG, shall identify additional choices, and from among this combined list, select the needed number of outside faculty in order to make the size of the Departmental Consulting Group equal to the minimum number of four that are required. At least one of those chosen must be from the list submitted by the faculty candidate.**

The “Collegiate Consulting Group” (CCG) consists of faculty selected according to each college’s written Procedures governing promotion decision making. The Collegiate Procedures shall establish guidelines for the membership of the Group and how it will function within the boundaries of these Procedures.

The term “Departmental Executive Officer” or “DEO” throughout these Procedures refers

to the person or entity who has been expressly designated by the college (in the college's written Procedures governing promotion decision making) to perform one or more of the functions assigned by these Procedures to the DEO. Under this definition, each college has discretion, through the college's written Procedures governing promotion-decision making, to determine who will be given responsibility to perform any of the functions assigned to the DEO these procedures. In a nondepartmentalized college (where "departmental" generally means "collegiate" and functions of the DEO" ordinarily means "functions of the collegiate dean"), the college has exactly the same discretion through its written Procedures governing tenure and promotion decision making to determine who will be given the responsibility to perform the functions assigned by these Procedures to the Dean in lieu of the DEO.

In nondepartmentalized colleges, the term "departmental" throughout these Procedures will ordinarily mean "collegiate" where that substitute usage fits the context, and the functions of the DEO will be performed by the collegiate Dean. (Some steps of these Procedures that expressly involve the DEO will become inapplicable.) In nondepartmentalized colleges that have department-like units such as "areas" or "divisions," the written Collegiate Procedures governing promotion decision making must specify the role of these units and their administrative officers for the purposes of promotion decision making.

**In the College of Public Health, the Departmental Executive Officer function is assumed by the Department Head, or, in the case of nondepartmental programs in the College, by the Program Director. Occasionally the DEO will be unable to perform the assigned functions, for example, if the DEO is being reviewed for promotion, the DEO is not of appropriate rank, or a conflict of interest exists with a faculty member being reviewed. In these cases, the Dean will appoint an appropriate senior faculty member from the College to perform the duties in the affected cases; this person may be an Associate Dean as long as he or she is not otherwise involved in the promotion review at the Collegiate level.**

**In the College of Public Health "promotion" does not ever refer to tenure in the Procedure for Clinical-track Promotion Decision-Making.**

"Participate" means to have input into a promotion decision, including but not limited to such activities as preparing a written report or review of the candidate's work, participating in a formal discussion of the candidate's qualifications, voting on a recommendation for or against promotion, or providing consultation except as provided for elsewhere in these procedures.

## **II. The Basis for Evaluation: The Promotion Record**

The qualifications of a candidate for promotion will be determined on the basis of the Promotion Record, which, when it reaches the Office of the Provost, will consist of the following material, preferably in the order listed:

- (i) the "Recommendation for Faculty Promotion" cover sheet (see Appendix C);
- (ii) the collegiate Dean's letter making a recommendation to the Provost;
- (iii) The recommendation, vote, and report (if any) of the CCG;

**In the College of Public Health, the CCG will provide the Dean a written report. See Section II.A(5).**

- (iv) the DEO's letter making a recommendation to the Dean;
- (v) the recommendation, vote, and report of the DCG;
- (vi) any letters or written response submitted by the candidate at specified stages of the process to correct errors in the internal peer evaluations of the candidate's teaching, professional productivity, and service, or to respond to a letter or report of the DEO, DCG, Dean, or CCG;
- (vii) the candidate's Curriculum Vitae (CV) in the college's standard format which documents the candidate's educational and professional history
- (viii) a section on the candidate's teaching, including
  - (a) the candidate's personal statement on teaching,
  - (b) documentation of peer evaluation of the candidate's teaching, and
  - (c) all other materials related to the candidate's teaching, including those specified in I.B.(3)(c);
- (ix) a section on the candidate's professional productivity, including
  - (a) the candidate's personal statement on professional productivity,
  - (b) documentation of internal and external peer evaluation of the candidate's professional productivity, and
  - (c) all other materials related to the candidate's professional productivity, including those specified in I.B.(3).(d);
- (x) a section on the candidate's clinical and other service, including
  - (a) the candidate's personal statement on service,
  - (b) documentation of internal and external peer evaluation of the candidate's



service, and

- (c) all other materials related to the candidate's service specified in I.B.(3)(e); and
- (xi) supplementary material to be added to the Promotion Record as expressly provided in these or Collegiate Procedures, entered in the appropriate section of the Record. Materials added to the original dossier or materials in the original dossier that are amended, should be labeled as such, including the date when added or amended and with amendments clearly marked.

**The College of Public Health does not require additional supplementary material.**

### **III. Other Considerations**

A candidate has the right to withdraw his or her dossier from further consideration at any point before the Provost has made his/her final decision regarding promotion. If a candidate withdraws his or her dossier from further consideration, the original dossier, including appendices and any supplemental material added by the candidate, shall be returned to the candidate. All other materials in the Promotion Record at the time of withdrawal shall be returned to the candidate's department, which shall retain them following the normal departmental or collegiate schedule for retention of promotion and tenure materials. The candidate shall not have access to these materials.

A college, or department with the concurrence of its college, may apply in individual cases to the Provost for an exemption from any of these Procedures for a legitimate and valid reason. The college or department has the burden of convincing the Provost that the exemption adds value, fairness and weight to the evaluation.

In the case of a joint-appointment candidacy for promotion, the departments/colleges involved will follow the Procedures described in Appendix D of this document.

### **I. Department level procedure**

- A. It is the DEO's responsibility to inform the candidate in writing in the year of appointment to a salaried clinical track position, in the year of any contract renewal, and at the beginning of the academic year in which the promotion decision will be made of the material that will be required to be included in the promotion dossier, and of the candidate's responsibility to compile and submit the dossier by the specified date in the academic year of the promotion decision.

**In the College of Public Health, the dossier will be submitted to the department on or before September 1, unless the department has a written policy that requires submission by an earlier date.**

B. The Dossier

- (1) It is the candidate's responsibility, with the advice of the DEO, to compile and submit substantive material for inclusion in the promotion dossier (the core of the Promotion Record) on or before the date specified in the college's written Procedures governing promotion decision-making. In the absence of such a specified date in the college's written policy, the specified date will be September 1 of the academic year in which the promotion decision is to be made.

**In the College of Public Health, the dossier will be submitted to the department on or before September 1, unless the department has a written policy that requires submission by an earlier date.**

- (2) It is the responsibility of the DEO to advise the candidate in compiling material for the dossier, to complete the compilation of the dossier (and subsequently to complete compilation of the Promotion Record by adding materials to it throughout the decision-making process), and to ensure to the greatest extent possible that the Promotion Record serves as a fair and accurate evaluation of the candidate's strengths and weaknesses, and is not purely a record of advocacy for the candidate. The responsibility to advise the candidate in compiling the dossier material is not limited to the immediate period of the promotion review, but rather is an ongoing responsibility that begins when the faculty member is appointed to the department.
- (3) The dossier will contain the following, in the order listed unless otherwise noted: A current CV in the college's standard format may be used in place of the individual items listed below, provided that either all the listed elements are contained in the CV or any missing elements are supplied separately.
- (a) the "Recommendation for Faculty Promotion" cover sheet, with the section that is to be filled out by the candidate completed (see Appendix C);
- (b) a record of the candidate's educational and professional history (CV), including at least the following sections, preferably in the order listed:
- (i) a list of institutions of higher education attended, preferably from most to least recent, indicating for each one the name of the institution, dates attended, field of study, degree obtained, and date the degree was awarded;

**In the College of Public Health, the order will be from least to most recent.**

- (ii) a list of professional and academic positions held, preferably from most to least recent, indicating for each one the title of the position, the dates of service, and the location or institution at which the position was held; and

**In the College of Public Health, the order will be from least to most recent.**

- (iii) a list of honors, awards, recognitions, and outstanding achievements, preferably from most to least recent.

**In the College of Public Health, the order will be from least to most recent.**

(c) a record of the candidate's teaching at The University of Iowa, including:

- (i) the candidate's personal statement on teaching, consisting of a summary and explanation--normally not to exceed three pages---of the candidate's accomplishments and future plans concerning teaching, and comments on these accomplishments and plans and on other items included in the dossier related to teaching;
- (ii) a list of the candidate's clinical teaching as it occurs in the context of the delivery of professional services to individuals, patients or clients, preferably from most to least recent;
- (iii) a list of the candidate's teaching assignments on a semester-by-semester basis, preferably from most to least recent;

**In the College of Public Health, the order will be from least to most recent.**

- (iii) a list of graduate students, fellows, or other postdoctoral students supervised, if any, including each student's name, degree objective, and first post-graduate position;
- (v) a list of residents for whom the faculty member has provided substantial and prolonged supervision throughout all or most of their training program, including each student's name and first post-residency position;
- (vi) a list of other contributions to instructional programs;
- (vii) copies of course materials, including syllabi, instructional Web pages, computer laboratory materials, and so forth (see I.B.4); and
- (viii) as an appendix to the dossier, copies of teaching evaluations by students (the candidate will include all student teaching evaluations in her or his custody for each course taught);

**In the College of Public Health, "student" is defined as any learner, including, but not limited to: undergraduate, medical and other professional students; medical residents and fellows; graduate students and post doctoral fellows; other faculty; and practicing health care professionals.**

- (d) a record of the candidate's professional productivity, including:
- (i) the candidate's personal statement on professional productivity, consisting of a summary and explanation--normally not to exceed three pages---of the candidate's accomplishments and plans concerning professional productivity, and comments on these accomplishments and plans and on other items included in the dossier related to professional productivity; (as defined in Appendix E),
  - (ii) a list of invited lectures and conference presentations;
  - (iii) a list of conferences for which the candidate has organized symposia, workshops, and so forth;
  - (iv) a list of journals for which the candidate has been a member of the editorial board or served as editor;
  - (v) a list of attained support including grants and contracts received by the candidate,
  - (vi) a list, preferably from most to least recent, of the candidate's publications or creative work with, for each multi-authored work or coherent series of multi-authored works, a brief statement of the candidate's contribution to the work or series of works;

**In the College of Public Health, the order will be from least to most recent.**

- (vii) a description of any other products and activities demonstrating professional productivity as defined by the college's written Procedures on promotion decision making;
- (viii) a list of pending decisions regarding the candidate's professional productivity that might affect the promotion deliberations; and,
- (ix) as an appendix to the dossier, copies of materials documenting the candidate's professional productivity.

Research or creative scholarship is not required for promotion on the clinical track; however, publications, grants, and other types of research and creative activity may provide evidence of professional productivity.

- (e) a record of the candidate's clinical and other service to the department, college, University, profession, and community, including:
- (i) the candidate's personal statement on service including both clinical service and other types of service (consisting of a summary and explanation--

normally not to exceed three pages--of the candidate's accomplishments and plans concerning clinical service and other service, and comments on these accomplishments and plans and on other items included in the dossier related to clinical and other service);

- (ii) a list, preferably from most to least recent, of clinical service activities in each of the years since the last promotion;

**In the College of Public Health, the order will be from least to most recent.**

- (iii) a list, preferably from most to least recent, of other departmental, collegiate, or university service positions;

**In the College of Public Health, the order will be from least to most recent.**

- (iv) a list, preferably from most to least recent, of relevant community involvement;

**In the College of Public Health, the order will be from least to most recent.**

- (v) a list, preferably from most to least recent, of offices held in professional organizations;

**In the College of Public Health, the order will be from least to most recent.**

- (vi) a list, preferably from most to least recent, of service on review panels; and

**In the College of Public Health, the order will be from least to most recent.**

- (viii) a list, preferably from most to least recent, of any service contributions not listed elsewhere.

**In the College of Public Health, the order will be from least to most recent.**

- (f) within the appropriate section(s) of the dossier as listed above, other information relevant to the candidate's record in teaching, professional productivity, or clinical or other service that is deemed to be important in the candidate's judgment or required by the college's written Procedures governing promotion decision-making.

**In the College of Public Health, no additional information is required.**

- (4) Where the volume of material of a particular kind which is required to be included in the dossier is large and potentially unmanageable, a candidate, in consultation with the DEO, may select and identify representative portions of the required

material for special attention. Only the material selected as representative will become part of the Promotion Record and will be transmitted to successive participants in the promotion decision-making process. Required materials segregated from the representative material will be available for review and will be located in a readily accessible location under the DEO's custody. If any participant in the promotion decision-making process relies upon initially segregated material in preparing a written evaluation of the candidate's qualifications, that material should be added to the Promotion Record, the fact of that addition should be noted in the written evaluation, and the candidate should be notified in writing of the addition at the time it is made.

**In the College of Public Health, if a representative selection is made of publications, 5 should be selected.**

- (5) The candidate's work in progress that is not completed by the specified date but that is anticipated to be completed in the fall--early enough for full and deliberate evaluation, as determined by the DEO--may be identified at the time the dossier is submitted and added to the dossier if and when it is completed.
  - (6) Other materials (including updated CV and personal statements) that could not have been available by the specified date but which are completed early enough for full and deliberate evaluation may be added to the promotion dossier by the candidate through the DEO. Materials added to the original dossier or materials in the original dossier that are amended, should be labeled as such, including the date when added or amended and with any amendments clearly marked.
- C. (1) It is the candidate's responsibility to cooperate in obtaining peer evaluation of the candidate's teaching, professional productivity, and clinical and other service as described in the following sections, D.—F. Each college will specify in its written Procedures governing promotion decision-making whether these peer evaluations will be carried out by individual members of the department, by one or more faculty committees, by other peers, or by some combination of these methods, as well as what process the reviewers will follow. These peer evaluations of the candidate's teaching, professional productivity, and clinical and other service will be contained in one or more reports that analyze the relevant materials in the Promotion Record as detailed in the respective sections that follow, and shall be signed by each peer evaluator. These reports are intended to go beyond a mere *description* of what the candidate has included in the dossier and to provide a thorough *evaluation* of the quantity and quality of the candidate's teaching, professional productivity, and clinical and other service from a departmental perspective.
- D. It is the candidate's responsibility to cooperate in obtaining internal peer evaluation of the candidate's teaching by participating in the following process:
- (1) The college's written Procedure governing promotion decision-making must specify a method of peer evaluation of teaching--which must include peer

observation of teaching to the extent practicable--and must identify those teaching activities and materials that will be evaluated by peers. The method chosen must, where necessary, contemplate and address teaching that occurs in a privileged setting. Each college will specify in its written Procedures governing promotion decision-making who will perform these peer evaluations of teaching. In circumstances when the observation cannot be made entirely by faculty peers, the candidate must receive written approval from the Provost for the selection of non-faculty peer reviewers and they can constitute only a minority of the evaluations specified by Collegiate Procedures. The request for approval must be justified by and contained in a written request from the Dean.

### **In the College of Public Health**

#### **Methods**

**The DEO will appoint a committee to perform the peer evaluation of teaching from among the DCG. The size of the committee will be department-specific, but consistent for all candidates for promotion in the department, regardless of rank. The committee will review all information submitted by the candidate with regard to teaching, teaching evaluations added to the dossier by the DEO, and peer observation reviews. A report will be written and added to the dossier.**

#### **Activities and materials**

**The range of teaching activities conducted by faculty in the College of Public Health, and hence subject to this evaluation is broad, and includes, but is not limited to: lectures; small group facilitation in the non-clinical setting; clinical teaching in the ward, clinic, or operating room; and graduate student advising. (Appendix F) Teaching performed outside the institution (for example, at national meetings, or as part of continuing medical education events) may be included, but these activities may not constitute the sole source of teaching activities for evaluation.**

**Materials to be reviewed include anything placed in the dossier by the candidate, including, but not limited to: course syllabi, lecture handouts, web pages or other electronic teaching materials, chapters from textbooks aimed at a student audience, and lists of teaching activities included in the CV.**

- (2) With respect to the observation of classroom, laboratory, practicum, or other forms of teaching, the college's written Procedures governing promotion decision-making will specify the number (or range of numbers) of teaching occasions to observe; the number (or range of numbers) of consecutive semesters in which observations will occur; the number (or range of numbers) of observing faculty members or other peers; the method of choosing faculty or other peer observers; the method of recording, reporting, and informing the candidate of the observation; the method(s)

by which the quality of the candidate's teaching will be measured, and any other protocol concerning the observation process.

**In the College of Public Health**

**The minimum criteria for an adequate quantity of peer observation reports will be:**

- (a) Observation of at least three separate teaching activities since the time of the initial appointment or the last promotion.**
- (b) Reports must be received from a total of at least two different observers; for example, one observer may report on two teaching activities, and a second observer may report on the third; or, two observers may report on the same activity, and one of the two may then report on two additional activities, and so on.**
- (c) At least one observation must be made in the year prior to application for promotion. "The year prior to promotion" is defined as beginning with the spring semester of the academic year prior to the promotion review, and concluding with the fall semester in which the review is begun.**
- (d) The DEO, in consultation with the DCG, will select the faculty members to perform the observations**
- (e) A template review instrument will be provided; departments may modify the template to meet their own needs as long as the same form is used for each faculty member reviewed in a given year. (Appendix G)**
- (f) The observers' reviews will be submitted to the internal review committee.**
- (g) The reviews will be shared with the candidate, after the identity of the reviewer has been removed.**

**Departments are encouraged to incorporate more frequent peer observation by multiple observers of all probationary faculty into their departmental procedures. Therefore, peer observation reports that exceed the minimum standard outlined above are acceptable.**

- (3) In the evaluation of teaching that involves the peer observation of teaching activities, the college's written Procedures governing promotion decision-making will provide for:**
  - (a) consistent treatment of candidates;**
  - (b) an adequate basis for fair evaluation; and**



- (c) avoidance of an undue burden on either the observed candidate or the observing faculty or peers or an undue disruption of any observed class or other teaching situation.
- (4) If expressly authorized by the college's written Procedures governing promotion decision-making, video observation that is consistent with the substance of this section may be substituted for actual observation of a teaching activity with the candidate's consent.

**In the College of Public Health, video observation may be substituted.**

- (5) The DEO will add to the appropriate appendix of the Promotion Record any student teaching evaluations which may have been solicited by the department as part of its regular promotion review process.
  - (6) The peer evaluation of the candidate's teaching will be contained in a report that analyzes and evaluates the relevant materials in the Promotion Record, and will include:
    - (a) a comparative analysis of the quality of the candidate's teaching in the context of the candidate's department or unit;
    - (b) a summary analysis of the student teaching evaluation data contained in the Promotion Record, including departmental average comparison data where possible;
    - (c) a description, where appropriate, of the balance between the candidate's undergraduate, graduate, and clinical teaching;
    - (d) a description and assessment of the candidate's academic advising responsibilities, if any; and
    - (e) a consideration of any special circumstances concerning the faculty member's teaching performance.
  - (7) The faculty members who perform the peer evaluation of the candidate's teaching as described in (6) above will enter their report into the section of the Promotion Record that is dedicated to the history and evaluation of the candidate's teaching.
- E. It is the candidate's responsibility to cooperate in obtaining internal peer evaluation of the candidate's professional productivity by participating in the following process:
- (1) Each college will specify in its written Procedures governing promotion decision-making who will perform the peer evaluation of the candidate's professional productivity and the process that the reviewers will follow.

- (2) The peer evaluation of the candidate's professional productivity will be contained in a report that analyzes and evaluates the relevant materials in the Promotion Record, and will include a statement concerning the norms for professional productivity in the relevant field, a brief description of the quality of conferences, institutions, journals, or other for a in which the candidate's work has appeared or been presented, and statements concerning any other activities representing professional productivity that would be helpful in understanding the nature and quality of these activities.
  - (3) The faculty members who perform the peer evaluation of the candidate's professional productivity will enter their report into the section of the Promotion Record that is dedicated to the history and evaluation of the candidate's professional productivity.
  - (4) The college's written Procedure governing promotion decision-making will specify how the review of professional productivity carried out within the candidate's department will be supplemented by reviewers external to the department, college, and/or university.
- F. It is the candidate's responsibility to cooperate in obtaining internal peer evaluation of the candidate's clinical and other service by participating in the following process:
- (1) Each college will specify in its written Procedures governing promotion decision-making who will perform the review of the candidate's clinical and other service and the process that the reviewers will follow. In circumstances when the review cannot be made entirely by faculty peers, the candidate must receive written approval from the Provost for the use of non-faculty peer reviewers. The request for approval must be justified by and contained in a written request from the Dean.
  - (2) The peer evaluation of the candidate's clinical and other service will be contained in a report that analyzes and evaluates the relevant materials in the Promotion record, and will include a comparative analysis of the quality of the candidate's clinical and other service in the context of the expected service contributions in the department and the profession.
  - (3) The individuals who perform the peer evaluation of the candidate's clinical and other service will enter their report into the section of the Promotion Record that is dedicated to the history and evaluation of the candidate's service.
  - (4) The college's written Procedures governing promotion decision making will specify how the review of service carried out within the candidate's department will be supplemented by reviewers external to the department, college, and/or University.

G. It is the candidate's responsibility to cooperate in obtaining external peer evaluation of the candidate's professional productivity and/or clinical and other service by participating in the following process

- (1) Selection of external evaluators of professional productivity and/or clinical and other service will begin on or before a date specified in the college's written Procedures governing promotion decision-making or, if not specified in the Collegiate Procedures, no later than September 30<sup>th</sup> of the academic year in which the promotion decision will be made.

**In the College of Public Health, the date will be September 30.**

- (2) The college's written Procedures governing promotion decision-making will specify the number of external reviewers (with a recommended range of four to eight) and what sample or portion of the candidate's work each reviewer is to evaluate.

**In the College of Public Health, eight assessments from reviewers must be sought and four must be received and placed in the promotion dossier. For promotion to Professor, at least half of the letters must be obtained from individuals external to the institution; for promotion to Associate Professor, at least one letter from individuals external to the institution must be included. All letters for both ranks must be external to the department; at least half must be external to the College. Each reviewer will be provided the candidate's: a) CV; b) personal statement regarding professional productivity; c) if publications are part of the dossier, up to five publications from among those submitted in dossier may be included. These are to be selected by the DEO with the advice of the candidate.**

- (3) The DEO will solicit from the candidate a list of appropriate external reviewers from peer institutions (e.g. AAU, Big Ten, major public, Carnegie Research I) or institutions, organization or professional bodies in which the corresponding department or individual evaluator is of peer quality.
- (4) The DEO will add suggestions to the list and give it to those faculty members who have been assigned to complete an internal peer review of the candidate's professional productivity and/or clinical and other service as described in I.E.(1) and I.F.(1), above; those faculty will add other potential external reviewers as specified in the college's policy governing clinical-track promotion decision-making, and return the list to the DEO.
- (5) The DEO will share the completed list of potential external reviewers with the candidate. The candidate shall identify any potential external reviewers with whom s/he has worked in any capacity and describe the nature of the relationship. If the candidate feels that any potential external reviewer on the list might be unfairly biased, the candidate may prepare a written objection and give it to the DEO.

- (6) In identifying potential external reviewers, all participants in the selection process will take into account the standing of the prospective reviewer in the discipline, the likely knowledge of the reviewer of the material to be reviewed, the apparent impartiality of the reviewer, and the contribution of the reviewer to achieving an overall "balanced" review among the reviewers on any criterion for which there might be a range of perspectives. To the extent that it is possible, it is critical to avoid any situation in which a personal and/or professional relationship between the candidate and a prospective reviewer is such that it could undermine the reviewer's apparent impartiality.

**The College of Public Health recognizes that the evaluation of certain activities (e.g. clinical care, professional contributions) may of necessity require personal knowledge of the candidate. Therefore, the above caveat regarding impartiality will not be used to exclude reviewers of professional productivity. Further, the College expects that the type of external peer who might be asked to evaluate a faculty member for promotion to either associate or full professor in the clinical track may be a prominent practitioner in the local region or the state with whom the faculty person has had significant professional interactions clinically or in other ways. It also might mean a true "peer" in a similar clinical track position at another academic health center or teaching setting who knows about the faculty member because of his/her professional abilities.**

- (7) The DEO will determine, in accordance with the college's Procedures governing clinical-track promotion decision-making, which of the potential external reviewers will be asked to provide a letter of review.
- (8) The DEO or Dean, using a form letter which substantially conforms to the sample letter contained in Appendix H, will ask the reviewers identified in (7) above to provide an assessment of the quality and quantity of the candidate's professional productivity and/or clinical and other service.
- (9) After, or in anticipation of, an invitation to an external reviewer to evaluate the candidate's work, neither the candidate nor any other faculty member other than the DEO or Dean will communicate with the reviewer concerning the subject of the review or the review process.
- (10) The DEO will keep a record of:
- (a) the list of suggested reviewers,
  - (b) the names of persons invited to review,
  - (c) the names of actual reviewers,
  - (d) comments submitted by the candidate, the DEO, and the internal faculty reviewers, and

- (e) correspondence and other communications between the DEO or Dean and invited reviewers and actual reviewers.
- (11) All letters received from external reviewers will be entered by the DEO into the Promotion Record in the sections dedicated to the history and evaluation of the candidate's professional productivity and/or clinical and other service, along with:
- (a) a list of all invited reviewers--indicating whether the reviewer was suggested by the candidate, the DEO, or the internal faculty reviewers--and a brief explanation of why any invited reviewer declined;
  - (b) the candidate's written objection to any potential external reviewer on the basis of bias, if a letter was solicited from that reviewer over the candidate's written objection;
  - (c) a copy of the letter or letters of solicitation to external reviewers;
  - (d) a brief description of each external reviewer's qualifications;
  - (e) a statement of how the reviewer knows the candidate's work, if it is not obvious from the reviewer's letter;
  - (f) a statement that identifies and addresses circumstances which might call into question the impartiality of the reviewer; and
  - (g) an explanation of why the choice of a reviewer was made, if the reviewer is not from a peer institution, organization, or professional body, where the corresponding department or individual evaluator is of peer quality.
- H. The candidate will be given an opportunity to respond to the internal peer evaluations as follows
- (1) The DEO will send to the candidate a copy of the internal peer evaluations of the candidate's teaching, professional productivity, and clinical or other service that have been entered into the appropriate sections of the Promotion Record.
  - (2) The candidate will be allowed a limited time period, specified in the college's written Procedures governing promotion decision-making, to submit in writing any corrections to factual errors in the internal peer evaluations of the candidate's teaching, professional productivity, and clinical or other service.

**In the College of Public Health, the candidate will have 10 working days in which to respond.**

- (3) If the candidate submits a letter correcting factual errors in the internal peer evaluations of the candidate's teaching, professional productivity, and clinical and other service, the DEO will enter it into the Promotion Record.

I. The DCG will participate in the promotion decision-making process as follows:

- (1) Following the principle that each individual participating in the promotion decision-making process may vote for or against the granting of promotion to a candidate only once, DCG members who are also members of the CCG will participate in the promotion decision-making for a candidate from their department at the departmental level and may not participate in the CCG's deliberations or voting in regard to that candidate..

**In the College of Public Health, if there are fewer than four faculty members in a department who are qualified to serve on the Departmental Consulting Group, additional members will be chosen using the following procedure:**

**The faculty candidate will be asked to provide a list of up to three faculty members of appropriate rank who are familiar with his or her area of study. The DEO, in consultation with the Departmental Consulting Group, shall identify additional choices, and from among this combined list, select the needed number of outside faculty in order to make the size of the Departmental Consulting Group equal to the minimum number of four that are required. At least one of those chosen must be from the list submitted by the faculty candidate.**

- (2) The DEO may attend the meetings of the DCG, but may not vote, participate in the discussion other than to provide factual information, or contribute to the written report summarizing its discussion.
- (3) The Promotion Record available to the DCG will consist of the candidate's dossier with appendices (materials documenting professional productivity and student teaching evaluations, including those student teaching evaluations added to the Promotion Record by the DEO); the internal and external peer evaluations of professional productivity, and service, entered into the appropriate sections of the Record; and the candidate's letter correcting factual errors in the internal peer evaluations, if any.
- (4) The DCG will meet to discuss the candidate's qualifications, to vote by secret ballot for or against the granting of promotion, and, in accordance with the college's written Procedures on promotion decision-making, to assign one or more of its members to prepare a summary report of the discussion, document the final vote, and, enter that information into the Promotion Record. The summary report will contain a recommendation for or against the granting of promotion based on the written Procedures of either the department or the college, as applicable, stating the criterion vote (e.g., simple majority, two-thirds majority) that defines a positive recommendation for promotion. This report shall not reiterate the details

of the internal and external peer reviews or restate other material already in the dossier; rather, it shall identify those specific aspects of the dossier that formed the basis of the DCG recommendation.

**In the College of Public Health, the DCG will select one of its members to prepare a summary report, which will then be reviewed by the entire group. Revisions will be made if needed, and then the report will be placed into the Promotion Record. A minority opinion expressed by one or more members of the DCG can be attached to the summary report.**

- (5) The results of the DCG's vote and the summary report of its discussion and its recommendation for or against the promotion will be transmitted to the DEO as part of the candidate's Promotion Record and also provided to the candidate, redacted as needed by those who prepared the summary report to protect the confidentiality of any individual contributions, whether from students, external reviewers, or University of Iowa faculty members.
- (6) The candidate will be allowed a limited time period, specified in the college's written Procedures governing promotion decision making, to submit to the DEO a letter correcting factual errors about the candidate's record in the DCG's summary report of its discussion.
- (7) If the candidate submits a letter correcting factual errors about the candidate's record in the DCG's summary report, the DEO will enter it into the Promotion Record before making a recommendation to the Dean.

J. The DEO will participate in the promotion decision-making process as follows:

- (1) Based on the Promotion Record, the DEO will recommend that promotion be granted or denied in a separate letter to the collegiate Dean for each candidate.
- (2) As with the DCG report, the DEO's letter to the Dean should not reiterate the details of material that already is in the dossier. Rather, it will explain her or his reasons for recommending for or against promotion, stating how the candidate has or has not met the relevant criteria for promotion and, when the recommendation of the DCG is not followed, will explain why the contrary recommendation is being made and will address any disagreement between the DEO's evaluation and the evaluation of the DCG as reflected in the summary report of the DCG's discussion.
- (3) Even if the DEO recommends that the candidate be promoted, the DEO's letter to the Dean will address any negative aspects of the Promotion Record.
- (4) The DEO's letter will be transmitted to the Dean as part of the candidate's Promotion Record.

K. The candidate will be given the opportunity to respond to a recommendation against promotion by the DEO as follows

- (1) At the same time that the Promotion Record is submitted to the Dean, if the DEO's recommendation is negative, the DEO will provide the candidate with a copy of the DEO's letter to the Dean..
- (2) The candidate then, upon request, will have access to the Promotion Record, with the following provisions:

**In the College of Public Health, the candidate will have 10 working days to review the Promotion Record.**

- (a) the external reviews of the candidate's professional productivity and/or clinical and other service must be redacted as appropriate to protect the confidentiality of reviewers;.
  - (b) any comments in the Promotion Record referring to external reviews of the candidate's professional productivity and/or clinical and other service must be redacted as appropriate to protect the confidentiality of reviewers; and
  - (c) the student evaluations of the candidate's teaching which were added to the Promotion Record by the DEO must be redacted to protect the confidentiality of student evaluators
- (3) The candidate for a limited time period, specified in the college's written Procedures governing promotion decision-making has the right to submit to the Dean:
- (a) a written response to the DEO's negative recommendation and
  - (b) additional information to be included in the Promotion Record.

**In the College of Public Health, the candidate will have five working days beyond the period specified in (2) to submit a letter of response and/or add additional information to the Promotion Record.**

- (4) If the candidate submits a letter of response to the Dean for inclusion in the Promotion Record, the candidate shall also give the DEO a copy of the response.

## **II. College level procedure**

A. If the candidate submits a written response to the DEO's letter to the Dean, the Dean will place the response in the Promotion Record.



B. The CCG shall participate in the promotion decision-making process as follows:

- (1) Each college with multiple units must include in its written Procedures governing promotion decision-making a procedure for establishing a faculty CCG, as well as guidelines for the membership of the Group and how it will function. Members of a CCG who have participated in a promotion decision for a particular candidate at the departmental level may not participate in the CCG's deliberations or voting in regard to that candidate. The CCG must contain faculty from both the tenure and clinical tracks.

**In the College of Public Health, the Collegiate Consulting Group will consist of the Faculty Council Promotion and Tenure Committee, as specified in the College of Public Health Manual of Procedure.**

- (2) The Dean may attend the meetings of the CCG, but may not vote or contribute to the written report summarizing its discussion.
- (3) The Promotion Record available to the CCG will consist of the Promotion Record available to the DEO, the DEO's letter, and the candidate's letter of response (if any) following receipt of the DCG's recorded vote and summary report with recommendation and the letter of recommendation of the DEO to the Dean. Although the appendices to the Promotion Record (consisting of student teaching evaluations and publications) are part of the Promotion Record, the determination of whether and when these appendices are physically moved to the Dean's custody will depend on the college's written Procedures governing promotion decision-making.

**The complete Appendices to the promotion Record will be maintained in the Departmental Office, but may be requested by the Collegiate Consulting Group or the Dean for review as needed.**

- (4) If the CCG finds it necessary for clarification or supplementation of the Promotion Record, the CCG may submit to the DCG and/or the DEO a written request for additional information. The CCG will enter any information thus obtained into the Promotion Record.
- (5) The CCG will, in accordance with the college's written Procedures governing promotion decision-making, meet:
  - (a) to discuss the candidate's qualifications,
  - (b) to vote and make a recommendation for or against the granting of promotion,  
and
  - (c) to assign one or more of its members

- (i) to prepare a summary report of the discussion, if its recommendation to the Dean is negative and contrary to that of the DCG or DEO, or if such a report is required by the college's written Procedures on promotion decision-making;
- (ii) to document the final vote, and
- (iii) enter that information into the Promotion Record.

**In the College of Public Health, each candidate for promotion shall be assigned to a primary and secondary reviewer from among the Collegiate Consulting Group. These reviewers will be chosen from among those eligible to vote on that candidate. These two reviewers will review the entire dossier that is submitted to the Dean. The remainder of the Collegiate Consulting Group will review the candidate's curriculum vitae, personal statements, letter from the Departmental Consulting Group, and the DEO. The Committee will meet to discuss each candidate, and advise the Dean by a vote. The vote will not be by secret ballot, and the allowable votes shall consist of yes, no, or abstention. Those who abstain will be expected to explain to the group the reason(s) for the abstention. Only those members who are of appropriate rank and track according to University guidelines will vote on individual candidates. Specifically: a) only members who are in the tenure track will vote on tenure track recommendations; b) both clinical track and tenure track members may vote on candidates in the clinical track; c) in either track, only those members who hold a higher rank than the candidate may vote. Consulting Group members will absent themselves from any and all discussion or votes regarding candidates from any department in which they themselves are appointed. The Collegiate Consulting Group will provide the Dean a written report that recommends specific actions on promotion and tenure, including vote counts and reasons for or against recommendations.**

**In the College of Public Health, the Collegiate Consulting Group will not keep minutes of the discussion, but will provide a written report to the Dean as described in II.A.(5) above.**

- C. The candidate will be given the opportunity to respond to the CCG's recommendation under the following conditions:
- (1) If the CCG's recommendation to the Dean is negative and contrary to that of the DCG or DEO, the candidate will be provided with a copy of the CCG's vote and summary report and will have access to the Promotion Record, with the following provisions:
    - (a) the external reviews of the candidate's professional productivity and/or clinical or other service must be redacted as appropriate to protect the confidentiality of reviewers;

- (b) any comments in the Promotion Record referring to external reviews of the candidate's professional productivity and/or clinical or other service must be redacted as appropriate to protect the confidentiality of reviewers; and
  - (c) the student evaluations of the candidate's teaching which were added to the Promotion Record by the DEO must be redacted to protect the confidentiality of student evaluators.
- (2) The candidate, then, for a limited time period specified in the college's written procedures governing promotion decision making, has the right to submit a written response to the CCG's negative recommendation.

**In the College of Public Health the candidate will have ten working days to respond.**

D. The Dean shall participate in the promotion decision-making process as follows:

- (1) If the candidate submits a written response to the CCG's negative recommendation, the Dean will place the response in the Promotion Record.
- (2) When any materials which were not available at the time of the departmental action are forwarded by the DEO to the Dean, the Dean will make a determination whether it is likely that the new material would have substantially altered the departmental evaluation of the candidate's record by the DCG and/or the DEO. If, in the Dean's judgment, a substantial change in the departmental evaluation is likely, the Dean will return the case to the DEO for any appropriate supplementary action so that the Dean will be able to act in the light of an accurate indication of departmental judgments.
- (3) Based on the Promotion Record, including the response of the candidate, if any, to the CCG report, the collegiate Dean will recommend that promotion be granted or denied in a separate letter to the Provost for each candidate.
- (4) The Dean's letter to the Provost will explain the Dean's reasons for recommending for or against promotion stating how the candidate has or has not met the relevant criteria for promotion. As with previous steps in this process, the Dean's letter to the Provost shall not reiterate the details of material that already is in the dossier; rather, it shall identify those aspects of the dossier that formed the basis of the Dean's recommendation..
- (5) When the Dean's recommendation is contrary to the vote of the DCG, the recommendation of the DEO, and/or the recommendation of the CCG, the Dean's letter will explain why the contrary recommendation is being made.
- (6) The Dean's letter will be transmitted to the Provost as part of the candidate's Promotion Record.

- (7) At the same time that the Dean's letter is submitted to the Provost, the Dean will inform the DEO of the recommendation that has been forwarded to the Provost. The DEO, in turn, will inform the members of the DCG of the Dean's recommendation and also will inform the candidate if the Dean's recommendation is positive.
- (8) The Dean will transmit to the Provost one copy of the Promotion Record for each candidate in the college, along with a single copy of the college's written Procedures governing promotion decision-making.

E. The candidate will be given the opportunity to respond to a negative recommendation by the Dean as follows:

- (1) At the same time that the Promotion Record is submitted to the Provost, if the Dean's recommendation is against promotion, the Dean will provide the candidate with a copy of the Dean's letter to the Provost.
- (2) The candidate then, upon request, will have access the Promotion Record, with the following provisions:
  - (a) the external reviews of the candidate's professional productivity must be redacted as appropriate to protect the confidentiality of reviewers;
  - (b) any comments in the Promotion Record referring to external reviews of the candidate's professional productivity must be redacted to protect the confidentiality of reviewers; and
  - (c) the student evaluations of the candidate's teaching which were added to the Promotion Record by the DEO must be redacted to protect the confidentiality of student evaluators; and
  - (d) any comments in the Promotion Record referring to external reviewers or any other identifiable individual must be redacted as appropriate to protect confidentiality.
- (3) The candidate, for a limited time period, specified in the college's written Procedures governing promotion decision-making, has the right to submit (a) a written response to the Dean's recommendation against promotion and (b) any additional information to be included in the Promotion Record.

**In the College of Public Health, the candidate will be allowed 10 working days to access the Promotion Record.**

- (4) If the candidate submits a written response to the Provost for inclusion in the Promotion Record, the candidate also shall give the DEO a copy of the response.

### **III. University level procedures**

A. The Provost shall participate in the promotion decision-making process as follows:

- (1) The Promotion Record available to the Provost will consist of the Promotion Record available to the Dean, the Dean's letter, and the candidate's letter of response (if any) to the negative recommendation of the Dean. Although the appendices to the Promotion Record (consisting of student teaching evaluations and publications) are part of the Promotion Record, they normally will not be moved physically to the Provost's custody unless the Provost requests them.
- (2) When any materials that were not available at the time of the departmental or collegiate action are forwarded to the Provost, the Provost will make a determination whether it is likely that the new material would have altered substantially the evaluation of the candidate's record. If, in the Provost's judgment, a substantial change in the departmental or collegiate evaluation is likely, the Provost will return the case to the DEO or Dean for any appropriate supplementary action, including additional review by the Dean if appropriate, so that the Provost will be able to act in the light of an accurate indication of departmental and collegiate judgment.
- (3) On the basis of the Promotion Record available to the Provost, the Provost will make a decision that promotion should be granted or denied, and will recommend that the Board of Regents grant promotion to those candidates determined to be deserving.
- (4) In making the promotion decision, the Provost may, at the Provost's discretion, consult with others, including but not limited to the associate provosts and the collegiate deans.

B. The candidate shall be informed of the Provost's decision as follows:

- (1) The Provost will inform the Dean in writing of the Provost's recommendation to the Board of Regents.
- (2) The Dean will inform the candidate in writing of the provost's recommendation to the Board of Regents and, in the case of a recommendation against promotion will inform the candidate of the availability of the official Faculty Dispute Procedures of the University Operations Manual (section III.29.1-III.29.4, III.29.6) and will enclose a copy via certified mail.
- (3) The collegiate Dean will inform the DEO of the Provost's recommendation who, in turn, will inform the departmental faculty.

**Appendix A - Points to be determined by Collegiate Procedural Guidelines**

The following points must be covered by the Collegiate Procedures (as approved by the Provost) to satisfy a requirement of or to provide a variation from a provision of these Procedures:

- General Principles: the composition of the DCG with regards to additional clinical-track faculty members from outside the department;
- General Principles: who will perform the functions assigned in these Procedures to the DEO, if they will not be performed by an individual who holds that title;
- General Principles: in nondepartmentalized colleges, what the role of department-like units and their administrative officers, if any, will be;
- General Principles: how and when a candidate will notify the department and/or college of his or her interest in being reviewed for promotion;
- I.B.(1) the date substantive material for the promotion dossier will be due from the candidate, if before September 1;
- I.B.(3)(f) any supplementary material to be included in the dossier in addition to the required minimum described in these procedural guidelines;
- I.C. who shall perform the internal peer evaluations of teaching, professional productivity, and clinical and other service;
- I.D.(1) – (4) details about the process of peer observation of teaching;
- I.E.(1) details about the process of peer evaluation of the candidate's professional productivity (including who will perform the evaluation);
- I.E.(4) how the internal peer reviews of professional productivity will be supplemented by reviewers external to the department, college, and/or University;
- I.F.(1) details about the process of peer evaluation of the candidate's clinical and other service (including who will perform the evaluation);
- I.F.(4) how the internal peer reviews of clinical and other service will be supplemented by reviewers external to the department, college, and/or University;
- I.G.(1) when the process of selection of external reviewers will begin;

- I.G.(2) how many external reviewers will be asked to provide assessments of the candidate's professional productivity and/or clinical and other service, and what materials each will review;
- I.G.(7) the process by which the DEO will select the final list of external reviewers;
- I.H.(2) the period of time allowed the candidate to review the internal peer evaluations of teaching, professional productivity, and service for factual errors (normally five to ten working days) and submit a letter correcting factual errors;
- I.I.(4) details of the DCG's voting procedure, and how the DCG determines which of its members will prepare the summary report of its discussion, document the final vote, and enter that information in to the Promotion Record;
- I.I.(4) the criterion vote (e.g., simple majority, two-third majority) that defines a positive recommendation if not otherwise specified in departmental written policy;
- I.I.(6) the period of time allowed the candidate to submit a letter correcting any faculty errors regarding the candidate's record in the DCG report;
- I.K.(3) the period of time allowed the candidate to access the Promotion Record and to submit to the Dean a written response to the DEO's recommendation against promotion and other additional material to be included in the Promotion Record (normally five to ten working days);
- II.B.(1) how the CCG is formed and performs its functions:
- III.B.(3) whether and when the appendices to the Promotion Record are physically transmitted to the Dean;
- II.B.(5) the procedure according to which the CCG will vote and make a recommendation for or against the granting of promotion, whether a summary report of the CCG's discussion is required (when it is not required by these Procedures), and how the CCG will determine which of its members will prepare the summary report of its discussion (if any), document the final vote and recommendation, and enter that information into the Promotion Record; of the CCG's negative recommendation to the Dean; and
- II.E.(3) the period of time allowed the candidate to access the Promotion Record and to submit to the Provost a written response to the Dean's recommendation against promotion (normally five to ten working days).

The comments on the Procedures (Appendix I) suggest additional matters that might be covered in Collegiate Procedures.

## Appendix B – Clinical Track Qualifications for Appointment

### I. Qualification for Specific Ranks

Clinical track faculty hold positions through which they contribute to the teaching, professional productivity, and/or outreach missions of the College, and hold faculty rank at instructor, assistant professor, associate professor, or professor.

All clinical track faculty are expected to further public health practice which is defined as the application of public health knowledge, skills, and techniques in addressing actual problems and opportunities in governmental and private organizations, at the community level, and in the area of health policy. It involves assisting a wide range of organizations and groups in defining, analyzing, and resolving issues that affect the health status of individuals, communities, and society-at-large. The clients of public health practice consequently include individuals, communities, and organizations.

Clinical track faculty with *salaried* appointments are persons who have faculty career positions, who make their primary contributions through instruction, professional productivity, and public health practice to citizens of the state and to alumni. (See Appendices Q, R and S). No more than 20% of the total salaried College faculty may hold such appointments. The titles of these faculty shall contain the modifier "clinical," noted parenthetically after the rank, such as Assistant Professor (Clinical), and before the name of the department.

Non-salaried clinical track faculty are persons who do not have faculty career positions. They are individuals whose professional affiliations are typically outside The University of Iowa, such as with county health departments or with the Iowa State Department of Public Health. Such faculty make contributions through instruction, professional productivity, and public health practice to citizens of the state and to alumni (See Appendices Q, R, and S). The titles of these faculty shall contain the modifier "adjunct" before the rank and the modifier "clinical" noted parenthetically after the rank, such as Adjunct Assistant Professor (Clinical).

Promotion in this track is based on professional productivity. Promotion for non-salaried clinical track faculty will be effected by reappointment at the higher rank, following the usual faculty review procedures for reappointment.

Effective teaching is essential and is the first requirement for promotion. Professional productivity encompasses activities utilizing the faculty member's professional expertise. The categories of activities to be considered include:

- Professional service
- Public health practice
- Written scholarship



While written scholarship may help satisfy this requirement, it is not required for promotion in this track. The type of written scholarship that will be considered as evidence for promotion in this track is broad, and includes, for example, high quality review articles, text book chapters, and policy documents (for institution, discipline, state government, etc.).

Promotion can be supported by a variety of professional productivity profiles. For example, some faculty will be involved primarily in a single area, such as education or outreach. Other faculty will pursue activities in several of these areas. In all cases, a recommendation for promotion should be based on the quality of the activities, not just the quantity.

Although most faculty members in this track will continue to spend the majority of their effort throughout their career in outreach activities, some individuals may not. These faculty members, by mutual decision with the institution, will focus their effort in a specific sphere of professional productivity (for example, as a laboratory director, hospital or collegiate administrator, curriculum director, funded clinical investigator, etc.). When such individuals are considered for promotion, these activities should be the primary focus of the evaluation as long as there has been demonstration of the appropriate level of expertise in teaching since the original appointment.

A. Assistant Professor (Clinical)

1. He or she must hold the doctorate, its equivalent, suitable professional degree, or must clearly have equivalent experience.
2. He or she must show promise of excellent public health practice and professional productivity.
3. He or she must show evidence of ability as a teacher (See Appendix F).
4. The initial term of appointment is for between one and three years. Reappointment is not automatic, but requires departmental review of the faculty member's performance and a recommendation based upon the evaluation of the faculty member's performance in teaching, public health practice, and professional productivity.

During the third year, or prior to that if a promotion is contemplated, a full-scale departmental-collegiate review will be made. After a positive review, and at least three years in rank, the faculty member will receive an appointment of between 3 and 7 years.

Termination during the term of the appointment must be for failure to meet written standards of competence and performance (see

Appendix U) established by departments and approved by the College. A decision not to renew an appointment may be for failure to meet the written standards of competence and performance, or for changed economic circumstances or program needs such that the position itself is terminated. Non-renewal may only occur at the conclusion of an appointment. Notice of non-renewal must carry appropriate notice, as defined in *Operations Manual* III.10.9.h.(1).(c).

5. There is no maximum period of time by which promotion must be achieved in this track. However, an Assistant Professor may request consideration for promotion at any regular yearly promotions cycle after, in general, the fourth year of appointment.

B. Associate Professor (Clinical)

1. He or she must hold the doctoral, its equivalent, suitable professional degree, or must clearly have equivalent experience.
2. He or she must have an acknowledged record of teaching success, which may include a record of successful direction of the work of graduate students where applicable (see Appendix Q). Such direction, although not routinely expected, is a measure of teaching success.
3. He or she must show evidence of progress toward a record of professional productivity and public health practice (see Appendices R and S).
4. The term of appointment is between 3 and 7 years. Reappointment is renewable based on departmental review of the faculty member's performance and a recommendation based upon the evaluation of the faculty member's performance in teaching, public health practice, and professional productivity.

Termination during the term of the appointment must be for failure to meet written standards of competence and performance. These standards will be established by departments and approved by the College. A decision not to renew an appointment may be for failure to meet the written standards of competence and performance (Appendix U), or for changed economic circumstances or program needs such that the position itself is terminated. Non-renewal for changed economic circumstances or program needs may only occur at the conclusion of an appointment, and must carry appropriate notice, as defined in *Operations Manual* III.10.9.h.(1).(c).

5. There is no maximum period of time by which promotion must be achieved in this track. However, an Associate Professor may request consideration for promotion at any regular yearly promotions cycle.

C. Professor (Clinical)

1. He or she must hold the doctorate, its equivalent, suitable professional degree, or must clearly have equivalent experience.
2. He or she must have an acknowledged record of sustained teaching success, including a record of successful direction of the work of graduate students where applicable (see Appendix Q). Such direction, although not routinely expected, is a measure of teaching success.
3. He or she must have an established record of professional productivity and public health practice, and unmistakable evidence or recognition by peers at the state, regional, national, or international level (see Appendix R and Appendix S).
4. At the rank of Professor, the term of appointment is between 3 and 7 years. Reappointment is renewable based on departmental review of the faculty member's performance and a recommendation based upon the evaluation of the faculty member's performance in professional productivity, teaching, and public health practice.

Termination during the term of the appointment must be for failure to meet written standards of competence and performance. These standards will be established by departments and approved by the College (Appendix U). A decision not to renew an appointment may be for failure to meet the written standards of competence and performance, or for changed economic circumstances or program needs such that the position itself is terminated. Non-renewal for changed economic circumstances or program needs may only occur at the conclusion of an appointment, and must carry appropriate notice, as defined in *Operations Manual* III.10.9.h.(1).(c).

## II. Review of Faculty

Salaried clinical track assistant professors should be reviewed annually during the first six years of appointment, and during the review cycle prior to every renewal of appointment thereafter, with the results reported by the Collegiate Dean to the Provost on the appropriate form. If the faculty member is promoted to Associate Professor between the third and sixth years, annual review is not required thereafter. Initiation of the review is the responsibility of the department head. It is expected that the review will be performed in consultation with the individual faculty member. All salaried clinical track faculty members must be reviewed by both the clinical track and tenured departmental faculty members of higher rank during the third year of service, or prior to the termination of the appointment period when initial appointment is for less than three years; and during the review cycle prior to every renewal of appointment thereafter.

## III. Promotion and Reappointment

Several factors should be kept in mind when promotion is considered. These are stated in various parts of these policies and procedures and those of the University:

- A. All faculty, whether on the tenure or clinical track, must teach. The effectiveness of teaching is evaluated before proceeding with consideration for promotion.
- B. Although there will be variation in the types and quantities of activities necessary for promotion and reappointment, all faculty members must demonstrate effective teaching, outstanding professional productivity, and effective public health practice, such as outreach activities. (See Appendices Q, R and S).

**Appendix C – Recommendation for Faculty Promotion Cover Sheet**

(generated in UI Workflow system)

**Appendix D – [Sample Letter from Departmental Executive Officer  
to External Reviewer](#)**

(can be found in Helpful Documents section)

**Appendix E - Review Procedures for Clinical-track Faculty with Joint Appointments**

- A. In the case of a non-0% joint-appointment candidacy for promotion, the departments shall form (a) joint internal review committee(s) (see Section I.C. below), roughly proportional in its (their) makeup to the percentage of faculty effort in each department and with at least one committee member from each department. The DEO(s) or the candidate may seek approval of the dean(s) for an alternative structure in exceptional circumstances, including cases of marked discrepancy between percentage effort and percentage salary support across the two units, or in the case of a joint but non-interdisciplinary appointment, such that joint review is inappropriate. When standard review procedures differ between units (e.g., delegation of review of teaching, research and service to separate subcommittees vs. using a single internal review committee for all three areas), a joint decision shall be made establishing procedures that are mutually acceptable to the faculty member and the units in advance of deliberations of the review committee(s). The joint internal review committee shall report, both in writing and at (a) meeting(s) with at least one internal review committee member from each department present, to each DCG.
- B. The departments involved must determine, together with the affected faculty member, whether the DCGs will meet jointly or separately and, if jointly, whether the DCGs will have joint or separate votes and reports. If separately, (a) if a faculty member holds a 50-50 joint appointment each DCG will make an independent and primary decision using its college's written policy governing promotion decision making; (b) if a faculty member holds a 1% to 49% joint appointment in a department, the departments involved must determine, together with the affected faculty member, whether each DCG will make an independent decision or whether the DCG in which the faculty member holds the smaller percentage appointment will be limited as described in section C below. These determinations should be made by mutual agreement of the faculty member, both DEOs, and the Dean (s) early in the joint appointment and set forth in a letter of agreement, copied to the Provost.
- C. If a faculty member holds a 1% to 49% appointment in a department, and a determination is made that that department shall not make an independent decision, then that department shall participate in the following manner (see sections II.(G) and II.(H) for additional detail).
- (1) The DCG shall:
- (a) receive the candidate's dossier including the letters of the external reviewers;
  - (b) review and discuss the candidate's qualifications;
  - (c) make a recommendation for or against the granting of promotion based on a secret-ballot vote;

- (d) write a brief report of its discussion, including its vote and recommendation for or against the granting of promotion. If a majority of the DCG request, it may delegate writing this report to the DEO.
- (2) The DEO shall:
- (a) write a letter
    - (i) reporting the DCG discussion, including its vote and recommendation for or against the granting of promotion, if requested by a majority of the DCG to do so, and
    - (ii) making an independent recommendation that promotion be granted or denied;
  - (b) add the DCG report, if any, and this letter to the Promotion Record, and
  - (c) submit the Promotion Record to the primary department in time for consideration by the DCG of that department.

Similarly,

- (3) the CCG of the college in which a faculty member has a 1% to 49% appointment shall:
- (a) receive the candidate's Promotion Record from the DEO of the primary department;
  - (b) review and discuss the candidate's qualifications, and
  - (c) make a recommendation for or against the granting of promotion based on a secret-ballot vote, with a brief report of its discussion if the recommendation is negative. If a majority of the CCG requests, it may delegate writing this report to the Dean.
- (4) The Dean shall:
- (a) write a letter
    - (i) reporting the CCG discussion, including its vote and recommendation for or against the granting of promotion, if requested by a majority of the CCG to do so, and
    - (ii) making an independent recommendation that promotion be granted or denied;

- (b) add the CCG report, if any, and this letter to the Promotion Record;
- (c) submit the Promotion Record to the primary college in time for consideration by its CCG.

D. If a faculty member holds a 0% joint appointment in a department, that department may be limited to a subordinate consultative role in the tenure and promotion process and the affected departments may decide how this role shall be carried out. These determinations should be made by mutual agreement of the faculty member, both DEOs, and the Dean(s) at the beginning of the joint appointment and set forth in a letter of agreement, copied to the Provost.



## Appendix F - Professional Productivity Defined

Members of the clinical track are expected to contribute significantly to professional productivity. A departmental and/or interdepartmental assessment by his or her peers, or reports for his or her constituents who utilize him or her as a consultant would provide reasonable documentation of the individual's professional productivity. Professional productivity also includes contributions to educational and professional activities.

Examples include:

1. developing or contributing to continuing public health education programs or materials. These would include peer-reviewed presentations, such as serving as a panel member at meetings of the American Public Health Association or the American Hospital Association.
2. directing centers related to public health activities, such as health services research.
3. publishing books, monographs, manuals, or in electronic media. Materials in these formats should advance the field in order to be considered professional productivity; materials produced primarily for student teaching should be listed under teaching.
4. serving on editorial boards
5. presenting original scientific data at major national or international meetings, or at major institutions or research organizations.
6. demonstrating a sustained, externally funded, independent research program. It should be noted that research is encouraged, but not required of clinical track faculty.
7. full-time clinical track faculty are encouraged, but not required, even for promotion, to average at least three authored or co-authored publications in peer-review and/or suitable professional journals annually.

## Appendix G - Teaching Defined

Teaching includes all of the following activities:

1. Teaching of students and post-graduate students, residents or fellows in the classroom, laboratory, or other specific area of expertise, etc.
2. Curriculum development: development of objectives, materials and methods, methods of evaluation, etc.
3. Student, resident, or fellow advising and counseling: student, resident, or fellow recruiting.
4. Facilitation of teaching efforts of the faculty, e.g., helping to assess the value of teaching objectives, or of methods of evaluation, providing content material for courses of study, etc.
5. Efforts to improve personal teaching skills.
6. Serving as a faculty instructor in public health continuing education activities.
7. Organizing a new teaching program, or integrating teaching effort within or between departments.
8. Developing teaching materials for any medium, including web-based.
9. Teaching in other academic departments or teaching in cooperative programs with other institutions of higher learning.
10. Serving as a member of education, curriculum, or admission committee.
11. Direction of graduate research, when approved by the Graduate College.

Evidence of a faculty member's efforts in teaching must come from student, resident, or fellow evaluations; teaching awards, etc.; or recognition by faculty or professional organizations. For example:

1. Faculty evaluation of the objectives, methods, and materials of courses that have been designed and taught by the individual.
2. Student, resident, or fellow evaluation of the performance of the individual.
3. Evaluation of teaching effectiveness by faculty who have taught with the individual or have observed the individual's teaching skills.

4. Evaluation concerning the performance of students, residents, and fellows taught by the individual whenever possible and appropriate.
5. Development of better teaching techniques as demonstrated by working with the UI Center for Teaching or other organizations, participation in team-teaching, or seeking out materials designed to improve one's teaching.
6. Development of short courses or "workshops" for students, residents and fellows, postgraduate professionals, and the lay public.
7. Development of better teaching materials, such as the preparation of a syllabus, book of procedures, course of study, laboratory manual, development of testing procedures, or other modes of evaluation. This would include educational efforts directed at students, residents and fellows, postgraduate professionals, and the lay public.

**Appendix H - [College of Public Health Peer Evaluation of Teaching](#)**

(can be found in Helpful Documents section)

## Appendix I - Comments on the Procedures

I.B.(2) The candidate and the DEO should work together to ensure that a candidate's teaching, professional productivity, and clinical and other service, including those activities of an interdisciplinary or multidisciplinary nature, are accurately portrayed in the promotion dossier.

I.B.(3)(c) It is assumed that all faculty members obtain regular student evaluations of their teaching in accordance with collegiate and University policy and that, under the college's policy, there are adequate provisions for consistent practice to ensure the integrity of the evaluation process and to ordinarily preserve the anonymity of the student evaluators. A college is permitted to include evaluations by students who are identified but whose identity is treated as confidential vis-à-vis the candidate. When such a practice is employed, it is imperative that the college's written policy governing promotion decision making specify its details and that it be applied evenhandedly. The candidate's dossier is not expected to include teaching "evaluations" used for experimental, mentoring, or other non-evaluative purposes.

I.B.(3)(f) The college may want to require additional items in the dossier such as teaching materials; refereed conference papers; invited papers, lectures, or presentations; unfunded grant proposals; and so forth. The college's written Procedures governing promotion decision making should specify the items required and apply the requirement evenhandedly to all candidates.

I.B.(6) Examples of "materials which could not have been available by the specified date" include decisions on submitted manuscripts or grant proposals after the specified date, published book reviews of which the candidate had no previous knowledge, teaching evaluations of classes being taught in the fall semester.

I.D. The minimal procedures specified here for evaluation of teaching are not assumed to be adequate for purposes of mentoring and teaching-improvement, and this proposal is not intended to discourage other and different methods for satisfying those purposes.

It should be stressed that "teaching" is described here in traditional terms and that appropriate extrapolations must be made for teaching in fields such as the creative or performance arts, the health sciences or other professional fields.

I.D.(2) This provision in no way privileges or elevates "observation" over such written materials as course syllabi or teaching materials created by the candidate. These written materials will be a part of the candidate's dossier and will be subject to evaluations as part of the total record on the basis of which the candidate is evaluated. Nor should this provision be taken to devalue still other aspects of the teaching process, such as supervising in a clinical setting, supervising dissertation work, advising graduate students, or overseeing the work of teaching assistants; although those teaching activities are not easily reduced to writing nor are they ordinarily subject to observation, these activities are important and nothing in these Procedures prevents a college that is

able to evaluate these other teaching activities from doing so as part of the promotion decision-making process. In this connection, as elsewhere, the critical requirement is that a college inform candidates in its written policy governing promotion decision-making that this evaluation will occur and how it will be carried out, as well as that the college apply its policy consistently to all candidates.

I.G.(10)(d) and (3) Although the records related to external reviewers that are required to be kept under these subsections do not become a part of the Promotion Record concerning each candidate, they would be available for consideration should a question subsequently arise concerning the denial of promotion to that candidate or another candidate for promotion in the department.

I.I. The integrity of academic decision-making requires that all participants base their evaluation on a careful study of the relevant materials, and standards of ethical academic behavior require nothing less. The integrity of particular academic decisions also requires 1) that all faculty members honor their duty to participate fully in the assessment of their colleagues, and 2) the evaluation of the candidate's qualifications not be compromised by the participation of anyone having a disqualifying conflict of interest. This requirement entails that any faculty member or administrator who would otherwise participate in the recommendation to grant or deny a promotion should be disqualified if that person has a relationship or interest which would give the appearance of biasing that person either in favor of or against the candidate. Conflicts of interest exist not because actual bias is assumed, but because of the appearance of a lack of sufficient impartiality. Whether a disqualifying conflict of interest does exist often presents the difficult question of degree, and it depends upon a determination by a participant in the process to identify the conflict and to disqualify herself or himself when appropriate. In lieu of disqualification, in some cases it can be sufficient that the circumstances giving rise to an apparent conflict of interest be fully disclosed. When disqualification is required, that can be effected by a decision of a member of the DCG not to vote or otherwise to participate in the evaluation process; at a stage of the process involving a single decision maker, such as the DEO or the collegiate Dean, more burdensome arrangements for a substitute decision maker would have to be made. Although treatment of conflicts of interest in the college's written Procedures governing promotion decision-making would be appropriate, these Procedures have not attempted to address the specific situations that might create conflicts of interest nor to provide procedures for avoiding them. (For the Conflict of Interest Policy, refer to sections II-18 and III-8 of the University's Operations Manual.)

The integrity of the promotion decision-making process also requires that all documentary material be available only to those entitled to participate the process and that every participant treat as confidential all information obtained from reading documents in the Promotion Record or from participating in any discussion concerning the qualifications of a candidate for promotion.

I.I.(2) In non-departmentalized colleges, the Dean attends the meeting of the DCG in the same manner as the DEO unless otherwise specified in the college's written Procedures on promotion decision-making and approved by the Provost.

I.I.(5) Because the Promotion Record may be redacted to protect reviewers' confidentiality where appropriate, it will be especially important that the DCG's report and the DEO's letter be written in sufficient detail to enable the candidate to submit a written response should the candidate choose to do so.

I.J.(4) This is the first point in the decision process at which there is a specific reference to transmitting the Promotion Record. Prior to this stage of the process, it is assumed that the Promotion Record is compiled within the department under the joint management and custody of the DCG and the DEO. If the location of the Promotion Record would not otherwise be clear, the college's written Procedures governing promotion decision-making should provide some means of informing decision makers of the location of various materials comprising the Promotion Record from time to time as the decision process moves from the candidate to the DCG to the DEO.

## **Performance Expectations for Clinical Track Faculty Relating to Promotion**

Department of Biostatistics  
College of Public Health  
University of Iowa

***Note: This document is intended to be used as a set of guidelines only. It supplements, and does not replace, the current University of Iowa Operations Manual and the College of Public Health Guidelines on Promotion and Tenure.***

The University of Iowa Operations Manual (section 10.9 in May 2005) defines Clinical Track Faculty and their role as below.

"All clinical faculty must devote a significant portion of their time to providing or overseeing the delivery of professional services to individual patients or clients. In addition, teaching students, residents, or fellows of the University at the undergraduate, graduate, professional, or postgraduate level is an essential job function for all faculty (whether tenured, tenure track, or clinical). Thus, clinical faculty are expected to integrate the delivery of their professional services with their teaching. While the use of clinical faculty is most easily conceived in the context of health sciences and law where faculty are involved in the delivery of professional services to patients and clients, there are other disciplines in other colleges where the use of clinical faculty for similar purposes may be entirely appropriate."

The requirements for clinical track faculty are different than those for tenure-track faculty in that clinical track faculty are not expected or required to publish methodological research in statistics or supervise PhD students in writing a thesis in Biostatistics (which requires methodological innovation). Such publications and advising are meritorious and add to the case for promotion, but they are not necessary. Clinical track faculty members are required to publish collaborative research, as are all faculty members in Biostatistics, to deliver professional statistical services to collaborators (clients) and to integrate the delivery of their professional services with their teaching. The delivery of professional statistical services can be recognized by funding (through effort on grants or through hourly charges through the Biostatistical Consulting Center or a Biostatistical Core of a large grant) and co-authorship of publications.

Clinical track faculty members are also required to integrate the delivery of these services with teaching. This can be mentoring and supervision of Biostatistics graduate students (as graduate research assistants or through a preceptorship experience) or mentoring of graduate students and/or faculty in other Departments. Traditional classroom teaching may be a very small part of the teaching effort of clinical track faculty. Clinical track faculty are expected to mentor the preceptorships of MS students, sit on graduate and professional degree committees in Biostatistics and/or other disciplines, and mentor students and faculty in other disciplines, but not necessarily to advise PhD students in Biostatistics through the writing of their PhD thesis.

The effort allocation of clinical track faculty may vary widely between individuals and also change from year to year. Effort should reflect funding: corresponding time should be devoted to effort funded through external research grants and through the general fund.



Traditional classroom teaching and service is generally supported through the General Fund. The quantity of teaching, publications and service should reflect effort and funding source when a candidate's record is reviewed for promotion.

In summary, the requirements for promotion in the clinical track are identical to those in the tenure-track except that:

1. There is no requirement for methodological research in the clinical track for promotion to any rank.
2. Faculty members in the clinical track should incorporate teaching into their collaborative research.
3. The effort allocation of clinical track faculty varies between individuals in this track and classroom teaching may be a very small part of effort. The quantity of classroom teaching should reflect funding sources.

For promotion to associate from assistant professor the following are required:

1. Evidence of effective teaching, either in the classroom or through mentoring or both.
2. Demonstration of scholarly achievement supported by substantial scholarly publications, all of which may be collaborative medical research.
3. Service at a level reflected in funding from the General Fund.
4. Teaching, scholarly achievement and service should give unmistakable promise of promotion to full professor in the clinical track.
5. A record including high quality delivery of professional Biostatistical services.

For promotion to full professor:

1. Sustained record of high quality teaching at an effort level consistent with funding.
2. Scholarly achievement of high quality all of which may be collaborative medical research, and evidence of professional biostatistical leadership.
3. Significant service to the department, college, university and nationally/internationally.
4. A sustained record of high quality delivery of professional biostatistical services.

National recognition of scholarly achievement can be documented by making professional contributions leading to co-authorship of publications of high quality and high impact. National recognition can also be documented by editorial service on journals, including non-statistical journals. Professional Biostatistical leadership can be documented, for example, by leadership of the Biostatistics Core of a large group, such as a Comprehensive Cancer Center, General Clinical Research Center, Program Project Grant or collaborative clinical trials group. (All the activities in this paragraph are also appropriate for tenured faculty).

As is the case for tenure-track and tenured faculty, professional service includes cross disciplinary activities such as refereeing for statistical and non-statistical journals and service on committees of statistical and non-statistical professional and scientific societies.

In summary all activities of tenure-track and tenured faculty are appropriate for Clinical track faculty, but not all are required.

## **Performance Expectations for Clinical Faculty Relating to Promotion**

Department of Community and Behavioral Health  
College of Public Health  
University of Iowa

*Note: At this point, the Department uses the College of Public Health Faculty Manual on performance expectations for clinical faculty as a guideline for promotion, stated below.*

### **Qualification for Specific Ranks:**

Clinical track faculty hold positions through which they contribute to the teaching, professional productivity, and clinical or service to the College, and hold faculty rank at instructor, assistant professor, associate professor, or professor.

All clinical track faculty are expected to further public health practice which is defined as the application of public health knowledge, skills, and techniques in addressing actual problems and opportunities in governmental and private organizations, at the community level, and in the area of health policy. It involves assisting a wide range of organizations and groups in defining, analyzing, and resolving issues that affect the health status of individuals, communities, and society-at-large. The clients of public health practice consequently include individuals, communities, and organizations. Clinical track faculty with *salaried* appointments are persons who have faculty career positions, who make their primary contributions through teaching, professional productivity, and public health practice to citizens of the state and to alumni. (See Appendices Q, R and V of the College of Public Health Faculty Handbook). No more than 20% of the total salaried College faculty may hold such appointments. The titles of these faculty shall contain the modifier "clinical," noted parenthetically after the rank, such as Assistant Professor (Clinical), and before the name of the department.

Non-salaried clinical track faculty are persons who do not have faculty career positions. They are individuals whose professional affiliations are typically outside The University of Iowa, such as with county health departments or with the Iowa State Department of Public Health. Such faculty make contributions through teaching, professional productivity, and public health practice to citizens of the state and to alumni (See Appendices Q, R, and V of the College of Public Health Faculty Handbook). The titles of these faculty shall contain the modifier "adjunct" before the rank and the modifier "clinical" noted parenthetically after the rank, such as Adjunct Assistant Professor (Clinical). Promotion in this track is based on professional productivity. Promotion for non-salaried clinical track faculty will be effected by reappointment at the higher rank, following the usual faculty review procedures for reappointment.

Effective teaching is essential and is the first requirement for promotion. Professional productivity encompasses activities utilizing the faculty member's professional expertise. The categories of activities to be considered include:

- Professional service
- Public health practice
- Written scholarship

While written scholarship may help satisfy this requirement, it is not required for promotion in this track. The type of written scholarship that will be considered as evidence for promotion in this track is broad, and includes, for example, high quality review articles, text book chapters, and policy documents (for institution, discipline, state government, etc.).

Promotion can be supported by a variety of professional productivity profiles. For example, some faculty will be involved primarily in a single area, such as education or outreach. Other faculty will pursue activities in several of these areas. In all cases, a recommendation for promotion should be based on the quality of the activities, not just the quantity.

Although most faculty members in this track will continue to spend the majority of their effort throughout their career in outreach activities, some individuals may not. These faculty members, by mutual decision with the institution, will focus their effort in a specific sphere of professional productivity (for example, as a laboratory director, hospital or collegiate administrator, curriculum director, funded clinical investigator, etc.). When such individuals are considered for promotion, these activities should be the primary focus of the evaluation as long as there has been demonstration of the appropriate level of expertise in teaching since the original appointment.

#### A. Assistant Professor (Clinical)

1. He or she must hold the doctorate, its equivalent, suitable professional degree, or must clearly have equivalent experience.
2. He or she must show promise of excellent public health practice and professional productivity.
3. He or she must show evidence of ability as a teacher (See Appendix R).
4. The initial term of appointment is for between one and three years. Reappointment is not automatic, but requires departmental review of the faculty member's performance and a recommendation based upon the evaluation of the faculty member's performance in teaching, public health practice, and professional productivity.

During the third year, or prior to that if a promotion is contemplated, a full-scale departmental-collegiate review will be made. After a positive review, and at least three years in rank, the faculty member will receive an appointment of between 3 and 7 years.

Termination during the term of the appointment must be for failure to meet written standards of competence and performance (see Appendix Z in the College of Public Health Faculty Handbook) established by departments and approved by the College. A decision not to renew an appointment may be for failure to meet the written standards of competence and performance, or for changed economic circumstances or program needs such that the position itself is terminated. Non-renewal may only occur at the conclusion of an appointment. Notice of non-renewal must carry appropriate notice, as defined in *Operations Manual* III.10.9.h.(1).(c).

5. There is no maximum period of time by which promotion must be achieved in this track. However, an Assistant Professor may request consideration for promotion at any regular yearly promotions cycle after, in general, the fourth year of appointment.

#### B. Associate Professor (Clinical)

1. He or she must hold the doctoral, its equivalent, suitable professional degree, or must clearly have equivalent experience.
2. He or she must have an acknowledged record of teaching success, which may include a record of successful direction of the work of graduate students where applicable (see Appendix R). Such direction, although not routinely expected, is a measure of teaching success.
3. He or she must show evidence of progress toward a record of professional productivity and public health practice (see Appendices Q and V of the College of Public Health Handbook).
4. The term of appointment is between 3 and 7 years. Reappointment is renewable based on departmental review of the faculty member's performance and a recommendation based upon the evaluation of the faculty member's performance in teaching, public health practice, and professional productivity.

Termination during the term of the appointment must be for failure to meet written standards of competence and performance. These standards will be established by departments and approved by the College. A decision not to renew an appointment may be for failure to meet the written standards of competence and performance (Appendix Z), or for changed economic circumstances or program needs such that the position itself is terminated. Non-renewal for changed economic circumstances or program needs may only occur at the conclusion of an appointment, and must carry appropriate notice, as defined in *Operations Manual* III.10.9.h.(1).(c).

5. There is no maximum period of time by which promotion must be achieved in this track. However, an Associate Professor may request consideration for promotion at any regular yearly promotions cycle.

#### C. Professor (Clinical)

1. He or she must hold the doctorate, its equivalent, suitable professional degree, or must clearly have equivalent experience.

2. He or she must have an acknowledged record of sustained teaching success, including a record of successful direction of the work of graduate students where applicable (see Appendix R). Such direction, although not routinely expected, is a measure of teaching success.
3. He or she must have an established record of professional productivity and public health practice, and unmistakable evidence or recognition by peers at the state, regional, national, or international level (see Appendix Q and Appendix V).
4. At the rank of Professor, the term of appointment is between 3 and 7 years. Reappointment is renewable based on departmental review of the faculty member's performance and a recommendation based upon the evaluation of the faculty member's performance in professional productivity, teaching, and public health practice.

Termination during the term of the appointment must be for failure to meet written standards of competence and performance. These standards will be established by departments and approved by the College (Appendix Z). A decision not to renew an appointment may be for failure to meet the written standards of competence and performance, or for changed economic circumstances or program needs such that the position itself is terminated. Non-renewal for changed economic circumstances or program needs may only occur at the conclusion of an appointment, and must carry appropriate notice, as defined in *Operations Manual* III.10.9.h.(1).(c).

## II. Review of Faculty

Salaried clinical track assistant professors should be reviewed annually during the first six years of appointment, and during the review cycle prior to every renewal of appointment thereafter, with the results reported by the Collegiate Dean to the Provost on the appropriate form. If the faculty member is promoted to Associate Professor between the third and sixth years, annual review is not required thereafter. Initiation of the review is the responsibility of the department head. It is expected that the review will be performed in consultation with the individual faculty member. All salaried clinical track faculty members must be reviewed by both the clinical track and tenured departmental faculty members of higher rank during the third year of service, or prior to the termination of the appointment period when initial appointment is for less than three years; and during the review cycle prior to every renewal of appointment thereafter.

## III. Promotion and Reappointment

Several factors should be kept in mind when promotion is considered. These are stated in various parts of these policies and procedures and those of the University:

- A. All faculty, whether on the tenure or clinical track, must teach. The effectiveness of teaching is evaluated before proceeding with consideration for promotion.

- B. Although there will be variation in the types and quantities of activities necessary for promotion and reappointment, all faculty members must demonstrate effective teaching, outstanding professional productivity, and effective public health practice, such as outreach activities. (See Appendices Q, R and V in the College of Public Health Faculty Handbook).

June, 2010

Guidelines for Clinical-Track Faculty

Relating to Appointment, Review, and Promotion

Department of Epidemiology  
College of Public Health University of Iowa

I. General Principles

1. All rules and procedures of the University of Iowa and the College of Public Health will be followed, as they apply to clinical track faculty. They are not necessarily repeated in this document.
2. Periodic review of clinical track faculty will take place with full cognizance of the mix of academic activities and the "portfolio" agreed upon by the faculty member and the Head of the Department, thus forming a basis for the structure of expectations.
3. Evaluation of the quality of clinical track faculty performance is based on the same criteria as those of tenure track faculty, except that research activities are not necessarily a part of performance evaluation. However, if the clinical track faculty member is performing research in the conventional sense, the quality of that research will be held to the same standard as that of tenure track faculty.
4. Changes in the Department's overall budget, projected enrollment, or research and educational priorities also play a key role in decisions on appointment, reappointment, promotion and termination of clinical track faculty. This principle is intended to be consistent with University policy as stated in OM {III-10. a(4)(c).
5. A level of performance that was sufficient for promotion in the past may not be sufficient now, and the level of performance that is sufficient now may not be sufficient in the future.

II. Definition of Clinical Track Faculty in the College of Public Health

The clinical track faculty appointment code is used for appointments of renewable-term faculty whose instructional activities and service are in programs subject to professional accreditation that require extensive supervision of practicum or internship experiences and whose professional development expectations do not include research of the sort expected of tenure-track faculty.

Terms of Appointment

Clinical-track faculty appointments are academic-year appointments. Initial appointment will be for a one-, two-, or three-year term. The first three years are considered "probationary." Reappointment after the initial three years of appointment is for a three-year term, although a two-year reappointment term is mandated for appointments at the instructor rank. Reappointment terms for up to seven years are possible for appointments at the associate professor and full professor ranks after at least three years of service at The University of Iowa, if departmental faculty and the Dean deem a longer term appropriate for the individual and the circumstances of the program served.

## Review of Clinical Track Faculty

All clinical-track faculty will be reviewed annually throughout the probationary period, generally one to three years in duration. After three years, or prior to that if a promotion is contemplated, a full-scale, departmental-collegiate review will be completed (Operations Manual, 111-10.9.d(l)). Reappointment may then be made for three to seven years thereafter. University policy requires that the department establish written performance standards for the position. Reviews will be carried out according to procedures established by the department for clinical faculty review, using the position description and the performance standards for the position. The review will be forwarded to the Office of the Associate Dean for Research and Academic Affairs, as well as being shared with the clinical track faculty member. Departmental recommendations on reappointment are subject to Collegiate review.

## Responsibilities

Clinical or other supervision, program oversight, and related teaching are assumed to take at least 60% of the working hours of a clinical track faculty member, with professional development 20% and service 20% for the average appointee in this category. The position does not have a mandated research component nor expectation of research accomplishments, although professional development and professional service may involve research in some cases. Although clinical track faculty do not automatically become members of the Graduate Faculty, it may from time to time be appropriate to request temporary Graduate Faculty status for service on a particular graduate committee; the College must endorse such a request from a department.

## Rights

The clinical track faculty member will participate in the faculty governance process as defined by the University, the College, and the department. For collegiate policy on voting and election rights, see the College's Manual of Procedure, Article I. The following is excerpted from the College of Public Health's Operations Manual:

### III. Criteria for Review and Promotion of Clinical Track Faculty

The general qualifications for faculty appointment at (or promotion to) specific ranks stated in the operations manual are (OM 111 10.9):

#### 1. *Assistant Professor (Clinical)*

- a) S/he must hold a doctorate, its equivalent, or suitable professional degree.
- b) S/he must show evidence of ability as a teacher.
- c) S/he must show promise of excellent public health practice and professional productivity.

#### 2. *Associate Professor (Clinical)*

- a) S/he must hold a doctorate, its equivalent, or suitable professional degree.
- b) S/he must have an acknowledged record of teaching success, which may include a record of successful direction of the work of graduate students where applicable.
- c) S/he must demonstrate a substantial record of professional productivity and public health practice.



### 3. *Professor (Clinical)*

- a) S/he must hold a doctorate, its equivalent, or suitable professional degree.
- b) S/he must have an acknowledged record of sustained teaching success, including a record of successful direction of the work of graduate students where applicable.
- c) S/he must have an established record of professional productivity and public health practice, and unmistakable evidence of national recognition.

#### Promotion

1. Salaried clinical track faculty. The question of promotion of clinical track faculty may be brought up during any regular promotions cycle. Promotion of salaried clinical track faculty will follow University and collegiate "Procedures for Clinical-Track Promotion Decision Making at The University of Iowa." All recommendations for promotion of salaried clinical track faculty are submitted to the Board of Regents for approval.
2. Non-salaried clinical track faculty. Procedures and criteria for the promotion of nonsalaried clinical track faculty shall be adopted by individual colleges and approved by the Office of the Executive Vice President and Provost. The provisions of 111-105 and those regarding salaried clinical faculty described herein do not apply.

#### Termination and non-renewal

1. Salaried clinical track faculty
  - a) Termination of salaried clinical track faculty during the term of the appointment must be for failure to meet written standards of competence and performance established by the unit and the University.
  - b) A decision not to renew an appointment of a salaried clinical track faculty member may be for failure to meet written standards of competence and performance established by the unit and the University, or for changed economic circumstances or program needs such that the position itself is terminated. Non-renewal for changed economic circumstances or program needs may only occur at the conclusion of an appointment, and must carry appropriate notice.

A decision for termination or non-renewal of salaried clinical track faculty is subject to the provisions of the Faculty Dispute Procedures. (See 111-29).

2. Non-salaried clinical track faculty. Grounds and procedures for the termination or non-renewal of non-salaried clinical faculty shall be adopted by individual colleges and approved by the Office of the Executive Vice President and Provost. Decisions to terminate or not renew non-salaried clinical track faculty appointments will be reviewed by the dean of the college in which the faculty member was appointed. However, because non-salaried clinical track faculty are not considered employees of the University, such decisions are not subject to the provisions of the Faculty Dispute Procedures.

#### IV. Department of Epidemiology- Evaluation Criteria Defined

##### Department Criteria

Promotion decisions are based on a record of achievement in teaching and service. Of course, the specific elements of performance in teaching and service that reflect a level of achievement worthy of

promotion are subjective. Any evaluation process must be sufficiently flexible to encompass differences across faculty in disciplinary training, teaching assignments, and research expertise. It is a multi-decision process where the dossier and documentation become the ultimate means of judging proficiency and competency.

### Performance Expectations

#### Service

1. General criteria as stated in the operations manual:  
"From time to time, a faculty member is called upon to render major professional services to the University or to society in general. Such contributions should be evaluated in terms of the effectiveness with which the service is performed, its relation to the general welfare of the University and its effect on the development of the individual." (OM 111 10.Z(c))
2. Key indicators of service performance for Epidemiology:
  - a) Service on departmental, collegiate, or university-level committees
  - b) Service as a journal peer-reviewer
  - c) Service on an NIH/AHRO/VA/CDC or similar study section
  - d) Service on the editorial board of a journal in the field
  - e) Service as a journal editor (includes assistant and associate editorship)
  - f) Service on ad hoc committees for a scientific or professional organization
  - g) Service as an elected or appointed officer of a scientific or professional organization
  - h) Departmental or multidisciplinary center administration
  - i) Administrative activities associated with grants/contracts and research centers
  - j) Participation on boards or task forces at the community, regional, national, or international level
  - k) Service to the State of Iowa or other governmental entities
  - l) Service to the public in the state of Iowa, the nation, or internationally through the planning or presentation of educational programs
3. Candidates for promotion to associate professor are expected to demonstrate a trend toward increasing service effort.
4. Candidates for promotion to full professor should have a demonstrated record of achievement in service.

#### Teaching

1. General criteria as stated in the operations manual:  
"The prime requisites for an effective teacher are intellectual competence, integrity, and independence; a willingness to consider suggestions and to cooperate in teaching activities; a spirit of scholarly inquiry which leads to the development and strengthening of course content in the light of developments in the area of interest, as well as to improve methods of presenting material; a vital interest in teaching and working with students and, above all, the ability to stimulate their intellectual interest and enthusiasm. The quality of teaching is admittedly difficult to evaluate. This evaluation is so important, however, that recommendations for promotion should include evidence drawn from such sources as the collective judgment of students, of student counselors and of colleagues who have visited the individual classes or who have been closely associated with the person's teaching as supervisor or in some other capacity, or who have taught the same students in subsequent courses. Academic counseling or advising of students should be recognized as an

important component of the teaching process, and due credit should be given to faculty members who exert an unusual effort in this function." (111 10.Z(a))

2 Key indicators of teaching performance for Epidemiology:

- a) Peer evaluations of teaching
  - i. Required and documented adequacy of teaching quality
- b) Teaching awards or other recognition of teaching excellence
- c) Teaching development or improvement activities
  - i. Professional course development or major revision
  - ii. Continuing education in teaching methods
  - iii. Publication of teaching or curriculum methods or evaluation
- d) Successful mentoring of student thesis and preceptorship or practicum research
  - i. Candidates for promotion from assistant to associate professor are expected to devote less effort to mentoring student research. Faculty at the rank of assistant professor should contribute to mentoring student research to the extent possible, for example as a member of a student's dissertation committee. However, service as chair of a dissertation committee should not be a criterion for promotion from assistant to associate professor. Because of the interdisciplinary aspect of epidemiology this may include dissertation committee's in other Departments or Colleges within the University. Service on Masters' thesis committees, research preceptor or MPH practicum committees as a chair or member is expected.
  - ii. For candidates for promotion from associate professor to professor, success as a mentor of student research is an important component of teaching performance. Indicators include:
    1. Chairing a PhD student's dissertation committee
    2. Mentoring student presentations and publications
    3. Awards for student presentations and publications
- e) Student evaluations, both numerical and open-ended comments
  - i. Student evaluations are to be interpreted based upon class size, teaching format and level of the students. Factors likely to affect student evaluations for specific courses must be taken into account. When possible, evaluations for an instructor of a required course should be compared to evaluations of other instructors of the same course.
  - ii. The distribution of scores from student evaluations is more informative than simply examining means, particularly in small classes. For example, a rating of "3" by 100% of students is not the same as a bimodal distribution of "5" or "1" by 50% each. Also, a mean of "4" in a class of 5 students is not the same as a mean of "4" in a class of 30 students).
  - iii. Supplemental teaching evaluations are encouraged and will be considered in addition to required evaluations.
- f) Professional post-graduate education
  - i. Directing or teaching courses/symposia to students and trainees in epidemiology, public health and other colleges (medical, pharmacy or nursing students, medical residents or fellows)
  - ii. Directing or teaching of continuing education courses/symposia for professional audiences such as public health practitioners, physicians, pharmacists, nurses, etc.

## Research

Clinical-track faculty members do not have a required research component or expectation of research accomplishments, although professional development and professional service may involve research in some cases. If the clinical track faculty member is developing and demonstrating scholarly activity, the quality of that research will be held to the same standard as that of tenure track faculty, which is detailed elsewhere. The scholarly activity should consist of publications, funding and recognition at the local, state, national and international levels.

### 1. General criteria as stated in the Operations Manual:

"In most of the fields represented in the programs of the University, publications in media of quality are expected as evidence of scholarly interest pursued independently of supervision or direction. An original contribution of a creative nature is as significant or as deserving as the publication of a scholarly book or article. Quality of production is considered more important than mere quantity. Significant evidence of scholarly merit may be either in a single work of considerable importance or a series of studies constituting a general program of worthwhile research. The candidate should pursue a definite, continuing program of studies, investigations or creative works." (OM III 102(b))

### 2 The Department of Epidemiology

The Epidemiology faculty is diverse in terms of their disciplinary backgrounds and research focus areas. Also some of the research involves state, national or international collaborations. These factors of publication policies and publication as a cooperative group should be considered through the impact of the research. The usual qualitative and quantitative benchmarks for research productivity (such as the total number or number of "co-authored" publications) **may** not be applicable and must be taken into account with the research conducted. The expectation is that the faculty member will publish an average of 3 publications per year. No differential between multi-authored and solo authored papers will be considered. The faculty member should indicate his/her contribution to the multi-authored paper and how this paper is a part of his/her research expertise.

The ultimate measure of performance is a national or international reputation for advancing the state of knowledge in the field ("the candidate is a nationally and, where applicable, internationally recognized scholar ... in the chosen field"). Different individuals possess different strengths and weaknesses, and different disciplines have different ways of disseminating information or measuring impact. As a result, any quantitative measure of performance will by nature be more suggestive rather than prescriptive for any individual.

Scholarship activities will be assessed according to a relative priority. It is expected that products be documented in the dossier to understand the complete scope of the scholarly interest. The portfolio is not specific to composition but may be adapted for the faculty member's field of study.

#### a) Priorities of scholarship-related productivity are as follows:

Very High importance (Since these products typically do not undergo formal peer review, they should be reviewed and evaluated for their importance, quality, relevance of the contribution and public health impact.)

- Educational materials
- Reports and presentations for professionals
- Public health reports and documents

### High importance

- Peer-reviewed journal articles
- Research books
- Invited presentations, scientific conference
- Peer-reviewed presentations
- Textbook, editor
- Chapters
- Invited presentations, public health conference
- Poster presenter, national or international conference
- Visiting professor
- Invited editorials

### Medium importance

- Poster presenter, regional conference
- Technical reports
- Laboratory/technical manual
- Technical development and patents

### Lower importance

- Non-peer reviewed manuscripts/letters to journals
- Service or education website
- Progress reports

### Other indicators of research productivity include:

1. Partnership development/Cooperative networks
2. Policy Development
3. Interdisciplinary research
4. Elected membership or fellow status in national or international organization
5. Selection and serving on peer review panels
6. National scientific committee membership
7. Awards from National/International Organizations

### External reviewers

The intent of external promotion and tenure reviews is to provide an arms-length evaluation by individuals who are leading experts in the candidate's area of expertise. Therefore, as a general rule, evaluations by frequent coauthors, former thesis advisors, former colleagues, or close friends tend to have less impact than evaluations by experts who have not had such relationships with the candidate. In identifying potential external reviewers, all participants in the selection process will take into account the standing of the prospective reviewer in the discipline, the likely knowledge of the reviewer of the material to be reviewed, the apparent impartiality of the reviewer, and the contribution of the reviewer to achieving an overall "balanced" review among the reviewers on any criterion for which there might be a range of perspectives. It is critical to avoid any situation in which a personal and/or professional relationship (including advising, mentoring, co-authoring, etc.) between the candidate and a prospective reviewer could undermine the reviewer's apparent impartiality.

Although external reviewers can and do comment on performance in the areas of teaching and service, their assessments of the candidate's contribution to knowledge in the field are particularly important.

(Additional guidance on clinical track performance expectations for specific ranks, review procedures for clinical track faculty with joint appointments, and a definition of professional productivity can be found in Appendices O, P and Q of the College of Public Health Faculty Handbook.)

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## **Guidelines for Appointment, Reappointment and Promotion of Clinical Track Faculty**

Department of Health Management and Policy  
College of Public Health  
University of Iowa

### **I. Clinical Track Appointments**

Clinical track faculty hold term appointments through which they contribute to the service, teaching, professional productivity, and/or outreach missions of the College, and hold faculty rank at the instructor, assistant professor, associate professor, or professor level. All clinical track faculty are expected to further public health practice which is defined as the application of public health knowledge, skills, and techniques in addressing actual problems and opportunities in governmental and private organizations, at the community level and in the area of health management and policy. It involves assisting a wide range of organizations and groups in defining, analyzing, and resolving issues that affect the health status of individuals, communities, and society-at-large. The clients of public health practice and health management consequently include individuals, communities, and organizations.<sup>1 2</sup>

### **II. Qualifications for Specific Ranks**

The general qualifications for appointment, reappointment, and promotion to specific ranks are stated in the Collegiate Guidance for Clinical Track Appointments:

1. *Assistant Professor (Clinical)*
  - a. S/he must hold a doctorate, its equivalent, or suitable professional degree.
  - b. S/he must show evidence of ability as a teacher.
  - c. S/he must show promise of excellent public health practice and professional productivity.
2. *Associate Professor (Clinical)*
  - a. S/he must hold a doctorate, its equivalent, or suitable professional degree.
  - b. S/he must have an acknowledged record of teaching success, which may include a record of successful direction of the work of graduate students where applicable.
  - c. S/he must demonstrate a substantial record of professional productivity and public health practice.
3. *Professor (Clinical)*
  - a. S/he must hold a doctorate, its equivalent, or suitable professional degree.
  - b. S/he must have an acknowledged record of sustained teaching success, including a record of successful direction of the work of graduate students where applicable.
  - c. S/he must have an established record of professional productivity and public health practice, and unmistakable evidence of national recognition.

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<sup>1</sup> Collegiate Guidance for Clinical Track Appointments, Appendix F.

<sup>2</sup> UI Human Resources Policy [Par. 10.9(c)(1)] details options for duration of clinical track appointments.

### III. Reappointment

In accord with UI policy, a review of clinical faculty members in the Department of Health Management and Policy will be done prior to the completion of their current term of appointment. This review will provide the basis for determining whether or not the faculty member will be reappointed and, if so, the length of the term. This review should take into account the faculty member's demonstrated effectiveness in fulfilling teaching and professional productivity. It should also consider departmental, collegiate and University goals and the likely role of the faculty member in contributing to those goals.<sup>3</sup>

The review ordinarily will involve the following steps:

1. Reappointment requires both the faculty member and the department head to desire contract renewal. At least eight months prior to completion of the current term of appointment, the faculty member and department head will meet to determine whether or not reappointment will be pursued.
2. If the faculty member does not want to be reappointed, his or her appointment in the department will conclude at the end of their current term.
3. The following process will be initiated for consideration of reappointment:
  - a. The faculty member will prepare a self-assessment of accomplishments and contributions in relation to his or her responsibilities in teaching, service, and professional productivity beyond clinical service. This report will be completed at least seven months before the end of the faculty member's current term, with copies provided to the department head and dean.
  - b. Letters regarding the faculty member's performance will be obtained from at least five persons selected jointly by the department head and faculty member. These will include at least three persons from outside the College of Public Health who are familiar with the faculty member's performance in teaching, service, and/or professional productivity including clinical service. The letters will be requested by the department head to be available at least seven months before the end of the faculty member's current term.
  - c. At least seven months before the end of the faculty member's current term, the department head will appoint a Departmental Consulting Group (DCG) consistent with collegiate policy. They will review pertinent documentation including teaching evaluations, the annual review reports required both by UI and College of Public Health policies, the faculty member's self-assessment, and the letters obtained as part of this process. The DCG will prepare a summary report for the department head regarding their views on the faculty member's accomplishments and contributions during his or her current term.

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<sup>3</sup> Operations Manual III-9 Appointments



- d. At least five months before the end of the faculty member's current term, the department head and faculty member will meet to review the materials outlined in Paragraph 2(c)(3) and the ad hoc committee's report. The department head and faculty member may decide jointly to obtain additional input.
  - e. At least four months before the end of the faculty member's current term, the department head will prepare a report and recommendation to the dean. This report will be reviewed in advance with the faculty member, who will be given the opportunity to offer comments and suggestions before the report is finalized. The report will include the department head's recommendation regarding reappointment and, if another term is recommended, the recommended length of that term and an outline of the faculty member's role and responsibilities.<sup>4</sup>
  - f. The faculty member may also provide a letter to the dean, with a copy to the department head, indicating his or her position on the department head's report and recommendation.
  - g. At least three months before the end of the faculty member's current term, the dean will indicate his or her position regarding the department head's report and recommendation. If there is agreement, the department head and faculty member will be advised and, in accord with UI Human Resources Policy [Par. 10.9(d)(1)], a report and recommendation will be forwarded to UI Central Administration for review and approval.
  - h. If the faculty member does not concur with the collegiate report and recommendations, s/he may elect to employ UI Faculty Dispute Procedures.
  - i. If the faculty member is reappointed, the new term begins immediately upon final action by UI Central Administration; if the faculty member is not reappointed, his or her appointment in the department will conclude twelve months after formal notification.<sup>5</sup>
4. The reappointment process outlined above ordinarily will be followed upon completion of the faculty member's initial and subsequent terms. In the case of second and later terms, the standard process may be modified with mutual consent of the faculty member, department head, and dean.

#### **IV. Termination and/or Non-renewal**

Termination during the term of the appointment must be for failure to meet written standards of competence and performance established by departments and approved by the College. A decision not to renew an appointment may be for failure to meet the written standards of competence and performance, or for changed economic circumstances or program needs such

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<sup>4</sup> In accord with UI Human Resources Policy [Par. 10.9(d)(1)], after a positive review, instructors will receive two-year reappointments; assistant, associate, and full professors will receive three to seven year reappointments.

<sup>5</sup> UI Human Resources Policy [Par. 10.9(h)(1)] sets forth standard procedures for termination and non-renewal of salaried clinical faculty appointments.

that the position itself is terminated. Non-renewal may only occur at the conclusion of an appointment. Notice of non-renewal must carry appropriate notice, as defined in *Operations Manual* III.10.9.h.(1).(c).

## **V. Promotion**

Clinical track faculty who desire to be promoted must meet the requirements that would apply for appointment to that rank (see section II of this document). Promotion for clinical track faculty will follow the usual faculty review procedures for promotion.

Promotion for clinical track faculty will be based on teaching and professional productivity. Professional productivity encompasses activities utilizing the faculty member's professional expertise. The categories of activities to be considered include:

- Professional service
- Public health practice
- Scholarship

Promotion can be supported by a variety of professional productivity profiles. For example, some faculty may be involved primarily in a single area, such as education or public health practice. Other faculty may pursue activities in multiple areas. In all cases, a recommendation for promotion should be based upon the quality of the activities, not just the quantity.

It should be noted that while there is no maximum period of time by which promotion must be achieved in this track. However, an assistant professor may request consideration for promotion at any regular yearly promotion cycle after, in general, the fourth year of appointment. An associate professor may request consideration for promotion at any regular yearly promotions cycle.

### **A. Teaching**

Traditional teaching responsibilities at the University are focused on formalized for credit programs. However, the University establishes a number of audiences for the teaching responsibility of clinical faculty including students, residents, or fellows of the University at the undergraduate, graduate, professional, or postgraduate level. Clinical faculty engage in a variety of teaching responsibilities in a variety of formats which may include: teaching for credit courses; providing non-credit programs and workshops, distance and online - learning programs, seminars, and continuing education. In addition some faculty may direct graduate projects, internships, and serve on master and doctoral committees, as well as mentoring graduate students.

Therefore a variety of supporting materials can be used to judge the faculty member's effectiveness as a teacher. The process might include a review of syllabi, student course evaluations, online course evaluations, peer evaluations and administrator evaluations.

Key indicators of teaching performance may include but are not limited to:

- Faculty evaluation of the objectives, methods, and materials of courses that have been designed and taught by the individual.
- Student evaluations of the performance of the individual.
- Evaluations from short courses or “workshops” for students, residents and fellows, postgraduate professionals, and the lay public.
- Peer evaluations of teaching.
- Graduate exit interviews or alumni feedback.
- Teaching awards or other recognition of teaching excellence.
- Evaluation concerning the performance of students, residents, and fellows taught by the individual whenever possible and appropriate.

### ***B. Professional Productivity***

Members of the clinical track are expected to contribute significantly to professional productivity. Professional productivity is defined to include three components: Public health practice; professional service; and scholarship.

#### **1. Public Health Practice**

The Association of Schools of Public Health (ASPH), the Council on Education in Public Health (CEPH) and the Association of University Programs in Health Administration (AUPHA) characterize degrees in public health and health administration as applied fields which support the need to identify and develop faculty who are involved in practice. Furthermore, the engagement of such faculty should also help the College apply and evaluate research and theories in public health and health management.

Clinical practice activities are revenue generating and may include:

- Providing services to external organizations on a contractual basis whereby UI is compensated for the faculty member’s time and efforts.
- Performing duties within UIHC, VA Medical Center, the College of Public Health, or other UI units that involve application of faculty member’s professional expertise and for which compensation is provided.
- Serving as members of organizational governing boards or committees. Where compensation is provided for these roles, a proportion agreed upon by the faculty member and department head will be used to offset the faculty member’s salary.
- Arrangements whereby a faculty member participates in community activities, including consultation and/or technical assistance, in accordance with UI policies and procedures.

#### **2. Professional Service**

General criteria as stated in the operations manual:

“From time to time, a faculty member is called upon to render major professional services to the University or to society in general. Such contributions should be evaluated in terms of the effectiveness with which the service is performed, its

relation to the general welfare of the University and its effect on the development of the individual.”

Key indicators of service performance may include, but are not limited to:

- Advising student organizations.
- Contributing to professional growth and development of junior colleagues.
- Serving on Department, College of University committees (indicate if chair).
- Serving as an administrator within the Department, College of University.
- Reviewing grant proposals.
- Serving on accrediting agencies or boards.
- Serving on committees of professional academic organizations.
- Serving on professional/technical committees.
- Performing academic service to the community (should be professionally related). Examples would include presenting guest lectures and preparing materials for paraprofessionals.
- Service to the State of Iowa

### 3. Scholarship

In its landmark 1990 report, Scholarship Revisited: Priorities for the Professoriate, the Carnegie Foundation for the Advancement of Teaching defined scholarship as having four separate but overlapping dimensions: the scholarship of discovery, the scholarship of teaching, the scholarship of integration, and the scholarship of application.<sup>6</sup> Clinical track faculty are expected to contribute to and advance the field of public health and health-related practice through scholarship. Scholarship activities are broadly defined to include but are not limited to:

- Developing and/or implementing new models for improving public health or health care practice;
- Developing and/or implementing new models for improving education and training.
- Formal presentations to members of the practice and/or academic communities at local, state, regional and national meetings.
- Written works including both peer and non-peer reviewed articles, text book chapters, policy documents, publications in trade journals, and technical reports; and
- Practice-based research and/or translational research.

It should be noted that while the scholarship of discovery may help satisfy this requirement it is not required for promotion in this track.

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<sup>6</sup> This hierarchy of scholarship was subsequently endorsed by the Association of Schools of Public Health, Council of Public Health Practice Coordinators in Demonstrating Excellence in Academic Public Health Practice. The Department of Health Management and Policy faculty endorses this paradigm of scholarship as especially appropriate for colleges and departments that include clinical-track faculty and should guide the implementation of faculty evaluations for promotion and retention.

## **Guidelines for Appointment, Reappointment and Promotion of Clinical Track Faculty**

Department of Occupational and Environmental Health  
College of Public Health  
University of Iowa

### **I. Clinical Track Appointments**

Clinical track faculty hold term appointment positions through which they contribute to the teaching, professional productivity, and service activities of the College, and hold faculty rank at instructor, assistant professor, associate professor, or professor. All clinical track faculty are expected to further public health practice which is defined as the application of public health knowledge, skills, and techniques in addressing actual problems and opportunities in governmental and private organizations, at the community level, and in the area of public/environmental health policy. It involves assisting a wide range of organizations and groups in defining, analyzing, and resolving issues that affect the health status of individuals, communities, and the environment. The clients of public health practice consequently include individuals, communities, policy makers and organizations.

Clinical track faculty with *salaried* appointments are persons who have faculty career positions, who make their primary contributions through teaching, professional productivity, and public health practice to citizens of the state and the nation. No more than 20% of the total salaried College faculty may hold such appointments. The titles of these faculty shall contain the modifier "clinical," noted parenthetically after the rank, such as Assistant Professor (Clinical), and before the name of the department.<sup>1</sup> Clinical track faculty in the Department of Occupational and Environmental Health are expected to support their salary as specified in their letter of appointment.

### **II. Qualifications for Specific Ranks**

The general qualifications for appointment, reappointment, and promotion to specific ranks are stated in the Collegiate Guidance for Clinical Track Appointments:

1. *Assistant Professor (Clinical)*
  - a. S/he must hold a doctorate, its equivalent, or suitable professional degree.
  - b. S/he must show evidence of ability as a teacher.
  - c. S/he must show promise of excellent public health practice and professional productivity.
2. *Associate Professor (Clinical)*
  - a. S/he must hold a doctorate, its equivalent, or suitable professional degree.
  - b. S/he must have an acknowledged record of teaching success, which may include a record of successful direction of the work of graduate students where applicable.
  - c. S/he must demonstrate a substantial record of professional productivity and public health practice.
3. *Professor (Clinical)*
  - a. S/he must hold a doctorate, its equivalent, or suitable professional degree.
  - b. S/he must have an acknowledged record of sustained teaching success, including a record of successful direction of the work of graduate students where applicable.
  - c. S/he must have an established record of professional productivity and public health practice, and unmistakable evidence of national recognition.

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<sup>1</sup> College of Public Health Faculty Handbook, Appendix O.

### III. Reappointment

In accord with UI policy, a review of clinical faculty members in the Department of Occupational and Environmental Health will be done prior to the completion of their current term of appointment. This review will provide the basis for determining whether or not the faculty member will be reappointed and, if so, the length of the term. This review should take into account the faculty member's demonstrated effectiveness in fulfilling teaching functions and professional productivity. It should also consider departmental, collegiate and university goals and the likely role of the faculty member in contributing to those goals.<sup>2</sup>

The review ordinarily will involve the following steps:

1. Reappointment requires both the faculty member and the department head to desire contract renewal. At least seven months prior to completion of the current term of appointment, the faculty member and department head will meet to determine whether or not reappointment will be pursued.
2. If the faculty member does not want to be reappointed, his or her appointment in the department will conclude at the end of their current term.
3. The following process will be initiated for consideration of reappointment:
  - a. The faculty member will prepare a self-assessment of accomplishments and contributions in relation to his or her responsibilities in teaching, service, and professional productivity beyond clinical service. This report will be completed at least six months before the end of the faculty member's current term, with copies provided to the department head and dean.
  - b. Letters regarding the faculty member's performance will be obtained from at least four persons selected jointly by the department head and faculty member. These will include at least two persons from outside the College of Public Health who are familiar with the faculty member's performance in teaching, service, and/or professional productivity including clinical service. The letters will be requested by the department head to be available at least five months before the end of the faculty member's current term.
  - c. At least five months before the end of the faculty member's current term, the department head will appoint a Departmental Consulting Group (DCG) consistent with collegiate policy. They will review pertinent documentation including teaching evaluations, the faculty member's self-assessment, and the letters obtained as part of this process. The DCG will prepare a summary report for the department head regarding their views on the faculty member's accomplishments and contributions during his or her current term.
  - d. At least four months before the end of the faculty member's current term, the department head and faculty member will meet to review the materials outlined in Paragraph III.3.c and the ad hoc committee's report. The department head and faculty member may decide jointly to obtain additional input.
  - e. At least three months before the end of the faculty member's current term, the department head will prepare a report and recommendation to the dean. This report will be reviewed in advance with the faculty member, who will be given up to 7 days to offer comments and suggestions before the report is finalized. The report will include the department head's recommendation regarding reappointment and, if another term is recommended, the recommended length of that term and an outline of the faculty

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<sup>2</sup> Operations Manual III-9 Appointments

member's role and responsibilities.<sup>3</sup> The faculty member may also provide a letter to the dean, with a copy to the department head, indicating his or her position on the department head's report and recommendation.

- f. At least two months before the end of the faculty member's current term, the dean will indicate his or her position regarding the department head's report and recommendation. If there is agreement, the department head and faculty member will be advised and, in accord with UI Human Resources Policy [Par. 10.9(d)(1)], a report and recommendation will be forwarded to UI Central Administration for review and approval.
  - g. If the faculty member does not concur with the collegiate report and recommendations, s/he may elect to employ UI Faculty Dispute Procedures.
  - h. If the faculty member is reappointed, the new term begins immediately upon final action by UI Central Administration; if the faculty member is not reappointed, his or her appointment in the department will conclude twelve months after formal notification.<sup>4</sup>
4. The reappointment process outlined above ordinarily will be followed upon completion of the faculty member's initial and subsequent terms. In the case of second and later terms, the standard process may be modified with mutual consent of the faculty member, department head, and dean.

Summary Timeline (see above text for detailed description)

Date prior to completion of current appointment	Tasks to be completed
7 months	Decide whether to pursue reappointment DEO solicit 4 evaluative letters
6 months	Candidate submits self-assessment to DEO and Dean
5 months	Evaluative letters are due DEO appoints DCG
4 months	DCG report is due DEO and candidate meet to review report and status
3 months	DEO report to candidate (> 1 week before - 3 mo) Candidate responds within 7 days DEO report to Dean
2 months	Dean provides recommendation to DEO DEO notifies candidate of decision
0 months	New appointment commences

#### IV. Termination and/or Non-renewal

Termination during the term of the appointment must be for failure to meet written standards of competence and performance established by departments and approved by the College. A decision not to renew an appointment may be for failure to meet the written standards of competence and performance, or for changed economic circumstances or program needs such that the position itself is terminated. Non-renewal may only occur at the conclusion of an appointment. Notice of non-renewal must carry appropriate notice, as defined in *Operations Manual* III.10.9.h.(1).(c).

<sup>3</sup> In accord with UI Human Resources Policy [Par. 10.9(d)(1)], after a positive review, instructors will receive two-year reappointments; assistant, associate, and full professors will receive three to seven year reappointments.

<sup>4</sup> UI Human Resources Policy [Par. 10.9(h)(1)] sets forth standard procedures for termination and non-renewal of salaried clinical faculty appointments.

## V. Promotion

Promotion can be supported by a variety of professional productivity profiles. For example, some faculty will be involved primarily in a single area, such as education or outreach. Other faculty will pursue activities in several of these areas. In all cases, a recommendation for promotion should be based on the quality of the activities, not just the quantity.

Although most faculty members in this track will continue to spend the majority of their effort throughout their career in education and outreach activities, some individuals may not. Some clinical track faculty members, by mutual agreement, will focus their effort in a specific sphere of professional productivity (for example, as a laboratory director, hospital or collegiate administrator, curriculum director, funded clinical investigator, etc.). When such individuals are considered for promotion, these activities should be the primary focus of the evaluation as long as there has been demonstration of the appropriate level of expertise in teaching since the original appointment.

### A. Assistant Professor (Clinical)

1. He or she must hold a doctorate, its equivalent, suitable professional degree, or must clearly have equivalent knowledge and experience.
2. He or she must show promise of excellent public health practice and professional productivity.
3. He or she must show evidence of ability as a teacher.
4. The initial term of appointment is for one, two or three years. Reappointment is not automatic, but requires departmental review of the faculty member's performance and a recommendation based upon the evaluation of the faculty member's performance in teaching, public health practice, and professional productivity. During the third year, or prior to that if a promotion is contemplated, a full-scale departmental-collegiate review will be made. After a positive review, and at least three years in rank, the faculty member will receive an appointment of 3 to 7 years. Guidelines for termination during the term of the appointment or non-renewal at the conclusion of an appointment appear in Section IV.
5. There is no maximum period of time by which promotion must be achieved in this track. However, an Assistant Professor may request consideration for promotion at any regular yearly promotions cycle but generally not before the fourth year of appointment.

### B. Associate Professor (Clinical)

1. He or she must hold a doctorate, its equivalent, suitable professional degree, or must clearly have equivalent knowledge and experience.
2. He or she must have an acknowledged record of teaching success, which may include a record of successful direction of the work of graduate students where applicable. Such direction, although not routinely expected, is a measure of teaching success.
3. He or she must show evidence of progress toward a record of professional productivity and public health practice.
4. The term of appointment is between 3 and 7 years. Reappointment is renewable based on departmental review of the faculty member's performance and a



recommendation based upon the evaluation of the faculty member's performance in teaching, public health practice, and professional productivity. Guidelines for termination during the term of the appointment or non-renewal at the conclusion of an appointment appear in Section IV.

5. There is no maximum period of time by which promotion must be achieved in this track. However, an Associate Professor may request consideration for promotion at any regular yearly promotions cycle but generally not before the fourth year of appointment.

#### C. Professor (Clinical)

1. He or she must hold a doctorate, its equivalent, suitable professional degree, or must clearly have equivalent knowledge and experience.
2. He or she must have an acknowledged record of sustained teaching success, including a record of successful direction of the work of graduate students where applicable. Such direction, although not routinely expected, is a measure of teaching success.
3. He or she must have an established record of professional productivity and public health practice, and unmistakable evidence or recognition by peers at the state, regional, national, or international level.
4. At the rank of Professor, the term of appointment is between 3 and 7 years. Reappointment is renewable based on departmental review of the faculty member's performance and a recommendation based upon the evaluation of the faculty member's performance in professional productivity, teaching, and public health practice. Guidelines for termination during the term of the appointment or non-renewal at the conclusion of an appointment appear in Section IV.

#### **A. Teaching**

Traditional teaching responsibilities at the University are focused on formalized for credit programs. However, the University establishes a number of audiences for the teaching responsibility of clinical faculty including students, residents, or fellows of the University at the undergraduate, graduate, professional, or postgraduate level. Clinical faculty engage in a variety of teaching responsibilities in a variety of formats which may include: teaching for credit courses; providing non-credit programs and workshops, distance and online -learning programs, seminars, and continuing education. In addition some faculty may help with graduate student projects and internships and, with permission from the Graduate College, serve on master and doctoral committees.

Therefore a variety of supporting materials can be used to judge the faculty member's effectiveness as a teacher. The process might include a review of syllabi, student course evaluations, online course evaluations, peer evaluations and administrator evaluations.

Key indicators of teaching performance may include but are not limited to:

- Faculty evaluation of the objectives, methods, and materials of courses that have been designed and taught by the individual.
- Student evaluations of the performance of the individual.
- Evaluations from short courses or "workshops" for students, residents and fellows, postgraduate professionals, and the lay public.
- Peer evaluations of teaching.

- Graduate exit interviews or alumni feedback.
- Teaching awards or other recognition of teaching excellence.
- Evaluation concerning the performance of students, residents, and fellows taught by the individual whenever possible and appropriate.

## ***B. Professional Productivity***

Members of the clinical track are expected to contribute significantly to professional productivity. Professional productivity is defined to potentially include three components: public health practice; professional service; and scholarship.

### **1. Public Health Practice**

The Association of Schools of Public Health (ASPH), the Council on Education in Public Health (CEPH) and the Association of University Programs in Health Administration (AUPHA) characterize degrees in public health and health administration as applied fields which support the need to identify and develop faculty who are involved in practice. Furthermore, the engagement of such faculty should also help the College apply and evaluate research and theories in public health and environmental health policy.

Clinical practice activities are revenue generating and may include:

- Providing services to external organizations on a contractual basis whereby the UI is compensated for the faculty member's time and efforts.
- Performing duties within the College of Public Health or other UI units that involve application of faculty member's professional expertise and for which compensation is provided.
- Serving as members of organizational governing boards or committees. Where compensation is provided for these roles, a proportion agreed upon by the faculty member and department head will be used to offset the faculty member's salary.
- Arrangements whereby a faculty member participates in community activities, including consultation and/or technical assistance, in accordance with UI policies and procedures.

### **2. Professional Service**

General criteria as stated in the operations manual:

"From time to time, a faculty member is called upon to render major professional services to the University or to society in general. Such contributions should be evaluated in terms of the effectiveness with which the service is performed, its relation to the general welfare of the University and its effect on the development of the individual."

Key indicators of service performance may include, but are not limited to:

- Advising student organizations.
- Contributing to professional growth and development of junior colleagues.
- Serving on Department, College of University committees (indicate if chair).
- Serving as an administrator within the Department, College of University.
- Reviewing grant proposals.
- Serving on accrediting agencies or boards.
- Serving on committees of professional academic organizations.
- Serving on professional/technical committees.

- Performing academic service to the community (should be professionally related). Examples would include presenting guest lectures and preparing materials for paraprofessionals.
- Service to the State of Iowa

### 3. Scholarship

In its landmark 1990 report, Scholarship Revisited: Priorities for the Professoriate, the Carnegie Foundation for the Advancement of Teaching defined scholarship as having four separate but overlapping dimensions: the scholarship of discovery, the scholarship of teaching, the scholarship of integration, and the scholarship of application.<sup>5</sup> Clinical track faculty are expected to contribute to and advance the field of public health and health-related practice through scholarship. Scholarship activities are broadly defined to include but are not limited to:

- Developing and/or implementing new models for improving public health practice;
- Developing and/or implementing new models for improving education and training.
- Formal presentations to members of the practice and/or academic communities at local, state, regional and national meetings.
- Written works including both peer and non-peer reviewed articles, text book chapters, policy documents, publications in trade journals, and technical reports; and
- Practice-based research and/or translational research.

It should be noted that while the scholarship of discovery may help satisfy this requirement it is not required for promotion in this track.

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<sup>5</sup> This hierarchy of scholarship was subsequently endorsed by the Association of Schools of Public Health, Council of Public Health Practice Coordinators in Demonstrating Excellence in Academic Public Health Practice.

# Research Track Faculty

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# Research Track Appointments

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<http://opsmanual.uiowa.edu/human-resources/faculty/research-track-policy>)

## **Research Track Appointments**

Initial appointments for research-track faculty are one to three years in duration. After three years or prior to that if a promotion is contemplated, a full-scale, departmental-collegiate review will be made. This review should take into account the research-track faculty member's effectiveness in fulfilling the research mission and the ability of the research-track faculty member to obtain and sustain extramural salary support. It also should include an evaluation of the departmental, collegiate, and University research goals and the likely role of the research-track faculty member in the future in achieving those goals. To assure adherence to standard procedures, a full central administration review of the departmental-collegiate recommendation is necessary.

After approval of the departmental-collegiate review, research-track faculty will receive terms of appointment consistent with established procedures for non-tenure track University employees; however, appointments cannot be for a period longer than current external support for that faculty member.

Research-track faculty will be reviewed on a schedule commensurate with their appointments, according to written standards of competence and performance defined by their college and departments. Reappointments are to be made only if the research faculty member has a demonstrated record of successfully obtaining external support to fund the research-track faculty member's research.

## **Collegiate Criteria for Appointment to Faculty Rank**

The criteria for research track appointments are specified further in the University's *Operations Manual* ([section III-10.10](#)) and in departmental policy. Qualifications for specific ranks shall be assigned as defined below:

### ***Assistant professor***

- Terminal degree (or its equivalent) appropriate to the field.
- Evidence of productive scholarship.
- Evidence of ability to fulfill relevant responsibilities in the research enterprise.

### ***Associate professor***

- Terminal degree (or its equivalent) appropriate to the field.
- Record of productive scholarship, including evidence of sustained extramural research funding and salary support.
- Fulfillment of important responsibilities in the research enterprise.

### ***Professor***

- Terminal degree (or its equivalent) appropriate to the field.
- Record of research excellence, including an established record of continued sustained research funding.
- Unmistakable evidence of national or international recognition by peers.

# Research Track Promotion

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## **Procedures for Research Track Promotion Decision Making at The University of Iowa February 22, 2010**

### **Definitions**

### **The Promotion Record**

### **Overview of Tenure and Promotion Decision-making Procedure**

### **Department level procedure**

### **College Procedure**

### **Appendices**

**Appendix A—Points to be Determined by Collegiate Procedures**

**Appendix B—Sample Letter from Departmental Executive Officer to  
External Reviewer**

**Appendix C—Comments on the Procedures**

**Appendix D—Review Procedures for Faculty members with Joint  
Appointments**

## **General Principles**

The Procedures for research-track Promotion Decision Making (hereafter “Procedures”) establish a uniform system of procedures to be used in all academic units of the University that have adopted the research-track. Each college of the University that employs research-track faculty members also will establish its own written Procedures governing its promotion decision making for research-track faculty members, to guide academic units when circumstances require or permit flexibility or variation. (For a list of items in these Procedures that specifically require that Collegiate Policies be followed, see Appendix A.) The Provost must approve all Collegiate Procedures.

These are *procedures* only. For University policies regarding *criteria* for promotion of research-track faculty members, refer to section <http://opsmanual.uiowa.edu/human-resources/faculty/research-track-policy> of the Operations Manual. The substantive standards contained therein must be satisfied and are not affected by these Procedures.

These Procedures rely upon several principles: (1) Decisions granting or denying promotion should be based on a written record of achievement. (2) The content of the record that will be relied upon should be known by the candidate and the decision makers, except as otherwise provided for in these Procedures. (3) Except for variation related to the nature of the candidate’s academic activity, the content of the record should be the same for all candidates in the same academic unit. (4) The governing procedures should be the same for all candidates across the University, except where conditions or academic cultures justify variation among colleges or among departments within a college. (5) University and Collegiate Procedures should be applied consistently to all candidates. (6) Each faculty member participating in the promotion decision-making process may do so at only one level of the process: departmental, collegiate, or provostial. Faculty members with collegiate or provostial administrative appointments of 50% or greater shall participate in their administrative office, except in rare and special circumstances at the discretion of the Provost.

### **I. Definitions**

A “candidate” is any research-track faculty member who has indicated his or her interest in being reviewed for promotion in accordance with the college’s written Procedures governing promotion decision making.

The “dossier” is the set of primary materials assembled by the candidate as described in section I.B.(3). The dossier contains appendices all or part of which may be transmitted with the dossier to successive participants in the process as described in section I.B.(4).

The rank qualification listed as “responsibilities in the research enterprise” is defined in this context as service.



The “Promotion Record” is the dossier plus all of the materials that are added to it and transmitted to successive participants in the evaluation process.

The “Departmental Consulting Group” (DCG) consists of all tenured, tenure track, and research track faculty members at or above the rank being sought by the candidate, excluding the collegiate Dean and Provost, faculty members with collegiate or provostial administrative appointments of 50% or greater, and any faculty member with a disqualifying conflict of interest. If there are fewer than four eligible faculty members and/or if there are no eligible research track faculty members in the department to serve as the DCG, the Dean, in consultation with the eligible faculty members, will identify additional faculty members outside the department so that the DCG consists of a minimum of four faculty members and has research track faculty representation. The college’s written Procedures governing promotion decision making also may specify further the composition of the DCG to include additional research-track faculty members from outside the department.

The “Collegiate Consulting Group” (CCG) consists of faculty members selected according to each college’s written Procedures governing promotion decision making. The Collegiate Procedures shall establish guidelines for the membership of the Group and how it will function within the boundaries of these Procedures.

The term "Departmental Executive Officer" or “DEO” throughout the Procedures refers to the person or entity who has been expressly designated by the college (in the college’s written Procedures governing promotion decision making) to perform one or more of the functions assigned by these Procedures to the DEO. Under this definition, each college has discretion, through the college’s written Procedures governing promotion decision making, to determine who will be given responsibility to perform any of the functions assigned to the DEO by these Procedures. In a nondepartmentalized college (where "departmental" generally means "collegiate" and "functions of the DEO" ordinarily means functions of the collegiate Dean), the college has exactly the same discretion through its written Procedures governing promotion decision making to determine who will be given the responsibility to perform the functions assigned by these Procedures to the Dean in lieu of the DEO.

In nondepartmentalized colleges, the term “departmental” throughout these Procedures will ordinarily mean “collegiate” where that substitute usage fits the context, and the functions of the DEO will be performed by the collegiate Dean. (Some steps of these Procedures that expressly involve the DEO will become inapplicable.) In nondepartmentalized colleges that have department-like units such as “areas” or “divisions,” the written Collegiate Procedures governing promotion decision making must specify the role of these units and their administrative officers for the purposes of promotion decision making.

## **II. The Basis for Evaluation: The Promotion Record**

The qualifications of a candidate for promotion will be determined on the basis of the Promotion Record, which, when it reaches the Office of the Provost, will consist of the following material preferably in the order listed:

- (i) the "Recommendation for Faculty Promotion" cover sheet
- (ii) the collegiate Dean's letter making a recommendation to the Provost;
- (iii) the recommendation and vote (and report, if any) of the CCG;
- (iv) the DEO's letter making a recommendation to the Dean;
- (v) the recommendation, vote and report of the DCG;
- (vi) any letters or written response submitted by the candidate at specified stages of the process to correct errors in the internal peer evaluations of the candidate's scholarship and service, or to respond to a letter or report of the DEO, DCG, Dean, or CCG;
- (vii) the candidate's Curriculum Vitae (CV) in the college's standard format which documents the candidate's educational and professional history;
- (viii) a section on the candidate's scholarship, including
  - (a) the candidate's personal statement on scholarship,
  - (b) documentation of internal and external peer evaluation of the candidate's scholarship, and
  - (c) all other materials related to the candidate's scholarship, including those specified in I.B.(3)(d);
- (ix) a section on the candidate's service, including
  - (a) the candidate's personal statement on service,
  - (b) documentation of internal and external peer evaluation of the candidate's service, and all other materials related to the candidate's service, including those specified in I.B.(3)(c); and (e)
- (x) supplementary material to be added to the Promotion Record as expressly provided in these or Collegiate Procedures, entered in the appropriate section of the Record. Materials added to the original dossier or materials in the original dossier that are amended, should be labeled as such, including the date when added or amended and with amendments clearly marked.

## **III. Other Considerations**

A candidate has the right to withdraw his or her dossier from further consideration at any point before the Provost has made his/her final decision regarding promotion. If a candidate withdraws his or her dossier from further consideration, the original dossier, including appendices and any supplemental materials added by the candidate, shall be returned to the candidate. All other materials in the Promotion Record at the time of withdrawal shall be returned to the candidate's department, which shall retain them

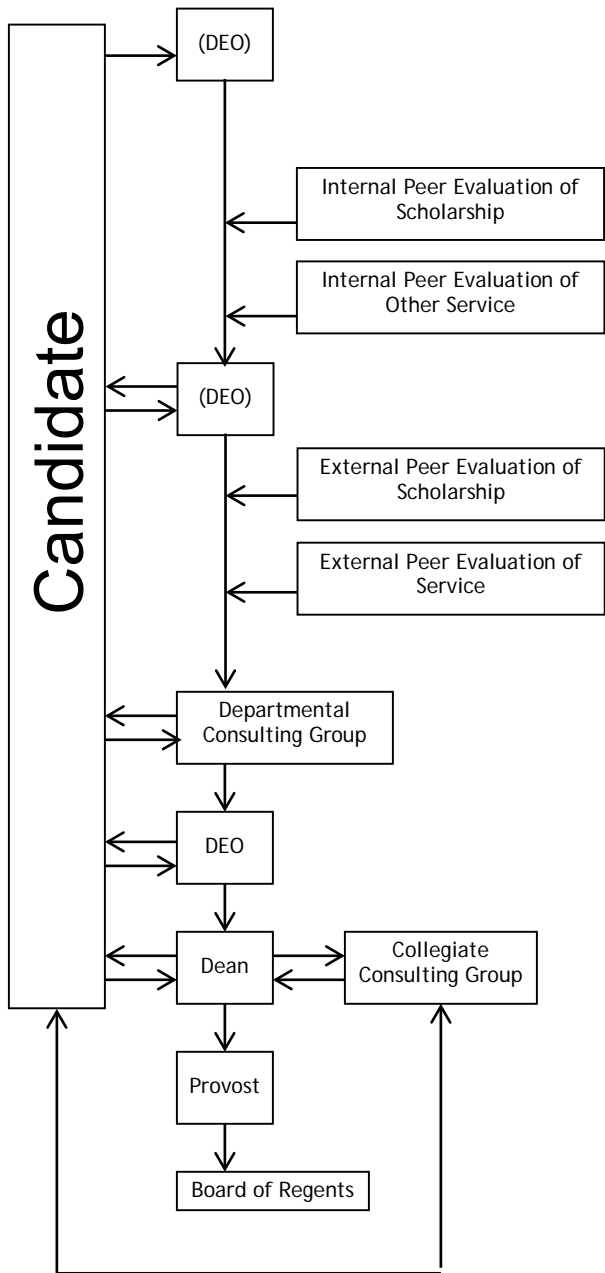
following the normal departmental or collegiate schedule for retention of promotion materials. The candidate shall not have access to these materials.

A college, or department with the concurrence of its college, may apply in individual cases to the Provost for an exemption from any of these Procedures for a legitimate and valid reason. The college or department has the burden of convincing the Provost that the exemption adds value, fairness and weight to the evaluation.

In the case of a joint-appointment candidacy for promotion, the departments involved will follow the Procedures described in Appendix D of this document.

**These Procedures apply to research-track faculty members only.**

**Overview of research-track Promotion Decision-making Procedures**



**Sequential Development of Promotion Record through Decision-Makers:**

1. Candidate and DEO compile dossier
2. Internal peer evaluation of scholarship
3. Internal peer evaluation of service
4. Candidate's opportunity to respond
5. External peer evaluation of scholarship
6. External peer evaluation of service
7. Departmental Consulting Group's vote and report
8. Candidate's opportunity to respond
9. DEO's letter to Dean
10. Candidate's opportunity to respond, if DEO's recommendation is negative
11. Collegiate Consulting Group's vote and summary report, if any\*
12. Candidate's opportunity to respond\*
13. Dean's letter to Provost
14. Candidate's opportunity to respond, if Dean's recommendation is negative
15. Provost's recommendation to the Board of Regents

\*If recommendation is negative and contrary to DEO or DCG recommendation

## ***Promotion Decision Making Procedures***

### **I. Department level procedures**

A. It is the DEO's responsibility to inform the candidate in writing in the year of appointment to a research track position and in the year of any contract renewal of the material that is required to be included in the promotion dossier, and of the candidate's responsibility to compile and submit the dossier by the specified date in the academic year of the promotion decision.

### **B. The Dossier**

It is the candidate's responsibility, with the advice of the DEO, to compile and submit substantive material for inclusion in the promotion dossier (the core of the Promotion Record) on or before the date specified in the college's written Procedures governing promotion decision making. In the absence of such a specified date in the college's written Procedures, the specified date will be September 1 of the academic year in which the promotion decision is to be made. It is the responsibility of the DEO to advise the candidate in compiling material for the dossier, to complete the compilation of the dossier (and subsequently to complete compilation of the Promotion Record by adding materials to it throughout the decision-making process), and to ensure to the greatest extent possible that the Promotion Record serves as a fair and accurate evaluation of the candidate's strengths and weaknesses, and is not purely a record of advocacy for the candidate. The responsibility to advise the candidate in compiling the dossier material is not limited to the immediate period of the promotion review, but rather is an ongoing responsibility that begins when the faculty member is appointed to the department.

The dossier will contain the following, in the order listed unless otherwise noted. A current CV in the college's standard format may be used in place of the individual items listed below, provided that either all the listed elements are contained in the CV or any missing elements are supplied separately.

- (a) the "Recommendation for Faculty Promotion" cover sheet, with the section that is to be filled out by the candidate completed
- (b) a record of the candidate's educational and professional history (C.V.), including at least the following sections, preferably in the order listed:
  - (i) a list of institutions of higher education attended, preferably from most to least recent, indicating for each one the name of the institution, dates attended, field of study, degree obtained, and date the degree was awarded;
  - (ii) a list of professional and academic positions held, preferably from most to least recent, indicating for each one the title of the position, the dates of service, and the location or institution at which the position was held; and

- (iii) a list of honors, awards, recognitions, and outstanding achievements, preferably from most to least recent.
- (c) a record of the candidate's scholarship, including:
- (i) the candidate's personal statement on scholarship consisting of a summary and explanation—normally not to exceed three pages—of the candidate's accomplishments and future plans concerning scholarship, and comments on these accomplishments and plans and on other items included in the dossier related to scholarship;
  - (ii) a list of invited lectures and conference presentations;
  - (iii) a list of conferences for which the candidate has organized symposia, workshops, and so forth;
  - (iv) a list of journals for which the candidate has been a member of the editorial board or served as editor;
  - (v) a list, preferably from most to least recent, of the candidate's publications or creative works with, for each multi-authored work or coherent series of multi-authored works, a brief statement of the candidate's contribution to the work or series of works;
  - (vi) a list of attained support including grants and contracts received by the candidate;
  - (vii) a description of any other products and activities demonstrating scholarship as defined by the college's written Procedures on promotion decision making;
  - (viii) a list of pending decisions regarding the candidate's scholarship that might affect the promotion deliberations; and,
  - (ix) as an appendix to the dossier, copies of materials documenting the candidate's scholarship.
- (d) a record of the candidate's service to the department, college, university, profession, and community, including:
- (i) the candidate's personal statement on service (consisting of a summary and explanation—normally not to exceed three pages—of the candidate's accomplishments and future plans concerning service, and comments on these accomplishments and plans and on other items included in the dossier related to service);
  - (ii) a list, preferably from most to least recent, of other departmental, collegiate, or university service positions;
  - (iii) a list, preferably from most to least recent, of relevant community involvement;
  - (iv) a list, preferably from most to least recent, of offices held in professional organizations;
  - (v) a list, preferably from most to least recent, of service on review panels; and

- (vi) a list, preferably from most to least recent, of any service contributions not listed elsewhere.
- (vii) within the appropriate section(s) of the dossier as listed above, other information relevant to the candidate's record in teaching (if applicable), scholarship, or service that is deemed to be important in the candidate's judgment or required by the college's written Procedures governing promotion decision making.

Where the volume of material of a particular kind which is required to be included in the dossier is large and potentially unmanageable, a candidate, in consultation with the DEO, may select and identify representative portions of the required material for special attention. Only the material selected as representative will become part of the Promotion Record and will be transmitted to successive participants in the promotion decision-making process. Required materials segregated from the representative material will be available for review and will be located in a readily accessible location under the DEO's custody. If any participant in the promotion decision-making process relies upon initially segregated material in preparing a written evaluation of the candidate's qualifications, that material should be added to the Promotion Record, the fact of that addition should be noted in the written evaluation, and the candidate should be notified in writing of the addition at the time it is made.

The candidate's work in progress that is not completed by the specified date but that is anticipated to be completed in the fall—early enough for full and deliberate evaluation, as determined by the DEO—may be identified at the time the dossier is submitted and added to the dossier if and when it is completed.

Other materials (including updated CVs and personal statements) that could not have been available by the specified date but which are completed early enough for full and deliberate evaluation may be added to the promotion dossier by the candidate through the DEO. Materials added to the original dossier or materials in the original dossier that are amended, should be labeled as such, including the date when added or amended and with any amendments clearly marked.

- C. It is the candidate's responsibility to cooperate in obtaining peer evaluations of the candidate's scholarship and other service as described in the following sections, D.—F. Each college will specify in its written Procedures governing promotion decision making whether these peer evaluations will be carried out by individual members of the department, by one or more faculty committees, by other peers, or by some combination of these methods, as well as what process the reviewers will follow. These peer evaluations of the candidate's scholarship and service will be contained in one or more reports that analyze the relevant materials in the Promotion Record as detailed in the respective sections that follow, and shall be signed by each peer evaluator. These reports are intended to go beyond a mere *description* of what the candidate has included in the

dossier and provide a thorough *evaluation* of the quantity and quality of the candidate's research and service from a departmental perspective. Teaching may be evaluated where it exists, but is not required for promotion.

- D. It is the candidate's responsibility to cooperate in obtaining internal peer evaluation of the candidate's scholarship by participating in the following process:
- (1) Each college will specify in its written Procedures governing promotion decision making who will perform the peer evaluation of the candidate's scholarship and the process that the reviewers will follow.
  - (2) The peer evaluation of the candidate's scholarship will be contained in a report that analyzes and evaluates the relevant materials in the Promotion Record, and will include a statement concerning the norms for scholarship in the relevant field, a brief description of the quality of conferences, institutions, journals, or other fora in which the candidate's work has appeared or been presented, and statements concerning any other activities representing scholarship that would be helpful in understanding the nature and quality of these activities.
  - (3) The faculty members who perform the peer evaluation of the candidate's scholarship will enter their report into the section of the Promotion Record that is dedicated to the history and evaluation of the candidate's scholarship.
  - (4) The college's written Procedures governing promotion decision making will specify how the review of scholarship carried out within the candidate's department will be supplemented by reviewers external to the department, college, and/or university.
- E. It is the candidate's responsibility to cooperate in obtaining internal peer evaluation of the candidate's service by participating in the following process:
- (1) Each college will specify in its written Procedures governing promotion decision making who will perform the review of the candidate's service and the process that the reviewers will follow. In circumstances when the review cannot be made entirely by faculty peers, the candidate must receive written approval from the Provost for the use of non-faculty peer reviewers. The request for approval must be justified by and contained in a written request from the Dean.
  - (2) The peer evaluation of the candidate's service will be contained in a report that analyzes and evaluates the relevant materials in the Promotion Record, and will include a comparative analysis of the quality of the candidate's service in the context of the expected service contributions in the department and the profession.
  - (3) The individuals who perform the peer evaluation of the candidate's service will enter their report into the section of the Promotion Record that is dedicated to the history and evaluation of the candidate's service.



- (4) The college's written Procedures governing promotion decision making will specify how the review of service carried out within the candidate's department will be supplemented by reviewers external to the department, college, and/or University.
- F. It is the candidate's responsibility to cooperate in obtaining external peer evaluation of the candidate's scholarship and/or service by participating in the following process:
- (1) Selection of external evaluators of scholarship and/or service will begin on or before a date specified in the college's written Procedures governing promotion decision making or, if not specified in the Collegiate Procedures, no later than September 30<sup>th</sup> of the academic year in which the promotion decision will be made.
  - (2) The college's written Procedures governing promotion decision making will specify the number of external reviewers (with a recommended range of four to eight) and what sample or portion of the candidate's work each reviewer is to evaluate.
  - (3) The DEO will solicit from the candidate a list of appropriate external reviewers from peer institutions (e.g. AAU, Big Ten, major public, Carnegie Research) or institutions, organizations or professional bodies in which the corresponding department or individual evaluator is of peer quality.
  - (4) The DEO will add suggestions to the list and give it to those faculty members who have been assigned to complete an internal peer review of the candidate's scholarship and/or service as described in subsections I.D.(1) and I.E. (1), above; those faculty members will add other potential external reviewers as specified in the college's policy governing research-track promotion decision making, and return the list to the DEO.

The DEO will share the completed list of potential external reviewers with the candidate. The candidate shall identify any potential external reviewers with whom s/he has worked in any capacity and describe the nature of the relationship. If the candidate feels that any potential external reviewer on the list might be unfairly biased, the candidate may prepare a written objection and give it to the DEO, who will take the objection into consideration when selecting external reviewers.

In identifying potential external reviewers, all participants in the selection process will take into account the standing of the prospective reviewer in the discipline, the likely knowledge of the reviewer of the material to be reviewed, the apparent impartiality of the reviewer, and the contribution of the reviewer to achieving an overall "balanced" review among the reviewers on any criterion for which there might be a range of perspectives. To the extent that it is possible, it is critical to avoid any situation in which a personal

and/or professional relationship between the candidate and a prospective reviewer is such that it could undermine the reviewer's apparent impartiality.

The DEO will determine, in accordance with the college's Procedures governing research-track promotion decision-making, which of the potential external reviewers will be asked to provide a letter of review.

The DEO or Dean, using a form letter which substantially conforms to the sample letter contained in Appendix B, will ask the reviewers identified in (7) above to provide an assessment of the quality and quantity of the candidate's scholarship and/or service,

After, or in anticipation of, an invitation to an external reviewer to evaluate the candidate's work, neither the candidate nor any other faculty member other than the DEO or Dean will communicate with the reviewer concerning the subject of the review or the review process.

The DEO will keep a record of:

- (a) the list of suggested reviewers,
- (b) the names of persons invited to review,
- (c) the names of the actual reviewers,
- (d) comments submitted by the candidate, the DEO, and the internal faculty reviewers, and
- (e) correspondence and other communications between the DEO or Dean and invited reviewers and actual reviewers.

All letters received from external reviewers will be entered by the DEO into the Promotion Record in the sections dedicated to the history and evaluation of the candidate's scholarship or service, along with:

- (a) a list of invited reviewers—indicating whether the reviewer was suggested by the candidate, the DEO, or the internal faculty reviewers—and a brief explanation of why any invited reviewer declined;
- (b) the candidate's written objection to any potential external reviewer on the basis of unfair bias, if a letter was solicited from that reviewer over the candidate's written objection;
- (c) a copy of the letter or letters of solicitation to external reviewers;
- (d) a brief description of each external reviewer's qualifications;
- (e) a statement of how the reviewer knows the candidate's work, if it is not obvious from the reviewer's letter;
- (f) a statement that identifies and addresses circumstances which might call into question the impartiality of the reviewer; and
- (g) an explanation of why the choice of a reviewer was made, if the reviewer is not from a peer institution but from an institution, organization or professional body where the corresponding department of individual evaluator is of peer quality.

- G. The candidate will be given an opportunity to respond to the internal peer evaluations as follows:
- (1) The DEO will send the candidate a copy of the internal peer evaluations of the candidate's scholarship, and service that have been entered into the appropriate sections of the Promotion Record.
    - (f) The candidate will be allowed a limited time period, specified in the college's written Procedures governing promotion decision making, to submit in writing any corrections to factual errors in the internal peer evaluations of the candidate's scholarship, and/or service.
    - (g) If the candidate submits a letter correcting factual errors in the internal peer evaluations of the candidate's scholarship, and/or service, the DEO will enter it into the Promotion Record.
- H. The DCG will participate in the promotion decision-making process as follows:
- (1) Following the principle that each individual participating in the promotion decision making process may vote for or against the granting of promotion to a candidate only once, DCG members who are also members of the CCG will participate in the promotion decision making for a candidate from their department at the departmental level and may not participate in the CCG's deliberations or voting in regard to that candidate.
    - (x) The DEO may attend the meetings of the DCG, but may not vote, participate in the discussion other than to provide factual information, or contribute to the written report summarizing its discussion.
    - (xi) The Promotion Record available to the DCG will consist of the candidate's dossier with appendices the internal and external peer evaluations of scholarship and service, entered into the appropriate sections of the Record; and the candidate's letter correcting factual errors in the internal peer evaluations, if any.
    - (xii) The DCG will meet to discuss the candidate's qualifications, to vote by secret ballot for or against the granting of promotion, and, in accordance with the college's written Procedures on promotion decision making, to assign one or more of its members to prepare a summary report of the discussion, document the final vote, and enter that information into the Promotion Record. The summary report will contain a recommendation for or against the granting of promotion based on the written Procedures of either the department or the college, as applicable, stating the criterion vote (e.g., simple majority, two-thirds majority) that defines a positive recommendation for promotion. This report shall not reiterate the details of the internal and external peer reviews or restate

other material already in the dossier; rather, it shall identify those specific aspects of the dossier that formed the basis of the DCG recommendation.

(xiii) The results of the DCG's vote and the summary report of its discussion and its recommendation for or against the promotion will be transmitted to the DEO as part of the candidate's Promotion Record and also provided to the candidate, redacted as needed by those who prepared the summary report to protect the confidentiality of any individual contributions, whether from students, external reviewers, or University of Iowa faculty members.

(xiv) The candidate will be allowed a limited time period, specified in the college's written Procedures governing promotion decision making, to submit to the DEO a letter correcting factual errors about the candidate's record in the DCG's summary report of its discussion.

(xv) If the candidate submits a letter correcting factual errors about the candidate's record in the DCG's summary report, the DEO will enter it into the Promotion Record before making a recommendation to the Dean.

I. The DEO will participate in the promotion decision-making process as follows:

- (1) Based on the Promotion Record, the DEO will recommend that promotion be granted or denied in a separate letter to the collegiate Dean for each candidate.
- (2) As with the DCG report, the DEO's letter to the Dean should not reiterate the details of material that already is in the dossier. Rather, it will explain her or his reasons for recommending for or against promotion, stating how the candidate has or has not met the relevant criteria for promotion and, when the recommendation of the DCG is not followed, will explain why a contrary recommendation is being made and will address any disagreement between the DEO's evaluation and the evaluation of the DCG as reflected in the summary report of the DCG's discussion.
- (3) Even if the DEO recommends that the candidate be promoted, the DEO's letter to the Dean will address any negative aspects of the Promotion Record.
- (4) The DEO's letter will be transmitted to the Dean as part of the candidate's Promotion Record.

J. The candidate will be given the opportunity to respond to a recommendation against promotion by the DEO as follows:

- (1) At the same time that the Promotion Record is submitted to the Dean, if the DEO's recommendation is negative, the DEO will provide the candidate with a

copy of the DEO's letter of recommendation to the Dean.

- (2) The candidate then, upon request, will have access to the Promotion Record, with the following provisions:
  - (a) the external reviews of the candidate's scholarship and/or service must be redacted as appropriate to protect the confidentiality of reviewers;
  - (b) any comments in the Promotion Record referring to external reviews of the candidate's scholarship and/or service must be redacted as appropriate to protect the confidentiality of reviewers; and
  - (c) the student evaluations of the candidate's teaching which were added to the Promotion Record by the DEO (if any) must be redacted to protect the confidentiality of student evaluators.
- (3) The candidate for a limited time period, specified in the college's written Procedures governing promotion decision making has the right to submit to the Dean:
  - (a) a written response to the DEO's negative recommendation and
  - (b) additional information to be included in the Promotion Record.
- (4) If the candidate submits a written response to the Dean for inclusion in the Promotion Record, the candidate also shall give the DEO a copy of the response.

## II. College level procedures

- A. If the candidate submits a written response to the DEO's letter to the Dean, the Dean will place the response in the Promotion Record.
- B. The CCG shall participate in the promotion decision-making process as follows:
  - (1) Each college with multiple units must include in its written Procedures governing promotion decision making a procedure for establishing a faculty CCG, as well as guidelines for the membership of the Group and how it will function. Members of a CCG who have participated in a promotion decision for a particular candidate at the departmental level may not participate in the CCG's deliberations or voting in regard to that candidate.
  - (2) The Dean may attend the meetings of the CCG, but may not vote or contribute to any written report summarizing its discussion.
  - (3) The Promotion Record available to the CCG will consist of the Promotion Record available to the DEO, the DEO's letter, and the candidate's letter of response (if any) following receipt of the DCG's recorded vote and summary report with recommendation and the letter of recommendation of the DEO to the Dean. Although the appendices to the Promotion Record are part of the Promotion Record, the determination of whether and when these appendices are physically moved to the Dean's custody will depend on the college's written Procedures governing promotion decision making.
  - (4) If the CCG finds it necessary for clarification or supplementation of the Promotion Record, the CCG may submit to the DCG and/or the DEO a written request for additional information. The CCG will enter any information thus obtained into the Promotion Record.
  - (5) The CCG will, in accordance with the college's written Procedures governing promotion decision making, meet:
    - (a) to discuss the candidate's qualifications,
    - (b) to vote and make a recommendation for or against the granting of promotion, and
    - (c) to assign one or more of its members
      - (i) to prepare a summary report of the discussion, if its recommendation to the Dean is negative and contrary to that of the DCG or DEO, or if such a report is required by the college's written Procedures on promotion decision making;
      - (ii) to document the final vote, and
      - (iii) to enter that information into the Promotion Record.

- (6) The CCG's vote and recommendation, and the summary report of its discussion, if any, will be transmitted to the Dean as part of the candidate's Promotion Record.
- C. The candidate will be given the opportunity to respond to the CCG's recommendation under the following conditions:
- (1) If the CCG's recommendation to the Dean is negative and contrary to that of the DCG or DEO, the candidate will be provided with a copy of the CCG's vote and summary report and will have access to the Promotion Record, with the following provisions:
    - (a) the external reviews of the candidate's scholarship and/or service must be redacted as appropriate to protect the confidentiality of reviewers;
    - (b) any comments in the Promotion Record referring to external reviews of the candidate's scholarship and/or service must be redacted as appropriate to protect the confidentiality of reviewers; and
    - (c) the student evaluations of the candidate's teaching which were added to the Promotion Record by the DEO (if any) must be redacted to protect the confidentiality of student evaluators.
  - (2) The candidate, then, for a limited time period specified in the college's written Procedures governing promotion decision making, has the right to submit a written response to the CCG's negative recommendation.
- D. The Dean shall participate in the promotion decision-making process as follows:
- (1) If the candidate submits a written response to the CCG's negative recommendation, the Dean will place the response in the Promotion Record.
  - (2) When any materials that were not available at the time of the departmental action are forwarded by the DEO to the Dean, the Dean will make a determination whether it is likely that the new material would have substantially altered the departmental evaluation of the candidate's record by the DCG and/or the DEO. If, in the Dean's judgment, a substantial change in the departmental evaluation is likely, the Dean will return the case to the DEO for any appropriate supplementary action so that the Dean will be able to act in the light of an accurate indication of departmental judgments.
  - (3) Based on the Promotion Record, including the response of the candidate, if any, to the CCG report, the collegiate Dean will recommend that promotion be granted or denied in a separate letter to the Provost for each candidate.
  - (4) The Dean's letter to the Provost will explain the Dean's reasons for recommending for or against promotion stating how the candidate has or has not met the relevant criteria for promotion. As with previous steps in this process, the Dean's letter to the Provost shall not reiterate the details of material that already is in the dossier; rather, it shall identify those aspects of

the dossier that formed the basis of the Dean's recommendation.

- (5) When the Dean's recommendation is contrary to the recommendation of the DCG, the recommendation of the DEO, and/or the recommendation of the CCG, the Dean's letter will explain why the contrary recommendation is being made.
  - (6) The Dean's letter will be transmitted to the Provost as part of the candidate's Promotion Record.
  - (7) At the same time that the Dean's letter is submitted to the Provost, the Dean will inform the DEO of the recommendation that has been forwarded to the Provost. The DEO, in turn, will inform the members of the DCG of the Dean's recommendation and also will inform the candidate if the Dean's recommendation is positive.
  - (8) The Dean will transmit to the Provost one copy of the Promotion Record for each candidate in the college, and a single copy of the college's written Procedures governing promotion decision making.
- E. The candidate will be given the opportunity to respond to a negative recommendation by the Dean as follows:
- (1) At the same time that the Promotion Record is submitted to the Provost, if the Dean's recommendation is against promotion, the Dean will provide the candidate with a copy of the Dean's letter to the Provost.
  - (2) The candidate then, upon request, will have access to the Promotion Record, with the following provisions:
    - (a) the external reviews of the candidate's scholarship must be redacted as appropriate to protect the confidentiality of reviewers;
    - (b) any comments in the Promotion Record referring to external reviews of the candidate's scholarship must be redacted as appropriate to protect the confidentiality of reviewers;
    - (c) the student evaluations of the candidate's teaching which were added to the Promotion Record by the DEO (if any) must be redacted to protect the confidentiality of student evaluators; and
    - (d) any comments in the Promotion Record referring to external reviews or any other identifiable individual must be redacted as appropriate to protect confidentiality.
  - (3) The candidate, for a limited time period specified in the college's written Procedures governing promotion decision making, has the right to submit (a)



a written response to the Dean's recommendation against promotion and (b) any additional information to be included in the Promotion Record.

- (4) If the candidate submits a written response to the Provost for inclusion in the Promotion Record, the candidate also shall give the DEO a copy of the response.

## **Appendix A—Points to be Determined by Collegiate Procedures**

The following points must be covered by the Collegiate Procedures (as approved by the Provost) to satisfy a requirement of or to provide a variation from a provision of these Procedures:

- General Principles: the composition of the DCG with regards to additional research-track faculty members from outside the department;
- General Principles: who will perform the functions assigned in these Procedures to the DEO, if they will not be performed by an individual who holds that title;
- General Principles: in nondepartmentalized colleges, what the role of department-like units and their administrative officers, if any, will be;
- General Principles: how and when a candidate will notify the department and/or college of his or her interest in being reviewed for promotion;
- I.B.(1) the date that substantive material for the promotion dossier will be due from the candidate, if before September 1;
- I.B.(3)(f) any supplementary material to be included in the dossier in addition to the required minimum described in these Procedures;
- I.C. who shall perform the internal peer evaluations of scholarship, and service;
- I.E.(1) details about the process of peer evaluation of the candidate's scholarship (including who will perform the evaluation);
- I.E.(4) how the internal peer reviews of scholarship will be supplemented by reviewers external to the department, college, and/or University
- I.F.(1) details about the process of peer evaluation of the candidate's service (including who will perform the evaluation);
- I.F.(4) how the internal peer reviews of service will be supplemented by reviewers external to the department, college, and/or University;
- I.G.(1) a when the process of selection of external reviewers will begin;
- I.G.(2) how many external reviewers will be asked to provide assessments of the candidate's scholarship and/or service, and what materials each will review;
- I.G.(7) the process by which the DEO will select the final list of external reviewers;
- I.H.(2) the period of time allowed the candidate to review the internal peer evaluations of scholarship and service for factual errors (normally five to ten working days) and submit a letter correcting factual errors;
- I.I.(4) details of the DCG's voting procedure, and how the DCG determines which of its members will prepare the summary report of its discussion, document the final vote, and enter that information into the Promotion Record;

- I.I.(4) the criterion vote (e.g., simple majority, two-third majority) that defines a positive recommendation if not otherwise specified in departmental written policy;
- I.I.(6) the period of time allowed the candidate to submit a letter correcting any factual errors regarding the candidate's record in the DCG report;
- I.K.(3) the period of time allowed the candidate to access the Promotion Record and to submit to the Dean a written response to the DEO's recommendation against promotion and other additional material to be included in the Promotion Record (normally five to ten working days);
- II.B.(1) how the CCG is formed and performs its functions;
- II.B.(3) whether and when the appendices to the Promotion Record are physically transmitted to the Dean;
- II.B.(5) the procedure according to which the CCG will vote and make a recommendation for or against the granting of promotion, whether a summary report of the CCG's discussion is required (when it is not otherwise required by these Procedures), and how the CCG will determine which of its members will prepare the summary report of its discussion (if any), document the final vote and recommendation, and enter that information into the Promotion Record;
- II.C. (2) the period of time allowed the candidate to access the Promotion Record and to submit to the Provost a written response to the CCG's negative recommendation (normally five to ten working days); and
- II.E. (3) the period of time allowed the candidate to access the Promotion Record and to submit to the Provost a written response to the Dean's recommendation against promotion (normally five to ten working days).

The comments on the Procedures (Appendix C) suggest additional matters that might be covered in Collegiate Procedures. Appendix B—Sample Letter from Departmental Executive Officer (DEO) to External Reviewer of a research-track Faculty Promotion

A DEO's letter to solicit an external evaluation must:

- Be neutral in tone;
- Indicate the rank for which the candidate is being considered and that the promotion does not include the awarding of tenure;
- Explicitly state what portion of the candidate's work the reviewer is being asked to assess;
- Request that the reviewer not communicate with the candidate or with the faculty member other than the DEO;
- State that the reviewer's response will be protected as confidential, available only to those participating in the decision-making process, and to the candidate only under certain circumstances and after review was redacted to protect confidentiality; and
- Request a brief biographical sketch if one has not been obtained through another source.

## Appendix B—Sample Letter from Department Executive Officer to External Reviewer

The following is a sample letter:

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

As I mentioned to you [on the telephone / by e-mail] on [date], \_\_\_\_\_ will be considered for promotion to [proposed rank] in the Department of \_\_\_\_\_ during this academic year. This promotion does not involve the granting of tenure. I am grateful to you for agreeing to serve as an external evaluator.

Enclosed with this letter are Professor \_\_\_\_\_'s curriculum vitae and copies of the material you have agreed to review: [list]

Please begin with a statement of how you know the candidate and his or her work and activities. In this context, please address any circumstances that might raise issues of impartiality as they relate to your assessment of the candidate. We would like you to critique the quality of Professor \_\_\_\_\_'s contributions and, if possible, to assess their quantity and quality in comparison to the work and activities of others in this discipline at comparable stages in their careers. We would particularly appreciate your evaluation of the contribution that the candidate's work and activities have made to the field. We would be interested in your judgment of the quality of any published materials and the importance of the venues through which Professor \_\_\_\_\_ has communicated his/her work. We also would be interested, of course, in any other insights you might have about Professor \_\_\_\_\_'s accomplishments.

If you have any questions about Professor \_\_\_\_\_'s materials or experience, please contact me directly. In accordance with our governing procedures, I must ask you not to communicate with either the candidate whose accomplishments you are reviewing or other members of the department or college concerning your evaluation or the review process.

Your letter will be available to the tenured faculty members in this department, the research-track faculty members above the proposed rank of promotion as well as to the Dean, the Collegiate Consulting Group (Promotion Advisory Group), and the Provost's Office. Beyond that, we will regard your letter as a confidential document. Your evaluation will be made available to the candidate only upon his/her explicit request following a negative recommendation at various stages of the review process, and then only after your name and other identifying information have been removed.

[Only if it is not possible otherwise to obtain a short statement of the reviewer's qualifications, add the following paragraph:] Would you please send me a brief biographical statement when you send your letter? Although our departmental faculty

knows you and your work well, the Dean and the Collegiate Consulting Group would find your biographical sketch helpful when considering your letter.

Again, thank you for your willingness to help us with this important review process.

Signature of DEO

## Appendix C—Comments on the Procedures

I. B. (2). The candidate and the DEO should work together to ensure that a candidate's scholarship and service, including those activities of an interdisciplinary or multidisciplinary nature, are accurately portrayed in the promotion dossier.

I.B.(3)(f) The college may want to require additional items in the dossier such as refereed conference papers; invited papers, lectures, or presentations; unfunded grant proposals; and so forth. The college's written Procedures governing promotion decision making should specify the items required and apply the requirement evenhandedly to all candidates.

I.B.(6) Examples of "materials that could not have been available by the specified date" include decisions on submitted manuscripts or grant proposals after the specified date, or published book reviews of which the candidate had no previous knowledge,

I.G.(10)(d) and (3) Although the records related to external reviewers that are required to be kept under these subsections do not become a part of the Promotion Record concerning each candidate, they would be available for consideration should a question subsequently arise concerning the denial of promotion to that candidate or another candidate for promotion in the department.

I.I. The integrity of academic decision making requires that all participants base their evaluation on a careful study of the relevant materials, and standards of ethical academic behavior require nothing less. The integrity of particular academic decisions also requires that 1) all faculty members honor their duty to participate fully in the assessment of their colleagues, and 2) the evaluation of the candidate's qualifications not be compromised by the participation of anyone having a disqualifying conflict of interest. This requirement entails that any faculty member or administrator who would otherwise participate in the recommendation to grant or deny a promotion should be disqualified if that person has a relationship or interest which would give the appearance of biasing that person either in favor of or against the candidate. Conflicts of interest exist not because actual bias is assumed, but because of the appearance of a lack of sufficient impartiality. Whether a disqualifying conflict of interest does exist often presents the difficult question of degree, and it depends upon a determination by a participant in the process to identify the conflict and to disqualify herself or himself when appropriate. In lieu of disqualification, in some cases it can be sufficient that the circumstances giving rise to an apparent conflict of interest be fully disclosed. When disqualification is required, that can be effected by a decision of a member of the DCG not to vote or otherwise to participate in the evaluation process; at a stage of the process involving a single decision maker, such as the DEO or the collegiate Dean, more burdensome arrangements for a substitute decision maker would have to be made. Although treatment of conflicts of interest in the college's written Procedures governing promotion decision making would be appropriate, these Procedures have not attempted to address the specific situations that might create conflicts of interest nor to

provide procedures for avoiding them. (For the Conflict of Interest Policy, refer to sections II-18 and III-8 of the University's Operations Manual.)

The integrity of the promotion decision-making process also requires that all documentary material be available only to those entitled to participate in the process and that every participant treat as confidential all information obtained from reading documents in the Promotion Record or from participating in any discussion concerning the qualifications of a candidate for promotion.

I.I.(2) In non-departmentalized colleges, the Dean attends the meeting of the DCG in the same manner as the DEO unless otherwise specified in the college's written Procedures on promotion decision-making and approved by the Provost.

I.I.(5) Because the Promotion Record may be redacted to protect reviewers' confidentiality where appropriate, it will be especially important that the DCG's report and the DEO's letter be written in sufficient detail to enable the candidate to submit a written response should the candidate choose to do so.

I.J.(4) This is the first point in the decision process at which there is a specific reference to transmitting the Promotion Record. Prior to this stage of the process, it is assumed that the Promotion Record is compiled within the department under the joint management and custody of the DCG and the DEO. If the location of the Promotion Record would not otherwise be clear, the college's written Procedures governing promotion decision making should provide some means of informing decision-makers of the location of various materials comprising the Promotion Record from time to time as the decision process moves from the candidate to the DCG to the DEO.

## **Appendix D– Review Procedures for Research-Track Faculty members with Joint Appointments**

- A. In the case of a non-0% joint-appointment candidacy for promotion, the departments shall form (a) joint internal review committee(s) (see Section I. C. below), roughly proportional in its (their) makeup to the percentage of faculty effort in each department and with at least one committee member from each department. The DEO(s) or the candidate may seek approval of the dean(s) for an alternative structure in exceptional circumstances, including cases of marked discrepancy between percentage effort and percentage salary support across the two units, or in the case of a joint but non-interdisciplinary appointment, such that joint review is inappropriate. When standard review procedures differ between units (e.g., delegation of review of research and service to separate subcommittees vs. using a single internal review committee for all three areas), a joint decision shall be made establishing procedures that are mutually acceptable to the faculty member and the units in advance of deliberations of the review committee[s]. The joint internal review committee shall report, both in writing and at (a) meeting(s) with at least one internal review committee member from each department present, to each DCG.
- B. The departments involved must determine, together with the affected faculty member, whether the DCGs will meet jointly or separately and, if jointly, whether the DCGs will have joint or separate votes and reports. If separately, (a) if a faculty member holds a 50-50 joint appointment, each DCG will make an independent and primary decision using its college's written policy governing promotion decision making; (b) if a faculty member holds a 1% to 49% joint appointment in a department, the departments involved must determine, together with the affected faculty member, whether each DCG will make an independent decision or whether the DCG in which the faculty member holds the smaller percentage appointment will be limited as described in section C below. These determinations should be made by mutual agreement of the faculty member, both DEOs, and the Dean(s) early in the joint appointment and set forth in a letter of agreement, copied to the Provost.
- C. If a faculty member holds a 1% to 49% appointment in a department, and a determination is made that that department shall not make an independent decision, then that department shall participate in the following manner (see sections II.(G) and II.(H) for additional detail).
- (1) The DCG shall:
- (a) receive the candidate's dossier including the letters of the external reviewers;
  - (b) review and discuss the candidate's qualifications;
  - (c) make a recommendation for or against the granting of promotion based on a secret-ballot vote;
  - (d) write a brief report of its discussion, including its vote and recommendation for or against the granting of promotion. If a majority of the DCG requests, it may delegate writing this report to the DEO.
- (2) The DEO shall:
- (a) write a letter



- (i) reporting the DCG discussion, including its vote and recommendation for or against the granting of promotion, if requested by a majority of the DCG to do so, and
- (ii) making an independent recommendation that promotion be granted or denied;
- (b) add the DCG report, if any, and this letter to the Promotion Record, and
- (c) submit the Promotion Record to the primary department in time for consideration by the DCG of that department.

Similarly,

- (3) the Collegiate Consulting Group of the college in which a faculty member has a 1% to 49% appointment shall:
  - (a) receive the candidate's Promotion Record from the DEO of the primary department;
  - (b) review and discuss the candidate's qualifications, and
  - (c) make a recommendation for or against the granting of promotion based on a secret-ballot vote, with a brief report of its discussion if the recommendation is negative. If a majority of the CCG requests, it may delegate writing this report to the Dean.
- (4) The Dean shall:
  - (a) write a letter
    - (i) reporting the CCG discussion, including its vote and recommendation for or against the granting of promotion, if requested by a majority of the CCG to do so, and
    - (ii) making an independent recommendation that promotion be granted or denied;
  - (b) add the CCG report, if any, and this letter to the Promotion Record;
  - (c) submit the Promotion Record to the primary college in time for consideration by its CCG.

D. If a faculty member holds a 0% joint appointment in a department, that department may be limited to a subordinate consultative role in the tenure and promotion process and the affected departments may decide how this role shall be carried out. These determinations should be made by mutual agreement of the faculty member, both DEOs, and the Dean(s) at the beginning of the joint appointment and set forth in a letter of agreement, copied to the Provost.

# Other Faculty Appointments

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# Other Faculty Appointments

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In addition to primary faculty appointments, there are a variety of other faculty appointment options that a department may utilize to achieve their educational and research goals. These types of faculty appointments are: Joint, Secondary, Adjunct, Lecturer, and Visiting. Not all of these faculty appointments consist of individuals who are physically at the University of Iowa. Some of these appointments are individuals who are non-academia who provide a different perspective to a course that they may teach and provide insight on real world experience to our students.

# Joint Faculty Appointments

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## ***Jointly Appointed Faculty***

Faculty on the budget of two units depend on the two departments to cooperate in assigning responsibilities and providing guidance, even though one unit is designated the unit of primary appointment. In the first semester of appointment for instructors or assistant professors who are jointly appointed, the Associate Dean for Faculty Affairs meets with the jointly appointed faculty members and the two DEOs to clarify the units' expectations and the faculty member's responsibilities.

Both units must cooperate in all reviews of the jointly appointed faculty member- probationary reviews, reviews for promotion and/or tenure, and tenure faculty reviews. In probationary and tenure faculty reviews, the departments should coordinate their evaluations of the faculty member's record and discuss points on which their evaluations or recommendations coincide with or conflict with one another, so as to provide the best possible guidance. In reviews of not-yet-tenured faculty, both DEOs must sign the University's "Annual Review of Probationary Faculty" form.

# Secondary Faculty Appointments

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## ***Joint Appointment at 0%***

A department may offer a 0% (secondary) appointment to a tenured, tenure-track, or clinical faculty member, if the appointment is deemed appropriate by the departmental faculties. This can involve teaching, advising, committee representation, or any other duty appropriate to the faculty member's areas of expertise. The primary department usually funds the position. Both DEOs must sign all paperwork related to the appointment, including the offer letter and appointment form, and both departments agree on the extent to which the unit offering the 0% appointment will cooperate in future review of the faculty member. Departments should consult the Associate Dean for Faculty Affairs on procedures and typical expectations for 0% appointments.

# Adjunct Faculty Appointments

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## ***Role of Adjunct Faculty***

Adjunct faculty are generally P & S staff members within the University or professionals in the local community whose areas of expertise are insufficiently represented on the faculty; they ordinarily hold the terminal degree in the field. Adjunct faculty appointments are particularly valuable when they make use of the experience of professionals to enhance academic instruction. Adjunct faculty may provide instruction in courses for academic credit, supervise clinical or practicum experiences, or support the teaching of others.

## ***Appointment to Adjunct Faculty Status***

Adjunct faculty appointments carry faculty rank (adjunct instructor; adjunct assistant, associate, and full professor); the expectations at each rank are similar to those for the same rank of either the tenure or clinical track. An adjunct faculty appointment may be for a specified term of salaried instruction (e.g., one semester) at less than 50% effort or may be a non-salaried, renewable-term appointment of one to three years.

## ***Review of Adjunct Faculty***

The teaching of an adjunct faculty member is reviewed during every academic year in which he or she has classroom duties. The review includes student evaluations of teaching, evaluation of syllabi and other course materials, and (in some years) classroom evaluation as needed.

## ***Adjunct Appointments in the Graduate College***

Adjunct faculty are not automatically members of the graduate faculty. To appoint an individual to graduate faculty status for a specific period or purpose (such as service on a thesis committee), the department applies to the Graduate College.

## ***Promotion of Adjunct Faculty***

An adjunct faculty member, whether on salary or not, may be recommended for promotion, during the regular promotion cycle, if the record of professional activity justifies a change in rank. The promotion dossier for adjunct faculty requires the following:

- 1) an updated CV
- 2) copies of any teaching evaluations and information about teaching quantity since

- appointment or last promotion
- 3) a brief (1-2 page) personal statement of teaching responsibilities, scholarship, and/or service responsibilities (if applicable)
  - 4) two to three letters of review (these may include letters from UI faculty from different units)

The dossier will then go to the DCG for review and vote. The DCG will write a brief report of their recommendation to the DEO. The DEO will then write a letter to the Dean giving the justification for the promotion. The dossier materials will be given to the Collegiate Consulting Group (CCG) for evaluation and vote. The CCG will write a brief report of their recommendation to the Dean. The Dean will then write a letter to the Provost which should include a summary of the votes.

The candidate should be informed of the recommendations at the conclusion of both the departmental and collegiate reviews and given the opportunity to respond to errors of fact in the DEO or Dean's letters. The Office of the Provost approves promotion only where there is explicit evidence of departmental action and a letter of endorsement from the Dean.

# Lecturer Faculty Appointments

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Lecturer positions are academic-year, renewable faculty appointments, with summer session appointment possible on the same basis as for other faculty. Although an individual's appointment as lecturer may be renewed for up to three years, University policy requires that the appointment be made for one academic year at a time. The initial offer may indicate the expectation that the appointment will be renewed for 3 years, assuming positive annual reviews. Fringe benefits are provided in accordance with University rules for appointments of 50% or more. The number of lecturer appointments in the College will remain small.

A lecturer position in the College of Public Health generally meets the following conditions.

- the research expectations that exist for tenure-track faculty are inappropriate, given the nature and extent of the teaching assignments,
- the potential for reappointment beyond three years is essential in order to ensure stability in the position and competitive recruiting of individuals who can ensure high-quality instruction, and
- funding for the position is identified, in consultation with the College.

## ***Review of Faculty at the Rank of Lecturer***

Individuals with lecturer appointments are reviewed annually with regard to how well they meet performance expectations, in the context of decisions about renewal of the contract, about annual salary determination, and about continuing use of the lecturer title and rank. Individuals with lecturer appointments will be expected to keep up with developments in the knowledge base and pedagogy of their subject. Positive performance reviews that would result in renewal of appointment may therefore depend on some professional development activities. While involvement in professional service is not necessarily required, enhancement of credentials and notable professional service can contribute to merit-based raises.

## ***Qualifications***

Lecturer appointments normally require an advanced degree (masters or doctoral degree) or the equivalent. Individuals holding a lecturer appointment cannot be graduate students in the department in which they are serving as lecturer, although with the permission of the DEOs of both departments, the Dean of the College of Public Health, and the Graduate College, it may be possible in some cases to allow the professional development expectations of the position to be met in part by enrollment in a graduate or professional program in a different department.



Lecturer positions are subject to the usual affirmative action recruitment procedure expectations.

# Visiting Faculty Appointments

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## **Visiting Faculty Appointments**

In the offer of appointment as a visiting faculty member, the DEO establishes the salary, expectations, and benefits of the position, including office space and other perquisites. Since visiting appointments do not ordinarily carry the service expectations of tenure-track positions and since the College does not ordinarily support the research of visiting faculty, teaching expectations are at least 50% higher for visiting faculty than for tenure-track faculty. The teaching of visiting faculty is reviewed each year.

Visiting faculty ranks are the same as those for tenure-track positions: visiting instructor, visiting assistant professor, visiting associate professor, and visiting professor. The criteria for each rank are the same as those for tenure-track ranks.

## **Independent (Visiting) Scholar Status**

The department may request independent scholar status for qualified individuals not associated with the University who will be in the vicinity for an extended period of time. Independent scholars have faculty library privileges and may apply for access to the computer center (including e-mail service), recreational services, and parking privileges. The department must specify the term of the appointment (one year or less). The DEO or a faculty member explicitly named in the request serves as the sponsor.

The DEO writes to the Associate Dean for Faculty Affairs to request that independent scholar status be conferred, enclosing a curriculum vitae or other information verifying the qualifications of the individual for faculty-like privileges. The letter must specify the length of time for which this independent scholar status is requested—up to one year can be requested at a time. The Associate Dean for Faculty Affairs forwards the request, with an endorsement, to the Office of the Registrar. The card denoting independent scholar status has an expiration date, and renewal must be explicitly requested.

# Teaching/Education/Student Affairs

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# Curriculum and Course Development

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## **Establishing and Changing Academic Programs**

### ***New Graduate Level Programs***

[Procedures for Approving New Certificate, Subtrack, and Degree Programs](#)

### ***Changes in Existing Programs***

When a department proposes a change that alters the plan of study of a degree program, the department should contact the Associate Dean for Education and Student Affairs who can advise on whether a particular change requires approval of the Curriculum Committee and/or the Graduate College.

### ***Discontinuance of Programs***

When a department proposes to discontinue a degree or certificate program, the department should contact the Associate Dean for Education and Student Affairs who can advise on approval processes and information required.

## **Policy on Low-Enrollment Courses**

Guidelines promoting the fair allocation and wise use of teaching resources are in the interest of the College and its departments. Thus, the College asks each department to evaluate the need and desirability of those of its course offerings that have low enrollment.

### ***Defining Low Enrollment***

Ordinarily, the College will consider a graduate course enrolling fewer than five students as having a low enrollment. The following categories of courses will ordinarily be excluded from consideration:

1. independent study/practicum/internship courses, and
2. courses having space or other facility limitations on enrollment.

## **Teaching in Summer Session**

The University offers summer session courses on three-week, six-week and eight-week schedules.

## ***Course Offerings***

Only courses truly adaptable to the shortened time frame should be offered in summer session, especially in the three-week session. Course goals, contact hours, and teaching standards must be the same as for the same course offered in a 16-week semester. Summer session offerings should reflect enrollment demand.

## **Distance Education**

The College of Public Health departments offer distance-education classes through the [Center for Credit Programs \(CCP\)](#).

# College of Public Health Curriculum Review

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Submit the following **for each degree** offered by the Department. Succinct answers to each bulleted point are expected with responses requiring no more than three pages per degree.

## **Mission and Admissions**

- Provide a Mission Statement related to the goals of the degree.
- Explain the admissions process and criteria used to determine the acceptability of an applicant.
- Describe how advisors are chosen and the role of the advisor for: academic planning, thesis/dissertation advising, and career development.

## **Curriculum**

- Describe the design, including sequencing, of the degree's required courses as they affect the degree learning objectives and the student's plan of study.
- Describe any major changes in degree requirements since the last review.
- For PhD degrees, describe courses taught specifically to enhance the education of doctoral students.

## **Competencies**

- Describe how the degree competencies align with the degree's mission and the types of jobs graduates obtain (refer to competency matrix in appendix).
- Describe the process by which the degree's competencies are developed and periodically reviewed with faculty for relevance.
- Describe how the department assesses and measures student progress towards and mastery of degree competencies. Include a description of the types of evaluation tools (preceptor assessments, course deliverables, Master's final examination, etc.) used in these processes.

## **Program Evaluation**

- List the methods of evaluation for course content and the degree's curriculum and discuss how these results are used for quality improvement.

- Describe the body or person(s) primarily responsible for ongoing evaluation of the curriculum and course instruction.
- Describe how you seek feedback from alumni regarding possible curriculum changes based on their experiences after completing their terminal degree from the CPH.

### **Appendix Materials:**

- For the Department provide:
  - A complete table of all courses offered by the department including course numbers, full course titles, credit hours, when offered, and enrollment data during the reporting period.
  - The syllabus for each course offered by the department.
- For each degree provide:
  - The degree course requirements.
  - A typical student plan of study that fulfills the curriculum requirements for the degree.
  - A matrix that tabulates program competencies and illustrates competency coverage across required core courses and other required components of the degree.

*Note: Formal curriculum reviews in the above-described format do not have to coincide with the departmental review cycle, nor do all of the details of such a review need to be included in the departmental Self Study documents. The frequency of such curriculum reviews should be at least once every 7 years. Hence, any program that has not had a review since 2009 should be reviewed by 2016, and any program being reviewed from this point onward should follow the unified format.*

# Definitions of Teaching Load

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For faculty, a full teaching load is two three-semester-hour courses per year or equivalent. For faculty administrators (associate deans and department heads), a full load is one three-semester-hour course per year or equivalent. Equivalent may be addressed by co-teaching. Courses taught as independent study or thesis/dissertation will not count toward meeting the teaching load requirement. If a faculty member or faculty administrator has been scheduled to teach a course, but it was cancelled for lack of enrollment or any other reason, that course cannot be used to fulfill the teaching load requirement.

Only after a faculty member or faculty administrator has achieved the full teaching requirement for the academic year and has obtained approval from their Department Head/supervisor, will s/he be considered for off-load teaching compensation.

Payment for off-load teaching will be: \$7,000 for an Assistant Professor; \$8,000 for an Associate Professor; \$9,000 for a Professor. These rates are for 3 hour courses and will be prorated if the course is less than 3 hours.



# CPH Teaching Load Policy

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## College of Public Health Policies and Procedures

January 13, 2015

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### **Policies Regarding Teaching Responsibilities**

Normal teaching obligation of full time tenure-track faculty:

All tenure track faculty are required to teach two courses each of at least 3 s.h. per year, or equivalent. Associate deans have their teaching requirements determined by their DEO proportionate to their percent effort in their department, and DEO teaching requirements are determined by the Dean. Equivalence may be addressed by co-teaching with the combined teaching efforts summing to 100% of the semester hours of the course. For example, if two faculty members contribute equally in teaching a 3 s.h. course, then each would be credited with 1.5 s.h.; they cannot both be credited with 100% of the course. [Administrative note: The exception to this is that both faculty who teach undergraduate classes in an integrated team fashion will each receive full credit for the course for the first two times the course is taught, as indicated in the call for proposed undergraduate courses.] Courses taught as independent study or thesis/dissertation will not count toward meeting the teaching load requirement, nor will assignment to journal club or seminar coordination. If a faculty member or faculty administrator has been scheduled to teach a course, but it was cancelled for lack of enrollment or any other reason, that course cannot be used to fulfill the teaching load requirement. Courses with large student volume (e.g., greater than 50 students) or with multiple sections, and for which no teaching assistants are provided to help with grading and course management, may be determined by the department DEO to be extra teaching effort. The minimum number of students enrolled in a course is 5. However in consultation with the DEO a course may be offered if less than 5 students if it is a required course, and may be offered in a different format. The course capacity and scheduling is determined by the DEO.

Relief of teaching requirement:

Assistant Professors are not eligible in their first three years for a temporary reduced teaching load other than what is specified in their offer letter. More senior faculty may

request a reduced teaching load from their norm if their research and service activities are generating salary offset in excess of 75%. Thus, if a faculty member produces evidence during the post-tenure faculty effort allocation process that the offset for the next academic year will exceed 75%, the teaching requirement for that year can be reduced to one three-semester-hour course or equivalent. As is true for all teaching, the resulting course that will be taught will be determined by the DEO, for the purpose of meeting academic program needs.

Faculty who obtain a K award or similar support that require an increase over the standard 50% offset will reduce their effort in teaching and service from the collegiate norm in consultation with their DEO. The reduction can be taken in teaching or service or a combination of both.

Increase or change of teaching requirement:

Faculty may be requested by the DEO to teach more than the full teaching load if their offset funding is below 50% or to teach an alternate class if the assigned class is cancelled. The maximum is six 3 s.h. courses per fiscal year.

Off-Load Compensation:

Only after a faculty member or faculty administrator has achieved the full teaching requirement for the academic year and has obtained approval from the DEO and the Office of the Dean, will s/he be considered for off-load teaching compensation. This includes faculty who have greater than 75% offset and teach more than one course, as well as faculty who have met the standard 50% offset requirement and teach more than two courses. Payment for off-load teaching will be: \$7,000 for an Assistant Professor; \$8,000 for an Associate Professor; \$9,000 for a Professor. These rates are for 3 s.h. courses and will be prorated if the course is more or less than 3 hours.

# College of Public Health

## Classroom Scheduling Policy

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All courses with an administrative home in the College of Public Health are scheduled in the College of Public Health Building. Exceptions to this policy are reviewed on a case-by-case basis by the Associate Dean for Education and Student Affairs in consultation with the Dean. Requests must be approved and submitted by the Departmental Executive Officer of the course's administrative home. Request forms can be obtained from Becky Toner ([becky-toner@uiowa.edu](mailto:becky-toner@uiowa.edu)).

# Classroom Procedures

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## [Provost Office: Classroom Policies and Procedures](#)

### **Time Committed to Instruction**

Members of the teaching staff are expected to create the best possible learning environment for their students (see [Professional Ethics and Academic Responsibility, Operations Manual III-15](#)) and to follow recognized University procedures in the conduct of their classes. The following general procedures are required under College policy:

- Classes begin and are dismissed promptly at the scheduled times.
- Students need information on all scheduled time commitments to a course. Activities like field trips must be announced in information available to students before the semester begins.
- The College will not authorize the scheduling of examinations on Saturdays or Sundays (except in courses that are regularly scheduled to meet on Saturday or Sunday). Final examinations are administered at the times designated by the Office of the Registrar (for the College's policy on final examinations, see "[Final Examination](#)").
- Teaching responsibilities extend outside of organized class time; instructors keep scheduled office hours and are available before and after class and at other times by appointment (see "[The Required Syllabus](#)").
- If an instructor cannot meet a class as scheduled, she/he must make other arrangements for instruction and notify students and the department well in advance.

### **The Required Syllabus**

The [University Operations Manual \(III-15.2\(k\)\)](#) requires instructors to provide specific course information on the first day of classes "in order that students can make knowledgeable choices about whether to take a particular course." All students must receive, at the first class meeting or on the first day they attend class, a syllabus with the following information. (It is not sufficient to have an on-line syllabus only.) (see "7.8 Required Elements for Syllabus")

### **Training and Supervision of Teaching Assistants**

The preparation of teaching assistants is an important part of the teaching responsibility of faculty. Every department maintains procedures for the preparation of new teaching

assistants and for the further development of teaching skills in continuing teaching assistants.

At no time may a teaching assistant, even one who has the responsibility of teaching a separate section of a course or one who has had many years of teaching experience, be without a course supervisor. The course supervisor ensures that departmental and collegiate standards are upheld in the course and that departmental and collegiate policies are adhered to. The course supervisor's name must appear on the syllabus (see "[The Required Syllabus](#)").

The Office of Teaching, Learning & Technology (see "[The Office of Teaching, Learning & Technology](#)") also supports the preparation of graduate students, through a *Handbook for Teaching Assistants*, workshops, and other programs.

## **Textbooks and Instructional Materials**

### ***Textbook Ordering***

Instructors must order textbooks well in advance of the approaching semester. A timely decision about what texts to use and order has many benefits. Prompt ordering of texts

- Ensures that students with disabilities can obtain their textbooks in time to arrange accommodations (e.g., conversion of a printed text to a taped one);
- Enables students to sell textbooks at the end of the semester and helps ensure a supply of used textbooks at lower prices;
- Allows time for changes to be made if a book is out of print or if a new edition has been published.

Federal legislation has been approved requiring all institutions of higher education to list ISBN numbers and prices for required and recommended texts and supplemental materials for each offered course whenever feasible. Compliance is tied to students' access to federal financial aid and thus is crucial.

### ***Textbook Royalties***

Faculty members who assign books or other materials which they have written, edited, or published and from which they receive royalties or other remuneration may not profit financially from the purchase of these materials by their students ([Operations Manual, III-17.17\(3\)](#)). The faculty member must either refund the money to the students who purchased these materials or make other arrangements to avoid profiting from the students' use of the materials. Faculty may, for example, transfer the remuneration to the University, one of its units, or The University of Iowa Foundation (e.g., for a student scholarship fund).

## ***Copyright Law***

Instructors must take precautions when preparing course materials to prevent a violation of an author's or publisher's copyright. Both published and unpublished works, whether printed or distributed by electronic means (e.g., over the internet or by e-mail), are protected under the Copyright Act of 1976. Instructors developing course materials to be distributed via a course website or other electronic medium (e.g., CD-ROM or other storage medium) must also comply with copyright provisions. Copyright registration is not required for a work to be protected, nor is it necessary to see the material in order to commit copyright infringement.

The University Libraries' website has a useful discussion of copyright and fair use (<http://guides.lib.uiowa.edu/copyright>). Exceptions for fair use of copyright materials are set forth in the Copyright Act of 1976. In all other cases, instructors must obtain permission from the owner of the copyright before copying or distributing materials.

Educational use by itself does not protect the user from copyright infringement. When in doubt, instructors should request permission from the owner of the copyright by contacting the publisher. Requests should be made as early as possible to allow time to make arrangements for substitute materials if permission is not granted.

Questions about copyright law should be directed to the Office of the Vice President for Research (201 Gilmore Hall, 335-2119).

## ***Prohibition on Direct Sale of Classroom Materials***

University policy prohibits "the sale of any classroom educational materials to students by faculty, staff, or departments" ([Operations Manual, VI-19](#)). This policy is not intended to restrict course development or impede course instruction. However, it does preclude faculty and staff from selling course packs or other course materials directly to students or collecting fees or other course fees directly from students. All course fees must be approved by the College and University and collected through the University billing system (see "[Supplemental Course Fees](#)").

## ***Information Technology Resources***

Instructors increasingly use new information technologies in developing their courses and construct assignments that lead students to these resources. The University's Policy on Acceptable Use of Information Technology Resources is in the [Operations Manual, II-19](#).

The College encourages all instructors to investigate and, if appropriate, to adopt the [ICON](#) course management system. ITS's staff provides support for instructors

(faculty, staff, graduate students) who would like to set up new courses in ICON and modify existing courses.

Faculty, staff, and students using information technologies are responsible for recognizing and honoring the intellectual property rights of others and making attribution as appropriate; refraining from improper intrusions into others' computer accounts or files; respecting rights of property and restrictions on access to and use of information; and refraining from wasting resources or preventing others' access.

The University's [Main Library](#) and [Office of Teaching, Learning & Technology](#) provide resources for instructors interested in increasing their use of electronic information resources.

## **Field Trip Policy**

A field trip is an off-campus educational/instructional experience provided by UI faculty to students which involves travel for the group. The College of Public Health recognizes that field trips can be an important pedagogical tool in many courses. Faculty members are encouraged to include field experiences in their courses when appropriate and feasible. Instructors must remember that the field trip is an extension of the classroom, and brings with it all the responsibilities faculty have in the classroom: Faculty, staff, and students must comply with University policies while on field trips just as they would on campus. The instructional activities and setting during the field trip should conform with the University's policies including those concerning alcohol and drug use, vehicle use, student misconduct, smoking, the Iowa gift law, principles of academic freedom, policy on sexual harassment, and consensual relationships. When a College of Public Health faculty member organizes a field trip, all University rules on field trips must be followed (for a complete statement of University policy, contact the [Risk Management, Insurance, and Loss Prevention office](#)).

In some courses, the field trip will be mandatory; and in some cases, all course credit will be generated via a field trip. In other cases, a field trip may be an optional portion of a course. In any course that includes a required field trip, there must be adequate information for students prior to registration. The course description must include the duration and cost of the field trip, and clearly indicate that the field trip is required. Information on optional field trips should also be included in course descriptions, if possible. In either case, all costs for the field trip must be prorated per student, and students may only be charged for those fees and expenses directly related to their own experience. Student fees may not cover faculty members' or other expenses. When a field trip is optional, the instructor must ensure that students who participate in the optional field trip receive no direct grade advantage.

## **Class Lists**

To receive credit for a course, students must register for the course by the designated deadline, as determined by the [Office of the Registrar](#). Instructors should not allow students to attend classes unless they are registered for the course.

Instructors should access their class lists through the web tool [MAUI](#), which is managed by the Office of the Registrar. Instructors need to review and update their class lists four times each semester and three times during the summer session. Instructors are prompted by email from the Office of the Registrar to review and update their lists at designated times. The final review also includes submission of final grades to their DEO and Office of the Registrar.

## **Student Attendance**

The University's *Operations Manual* requires that students be permitted to make up examinations missed because of illness, mandatory religious obligations, certain University activities (see below), or unavoidable circumstances.

Within the parameters of the University's guidelines, the individual instructor, course director, or department determines the policy on class attendance. Attendance policies should be clearly stated in the materials distributed on the first day of class (see "[The Required Syllabus](#)").

In developing attendance policies, the College asks instructors to provide for students' participation in authorized University activities. Students participating in such activities are expected to present to each instructor before each absence a statement signed by a responsible official that specifies the dates and times the student must miss class. Authorized activities include participation in athletic teams, the marching band and pep band, debate teams, and other recognized University groups, as well as participation in University field trips, service with the National Guard, and jury duty.

Whether or not the attendance policy states that attendance affects the course grade, students should be warned that poor attendance is likely to affect the quality of their work and their success in the course.

The attendance policy should provide information for students outlining their options for "making up" work missed due to an absence.

Instructors also have the option of assigning a grade of incomplete (I) if the circumstances warrant.

### ***Absences Due to Illness and Other Emergencies***



The College also recommends that attendance policies include procedures to accommodate student illness and absences due to family emergencies, including dependents' illnesses. Clinicians at [Student Health Services](#) are always willing to discuss issues of illness and accommodation with instructors. Student Health Services offers the following advice:

- Most students are honest and do not invent illnesses or other emergencies to avoid faculty expectations.
- Individuals differ markedly in their response to discomfort. Some students can attend class and take examinations when suffering from minor or even serious illness; others have a lower tolerance for stress, and their work can be legitimately compromised by even minor illness.
- A student may have a chronic illness that necessitates special arrangements. Early in the semester, ask students to notify you of any such condition. Consider referral to Student Disability Services (see "[Students with Disabilities](#)" below).
- A student may have an underlying condition (such as anxiety disorder, panic disorder, attention deficit disorder, depression, or alcohol or drug dependency) that can be exacerbated by illness. The student may not be willing to disclose this information when asking for a medical accommodation.

## **Students with Disabilities**

Under the Americans with Disabilities Act and Section 504 of the Rehabilitation Act of 1973, instructors must make reasonable accommodations for students who have physical, mental, or learning disabilities.

The student is responsible for requesting accommodations. Because some students may be reluctant to identify themselves or to request modifications, instructors are required to make the following announcement during the first class meeting and to include it on the syllabus:

An adviser or instructor who believes that a student's academic performance has been affected by an undiagnosed learning disability may refer the student to the Office of Student Disability Services for formal assessment.

The student must contact [Student Disability Services](#) and obtain a Student Academic Accommodation Request form (SAAR). The form will specify what course accommodations are judged reasonable for that student. An instructor who cannot provide the accommodations specified, or who has concerns about the accommodations, must contact the Student Disability Services counselor who signed the request form within 48 hours of receiving the form from the student.

Some examples of course-related accommodations are:

- allowing extended, but not unlimited, time for completion of examinations;
- allowing examinations to be written in a quiet, low-stimulus environment;
- permitting the use of dictionaries during in-class writing assignments;
- using alternative methods to assess mastery of course content (e.g., narrative tapes instead of journals);
- allowing papers to be proofread for spelling and grammatical errors;
- providing specially trained tutors for course content.
- using computer software to assist in the completion of assignments (e.g., spell check, computer-based adaptive devices);
- allowing the use of taped materials and resources to assist the student in reading, listening, and speaking;
- allowing students to dictate essays to a scribe.

See also "[General Examination Procedures: Test Modifications for Students with Disabilities](#)".

Students with complaints about disability accommodations must follow the procedures outlined above.

## **Classroom Facilities**

### ***Smoking (including electronic cigarettes), Food, and Beverages in University Buildings***

Use of tobacco, as defined by the University, is prohibited in any building, vehicle, or outdoor area owned, leased, or controlled by the University, regardless of location. This policy applies to all indoor air space, including individual faculty and administrative offices ([Operations Manual, V-35.5\(a\)](#)).

Food and beverages may be consumed in academic buildings only in areas designated by the college or department responsible for the area ([Operations Manual, V-35.5\(b\)](#)).

## **Disruption in the Classroom**

### ***Disruptive Behavior***

Students who are physically or verbally disruptive in class may be dealt with summarily by the instructor or referred to the Associate Dean for Education and Student Affairs. The instructor reports in writing to the Associate Dean for Education and Student Affairs any disciplinary action undertaken against a student.

If a student's behavior is violently disruptive, an instructor may wish to call the [Department of Public Safety](#) for assistance or call 911.

## ***Sickness in Class***

If a student becomes ill in class and requires emergency attention, the instructor should call the [Department of Public Safety](#) for assistance in transporting the student to the Student Health Service or call 911 for an ambulance.

## **General Examination Procedures**

The following recommendations are intended to provide equivalence in the conduct of examinations and to minimize opportunities for dishonesty. These recommendations are not meant to be exhaustive or mandatory, but to set forth basic principles with which each instructor should be familiar.

- Examinations should be effectively proctored; the room should never be left unattended. Whenever feasible, there should be two proctors for an examination of 25 to 50 students, and an additional proctor for each additional 50 students.
- When space permits, students should be asked to sit in alternate seats.
- At the beginning of all except announced “open-book” examinations, the instructor should require that all books, notebooks, extra examination booklets, and papers of any kind be left in the front of the room.
- The instructor should announce at the beginning of the examination that students are expected to remain in the room until they are ready to turn in their examinations. Permission to leave the room while the examination is in progress may be granted by the instructor for good cause. Only one student may be absent from the examination room at a time.
- In objective examinations it is recommended that two sets of questions, or the same questions in different order, be distributed alternately to students.

When a student is discovered cheating during an examination, the proctor should take up the student’s examination booklet and/or papers immediately, informing the student that College policy requires that the matter be reported.

## ***Makeup Examinations***

University policy requires that students be permitted to make up examinations missed because of illness, mandatory religious obligations, or other unavoidable circumstances or University activities ([Operations Manual, IV-8.1](#)). Therefore, instructors must offer reasonable options without penalty to students who have missed examinations for legitimate reasons.

It is the student’s responsibility to contact the instructor as soon as possible about the reasons for a missed exam and, if the instructor so wishes, to provide appropriate documentation.

Makeup examinations should be scheduled at a reasonable time and location. The makeup examination, if different, should be equivalent to the original in form, content, difficulty, and time limits, and the standards for scoring and grading should be equivalent to those used for the original examination.

### ***Construction Noise during Examinations***

The policy of the University's Operations and Maintenance office is to stop construction immediately when the work disturbs an examination in progress. The instructor in charge of an examination should promptly report such problems to [Buildings and Landscape Services](#) (335-5071) or to the construction workers, asking them to contact their supervisor.

See also "[Final Examinations: Disruptions of Final Examinations](#)".

### **Conflicts between Examinations and Class Activities**

The following policies apply to examinations scheduled during the semester. See "[Final Examinations: Scheduling Adjustments for Individual Students](#)", for conflicts involving final examinations.

- When there is a conflict between an examination scheduled outside of class time and a regularly scheduled course, the regularly scheduled course takes precedence.
- When there is a conflict between two examinations scheduled outside of regular class time, the course having the lower department number (or lower course number if the conflict is within the department) takes precedence.
- When there is a conflict between an examination scheduled outside of class time and other scheduled, required course activities (e.g., performances, meetings, lectures), the required course activity takes precedence.
- When there is a conflict between an examination scheduled outside of class time and other scheduled, nonrequired course activities or personal obligations, the examination takes precedence. However, examinations not scheduled and announced at least 14 days in advance do not have priority under this policy.

When instructors plan to give examinations outside of class time, they should announce the dates and times and list them in handouts distributed to students at the first class meeting.

### **Final Examinations**

#### ***Policy on Administration of Final Examinations***

- 1.) Instructors administering final exam week/day activities are required to use the date, time and location, if applicable, as assigned by the Office of the Registrar.
- 2.) Only final examinations and makeup final examinations are to be given during final

examination week or on final examination days. Review sessions will be allowed prior to a course section's assigned final examination date and time provided classroom resources are available.

3.) Examination periods are two hours in length and begin at the following times: 7:30am, 10:00am, 12:30pm, 3:00pm, 5:30pm and 8:00pm. While examination periods are scheduled for a two hour duration, instructors are not required to use the full two hour period.

4.) Until the final examination schedule has been published and all makeup final examination arrangements have been completed by faculty, students should be prepared to be on campus until the last exam period of final exam week/day.

## **Makeup Final Examination Scheduling**

### ***Qualifications for Requesting a Makeup Final Examination***

Students who have:

- a.) two or more final exams/assessments scheduled for the same exam period (direct) or
- b.) more than two final exams/assessments scheduled for the same exam day (>-2 day)

qualify to request a makeup final examination time from their instructors. However, students are required to contact the instructors of the courses involved to register their intent to take advantage of this opportunity and must do so by October 1 for fall semesters and March 1 for spring semesters. During summer session students should contact their instructor by the end of the first week of the course in which they are enrolled. It is up to the instructors of the courses involved to work in cooperation with their students to schedule appropriate makeup final examination arrangements according to the makeup final examination scheduling policies.

### ***Makeup Final Examination Scheduling Policies***

- 1.) The Friday, 5:30-7:30pm exam period will be reserved for makeup examinations. No regular final examinations will be scheduled during this exam period.
- 2.) All makeup final examinations should be scheduled during one of the designated exam periods to avoid creating conflicts.
- 3.) Final examination times published by the Office of the Registrar take precedence over makeup final examination times.
- 4.) Makeup exams for students with qualified conflicts should be assigned according to the following precedence rules using the new subject course numbering system.

a.) During FALL semesters, courses having lower subject alpha characters or lower course numbers when the conflict is within a subject will take precedence. If the conflict is within the same subject and course then the lower section number will take precedence. \*

b.) During SPRING semesters, courses having higher subject alpha characters or higher course numbers when the conflict is within a subject will take precedence. If the conflict is within the same subject and course then the higher section number will take precedence. \*

c.) During SUMMER sessions,

i.) in odd numbered years, courses having lower subject alpha characters or lower course numbers when the conflict is within a subject will take precedence. If the conflict is within the same subject and course then the lower section number will take precedence. \*

ii.) in even numbered years, courses having higher subject alpha characters or higher course numbers when the conflict is within a subject will take precedence. If the conflict is within the same subject and course then the higher section number will take precedence. \*

d.) Evaluation of same time (direct) exam conflicts takes precedence over evaluation of more than two exams scheduled for the same exam day (>-2 day) conflicts. In situations where an individual student is affected by both a direct conflict and a >-2 day conflict which involve the same course section(s), then the direct conflict should be evaluated first to determine course eligibility for a makeup exam. If, after resolving the direct conflict(s),

i.) the student no longer has more than two exams scheduled for the same exam day, then the student will take all remaining exams as scheduled.

ii.) the student still has more than two exams scheduled for the same exam day, then the remaining course sections involved in the >-2 day conflict are evaluated until the student has no more than two exams scheduled for the same exam day.

### ***Final Examinations in Classes Meeting in the Evening and on Saturdays***

Classes that meet after 4:30 p.m. or on Saturdays have no specific time set aside for them in the final examination schedule. Instructors are asked to administer the final exam during exam week on the day and time of the regular class meeting, unless this conflicts with students' other scheduled examinations.

### ***Scheduling Adjustments for Individual Students***

Instructors may make arrangements with individual students to take final examinations at times other than the regularly scheduled time if circumstances warrant. For example, no student is required to take more than three examinations in one day.

### ***Absence from Final Examinations***

If a student is unavoidably absent from a final examination, the instructor should report the student's grade in the course as I (Incomplete), unless previous work is

so poor that the student would fail regardless of the quality of performance in the final examination. In that case, the grade should be reported as F. If a student does not have a satisfactory excuse for missing a final examination, the instructor is justified in assigning an F in the course. If the student has an acceptable reason for being absent, the instructor should arrange to give the student a makeup examination during the student's next period in residence or earlier, if the instructor so prefers. If the student fails to take the makeup examination within the approved time limits, a grade of I (incomplete) in the course will automatically change to F.

### ***Disruptions of Final Examinations***

In the unlikely event that a final examination is disrupted by events other than construction noise (see "[General Examination Procedures: Construction Noise during Examinations](#)") – for instance, by a fire alarm, electrical outage, tornado warning, or other unpredictable incident—instructors must make whatever immediate decision seems appropriate to insure the safety of students. When possible, instructors should maintain examination security (for instance, by having students turn in examination papers as they leave the room). If the incident is of short duration, sufficient time may have elapsed (or remain) that the instructor may be able to simply shorten the examination.

The instructor should contact the DEO for help in creating an equitable solution to the grading problems that the disruption causes. In most cases, especially with large classes, it will not be possible to schedule a makeup examination. In situations where exam security has been maintained, some portion of credit may be allocated for the examination. In other cases, it may be appropriate to recalculate grades without including an examination grade.

Departments and instructors should strive to ensure that no student is unfairly penalized or favored by the policy adopted. The [Associate Dean for Education and Student Affairs](#) can also advise faculty and departments.

### ***Forgery of University Records***

The Code of Student Life prohibits forgery of University records, documents, or student identification cards. Staff members in the Registration Center routinely examine registration documents to verify the authenticity of advisers', instructors', and deans' signatures. If forgery is suspected, the questionable document is photocopied and sent directly to the person whose signature is in doubt.

If the signature is a forgery, the adviser or instructor informs the Associate Dean of Education and Student Affairs providing relevant information and an explanation of extenuating or unusual circumstances. The Associate Dean of Education and Student Affairs interviews students suspected of forgery and takes disciplinary

action based on the interview and verification provided by the adviser, instructor, or dean.

Disciplinary action includes, as the offense may warrant, disciplinary warning, disciplinary probation for one calendar year or until graduation, the reversal of the action requested by the forged document, or other penalties. If a student feels that the penalty imposed by the Office of College Dean is unjust, the student may request a review by the Dean of the Graduate College.

## **Student Evaluation of Teaching**

Under College policy, evaluations of teaching must be solicited from students at the end of every course. Evaluations should include a standard set of 20 items selected by the College of Public Health, which include a question about the oral communication competence of the instructor (see "[Oral Communication Competence](#)", *Operations Manual III-13.1*).

### ***Procedures for Student Evaluation of Teaching***

Procedures for evaluation must ensure that student evaluations are anonymous and uninfluenced by the instructor.

As of the Fall 2015 semester, all College of Public Health student evaluations must be conducted using the ACE online format. Paper forms will no longer be available and may not be used. All courses must switch to the new online format.

The College of Public Health will continue to use the pre-approved ACE evaluation questions. However, instructors have the option to add additional questions to their online ACE evaluations.

Visit the [EES](#) web site for more information on deadlines, procedures, and best practices.

Instructors should follow these procedures:

- allow enough time for the evaluation.
- inform students that the process is important to the instructor for improving the course and teaching methods and that constructive recommendations will be taken seriously,
- remind students that the instructor will not have access to the evaluations until after grades have been submitted,
- leave the room while students are completing the forms.



## ***Keeping Student Evaluations on Teaching on File***

Student evaluations of teaching must be kept on file (electronically is acceptable) as evidence of teaching effectiveness in all reviews of teaching assistants, of clinical-track faculty, and of tenure-track and non-tenure-track faculty.

At the time of the tenure review, faculty must have all student evaluations since the beginning of the appointment available for inclusion in the promotion dossier. At the time of a tenured faculty review or review for promotion to full professor, tenured faculty must have available for the review dossier all student evaluations of teaching obtained for each course taught since the previous review. For a faculty member who undergoes tenured faculty review before review for promotion to full professor, the summary of teaching evaluations prepared for the tenured faculty review must be available at the time of the promotion review, as well as all student evaluations of teaching obtained after the tenured faculty review.

For teaching assistants, all student evaluations of teaching must be kept on file from the initial appointment until the time the individual leaves the University. For lecturers, visiting faculty, and adjunct faculty, the evaluations must be kept on file for five years. For clinical-track faculty, evaluation since the previous review for reappointment or promotion must be kept on file.

## **The Office of Teaching, Learning & Technology**

The University's [Office of Teaching, Learning & Technology](mailto:teaching@uiowa.edu) ([teaching@uiowa.edu](mailto:teaching@uiowa.edu)) promotes and supports efforts to enhance instruction. The Office's staff works with individual instructors or with departments, colleges, and other academic units at the University. Any question about teaching is an appropriate one to direct to the Office.

The Office offers individual consultations (e.g., videotaping of teaching sessions and course planning consultations), workshops throughout the academic year, and a number of other programs. The most up-to-date information about the Office of Teaching, Learning & Technology is available on-line at <http://teach.its.uiowa.edu/>.

The Office of Teaching, Learning & Technology also sponsors an e-mail discussion group called "teaching-talk." The group is open to all members of the University community and is dedicated to the discussion of issues related to teaching in all its forms. Information on joining the discussion group is available on the Office's website, or by contacting the Office of Teaching, Learning & Technology.

# Grading and Student Records

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## **Grading System**

Instructors are obligated to evaluate each student's work fairly and without bias and to assign grades based on valid academic criteria. (see the University Policy on [Professional Ethics and Academic Responsibility, part 2\(e\)](#), and the University Policy on [Human Rights](#)).

Public Health students taking courses in other colleges of the University are subject to the grading policies of those colleges. Students from other colleges taking courses in the College of Public Health are subject to the College's grading policies.

### ***Options of Plus/Minus Grading***

Departments and individual instructors have the option of using the plus and minus grades in the scale given above or of using only the full letter grades for A, B, C, and D. Under either option, instructors may use any or all of the points on the grading scale. However, once an option is chosen, it must be applied to all students in a given class and in all sections of a multi-section course. Instructors must announce at the first class meeting which grading option will be used; this information must also be distributed to students at the first class session.

## **Grade Point Average**

### ***Computing the GPA***

The cumulative grade-point average (GPA) is computed by (a) multiplying the number of semester hours in each course by the appropriate grade points; (b) totaling the grade points earned to date; and (c) dividing the total in (b) by the number of hours taken, excluding courses in which marks of I, N, P, R, S, W, or O have been given. Grades of F are included in hours attempted and are used in computing the GPA. Although grades of A+ have a value of 4.33 in calculating a student's GPA, the cumulative GPA displayed at the bottom of the permanent record cannot exceed 4.00.

## **Marks Not Used in Computing the GPA**

### ***Incomplete (I)***

Instructors may report a mark of I (Incomplete) only if the unfinished part of the student's work, in a course other than research, thesis, or independent study, is small; the work is unfinished for reasons acceptable to the instructor; and the

student's standing in the course is satisfactory. A course may not be repeated to remove a grade to Incomplete; the grade must be removed by completing the unfinished part of the work.

The Registrar establishes a deadline by which students must submit the work necessary to complete course requirements. This deadline is three and one-half weeks before the close of the examination period of the next session for which the student is registered. (Students with incompletes from the spring semester are not required to complete the work during the succeeding summer sessions).

The instructor must submit a grade change via [MAUI](#) to remove the Incomplete. This form must reach the Office of the Registrar in workflow on or before the deadline for submitting final grades for the next session for which the student is registered. If the I is not removed by that date, it is automatically converted to an F. The Registrar does not allow extensions to prevent the assignment of an F. If instructors wish to allow students to make up incompletes after the deadline and after the incomplete has changed to an F, a Special Report to the Registrar form must be sent to the Associate Dean for Research and Academic Affairs for approval (see "[Changes of Grades](#)").

### ***H, P, F***

Medical students may register for selected College of Public Health courses. The grades H (honors), P (pass), and F (fail) will not be utilized in computing the GPA.

### ***No Report (O)***

A mark of O is assigned by the Office of the Registrar when an instructor fails to report a grade or reports an invalid grade. Instructors should not assign a mark of O to a student who has not attended class; that student should receive an F. By the deadline for submitting final grades for the next session for which the student is registered, the instructor must submit a grade change via [MAUI](#) to change the O to a valid grade. Otherwise, the O becomes an F= on the student's record. (see "[Change of Grades](#)")

### ***Audit Successful (AUS)/Audit Unsuccessful (AUU)***

A student auditing a course or registered in a course offered for 0 credit hours is marked "AUS" (Audit Successful) if he or she completes the course and "AUU" (Audit Unsuccessful) if not.

### ***Withdrawn (W)***

See "[Office of the Registrar](#)".

## ***Satisfactory/Unsatisfactory Grading Option (S/U) for Graduate Students***

The S/U grading option is for graduate students only. Further information on S/U grading can be found in the Graduate College [Manual of Rules and Regulations](#).

## **Grade Reports**

The Office of the Registrar provides class lists for the purposes of tracking attendance and reporting grade.

### ***Mid-semester Grade Reports***

Instructors are expected to report mid-semester grades for all undergraduate students whose work is below C-. Mid-semester grade reports are sent to the Registration Center through the web tool [MAUI](#). The Office of the Registrar distributes the mid-semester grade reports to advisers and to individual students. Mid-semester grades are not reported during the summer sessions. No permanent record of mid-semester grade reports is kept.

### ***Final Grade Reports***

Instructors report final grades through the web tool [MAUI](#). Final grades must be submitted to the Registration Center on or before the published deadline (the third business day after the end of the final examination period). The DEO monitors all grade reports each semester and ensures that the distribution of grades reported is not notably at variance with collegiate recommendations or appropriate departmental standards.

Graduate students enrolled in courses taught by graduate teaching assistants are to be assigned grades by a faculty member who has supervisory responsibility for the course. This may take the form of a faculty member's initials next to the grade entered for any graduate student on the final class list.

### ***Timeliness of Grade Reports***

Each semester the Registrar determines a due date for grade reports. As required by the University's [Operations Manual \(III-17.14\)](#), this deadline is no later than the third business day after the close of the final examination period. All grade reports must be turned in on time to permit the evaluation of students for graduation, academic probation, or dismissal. Grades from independent study courses and off-cycle courses are as necessary as all other grades.

## **Changes of Grades**

Changes in grades can be done electronically through [MAUI](#).

## **Grading Grievances**

Grading grievances are subject to the same procedures as any other student complaint. (see "[Student Complaints Concerning Faculty Actions](#)", *Student Judicial Procedure*, Division of Student Services).

## **Keeping Records of Student Work**

Course grade records should be kept for at least one year. In the event that the instructor is on leave or leaves the University, these files should be kept in the departmental office for reference.

Term papers, assignments, and projects are the property of the student who prepared them. Students should be told in advance if the instructor plans to keep copies of student work. Examinations (questions and answers) are the property of the instructor.

Graded assignments, papers, and examinations should be returned before the end of the semester. Final examinations, final papers, and capstone projects that are graded after the end of the semester should be kept at least six months so that students can refer to them or retrieve them.

## **Confidentiality of Grades and Other Student Records**

Under the Family Educational Rights and Privacy Act (FERPA) of 1974, commonly known as the Buckley Amendment, student records may not be released to faculty members or others without the written permission of the student. This restriction does not alter the access that faculty members have to departmental records of advisees or of majors in the department, if that access is in accord with departmental policy.

Instructors and advisers should observe the following precautions in order to protect the confidentiality of student records:

- Students should never have access to the scores or grades of others. Do not leave graded work in publicly accessible places. Do not ask students to look through graded assignments in search of their own; do not return graded assignment to anyone other than the student who submitted it.
- Instructors who provide a web site for classroom instruction must ensure that the site protects student records, particularly student grades.
- Information from student educational records may not be given by phone or in correspondence, even to parents or in a letter of recommendation, without written permission from the student.
- Only directory information may be publicly shared without written permission from the student. Directory information includes name, residing address, telephone

number, hometown, dates of attendance, college and class status, major, degrees earned, and enrollment status. Students may formally request the University Registrar to restrict disclosure even of directory information.

- Information from student educational records may be shared only with those who have a “legitimate educational interest” in the information.
- Requests for records for other purposes should be directed to the Office of the Registrar (1 Jessup Hall, 335-0239), which will evaluate whether such requests are in accord with federal law and institutional policy.

### ***Registrar’s Guidelines Concerning Educational Records***

The Office of the Registrar publishes “Registrar’s FERPA Handbook for Faculty and Staff” on their website at <https://registrar.uiowa.edu/ferpa-handbook-faculty-and-staff>.

# Student Advising and Registration

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## **Faculty Responsibility for Advising**

The departmental faculty have the principal responsibility for advising students enrolled in the department's major or minor programs and for students considering the major or minor. The DEO or the faculty member who serves as director of programs coordinates advising and the assignment of faculty advisers.

Departmental advisers must schedule adequate time for student meetings before each registration period (the last 12 days of classes in each semester). Advisers are also available throughout the semester to talk with students about their academic progress and, when necessary, to refer them to such specialized agencies as the [University Counseling Service](#) and the [Student Health Service](#). The department must also make provisions for advising during the orientation period for transfer students in January and during the summer orientation period.

Departmental advisers monitor students' progress toward graduation, advise on courses that satisfy major requirements, offer career counseling as appropriate, and provide information on enrichment activities in the major. Departmental advisers have a special responsibility to help each student chart an appropriate course toward graduation.

## **Auditing a Course**

With the approval of the course instructor and the adviser, a student in the College of Public Health may audit a course (reduce to zero the number of credit hours). Every student attending a course must be enrolled for credit or as an auditor.

The instructor assigns a mark of AUS (Audit Successful) if the auditor's attendance and performance are satisfactory; if they are unsatisfactory, the instructor assigns a mark of AUU (Audit Unsuccessful). The student generally cannot use audited courses to meet College requirements for degree programs or graduation requirements.

To register as an auditor, a student must obtain special permission from the instructor. Changes from credit to audit or from audit to credit must be made before the add deadline. The student obtains the instructor's and adviser's signatures on a Change of Registration form and takes it to the Registration Center for processing. No changes are accepted after the deadline.

Students who are already registered full-time during the fall and spring semesters are not assessed additional tuition for the audited course. Part-time students and students enrolled in the summer session are assessed a fee based on the number of semester hours for which the course is offered in the [Schedule of Courses](#).

## **Student Referrals**

Instructors and advisers may refer students to several offices on campus that offer student services.

### **Office of Equal Opportunity and Diversity**

The Office of Affirmative Action oversees all facets of the University's affirmative action program. It investigates and resolves complaints of discrimination and sexual harassment and leads educational workshops on workplace issues such as affirmative action, valuing diversity, disability awareness, and sexual harassment prevention.

### **English as a Second Language Program**

ESL instruction is offered in three distinct, but related, programs: ESL credit courses, the Iowa Intensive English program (IIEP), and the Teaching Assistant Preparation in English (TAPE) program. These programs meet the needs of students whose first language is not English. The ESL credit courses help students already admitted to the University raise their English proficiency so they can complete a degree successfully. The IIEP provides intensive instruction for students who must raise their English proficiency to gain admission to a university or college. The TAPE program helps graduate students develop their English language skills and prepares them to teach in U.S. classrooms.

Instructors concerned about the English proficiency of students whose first language is not English may contact the coordinator of ESL Programs, [Maureen Burke](#).

### **Office of International Students and Scholars**

The Office of International Students and Scholars promotes international education both on and off campus. It promotes interaction between US students and faculty and foreign students and faculty through different educational and cultural activities. Students and instructors may obtain information about study abroad programs or overseas travel opportunities or how to develop individual experiences. Foreign students and scholars may confer with advisers about such matters as adjustment to life in this country, academic customs, immigration regulations, employment permission, and personal concerns.

The Office publishes a handbook for foreign students and scholars, a guide for faculty about living abroad, a list of foreign institutions with which the University has signed formal agreements, guidelines about how to apply for international travel support, and a brochure about the many other services offered by the Office.



The Office serves as the liaison to the Midwest Universities Consortium for International Activities and cooperates with international community organizations.

### **Language Media Center**

The Language Media Center provides students and faculty with facilities and services for traditional language laboratory work, as well as for foreign language video and computer-based activities.

### **Ombudsperson**

The Office of the University Ombudsperson responds to problems and disputes brought forward by all members of the University community – students, staff, and faculty – that appear unresolvable through existing channels. Ordinarily students, staff, and faculty should try to resolve disputes using established procedures before consulting the ombudsperson; however, they may consult the ombudsperson at the outset if using official channels would result in lengthy and damaging delays or a lack of confidentiality and/or impartiality detrimental to their case.

### **Rhetoric Department Centers** (Priority to students enrolled in Rhetoric courses.)

#### **Writing Center**

The Writing Center provides individual writing instruction for University students who are inadequately prepared for college writing. Students may arrange for noncredit work throughout the semester.

#### **Speaking Center**

The Speaking Center provides individual and small-group instruction for students who want to improve their oral communication. It also offers instructional programs to reduce anxiety about speaking in various situations. Students may enroll for noncredit work throughout the semester.

### **Student Disability Services**

The Office of Student Disability Services seeks to ensure that students with both visible and non-visible disabilities receive the maximum benefit from their university experience. Students with various disabilities are accommodated-for example, hearing and speech impairments, learning disabilities, mobility restrictions, visual impairments, or head injuries. The office assists in admission, orientation, academic and career planning, academic support services, financial aid, housing, transportation and parking, aide and attendant care, and health services.

Instructors may consult this office on instruction and testing accommodations for students with disabilities.

### **Student Health Service**

All registered students are eligible for outpatient care at the Student Health Service. Primary medical care is provided, including gynecology, outpatient surgery, and psychiatry. There is no charge for examinations, consultations, and diagnostic services; however, charges are assessed for laboratory work, X-rays, minor surgery, and other procedures. The Student Health Service also offers an alcohol and drug assistance program and an educational program that promotes preventive medicine and healthy lifestyles.

### **University Counseling Service**

The University Counseling Service is staffed by professional psychologists and counselors who offer education, vocational, and personal counseling as well as therapy in individual or group sessions. The Counseling Service also offers programs, workshops, and consultations. All services are available to students without cost, except for certain testing fees. Each semester the University Counseling Service publishes a brochure describing its services and scheduled workshops. Instructors or advisers may refer students to the Counseling Service, or students may refer themselves.

### **Policy for Language Proficiency and Communication**

With respect to the conduct of Collegiate educational activities, the following general principle will be used:

The language for all formal instructional activities and their evaluation will be English, both in written and verbal communication and in all testing procedures. All written communications required of students, such as class projects or exercises, term papers, scientific experiments, and examinations must be of sufficient legibility and clarity in the English grammar, syntax, and spelling so that the technical content of the communication is unmistakably interpretable for evaluation by faculty. Similarly, all verbal communications must be of sufficient clarity to understand their substantive content. If this is not the case, the faculty will have sufficient cause to fail the student on that communication.

It is the role of each student's adviser, with the general assistance of the College, to assure that all of the processes with respect to language assessment and remediation are executed. Each instructor should be alert to language difficulties and consult with the student and his/her adviser at the earliest possible time in order to determine whether there are English language deficits that might preclude successful completion of the course

or other exercises. The instructor should then work with the student and adviser to attempt development of a plan of remediation or altered curriculum.

# Student's Policies and Procedures

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## **Policy on a Drug Free Environment**

The College of Public Health subscribes to the University's drug free policy, which can be viewed at <http://opsmanual.uiowa.edu/community-policies/drug-free-environment>.

## **Policy on Student Academic Conduct Standards and Procedures**

### ***Standards of Academic Conduct***

The faculty of the College of Public Health expects the conduct of a student registered or taking courses in the College to be consistent with that of a professional person. Courtesy, honesty, and respect should be shown by students toward faculty, guest lecturers, administrative support staff, and fellow students. Similarly, student should expect faculty to treat them fairly, showing respect for their ideas and opinions and striving to help them achieve maximum benefits from their experience in the College.

### ***Academic Misconduct***

If an enrolled student commits an act of academic misconduct and is subsequently subject to disciplinary action by the University, the graduate programs within the College of Public Health reserve the right to impose their own disciplinary action which can include, but is not limited to probation and/or dismissal from the program. All cases of academic misconduct should be reported to the Associate Dean for Education and Student Affairs.

(See "Required Syllabus Elements")

## **Additional Policies & Regulations Affecting Students**

The following University of Iowa policies and regulations affecting students are established by the Division of Student Services and are on the web at <http://dos.uiowa.edu/policy-list/archives/2012-2013-policies-regulations-affecting-students-archived/?stage=Live>

**UPDATED INFORMATION IS INDICATED IN GREEN**

**YOU NEED TO INCLUDE THE NEW MAUI COURSE NUMBER  
ON YOUR SYLLABUS.**

**(EXAMPLE MPH:3000 FUNDAMENTALS OF PUBLIC HEALTH)**

**It is the faculty member's responsibility to provide, on the first day of class, a course syllabus, in either electronic or paper format.**

According to the University *Operations Manual* and the Provost, the following information must be included on every syllabus.

- The number and title of the course as listed on ISIS. Include all cross-listed numbers and the departmental home of the course.
- The instructor's name, office address, office hours, phone number, and email address.
- DEO contact information.
- Teaching assistants must also provide the course supervisor's name, office address, office hours, and contact information.
- Course description/content and schedule of topics covered.
- Course goals and overall course objectives
- List of readings and/or other course materials and where they may be found, including the use of any electronic sites (such as ICON).
- Grading procedures, including whether you will use plus/minus grading.
- Expectations for attendance, assignments, and examinations, including any expectations for electronic means of participation.
- Dates and times of midterms, including any examinations scheduled outside of class time.
- Statement on the availability of accommodations for students with disabilities (see below for text).
- Resources for obtaining additional help, such as tutors or teaching assistants;
- Any changes in information about the course from that which appears in official University notices, such as the *General Catalog* or *ISIS*
- A statement describing what forms of electronic communications, if any, will be employed for student contact and the expectations for typical response times.

**COLLEGE OF PUBLIC HEALTH COURSES ARE ALSO REQUIRED TO INCLUDE THE  
COURSE COMPETENCIES**

**UPDATED INFORMATION IS INDICATED IN GREEN**

**Additional Required UI and Policy and Procedures**

**The following elements must also be included in your syllabus. I've provided a template in italics to assist you. However, policies regarding issues such as academic misconduct should also conform to your expectations as well as your department's guidelines.**

**Administrative Home**

*This course is given by the College of Public Health. This means that class policies on matters such as requirements, grading, and sanctions for academic dishonesty are governed by the College of Public Health. Students wishing to add or drop this course after the official deadline must receive the approval of the Associate Dean for Academic and Student Affairs in the College of Public Health. Details of the University policy of cross enrollments may be found at:*

[Cross-Enrollment Policy](#)

**Electronic Communication**

*University policy specifies that students are responsible for all official correspondences sent to their standard University of Iowa e-mail address (@uiowa.edu). Students should check this account frequently.*

**Availability of Accommodations for Students with Disabilities**

*Any student eligible for and needing academic adjustments or accommodations under the Americans with Disabilities Act is requested to notify the instructor as soon as possible to make appropriate arrangements. For more information please visit: [Student Disability Services - The University of Iowa](#)*

**Academic Misconduct**

Your syllabi should contain language that clarifies as much as possible your expectations about students' academic conduct. For example, if you assign projects, be **very** clear about whether students may work with other students, share information, etc. In addition, you should be very clear about what will happen if your expectations are violated, i.e. the student commits academic misconduct. Regrettably, some students are becoming increasingly savvy about using technology for cheating, especially in exams. Students use cell phones and pagers to send text messages to each other. You may want to prohibit any use of cell phones, etc. in your exam and note that violation of the policy will be considered academic misconduct. Here is some language that you are free to use.

*Academic misconduct is defined by the University of Iowa in its Code of Student Conduct here: [Policies & Regulations Affecting Students](#). Please take the time to read this short description. Academic misconduct refers primarily to plagiarism or cheating. **It is the student's responsibility to seek clarification from the course instructor of any situation in which he/she is uncertain whether academic misconduct is/has been involved.***

*Plagiarism includes but is not limited to the following:*

- *presentation of ideas of others without credit to the source;*
- *use of direct quotations without quotation marks and without credit to the source;*

**UPDATED INFORMATION IS INDICATED IN GREEN**

- *paraphrasing without credit to the source;*
- *participation in a group project which presents plagiarized materials;*
- *failure to provide adequate citation for material obtained through electronic research;*
- *downloading and submitting work from electronic databases without citation;*
- *submitting material created/written by someone else as one's own, including purchased term/research papers;*

*Cheating includes but is not limited to the following*

- *copying from someone else's exam, homework, or laboratory work*
- *allowing someone to copy or submit one's work as his/her own;*
- *accepting credit for a group project without doing one's share;*
- *submitting the same paper in more than one course without the knowledge and approval of the instructors involved;*
- *using notes or other materials during a test or exam without authorization;*
- *not following the guidelines specified by the instructor for a "take-home" test or exam.*

*Academic misconduct is a serious matter and is reported to the departmental DEO and to the Associate Dean for Education and Student Affairs. Instructors and DEOs decide on appropriate consequences at the departmental level while the Associate Dean enforces additional consequences at the collegiate level. For example, an incident involving plagiarism will result in consequences to the student ranging from a grade of 0 for that assignment to being terminated from his/her graduate program. Egregious acts of misconduct, such as cheating on a final exam, may result in the course grade being reduced to an F. Additional details concerning the consequences associated with acts of plagiarism, including a student appeals process, is provided in the Graduate College Manual section IV.F.*

### **Concerns about Faculty Actions**

At the beginning of each course, students should be informed of departmental and collegiate complaint procedures and services of the Office of the University Ombudsperson. Complaints should be initiated at the faculty or departmental level. If a complaint cannot be resolved at faculty, departmental and/or collegiate level, students may file a formal complaint utilizing the procedure specified in II-29.7.

*Students who have a concern about a faculty action should first address the issue with the instructor, then the course supervisor (if there is one), and then the departmental DEO. Students may also contact the Associate Dean for Education and Student Affairs in the College of Public Health. Another resource for students is the Office of the University Ombudsperson. If a complaint cannot be resolved at the departmental and/or collegiate level, students may file a formal complaint utilizing the procedure specified in the [Operations Manual \(II-29.7\)](#)*

### **Sexual Harassment**

*Sexual harassment subverts the mission of the University and threatens the well-being of students, faculty, and staff. All members of the UI community have a responsibility to uphold this mission and to contribute to a safe environment that enhances learning. Incidents of sexual*

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*harassment should be reported immediately. The policy in its entirety may be found at [II-4 Sexual Harassment | Operations Manual](#)*

If you or someone you know may be a victim of sexual assault, sexual harassment, dating/domestic violence, stalking, or any other behaviors prohibited under this policy, you are strongly encouraged to seek assistance and support. Assistance is available 24 hours a day, 7 days a week, from:

- Rape Victim Advocacy Program (RVAP) -- confidential, certified victim advocacy services, 319-335-6000
- Domestic Violence Intervention Program (DVIP) -- confidential, certified victim advocacy services, 319-351-1043 or 800-373-1043
- Emergency Department, University of Iowa Hospitals and Clinics -- confidential medical services, 319-356-2233
- University of Iowa Department of Public Safety -- law enforcement services, 319-335-5022, or 911 from any campus phone

During business hours, you may also seek assistance from the University of Iowa Office of the Sexual Misconduct Response Coordinator at 319-335-6200.

**Reacting Safely to Severe Weather**

*In severe weather, class members should seek appropriate shelter immediately, leaving the classroom if necessary. The class will continue if possible when the event is over. For more information on Hawk Alert and the siren warning system, visit [Hawk Alert](#)*



# Helpful Documents

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## Checklist of Third-year Probationary Review Materials

Third-year probationary reviews must be submitted to the Office of the Dean by **March 1st**.

### Faculty Member Reviewed \_\_\_\_\_

- Letter from the DEO, describing the review procedures followed, if the review report does not include an account. The review must conform to the department's written statement of policies and procedures for faculty review.

**Note:** In the case of a **joint appointment**, the letter must verify that the review committee(s) had access to the original agreement between the faculty member under review and the two DEOs concerning teaching and service contributions to each unit, and to any subsequent revisions of or additions to that agreement.

- Written review report on the faculty member's teaching, scholarly or creative work, and service, evaluating how well he or she is meeting the expectations of the department, the College, and the discipline and making recommendations for future efforts.

**Note:** The report should be prepared far enough in advance of the March 1 deadline to allow time for the faculty member under review to read the report, to discuss it with the DEO or chair of the review committee, and, if the faculty member so chooses, to prepare a written response to the assessment and recommendations. However, the College will accept and consider a faculty member's response until the review materials are forwarded to the office of the Provost (April 15th).

- Written response from the faculty member, if he or she has chosen to prepare one.
- Full *curriculum vitae* of the faculty member.
- Selection of typical teaching evaluations from students and any other evaluations of teaching (peer reviews, letters from team-teachers, letters from graduate student mentees, etc.) deemed appropriate by the department. Must include a report on classroom observation.

If the faculty member holds a **joint appointment** with another department or college, check which of the following statements reflects the relationship of the review processes of the two units.

- The two units are submitting a joint report.
- The two units are submitting separate reports at the same time.

- The reports of the two units are separate and are the products of quite different processes and schedules.

**Note:** All jointly appointed faculty must be reviewed by both units. If the secondary appointment is 0%, the DEO of the primary department must consult the secondary department for an assessment of the review file. If the candidate is on the budget of both units, each department must conduct a full-scale review according to its own review procedures.

## College of Public Health

The following document outlines the responsibilities of the faculty member in the compilation and accuracy of the dossier considered for review and promotion in the College of Public Health. The full College of Public Health policies are available on the College of Public Health website or the UI Provost Office Website <http://provost.uiowa.edu/faculty-handbook>.

### CANDIDATE RESPONSIBILITIES FOR PROVISION OF MATERIALS AND INFORMATION

- A. It is the candidate's responsibility, with the advice of the DEO, to compile and submit substantive material for inclusion in the promotion dossier (the core of the Promotion Record) on or before September 15 of the academic year in which the promotion decision is to be made unless an earlier deadline is established by the department.**

The dossier submitted by the faculty member to the Department Head will contain the following, in the order listed unless otherwise noted. A current CV in the college's standard format may be used in place of the individual items listed below, provided that either all the listed elements are contained in the CV or any missing elements are supplied separately.

1. A current **curriculum vita** in College of Public Health format, with annotation of published works (see information below).
2. The candidate's personal statement on teaching (consisting of a summary and explanation—normally not to exceed three pages—of the candidate's accomplishments and future plans concerning teaching, and comments on these accomplishments and plans and on other items included in the dossier related to teaching);

copies of course materials, including syllabi, instructional Web pages, computer laboratory materials, etc.;

documentation of peer evaluation of the candidate's teaching (as specified in respective departmental guidelines) (a minimum of 3 peer evaluation of teaching forms). See additional information in the CPH Faculty Handbook regarding peer evaluation of teaching guidelines.

and, as an **APPENDIX** to the dossier, copies of teaching evaluations by students<sup>1</sup> for each course taught (the candidate will include all student teaching evaluations in their custody for each course taught).

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<sup>1</sup> In the College of Public Health, "student" is defined as any learner, including, but not limited to: undergraduate, medical and other professional students; medical residents and fellows; graduate students and post-doctoral fellows; other faculty; and practicing health care professionals.

- 3a. For **tenure track faculty** a record of the candidate's scholarship (consisting of a summary and explanation—normally not to exceed three pages—of the candidate's accomplishments and future plans concerning scholarship, and comments on these accomplishments and plans and on other items included in the dossier related to scholarship);

and, as an **APPENDIX** to the dossier, the candidate should select up to five representative examples of the candidate's published work (or work that is in print or has been accepted for publication), indicating where each work has been or will be published.

- 3b. For **clinical track faculty** members a record of the candidate's professional productivity and, if applicable, scholarship including:

the candidate's personal statement on professional productivity/scholarship (consisting of a summary and explanation—normally not to exceed three pages—of the candidate's accomplishments and future plans concerning professional productivity, and comments on these accomplishments and plans and on other items included in the dossier related to professional productivity/scholarship);

and, if applicable, as an **APPENDIX** to the dossier, copies of the materials documenting the candidate's professional productivity.

4. A record of the candidate's service to the department, college, university, profession, and community, including:
- a. for **tenure track faculty**, the candidate's personal statement on service consisting of a summary and explanation—normally not to exceed two pages—of the candidate's accomplishments and future plans concerning service, and comments on these accomplishments and plans and on other items included in the dossier related to service; and
  - b. for **clinical track faculty**, the candidate's personal statement on service consisting of a summary and explanation—normally not to exceed three pages—of the candidate's accomplishments and future plans concerning service, and comments on these accomplishments and plans and on other items included in the dossier related to clinical and other service.
5. Within the appropriate section(s) of the dossier as listed above, other information relevant to the candidate's record in teaching, scholarship, or service that is deemed to be important in the candidate's judgment.

A **current CV** in the college's standard format may be used in place of the individual items listed below, provided that either all the listed elements are contained in the CV or any missing elements are supplied separately.

- a record of the candidate's educational and professional history, including at least the following sections, preferably in the order listed:
  - A list of institutions or higher education attended, preferably from most to least recent, indicating for each on the name of the institution, dates attended, field of study, degree obtained, and date the degree was awarded;
  - A list of professional and academic positions held, preferably from most to least recent, indicating for each on the title of the position, the dates of service, and the location or institution at which the position was held; and
  - A list of honors, awards, recognitions, and outstanding achievements, preferably from most to least recent.
- List of candidate's teaching assignments on a semester-by-semester basis, (least to most recent)
- List of graduate students, fellows or other postdoctoral students supervised, including each student's name, degree objective, and first post-graduate position
- List of residents for whom the faculty member has provided substantial and prolonged supervision (if any), including student's name and first post-residency position
- A list of other contributions to instructional programs
- A list of candidate's publications or creative works with a brief statement of the candidate's contribution to the work (least to most recent)
- A list of all published reviews of scholarship (if any)
- A list of attained support including grants and contracts received
- A list of invited lectures and conference presentations
- A list of pending decisions that might affect the promotion deliberations (including grants proposals, book contracts, and other publishing decisions anticipated in the near future)
- A list of all inventions and patents (if any)
- A categorized list of offices held in professional organizations; editorships of journals or other scholarly publications, service on review panels, service on departmental, collegiate, or university committees; departmental, collegiate, or university service

positions; relevant community involvement; service to the State of Iowa; and other contributions.

**B. It is the candidate's responsibility to cooperate in obtaining peer evaluation of the candidate's teaching by participating in the following process:**

The DEO will appoint a committee to perform the peer evaluation of teaching from among the DCG. The range of teaching activities conducted by faculty in the College of Public Health, is broad and includes, but is not limited to: lectures; small group facilitation in the non-clinical setting; clinical teaching in the ward or clinic; and graduate student advising. Teaching performed outside the institution (for example, at national meetings, or as part of continuing medical education events) may be included, but these activities may not constitute the sole source of teaching activities for evaluation.

Materials to be reviewed include anything placed in the dossier by the candidate, including, but not limited to: course syllabi, lecture handouts, web pages or other electronic teaching materials, chapters from textbooks aimed at a student audience, and lists of teaching activities included in the c.v.

**C. It is the candidate's responsibility to cooperate in obtaining peer evaluation of the candidate's scholarship and/or professional productivity by participating in the following process:**

Selection of reviewers will begin on or before September 30, of the academic year in which the promotion decision will be made, unless an earlier deadline has been established by the Department.

For **tenure track faculty**, the candidate will provide the DEO a list of four appropriate external reviewers from peer institutions (e.g, AAU, CIC or Big Ten, major public, Carnegie Research I) or institutions in which the corresponding department or individual evaluator is of peer quality. The DEO will add suggestions to the list. After consultation with the internal peer review group and the possible addition of names of other potential external reviewers, the DEO will provide the total list to the faculty candidate. Eight assessments from external reviewers will be sought and a minimum of four must be received and placed in the promotion dossier.

For **clinical track faculty** members being promoted to Professor, at least half of the letters must be obtained from individuals external to the institution; for promotion to Associate Professor, at least one letter from an individual external to the institution must be included. All letters for both ranks must be external to the department; at least half must be external to the College.

The candidate will identify any potential reviewer on the list who may be unfairly biased, and may prepare a written objection to be given to the Departmental Executive Officer.<sup>2</sup>

The DEO, after the consultation described above, will select the final list to be invited.<sup>3</sup>

### CANDIDATE RESPONSIBILITIES DURING THE REVIEW PROCESS:

**A. The candidate will be given an opportunity to respond to the internal peer evaluations as follows:**

The Departmental Executive Officer will send to the candidate a copy of the internal peer evaluation of the candidate's teaching, scholarship and/or professional productivity, and service. The candidate will be allowed 10 working days to submit in writing any corrections to errors in that report.

The results of the DCG's vote and summary report of its discussion will be provided to the candidate, redacted as needed by those who prepared the summary report to protect the confidentiality of any individual contributions, whether from students, reviewers, or University of Iowa faculty members. The candidate will be allowed 10 working days to submit in writing any corrections to errors in the DCG report. This response accompanies the dossier to the Dean's office and becomes part of the promotion dossier.

**B. The candidate will be given the opportunity to respond to recommendation against promotion by the DEO as follows:**

The DEO writes an independent assessment of the candidate as part of the promotion process. In the event of a negative review by the DEO and at the same time that the Promotion Record is submitted to the Dean, the DEO will provide the candidate with a copy of the DEO's letter to the Dean. The candidate, upon request, will have access to the Promotion Record, providing the reviews of the candidate's scholarship are redacted as appropriate to protect the confidentiality of the reviewers; that any comments referring to reviews be redacted to protect the confidentiality of reviewers; and that the student evaluations of the candidate's teaching which were added to the Promotion Record by the DEO be redacted to protect the confidentiality of student evaluators.

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<sup>2</sup> In identifying potential external reviewers, all participants in the selection process will take into account the standing of the prospective reviewer in the discipline, the likely knowledge of the reviewer of the material to be reviewed, the apparent impartiality of the reviewer, and the contribution of the reviewer to achieving an overall "balanced" review among the reviewers on any criterion for which there might be a range of perspectives. It is critical to avoid any situation in which a personal and/or professional relationship (including advising, mentoring, co-authoring, etc.) between the candidate and a prospective reviewer is such that it could undermine the reviewer's apparent impartiality.

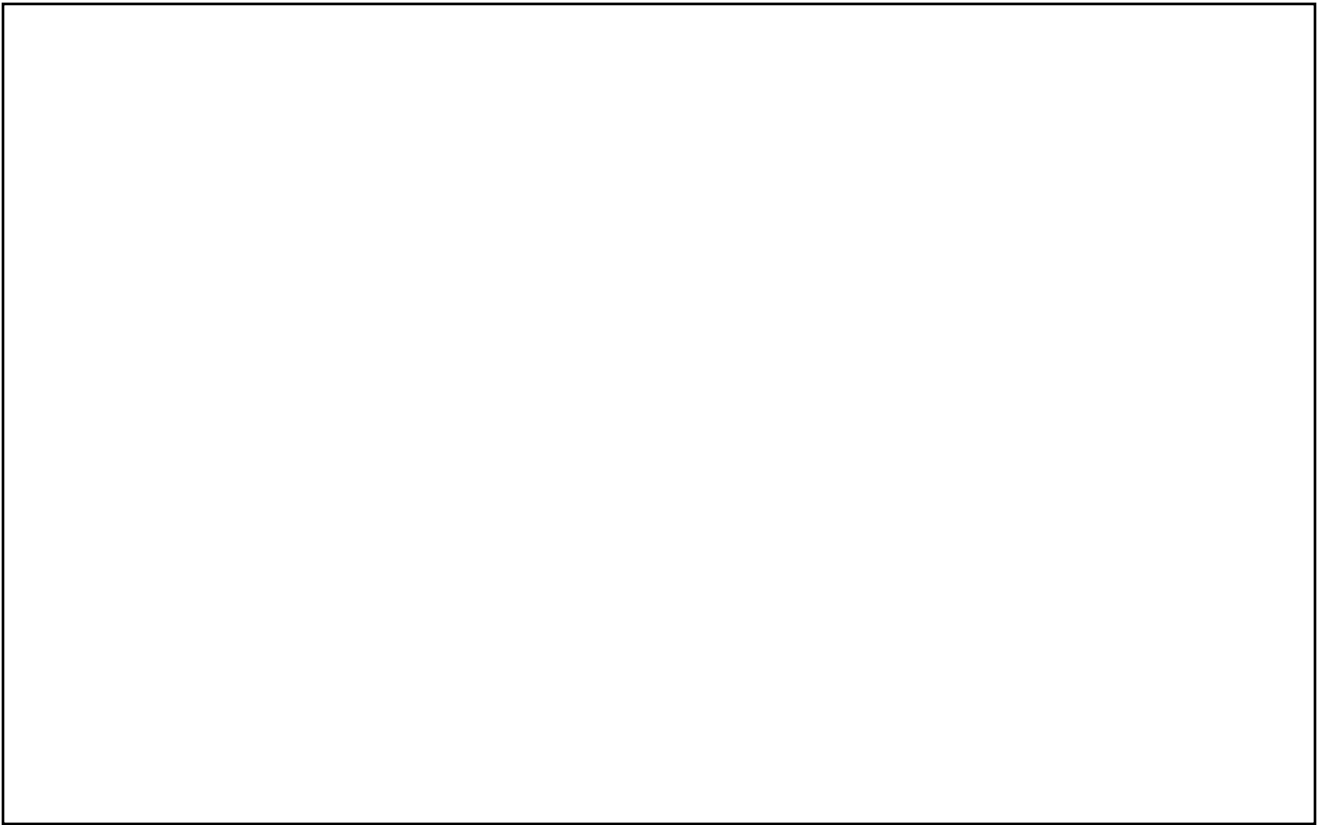
<sup>3</sup> After or in anticipation of an invitation to an external reviewer to evaluate the candidate's published work, neither the candidate nor any other faculty member other than the Departmental Executive Officer or Dean will communicate with the reviewer concerning the subject of the review or the review process.



The candidate will be allowed 5 working days to submit a letter of response and additional information to be included in the Promotion Record. The letter of response is sent to the Dean for inclusion in the Promotion Record and shall also give the DEO a copy of the response.



**Instructional Strengths**

A large, empty rectangular box with a thin black border, intended for writing or drawing. It occupies the upper half of the page.

**Comments and/or Suggestions for Improvement**

A large, empty rectangular box with a thin black border, intended for writing or drawing. It occupies the lower half of the page.

## Sample Letter from Departmental Executive Officer to External Reviewer

A DEO's letter to solicit an external evaluation must:

- be neutral in tone;
- indicate the rank for which the candidate is being considered and whether the promotion includes the awarding of tenure;
- explicitly state what portion of the candidate's work the reviewer is being asked to assess;
- request that the reviewer not communicate with the candidate or with faculty other than the DEO;
- state that the reviewer's response will be protected as confidential; and
- request a brief biographical sketch if one has not been obtained through another source.

The following is a sample letter:

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

As I mentioned to you [on the telephone/by e-mail] on [date], \_\_\_\_\_ will be considered for [tenure and] promotion to [proposed rank] in the Department of \_\_\_\_\_ during this academic year. I am grateful to you for agreeing to serve as an external evaluator.

Enclosed with this letter are Professor \_\_\_\_\_'s curriculum vitae and copies of the publications [or creative works] you have agreed to review: [list works].

Please begin with a statement of how you know the candidate and his or her work. In this context, please address any circumstances that might raise issues of impartiality as they related to your assessment of the candidate. We would like you to critique the quality of this work and, if possible, to assess its quantity and quality in comparison to the work of others in this discipline at comparable stages in their careers. We would particularly appreciate your evaluation of the contribution that the candidate's work has made to the field, viewing each published [or creative] work separately or in combination as seems appropriate. We would be interested in your judgment of the quality of the journals [or exhibits] and the importance of the conferences through which Professor \_\_\_\_\_ has communicated this work. We also would be interested, of course, in any other insights you might have about Professor \_\_\_\_\_'s scholarly [or artistic] accomplishments.

If you have any questions about Professor \_\_\_\_\_'s materials or experience, please contact me directly. In accordance with our governing procedures, we must ask you not to communicate with either the candidate whose work you are reviewing or other members of the department or college concerning your evaluation or the review process.

Your letter will be available to the tenured faculty in this department as well as to the Dean, the Collegiate Consulting Group (Promotion Advisory Committee), and the Provost's Office. Beyond that, we will regard your letter as a confidential document. Your evaluation will be made available to the candidate only upon his/her explicit request following a negative recommendation at various stages of the review process, and then only after your name and other identifying information has been removed.

{Only if it is not possible otherwise to obtain a short statement of the reviewer's qualifications, add the following paragraph:} Would you please send me a brief biographical statement when you send your letter? Although our departmental faculty know you and your work well, the Dean and the Collegiate Consulting Group would find your biographical sketch helpful when considering your letter.

Again, thank you for your willingness to help us with this important review process.

[Signature of DEO}

Candidate: \_\_\_\_\_

Reviewer: \_\_\_\_\_

*Please complete and return this form along with your letter.*

I. Length of time you have known the candidate: \_\_\_\_\_ years.

II. Have you had any relationship to the candidate and his/her work as a:

Yes      No

      Present or past colleague (at same institution as a student, post-doctoral fellow, resident or faculty member)?

      Past mentor?

      Past mentee?

      Collaborator (worked with, or co-authored papers)?

      Any other significant relationship?

If "Yes" to any of the above, please describe briefly: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

III. Indicate the basis for your knowledge of the candidate's work (*check all that apply*):

The *vita*, personal statement, and other contents of the promotion dossier

Publications (beyond those included in the dossier)

Presentations

Personal knowledge and discussions of his/her work

Participation with the candidate in professional activities (study sessions, advisory boards, professional society activities, etc.)

Other sources \_\_\_\_\_

\_\_\_\_\_  
Reviewer Signature

\_\_\_\_\_  
Today's Date

College of Public Health (CPH)  
Course Development Form

Date approved by Department/Program: \_\_\_\_\_

Date approved by the CPH Curriculum Committee: \_\_\_\_\_

**I. COURSE NUMBER AND TITLES**

Course Number: *(New format)*  
General Catalog Title: *(limited to 100 characters and spaces)*  
MyUI Title: *(limited to 40 characters and spaces)*  
Transcript Title: *(limited to 29 characters and spaces)*

**II. RATIONALE FOR PROPOSED COURSE**

*Briefly explain the rationale for the proposed course. Some of the items we are interested in are: 1) What gap(s) in curriculum will this course address in your department, the College and/or the University? 2) Who is the specific intended audience for the course (e.g., PhD students in Community & Behavioral Health and Biostatistics)*

**III. BRIEF COURSE DESCRIPTION**

*Limited to 35 words. This will appear in the University of Iowa General Catalog.*

*Sample description: Concepts and methods of obtaining and using public health data in community settings; how public health data are used for epidemiologic investigations and prevention programs.*

**IV. CREDIT HOURS**

*List number of semester hours of credit for this course. Generally speaking, a 3 semester hour course should meet for 3 hours a week, and necessitate 6 hours of preparation per week for students.*

*If there is a range, specify the differences between credit options.*

*State whether this course is repeatable to meet degree requirements (for example, a thesis/dissertation course is usually repeatable)*

**V. SCHEDULING**

*Information provided here will be added to the CPH website, to assist students with developing plans of study.*

Semester *(spring and/or fall and/or summer)*  
Annually *(odd or even years if not annually)*

**VI. CROSS-REFERENCED COURSE NUMBER AND DEPARTMENT**

*Indicate whether cross-listed department is the administrative home*

VII. **COURSE INSTRUCTOR(S) OR DIRECTOR(S)**

Course director or primary instructor: *(list only one name)*

Other instructors:

VIII. **DEGREE PROGRAMS REQUIRING THIS COURSE**

Programs within the College:

Programs outside the College:

IX. **COURSE PRE-REQUISITES OR CO-REQUISITES** *(only list specific course numbers)*

X. **STUDENTS FOR WHOM THE COURSE IS INTENDED**

*Choose only one. For courses that are primarily for masters level students, choose Masters. For courses primarily for doctoral students, choose Advanced*

Lower-Level Undergraduates

Upper-Level Undergraduates

Masters

Professional

Advanced

XI. **RELATIONSHIP OF THIS COURSE TO OTHER COURSES**

*State if this course is part of a series.*

*State if this course overlaps or integrates with any other courses at the University of Iowa.*

XII. **TEACHING METHODS**

*Briefly describe the format of the course, i.e. lecture vs. discussion.*

*State if there are discussion sections, field trips, student projects, etc.*

*State if this course is available for distance learning.*

*Example: This course is about 67% lecture based (2 out of 3 hours per week) along with an interactive discussion once a week. This course is not available for distance learning.*

XIII. **EVALUATION OF STUDENT PERFORMANCE**

*State evaluation instruments used and the basis for calculating final grade. Describe grading options. If this course will be primarily graded S-U please indicate.*

*Example:*

*Students will be graded on a standard letter scale of A to F. Evaluation of student learning will be based on student-led discussions, midterm exam, and final project/paper. Final grades will be based on total percentage points earned as follows:*

<i>Graded student-led discussion based on course readings:</i>	<i>20%</i>
<i>Mid-term Exam:</i>	<i>35%</i>
<i>Final project/paper</i>	<i><u>45%</u></i>
	<i>100%</i>



**XIV. COMPETENCIES ADDRESSED**

*Each academic/professional degree offered by the CPH has a set of competencies. List the primary competencies the proposed course will address. As you determine which competencies to include consider who takes your course (e.g., what degree program are the students in). If your course contributes to the knowledge, skills and abilities students need to master the competency it is appropriate to include it in this section. Please contact the Associate Dean for Education and Student Affairs or your Graduate Program Coordinator if you need a list of competencies for you department/program.*

**XV. LEARNING OBJECTIVES**

*(State 3 to 5 primary learning objectives)*

*A learning objective is an outcome statement that captures what students should know or be able to do at the end of the course.*

*As you create learning objectives:*

- *Ask yourself at what level of competence/learning you want your learners to be*
- *Match your action verb to the desired level*

*The table on the last page of the course development form below provides examples of verbs that can be used in learning objectives depending on the level of learning/competence.*

At the end of the course the student will be able to:

**XVI. INSTRUCTIONAL MATERIALS**

*Textbooks, U-Pac, course website, readings, videotapes, etc. Be as specific and detailed as possible.*

**XVII. TOPIC OUTLINE**

*Include a list of topics expected to be covered in this course*

## Writing Learning Objectives Using Bloom's Taxonomy

<b>Levels of Competence/Learning</b> (Levels are listed in order of increasing complexity)	<b>Description of Level and Examples of Verbs that can be used in Learning Objectives</b>
<b>Knowledge</b> (Information)	<p>Acquiring and recalling specific information including key concepts, principles, and theories.</p> <p><b>Examples of Verbs:</b> define, describe, identify, know, label, list, match, name, outline, recall, recognize, reproduce, select</p>
<b>Comprehension</b> (Understanding)	<p>Interpreting and communicating complex information accurately. State a problem in one's own words.</p> <p><b>Examples of Verbs:</b> comprehend, convert, distinguish, explain, infer, interpret, predicts, summarize</p>
<b>Application</b> (Using what has been learned)	<p>Applying concepts, principles, and methodologies effectively in addressing or solving problems in diverse situations.</p> <p><b>Examples of Verbs:</b> apply, compute, construct, demonstrate, discover, modify, produce, relate, show, solve, use</p>
<b>Analysis</b> (Taking apart complex things and seeing how they work)	<p>Separating complex concepts or systems into their key components and understanding their inter-relationships and impact.</p> <p><b>Examples of Verbs:</b> analyze, compare, contrast, diagram, deconstruct, differentiate, distinguish, illustrate, infer, outline, relate, select</p>
<b>Synthesis</b> (Creating)	<p>Formulating new ideas, models, methods, and systems using input and insights gained from multiple sources.</p> <p><b>Examples of Verbs:</b> categorize, combine, compile, create, design, generate, modify,</p>
<b>Evaluation</b> (Comparing and Judging)	<p>Making an objective, evidence-based determination of the extent to which an idea, process, or system coincides with established criteria and standards.</p> <p><b>Examples of Verbs:</b> appraise, compare, conclude, critique, evaluate, interpret</p>

The descriptions above are adapted from the following websites:

<http://teaching.uncc.edu/resources/best-practice-articles/goals-objectives/blooms-taxonomy>

<http://www.edpsycinteractive.org/topics/cogsys/bloom.html>

**Reference** Bloom, B.S. Taxonomy of Educational Objectives: The Classification of Educational Goals. New York, D. McKay Co. (1956).

MEMORANDUM OF UNDERSTANDING (MOU)\*  
MENTORING RELATIONSHIP  
College of Public Health (CPH), University of Iowa

We, the mentor and mentee (a.k.a., the protégé), are both voluntarily entering into this mentoring relationship and have mutually agreed upon the terms and conditions of our relationship as outlined below.

**Category of Mentor**

In the CPH Faculty Mentoring Program Policy, two categories of mentors are discussed:

1. A “hands-on mentor”, who shares common scholarly interests with the mentee and provides advice and/or collaborates on matters pertaining to scholarship, research, and teaching, and
2. A “meta mentor”, who does not collaborate closely with the mentee.

It is our intent that the mentor involved in this relationship will be a \_\_\_\_\_ mentor.

**Goals**

It is anticipated that specific goals of the mentoring relationship will develop and evolve over time. Below are some examples of areas wherein the mentor may provide advice, assistance, and encouragement. The checked boxes indicate the areas of focus of this mentoring relationship, which may be modified as the relationship moves forward.

1. Scholarship

a. Grant writing and funding

- Providing mentee opportunities to serve as a co-investigator.
- Identifying grant-funding opportunities.
- Referring mentee to grant skill development workshops; and resources as needed.
- Reviewing mentee’s grant applications.

b. Publications

- Offering opportunities for co-authorship.
- Developing ideas for papers on which the mentee can serve as a lead author.
- Identifying journals for manuscript submission.
- Reviewing manuscript drafts.

c. Professional development

- Assisting with identifying professional associations and conferences.
- Recommending mentee to editors to serve as a reviewer or on editorial board.
- Recommending mentee to serve on grant review panels.
- Nominate mentee for awards that are appropriate for their fields, work and career level.

3. Teaching

- a. Reviewing course syllabi and lecture materials.
- b. Discussing ways to enhance teaching skills.
- c. Identifying opportunities, resources and workshops for skill development.
- d. Providing feedback on students’ class evaluations and other presentations.

4. Service

- a. Underscoring the role of service relative to scholarship and teaching.
- b. Monitoring number of committees appointed to and workload expectations.
- c. Identifying service opportunities in local, state, or national organizations.
- d. Providing feedback on mentees actual service activity.

\* Adapted from the University of Iowa CPH Faculty Mentoring Program Policy, 2011, and from SG Brainard, University of Washington, 1998

5. Project and personnel management

- a. Inform mentee of university resources and processes available to resolve problems at work including personnel and project management.
- b. Provide advice on successful strategies for personnel and project management.

6. Balancing work and life

- a. Provide general advice on balancing work on non-work activities.
- b. Inform mentee of university resources available to promote individual health.
- c. Invite/encourage to join in outside, non-professional activities.

7. Networking--Linking the mentee with potential collaborators and leaders within the institution and/or externally.

**Accountability**

Although the mentor may provide advice in many areas, it is the responsibility of the mentee to develop and achieve specific goals to meet the standards for productivity and promotion. This mentoring relationship is not intended to supplant the supervisory roles of the DEO (e.g., annual reviews, assignments of responsibilities, discussion regarding promotion, etc.).

**Frequency of Contact and Documentation**

We will make a good faith effort to meet at least \_\_\_\_\_ times each \_\_\_\_\_. We will keep a record of the dates when formal meetings are held. If a DEO requests and obtains written reports from the mentor and/or mentee regarding the extent or activities of the mentoring, the contents of such reports will be shared with both parties.

**Confidentiality**

Any sensitive topics that we discuss will be held in the highest confidence. No topics will be considered mandatory to discuss.

**Duration of Relationship**

We have determined that our mentoring relationship will continue as long as we both feel comfortable, or until \_\_\_\_\_.

**Termination of MOU**

We are committed to open and honest communication in our relationship. We will discuss and attempt to resolve any conflicts as they arise. If, however, one of us needs to terminate the relationship for any reason, we agree to abide by the decision of the other party.

\_\_\_\_\_  
Mentor

\_\_\_\_\_  
Mentee

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date

# Faculty Review Workflow Requirements and Due Dates

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## Tenure Track Faculty Reviews

<p><b>Probationary Faculty Annual Reviews</b> <b>(for years 1, 2, 4, &amp; 5)</b></p> <p>(Due to Becky Toner by <u>3/31</u>.)</p>	<p>Materials to include:</p> <ol style="list-style-type: none"><li>1) DEO Summary of the review</li><li>2) CV</li></ol>
<p><b>3<sup>rd</sup> Year Reappointment Review</b></p> <p>(Due to Becky Toner by <u>3/31</u>.)</p>	<p>Materials to include:</p> <ol style="list-style-type: none"><li>1) Written review report (addressed to the faculty member) on the faculty member's teaching, scholarly or creative work, and service and evaluating how he/she is meeting the expectations of the department, the College, and the discipline and making recommendations for future efforts.</li><li>2) Letter from the DEO to the Associate Dean for Faculty Affairs describing the review procedures followed (if not already included in the report), recommendation, etc.</li><li>3) Any written response the faculty member has submitted (if applicable).</li><li>4) Full CV</li><li>5) Selection of student evaluations and any other evaluations of teaching (peer reviews, letters from team-teachers, letters from graduate student mentees, etc.) deemed appropriate by the department. At least 1 classroom observation must be included.</li><li>6) Internal Review Committee written report (if there is one).</li><li>7) Other materials that may have been used in the review process (e.g. self-assessment, etc.)</li></ol>

<p><b>Annual Review of Tenured Faculty</b></p> <p>(Due to Becky Toner by <u>5/31</u>.)</p>	<p>Materials to include:</p> <ol style="list-style-type: none"> <li>1) Annual Review form</li> <li>2) CV</li> </ol>
<p><b>5 Year Post-Tenure Peer Review</b></p> <p>(Due to Becky Toner by <u>3/31</u>.)</p>	<p>Materials to include:</p> <ol style="list-style-type: none"> <li>1) DEO Summary of the review</li> <li>2) CV</li> <li>3) Response from Faculty Member (if there is one)</li> <li>4) Peer Review Committee Report</li> <li>5) Management Plan (if the review results in the necessity of this)</li> </ol>

## Clinical Track Faculty Reviews

<p><b>Annual Reviews</b></p> <p>(Due to Becky Toner by <u>3/31</u>.)</p>	<p>Materials to include:</p> <ol style="list-style-type: none"> <li>1) Annual Review form</li> <li>2) CV</li> </ol>
<p><b>Reappointment Review</b></p> <p>(Due to Becky Toner by <u>3/31</u>.)</p>	<p>Materials to include:</p> <ol style="list-style-type: none"> <li>1) Written review report (addressed to the faculty member) on the faculty member's teaching, scholarly or creative work, and service and evaluating how he/she is meeting the expectations of the department, the College, and the discipline and making recommendations for future efforts.</li> <li>2) Letter from the DEO to the Associate Dean for Faculty Affairs describing the review procedures followed (if not already included in the report), recommendation, etc.</li> <li>3) Any written response the faculty member has submitted (if applicable).</li> <li>4) Full CV</li> <li>5) Selection of student evaluations and any other evaluations of teaching (peer reviews, letters from team-teachers, letters from graduate student mentees, etc.) deemed appropriate by the department. At least 1 classroom observation must be included.</li> </ol>

	<ul style="list-style-type: none"><li>6) Internal Review Committee written report (if there is one).</li><li>7) Other materials that may have been used in the review process (e.g. self-assessment, etc.)</li></ul>
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# Approximate Calendar for Important Dates

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<b>January</b>	15 <sup>th</sup> 22 <sup>nd</sup>	5-Year Post-Tenure Faculty Review materials due to the peer review committee. P&T: CCG report due to the <b>CPH Dean's Office</b> .
<b>February</b>	6 <sup>th</sup>	P&T: All materials due to the Provost Office.
<b>March</b>	1 <sup>st</sup>  1 <sup>st</sup> 31 <sup>st</sup>	3 <sup>rd</sup> Year Probationary Faculty Reappointment Review materials due to the <b>CPH Dean's Office</b> . 5-Year Post Tenure Faculty Review peer review committee report due to DEO. 5-Year Post Tenure Faculty Review materials due to the <b>CPH Dean's Office</b> .
<b>April</b>	1 <sup>st</sup>  15 <sup>th</sup>	Probationary, Clinical, and Non-Tenure Track annual review materials due to the <b>CPH Dean's Office</b> . Probationary, Clinical, and Non-Tenure Track Faculty reviews due to Provost Office.
<b>May</b>	5 <sup>th</sup>	Post-Tenure Effort Allocations must be entered.
<b>June</b>	30 <sup>th</sup> 30 <sup>th</sup>	Tenured Faculty Annual reviews must be finalized in workflow to Provost Office. CVs need to be updated in the APR database. CPH Dean's Office will run reports on 7/1.
<b>July</b>		
<b>August</b>	1 <sup>st</sup> 15 <sup>th</sup>	P&T: Candidate must notify DEO of intention to apply for promotion. P&T: DEO notifies Dean's Office of all candidates for promotion.
<b>September</b>	1 <sup>st</sup> 8 <sup>th</sup>	P&T: Dossier due to DEO. P&T: Internal review by DCG and selection process of external reviewers begin.
<b>October</b>	1 <sup>st</sup>	P&T: DEO requests external letters for P&T by this date.
<b>November</b>	1 <sup>st</sup> 10 <sup>th</sup>	Mentoring plans for new faculty due to the <b>CPH Dean's Office</b> . P&T: DCG report due to DEO.
<b>December</b>	15 <sup>th</sup>	P&T: Promotion materials due to the <b>CPH Dean's Office</b> .



## SELF-STUDY TEMPLATE FOR DEPARTMENTAL REVIEWS

### OVERVIEW AND GOALS

- Give a brief summary of how the department has evolved since the last review, indicating when the last review was done and when the last strategic plan was developed (include strategic plan in appendix).
- List department's Vision and Mission
- Show progress made towards addressing previous recommendations (fill in table below, adding rows as necessary)

Recommendations from previous departmental review	Progress made towards addressing the recommendations

### STRENGTHS AND OPPORTUNITIES

*Strong departments have rigorous educational programs that attract qualified students who graduate in a timely way; faculty who are committed to excellence in teaching, who are engaged in programmatic extramurally funded research and are engaged in service locally and nationally. Career advancement for junior faculty is facilitated by strong mentoring and opportunities to participate in senior faculty's research programs. Alumni of departments go on to successful careers and engage in the life of the college after graduation. A strong department's educational, research, and service have adequate space, administrative infrastructure, skilled staff and a culture of collaboration to succeed. In all of the work, the department seeks and supports diversity in faculty, students, and staff.*

- Give an overview of the strengths in faculty, staff, students, and alumni (include CV's of primary faculty in appendix).
- Indicate important institutional, professional, and community awards and honors.
- Describe strengths in the environment of the department, including important collaborations.
- Describe potential opportunities or challenges seen for the department, including current faculty recruitment plans.
- Briefly describe physical facility resources and needs (include previous year's departmental budgetary information in an appendix).

## TEACHING

### Academic Programs

- Complete the table below (adding rows as necessary) and briefly describe departmental faculty expertise and availability of faculty to teach departmental and joint graduate programs.

<b>Degree Program</b>	<b>Total Semester Hours</b>	<b>Semester Hours Taught by Dept.</b>	<b># Primary Faculty Who Teach</b>	<b># Adjunct Faculty Who Teach</b>

In the body of the report, for each program:

- Describe measures of student progress, such as comprehensive exams, theses & dissertations, and capstone experiences (practica, preceptorships, etc.)
- Summarize any major curricular changes that have occurred since the last departmental review.
- Briefly summarize student recruitment activities.
- Indicate when the last time your academic programs and competencies were reviewed. *(Note: Formal curriculum reviews do not have to coincide with the departmental review cycle, nor do all of the details of such a review need to be included in this departmental Self Study. However, the frequency of formal curriculum reviews should be at least once every 7 years. Hence, any program that has not had a review since 2009 should be reviewed by 2016, and any program being reviewed from this point onward should follow the unified format.)*
- Indicate who was consulted during such reviews (faculty, students, alumni, employers, etc.).
- Describe methods of teaching evaluation (i.e., ACE and peer reviews), and give a brief summary of teaching quality.

In the appendix, for each program:

- Include a list of the course requirements and a sample plan of study.
- Include course descriptions or syllabi.
- Include a competency matrix, showing which courses address which competencies.

Complete the table below for each degree program.

Acad. Yr.	Recruitment			Graduation	
	# Applicants	# Accepted	# Enrolled	# Graduates	Average time between enrollment in program and graduation (yrs)
2011-12					
2012-13					
2013-14					

### Other Teaching

- Summarize any other teaching activities deemed relevant (e.g., service teaching, continuing education, workshops, etc.)

### RESEARCH

- Describe the general areas of research interests and expertise of the primary faculty.
- Describe the level of cross-departmental, cross-collegiate, national, and international collaborations in research.
- Describe the diversity of funding sources and types of grants in the department (e.g., federal, state, foundation funding; center grants, RO1s, R21s – no need to include an exhaustive list).
- Complete the table below that summarizes research funding and peer reviewed publication productivity for the prior 3 years. (For all but last column, consider years as fiscal years, e.g., 2014 is 2013-14.)

Year	# Primary Faculty	Average % Salary Offset	Annual Research Funding w/ PI in Department (Direct Costs)	Annual Research Funding w/ PI out of Department (Direct Costs)	Total Annual Research Funding (Direct Costs)	# Peer-Reviewed Publications (calendar year)
2012						
2013						
2014						

## **SERVICE**

- Overview of service activities of faculty in the department for the last 3 calendar years (including service to the institution, to the profession, and to local, state, national, and global communities).
- Emphasize important community outreach/engagement activities.

## **INTEGRATION OF TEACHING, RESEARCH, AND SERVICE**

- Indicate how teaching, research, and service impact each other. E.g.:
  - How do faculty bring their research experience into the classroom?
  - How do classroom activities lead to important research and/or service opportunities?
  - How are communities engaged when conducting research?

## **CONCLUSION**

- Give closing statements summarizing progress, challenges, etc. over the years since the previous review.
- Summarize outlook for the future of the department.

(Note: The Self-study document, including text and non-appendix tables, should be limited to 15 pages plus one page per degree program.)

## **APPENDICES**

- Most recent strategic plan.
- CV's of all primary faculty.
- Budgetary information from most recent fiscal year.
- Course requirements and plans of study for each degree program.
- Course descriptions or syllabi
- Competency matrix showing which courses address which competencies.
- Optional—Enrollment data for key courses.
- Optional—Any other information deemed relevant (should be referenced in the text).