

**Task Force to Review the Faculty
Position Responsibility Statement (PRS):
Report on the Current State, Challenges, and
Recommendations for Change**

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Introduction and Charge

The Position Responsibility Statement, or PRS, as an evaluation tool is now fifteen years old. Since it was first introduced, the PRS has become an important tool, as described in the Faculty Handbook. Because of its importance in faculty evaluation, the Faculty Senate Leadership and the Office of the Provost decided in Spring 2014 that it was time to examine the current state of the PRS and, if warranted, take steps to improve or clarify its structure and its role.

The PRS was introduced as part of the revision of the Promotion & Tenure section of the Faculty Handbook (FH) in 1998. The PRS is described as a tool to allow for a "flexible and individualized system of faculty review" (Excerpt from FH 5.1.1.5).

It is to be used in Promotion & Tenure (P&T) evaluations:

A key tool in the promotion and tenure review process is the position responsibility statement, which describes the individual's current position responsibilities and activities in the following areas: (1) teaching, (2) research/creative activities, (3) extension/ professional practice, and (4) institutional service. This statement is used by all evaluators to interpret the extent, balance, and scope of the faculty member's scholarly achievements.
(Excerpt from FH 5.2.2.1)

The PRS also is the basis for annual performance evaluations.:

The evaluation is based on scholarship and contributions in teaching, research/creative activities, extension/professional practice, and institutional service as indicated in each individual's position responsibility statement.
(Excerpt from FH 5.1.1.2)

Other than stating that all faculty will have a PRS and that each PRS should describe responsibilities in teaching, research/creative activities, extension/ professional practice, and institutional service, the Handbook provided no other details about what the general structure of the PRS should be. Departments and colleges were left to determine the details in relative isolation.

A review of 100 PRS statements for tenured and tenure eligible (TTE) and non-tenure eligible (NTE) faculty from across the university revealed wide variation in PRS format, as well as level of specification and the use of percentages to describe responsibilities. Several questions were raised by that review and as a result of discussions among the Senate leadership. Some questions were:

1. *What areas must be part of the PRS?*
2. *What other areas can/should be part of the PRS?*
3. *Who actually develops a PRS?*
4. *How is the placement of an activity into a PRS area determined (i.e., by the individual, the department, the college, the provost, the Handbook)?*
5. *Should percentages be required and, if so, what do they mean?*
6. *What types of limiting statements are permissible in the PRS?*
7. *What role does/should the PRS actually play in evaluations, especially P&T evaluations?*

8. *What role do NTE faculty have in determining their PRS?*
9. *Who has access to an individual's PRS?*

These questions were compiled into a document titled "Preliminary Review of the Position Responsibility Statement" and in mid-Spring 2014, the document was distributed widely to several groups (Faculty Senate Councils, Faculty Senate Caucuses, Chair's Cabinet, Provost's Cabinet, AAUP), each of which was encouraged to distribute the document to their membership. Responses/reactions from the groups and the general faculty were collected for consideration by the Task Force, which received its charge on May 2, 2014:

The Faculty Senate and the Office of the Senior Vice President and Provost in partnership have formed a taskforce to review the use of the faculty Position Responsibility Statement established in the Faculty Handbook (section 5.1.1.5) in 1998. The PRS is generally viewed as a valuable tool which has grown in importance especially in our numerous faculty review processes. The Faculty Senate and Provost's Office agree that the increased importance of the PRS merits a thoughtful review of policy and practice to ensure that there is consistency in how the PRS is being utilized across departments and colleges. To that end, the Taskforce is charged with conducting a broad review of the PRSs currently in place with the goal of identifying issues related to format, content, and usage.

Task Force members were selected so that there would be representation from the Faculty Senate, college-level administration, extension, department chairs, and general faculty with all colleges being represented. The Task Force had an organizational meeting in May 2014. The Task Force had access to the 100 PRSs in the sample and to the responses to the questionnaire over the summer, but work began in earnest in August 2014, with weekly hour long meetings throughout the fall semester (2014) and one or two hour meetings for the first six weeks of spring semester (2015).

Definitions

The following terms and abbreviations occur throughout this report.

- FH – abbreviation used when referencing specific sections of the Faculty Handbook
- Handbook – the Faculty Handbook
- LOI – Letter of Intent, the contract signed when faculty are hired
- NTE – abbreviation for non-tenure eligible faculty including lecturers, clinicians, and adjunct faculty as described in FH 3.3.2 and any other faculty appointment type that is not tenured or tenure eligible
- P&T – promotion and tenure
- PRS – Position Responsibility Statement
- TTE – abbreviation for tenured and tenure eligible faculty
- unit head – generic reference to department chairs, school directors, and others as appropriate who are responsible for hiring and evaluating faculty

Findings

The findings are organized by topics as discussed by the Task Force. The section for each topic includes a description of the current state, followed by a description of challenges associated with the current state, and recommendations for change. Where relevant, portions of the Handbook are excerpted. The complete sections of the Handbook from which the excerpts were taken are included as Appendix C.

What is a PRS and Who Needs One?

Current state

When the concept of the PRS was first introduced, it was conceived as a document that would serve the individual, unit, college, and university by defining an individual's role at the university. According to University Legal Counsel, Paul Tanaka, the PRS by nature is a public document. Mr. Tanaka described the PRS as a generalized job description that is designed to manage the expectations of the university and the faculty member. This description parallels that in the Faculty Handbook:

The position responsibility statement description itself should be general and only include the significant responsibilities of the faculty member that are important in evaluating faculty accomplishments in the promotion and tenure process for tenure-eligible/tenured faculty or for advancement for non-tenure-eligible faculty. (FH 5.1.1.5)

FH 5.1.1.2, which describes annual performance evaluations, also makes it clear that every faculty member is required to have a PRS.

All faculty members (tenured, tenure-track, non-tenure-eligible, whether fulltime or part-time) will be evaluated annually (January 1 to December 31) for performance appraisal and development on the basis of their position responsibility statement (FH 5.1.1.2).

Challenges and Recommendations

The task force identified a number of challenges resulting from how the PRS has been interpreted and implemented.

The first challenge is that not all faculty members have a PRS. The Task Force recommends that the Senate and the Provost immediately take steps to ensure that this is corrected for any faculty member who is subject to evaluation. Senators should ensure that all faculty in their units know that a PRS is required and the Provost should direct all unit heads to ensure that a PRS is on file for each faculty member in the unit.

The second challenge is that some PRS documents are extremely detailed, for example, identifying specific courses to be taught or how many publications are expected each year. They are more like work plans than a generalized description. Suggestions for what should be covered

in the PRS are made in a subsequent section entitled *Areas of Responsibility in the PRS* (beginning on page 8) and a generic template for a PRS is presented in Appendix A (page 17).

The third challenge is that the PRS often is treated as a private document and is not shared with other faculty in the unit. Treating the PRS as private can foster an environment in which faculty believe there is unequal treatment and special privileges for some. In addition, those tasked with developing teaching/research schedules may lack access to information needed to make appropriate teaching/research assignments for individual faculty. Furthermore, mentors and P&T committees may not be able to provide appropriate guidance without a full understanding of the faculty member's duties. The PRS Task Force recommends that the Senate and the Provost's Office make clear to faculty and to unit heads that the PRS for each member of the unit should be accessible to other faculty in that unit. Transparency within a unit should foster informed P&T discussions and decisions and should facilitate discussion during annual evaluations. Transparency also helps clarify the faculty member's expected role within the unit.

A final challenge is related to distinctions among different types of faculty. The distinction between TTE and NTE faculty is made in the Faculty Handbook and there sometimes are different procedures and policies for the two types of faculty. As already noted, both types of faculty need PRSs according to FH 5.1.1.2. Section 3.3 of the Handbook, which specifically addresses different appointment types, also begins with a distinction between TTE and NTE appointments:

3.3 Types of Appointments

Faculty Appointments are made as tenured/tenure-eligible (with rank of assistant professor, associate professor, or professor) or as non-tenure-eligible (e.g. lecturer, clinician, senior lecturer, senior clinician, instructor, adjunct, affiliate, collaborator or visiting faculty). The type of appointment influences such considerations as fringe benefits, tenure status, and renewal procedures.

Subsequent subsections of Section 3.3 complicate matters, however. FH 3.3.1 refers to "Tenured and Tenure-Eligible Appointments" and FH 3.3.2 is titled "Non-Tenure-Eligible Appointments", but it references only lecturer, clinician, senior lecturer, senior clinician, instructor, and adjunct appointments. The remaining appointment types listed as NTE in the beginning of FH 3.3 are described in separate subsections rather than under the NTE subsection: affiliates (FH 3.3.7), collaborators (FH 3.3.6), and visiting faculty (FH 3.3.7). FH 3.3.4 describes NTER appointments, which are not mentioned in FH 3.3, as yet another distinct appointment type that is not TTE or NTE. The Task Force discussed whether those types of appointment not defined as either TTE or NTE require PRSs. We decided to go with a working definition of NTE as any type of faculty appointment that is not TTE. We recommend that the Faculty Senate clarify whether there are appointment types that may not require a PRS and, if so, that these should be explicitly identified as such in the Handbook.

Key Points

1. A PRS is a tool that describes the range of responsibilities undertaken by a faculty member; it is used in all evaluations.
2. A PRS is a generalized job description rather than a work plan.

3. All faculty (as defined in the Handbook) should have a PRS (although the Senate could explicitly waive the requirement for some appointment types).
4. The PRS is public within the unit.

Development of the PRS

Current state

The Task Force found different levels of specificity in the Faculty Handbook for TTE and NTE faculty for how the PRS is to be developed.

The PRS is explicitly described as a negotiated document between the TTE faculty member and unit chair and is based on the job advertisement:

At the time of appointment or within the first semester of the appointment, the chair and the new tenure-eligible/tenured faculty member will agree on a position responsibility statement that should be based on the job advertisement (FH 5.1.1.5).

For faculty with joint appointments in two departments, both department chairs negotiate with the faculty member to develop one PRS signed by everyone. The PRS should clarify the faculty member's responsibilities in each department. One department is designated the primary department. Evaluations, including probation and promotion and tenure review, are initiated by the primary department with advice from the secondary department. Faculty without joint appointments may have responsibilities in a second department or faculty may have responsibilities in a program. Such responsibilities should be part of the PRS, but there is no requirement for the signature of the head of the second unit.

The role of NTE faculty in determining the initial PRS is not explicitly defined in the Handbook, although a faculty role is specified at time of renewal (see the *Review and Revision of the PRS* section on page 12).

The Task Force noted that information in FH 3.2 (Appointment Procedures) does not completely align with FH 5.1.1.5. Section 3.2 states:

When a candidate has been identified for the appointment, the chair specifies the conditions of appointment on a form called the Letter of Intent and in a letter making the offer of appointment including the position responsibility statement.

The next paragraph refers only to the Letter of Intent (LOI) and Section 3.2 ends by stating:

Subsequently, the person to whom the appointment is offered signs the form, indicating acceptance of the appointment and the specified conditions.

Within the context of Section 3.2, it is clear that the “form”, which is to be signed, is only the LOI and the specified conditions are rank, salary, and contract period, but some unit heads have instructed new hires also to sign and return the PRS that was sent with the LOI.

Challenges and Recommendations

The misalignment between FH 5.1.1.5 and FH 3.2 is problematic. Under current practice when a unit head drafts a PRS and sends it out with the LOI, the new faculty member may not understand the importance of the PRS and that it is to be a negotiated document. New faculty members may believe that the PRS is part of the LOI and that they need to sign it with the LOI. An additional issue with current practice is the wide variability between units in the nature of the PRS drafts that are sent to new faculty.

It was anecdotally noted that some faculty with joint appointments had two PRSs. A faculty member should have just one PRS, although it might be signed by two chairs.

The Task Force noted that there are practical differences in the origination of the PRS for TTE faculty and at least some NTE faculty. Some lecturers are hired only for specific tasks (e.g., to teach specific classes) and agreement to fulfill those responsibilities is a condition of hire. For those cases, the PRS should directly reflect the job ad and the requirement to sign a specific PRS along with the LOI is appropriate. The Task Force noted, however, this only applies to the original PRS, because FH 5.4.1.2 grants NTE faculty input during renewal (see the *Review and Revision of the PRS* section on page 12).

The Task Force members strongly believe that PRSs for all TTE faculty and for NTE faculty who are not hired with specific responsibilities should result from negotiation with the unit head; they should not be written solely by the unit head and given to the faculty member. During development of the PRS, discussion must occur to guide a mutual understanding of the faculty member's responsibilities within his/her unit.

The Task Force believes that the challenges associated with current practice are best addressed by development of a generic university-wide template to be distributed with the LOI. The purpose of the generic PRS is to inform the new faculty member of the existence and purpose of the PRS. The template should be sufficiently generic that it can be used by all university units. The template should include language that explains the areas of responsibility that make up the PRS (as explained in the following section of this report). It should also indicate that the PRS is how unit heads and faculty negotiate expectations and that the PRS forms the basis for evaluation of the faculty. The template will include a statement that within **six weeks** of arrival on campus, the faculty member should collaborate with the unit head to write a specific PRS for his/her expected role in the unit. The template will make clear that, except for responsibilities explicitly described in the position advertisement, the duties may be negotiated. Appendix A contains a sample of what the Task Force envisioned. A generic college-specific general template could be developed if desired by the faculty in a college. Any college-specific template should include explanatory information similar to that shown in the university-wide template.

Negotiations should take into account the needs of the unit and the needs of the faculty member. The one caveat is that the duties negotiated for tenure eligible faculty should specify responsibilities relevant to tenure criteria for the unit. Similarly, duties negotiated for tenured associate professors should specify responsibilities relevant to promotion criteria for the unit.

Key Points

1. PRSs for all TTE faculty and for NTE faculty who are not hired with specific responsibilities should result from negotiation with the unit head and should occur within six weeks of the faculty member's arrival on campus.
2. A generic university-wide template for the PRS (see Appendix A) should be developed as an informational tool. (College-specific templates could serve a similar purpose.)
3. NTE faculty hired with specific responsibilities may be given a PRS with the LOI, but such faculty will have input into their revised PRS at time of renewal.
4. The responsibilities negotiated for untenured but tenure eligible faculty should take into account the tenure criteria for the unit. The responsibilities negotiated for tenured associate professors should take into account the promotion criteria of the unit.

Areas of Responsibility in the PRS

Current state

No areas of responsibility are specified in FH 5.1.1.5, which is titled "The Position Responsibility Statement", however, four areas of PRS responsibilities are mentioned in two other sections of the Handbook. The areas are mentioned in conjunction with annual performance reviews:

Faculty members shall be reviewed annually for performance and development on the basis of their position responsibility statement. The evaluation will be based on scholarship and contributions in: (1) teaching, (2) research/creative activities, (3) extension/professional practice, and (4) institutional service. (FH 4.1)

and with promotion and tenure:

A key tool in the promotion and tenure review process is the position responsibility statement, which describes the individual's current position responsibilities and activities in the following areas: (1) teaching, (2) research/creative activities, (3) extension/ professional practice, and (4) institutional service. This statement is used by all evaluators to interpret the extent, balance, and scope of the faculty member's scholarly achievements. (FH 5.2.2.1)

In practice, these four areas of responsibility (Research/Creative Activity, Teaching, Extension/Professional Practice, and Institutional Service) are not addressed in all PRSs and activities such as professional practice, professional service (e.g., service to professional organizations), and institutional service are often combined, and additional areas are included. The level of specificity in the area descriptions also varies from program to program. The expectations of the faculty member in each of these areas are described in a non-consistent manner. For example, some programs use percentages, but it is unclear to what the percentages refer. They may refer to expected effort or to the importance of the area in P&T or to the importance of the area in annual performance reviews or to some other dimension. Teaching expectations have been described variably as number of credit hours, number of courses, or percentages.

Challenges and Recommendations

The Task Force spent many hours discussing the varied nature of faculty responsibilities and how percentages were used in different units. The Task Force believes that vagueness and differences in the level of detail in the areas can lead to a large variation in expectations from faculty member to faculty member, even within a single unit.

The Task Force also believes that the small number of areas inadequately addresses the diversity of faculty appointments and faculty activity at Iowa State University. We particularly focused on the area labeled "extension/professional practice" in the Handbook. We also considered the lack of clarity regarding where professional service belonged. As we considered different options, a consensus structure emerged in which there are seven areas: three common areas and four additional areas. The Task Force recommends revision of the Faculty Handbook to specify the use of the following areas of responsibility in all PRS documents. These areas cover the wide range of faculty appointments from tenured/tenure eligible to lecturer and clinician, and appointments involving extension activities.

Common Areas: The following areas of responsibility should be *explicitly* stated in all PRS documents as they constitute a common set of expected activities for all TTE and many NTE faculty at Iowa State University, as outlined in the Faculty Handbook.

It is recognized that in some cases, a faculty member may not have activities in the Common Areas during a time period covered by the PRS, in which case the common area should still be listed and the expected effort level should be stated as zero.

Teaching: Expectations related to teaching and advising should be listed here. Expectations for TTE faculty should be listed in broader terms rather than specific courses. For example: "Responsibilities for teaching include one graduate course, one undergraduate course, and shared responsibility for [course]. The minimum teaching responsibilities will be [N] formal courses per year." Or "Responsibilities include teaching 12 credits per academic year made up of at least one graduate course, one entry level course, and others as assigned by the department chair. Activities such as advising may be substituted for some teaching." Expectations for lecturers may be course-specific to ensure consistency with any terms set during appointment.

Research/Creative Activity: Scholarship is defined to include an original product that is disseminated widely and is peer-reviewed. The product is the result of research, discovery, and other creative activities. Expectations for the faculty member's research or creative activity should be stated in general terms rather than being overly explicit, however, if specific activities, such as grant submission, are expected, they should be noted. Research results will be communicated to the broader academic community through books, peer-reviewed journal publications, presentations at professional/scientific meetings, or other appropriate outlets. Other creative activities likewise will be appropriately judged. While the Handbook separately describes the Scholarship of Teaching (FH 5.2.2.3.2) under the area of teaching and the recent *Report of the Task Force on the Scholarship of Engagement and Outreach* refers separately to "Engaged Scholarship" and to the "Scholarship of

Extension", the current Task Force believes that having separate content-based areas in the PRS for different types of scholarship is confusing and counter-productive. Expectations related to scholarship, including the scholarship of teaching and learning as well as engaged scholarship associated with any area of responsibility should be referenced under this area. This is the area that requires external evaluation during P&T regardless of content.

Institutional Service: This area should state the expectations for institutional service in accordance with the needs of the individual's department, college and the university. When a faculty member assumes a major institutional service role (e.g., the faculty member becomes Associate Chair and/or Director of Graduate Education [DOGE] in a department, is elected to a leadership position in the Faculty Senate, or is appointed to chair a University Committee such as the Institutional Review Board), the faculty member's PRS should be amended to acknowledge this new responsibility. All TTE faculty are expected to undertake institutional service and institutional service is required for promotion (see FH 5.2.2.6).

Additional Areas: In addition to the Common Areas, the Task Force recommends the following additional areas of responsibility, which describe duties and responsibilities for certain faculty appointments at Iowa State. These should be included in the PRS *if applicable* to the faculty member's appointment.

Extension: Extension is an integral component of the land-grant mission of the University. This area recognizes appointments with explicit expectations in the area of extension (to engage citizens through programmatically organized research-based educational programs).

Professional Practice/Clinical Practice: This area describes faculty duties and responsibilities related to clinical or similar professional activities, such as veterinary clinical practice, librarianship, or design.

External Service/Engagement and Outreach: This dual area recognizes two kinds of activity that are connected to the individual's area of expertise but that have a focus external to the university. It includes service to funding agencies and to professional organizations/societies/agencies. Reviewing, editing, serving as an officer are other examples. Engagement and outreach activities that leverage the professional expertise of the individual should also be included here. When a faculty member considers assuming substantial responsibilities in this area, it should be discussed with the chair to determine how it will be reflected in the PRS. Service activities that do not relate to the professional expertise of the individual, such as community service, should not be included.

Administration (formal): This area is for formal administrative appointments such as department chairs and center directors, when appropriate. It is recognized that most DOGE or associate chair appointments are considered institutional service.

Key Points

1. Common areas of responsibility to be included in all PRSs are research/creative activity, teaching, and institutional service.
2. The research/creative activity area includes all forms of scholarship including domain-specific scholarship, the scholarship of teaching, the scholarship of extension, and engaged scholarship.
3. Additional areas that may be in a PRS are extension, professional practice/clinical practice, external service/engagement and outreach, and administration.

Use of Percentages as Descriptors

Current state

As already noted, some PRSs list percentages and some do not. There is no standard practice in the use and intent of percentages (or other descriptors) associated with different areas of responsibility.

Challenges and Recommendations

The variability in presence and interpretation of percentages or other descriptors in PRS documents can potentially cause unclear or inadequate communication of expectations to the faculty member. The Task Force recommends that *each area* listed in the PRS be accompanied by a percentage that represents the *proportion of effort* expected from the faculty member in that area. Effort indicators are approximate at best, serving only as guidelines, because effort required for any area may vary substantially over shorter periods of time (e.g., weeks). The Task Force recommends that percentages be in increments of no less than 5% and should represent proportion of effort over the academic year.

A caveat: The Task Force's recommendation of a minimum 5% proportion of effort for areas listed in the PRS should not be interpreted as restricting freedom to engage in activities in areas not listed in a PRS (i.e., areas with less than 5% effort). For example, a faculty member who does not have Professional Service/Engagement and Outreach as an area in the PRS might have an opportunity for outreach. Faculty may engage in such activities and those activities should be recognized during evaluation, particularly the annual performance evaluation. The PRS provides guidance concerning major areas of responsibility; it is not a limiting document. During evaluations, faculty should share with evaluators all activities falling under any area that could be part of a PRS.

Effort associated with teaching responsibilities can vary among departments and colleges (e.g., in the sample PRSs a four course per year load ranged from 30% effort to 75% effort with a modal effort of 45-50%). The Task Force discussed whether it is unfair to faculty for different departments to use different proportions of effort for roughly equivalent time commitments. We considered whether a common percentage should be established across the university related to course loads. However, because differences in course structure and faculty assignment

expectations exist among colleges, this idea was rejected. Rather, we recommend that each college determine its own standard and make that standard explicit in college documents. Faculty within each college will thus be operating under the same system, while allowing for differences among the colleges.

As noted in the previous section, all PRSs should contain the three common areas, with a proportion effort of zero when it is not applicable to an individual. However, the Task Force noted that *institutional service should not be zero for any TTE faculty member* because institutional service is required for P&T and is expected for tenured professors:

Faculty members are expected to play a vital role in the functioning of the university at all levels by participating effectively in faculty governance and in the formulation of department, college, and/or university policies; or by carrying out administrative responsibilities. Therefore, to be promoted and/or tenured, faculty members are expected to have been involved in institutional service. The level and amount of service are expected to be higher for those seeking promotion to the rank of professor. (FH 5.2.2.6)

Key Points

1. Percentages representing approximate proportion of effort over an academic year should be associated with each area in the PRS.
2. Percentages are approximate and should be in increments of no less than 5%.
3. Faculty activities are not restricted by the areas and proportions listed in the PRS.
4. Each college should determine its own procedure for assigning proportion of effort to teaching so that faculty within the college are operating under the same system.
5. Proportion of effort in institutional service should not be zero for TTE faculty.

Review and Revision of the PRS

Current state

As already noted, the PRS serves as a general job description that is designed to manage the expectations of the university and the faculty member. Faculty roles change with time and the PRS should reflect this. This is explicitly stated in FH 5.1.1.5:

...The statement will be subject to regular review by the faculty member and his/her chair, and allow for flexibility in responsibilities over time and for the changing nature of faculty appointments. The statement should allow both faculty members and their administrative and peer evaluators to understand the basis of the academic appointment and to place that into context with the promotion and tenure criteria. The descriptions should be brief but may include detail important to the department and/or faculty member. The position responsibility statement cannot be changed unilaterally by either the chair or the faculty member. The governance document in each department may specify the procedure by which a position responsibility statement can be changed.

The subsequent wording in FH 5.1.1.5 refers only to TTE faculty. It states that for new untenured faculty, the PRS will be in place until the three year review and will probably remain unchanged through promotion and tenure, but that changes may be negotiated when tenure is granted. It also mandates that tenured faculty will review their PRS with their unit heads at least every five years.

As noted earlier, the role of NTE faculty in determining the original PRS is unclear in the Handbook, but NTE faculty members have the opportunity to discuss their PRS with the unit chair at time of appointment renewal as detailed in the following statement (FH 5.4.1.2):

At each renewal time, the Position Responsibility Statement may change, depending on the continuing and/or changing needs of the unit. The PRS will be discussed and disagreements negotiated at that time as a part of the renewal agreement. The agreed upon PRS will be signed by both parties and dated.

Challenges and Recommendations

The Task Force believes that the method by which changes in the PRS are negotiated for TTE faculty is clearly described, as is the mediation procedure to be followed when a disagreement arises. Tenure and promotion criteria should always be considered in revisions of the PRS for TTE assistant professors and associate professors.

The Handbook lacks clarity about review and revision of PRSs for NTE faculty, however. FH 5.4.1.2 specifies discussion and negotiation of disagreements, but the PRS mediation procedure is explicitly limited to TTE faculty. The Task Force believes that this needs to be corrected. If NTE faculty truly have input into their PRSs, then there should be an explicit mediation procedure to be used if negotiation fails. Perhaps the mediation procedure established for TTE faculty also should be available to NTE faculty. If not, then a different procedure should be developed. In either case, NTE faculty who wish to work towards advancement should be able to negotiate for PRSs that will allow them to do so.

Faculty activity in all areas, even those not listed in the PRS, should be recognized as part of the annual performance evaluation, but the PRS should be revised when there is a substantial and long-term change in areas of responsibility and/or proportion of effort. It was noted anecdotally during discussion that the PRS of some faculty had never been updated although their duties had changed substantially. When the Senate updated FH 5.1.1.2 (Annual Performance Evaluations), language was included that the PRS should be reviewed as part of the process. The Task Force endorses this practice; it is during this review that an individual should be encouraged to bring up the possibility of a PRS revision if the individual believes that the current PRS is not a good match. In addition, FH 5.1.1.5 states that PRS documents of tenured faculty should be reviewed at least every 5 years. However, there is no provision for ensuring that these regular reviews occur. The Task Force believes that one is needed.

PRS documents are to be signed and dated by both the faculty member and the unit head, and they remain in force unless changed. The Task Force recommends that a formal review date also be included in each PRS. The review date should correspond with major action reviews. At the time of the major action review, the PRS will be reviewed and either signed and dated unchanged by both parties or it will be revised. For tenure-eligible faculty, the PRS will be

reviewed and signed (or revised) at the third-year review and again at promotion and tenure. For tenured faculty, the PRS will be reviewed and signed (or revised) at promotion or at the time of post-tenure review. For NTE faculty, the PRS will be reviewed and signed (or revised) at each renewal. These formal reviews are in addition to discussion and initiation of changes (if necessary) that should occur during the annual review process.

Key Points

1. The PRS should be aligned with current duties and responsibilities and those duties and responsibilities should take into account promotion and tenure criteria for TTE faculty and advancement criteria for NTE faculty.
2. The PRS should be discussed annually, giving faculty an opportunity to discuss whether a revision is warranted.
3. The PRS should be formally reviewed at each major action review (renewal, promotion, and post-tenure review). The PRS is signed by both parties during formal review even if no changes are made.

Guiding Principles and Collegiality

Current state

Currently, faculty PRSs do not uniformly require a statement about general expectations related to professional behavior and collegiality. The Faculty Handbook (5.2.2.1) states: “In all areas of professional activity, a faculty member is expected to follow the principles of faculty conduct as stated in FH Section 7.1.2”, which is the section titled “Professional Responsibilities.” An excerpt from that section is:

Faculty members do not exploit, harass, or improperly discriminate against colleagues. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas, faculty members show due respect for the opinions of others. They acknowledge academic debt and strive to be objective in their professional judgment of colleagues.

Model PRS templates on the Provost’s web site include a paragraph called “Citizenship & Collegiality” that refers to Chapter 7 of the ISU Faculty Handbook.

The Department of _____ is committed to sustaining a collegial, positive, and productive environment for scholarship, learning, institutional service, and outreach for each individual and for the collective benefit of all. Faculty are expected to conduct themselves in a manner that contributes constructively to the department’s mission and reputation. In addition, faculty are expected to work to maintain a positive workplace that emphasizes respect for the opinions of others and is free from forms of misconduct, as enumerated in Chapter 7 of the ISU Faculty Handbook.

The College of Liberal Arts and Sciences (LAS) approved a policy on Collegiality and Citizenship in 2010 that includes elements of 7.1.2, the paragraph in the PRS on the Provost's web site, and more specific descriptions of what constitutes collegiality. The sentence: "All department faculty members are to follow the principles of the College of Liberal Arts and Science's Collegiality and Citizenship statement" is part of the PRS of many LAS faculty. An examination of sample PRSs available to the task force revealed that selected departments in most colleges have a statement about professional conduct and collegiality in their faculty PRS documents. Some examples are:

- Engineering: "All faculty members are expected to be collegial to their colleagues and maintain the highest standards of integrity and ethics."
- Engineering, Dept. of Mechanical Engineering: "...general responsibilities and expectations of all faculty members in the department include: setting high standards of professional and ethical conduct, and contributing to a diverse, collegial, and respectful environment..."
- Business: "As a member of the faculty in the Department of ..., College of Business, and Iowa State University, you will work to create and maintain a collegial and productive workplace."
- Veterinary Medicine: "All CVM employees have a responsibility to maintain a positive workplace that is free of discrimination and harassment. Collegial interactions with all co-workers in the CVM will be required."
- Library: "Demonstrates personal initiative, leadership, and collegiality."
- Human Sciences: One sample PRS used the Provost's model for a statement on Citizenship & Collegiality.

Challenges and Recommendations

The topic of collegiality and whether or not it should be part of a PRS was discussed on several occasions and differences remain among Task Force members. The following paragraphs attempt to capture that diversity of opinion.

The word "collegiality" can be a hot-button term. It does not mean "congeniality" or agreeableness and if it were to be interpreted in that sense, then simple lack of agreement on the part of a faculty member could result in inappropriate disciplinary action against that faculty member. Another difficulty with collegiality or any expectation of appropriate faculty conduct is how much impact this should have on evaluations if the conduct is not extreme enough to justify action under Chapter 7 of the Faculty Handbook. Collegiality as a criterion for promotion and tenure could be especially problematic. Chapter 5 of the Handbook addresses performance, and specifies the criteria for promotion. Chapter 7 addresses conduct. Including collegiality as a component of evaluation for promotion confuses the situation.

The PRS is a generalized job description, so faculty expectations that are laid out in the Faculty Handbook should not need to be repeated at length in the PRS. However, the majority of the Task Force expressed the belief that professional behavior should be expected of all faculty and that collegiality was an appropriate dimension for evaluation, especially during the annual performance evaluation, and thus for inclusion in the PRS. Collegiality (professional behavior) is an implied condition of employment. Lack of collegiality can poison a workplace environment, negatively influence the effectiveness of teaching, research, and service activities, and be harmful to many.

The word “collegiality” currently does not exist in the Faculty Handbook, but University Counsel Paul Tanaka noted that it was implied in section 7.1.2 without using the word. The majority of the Task Force recommends that “collegiality” should be explicitly included in the Faculty Handbook as an expectation along with other professional responsibilities, and that it should be part of the PRS. The Provost’s template is a good model for how to include these expectations in the PRS, although individual colleges or departments could develop their own statements or wording, as LAS has done.

Key Point

1. Collegiality (professional behavior) is a faculty responsibility and should be explicitly mentioned in the Handbook and as part of the PRS.

Summary of Key Points

What is a PRS and Who Needs One?

1. A PRS is a tool that describes the range of responsibilities undertaken by a faculty member; it is used in all evaluations.
2. A PRS is a generalized job description rather than a work plan.
3. All faculty (as defined in the Handbook) should have a PRS (although the Senate could explicitly waive the requirement for some appointment types).
4. The PRS is public within the unit.

Development of the PRS

1. PRSs for all TTE faculty and for NTE faculty who are not hired with specific responsibilities should result from negotiation with the unit head and should occur within six weeks of the faculty member's arrival on campus.
2. A generic university-wide template for the PRS (see Appendix A) should be developed as an informational tool. (College-specific templates could serve a similar purpose.)
3. NTE faculty hired with specific responsibilities may be given a PRS with the LOI, but such faculty will have input into their revised PRS at time of renewal.
4. The responsibilities negotiated for untenured but tenure eligible faculty should take into account the tenure criteria for the unit. The responsibilities negotiated for tenured associate professors should take into account the promotion criteria of the unit.

Areas of Responsibility in the PRS

1. Common areas of responsibility to be included in all PRSs are research/creative activity, teaching, and institutional service.
2. The research/creative activity area includes all forms of scholarship including domain-specific scholarship, the scholarship of teaching, the scholarship of extension, and engaged scholarship.
3. Additional areas that may be in a PRS are extension, professional practice/clinical practice, external service/engagement and outreach, and administration.

Use of Percentages as Descriptors

1. Percentages representing approximate proportion of effort over an academic year should be associated with each area in the PRS.
2. Percentages are approximate and should be in increments of no less than 5%.
3. Faculty activities are not restricted by the areas and proportions listed in the PRS.
4. Each college should determine its own procedure for assigning proportion of effort to teaching so that faculty within the college are operating under the same system.
5. Proportion of effort in institutional service should not be zero for TTE faculty.

Review and Revision of the PRS

1. The PRS should be aligned with current duties and responsibilities and those duties and responsibilities should take into account promotion and tenure criteria for TTE faculty and advancement criteria for NTE faculty.
2. The PRS should be discussed annually, giving faculty an opportunity to discuss whether a revision is warranted.
3. The PRS should be formally reviewed at each major action review (renewal, promotion, and post-tenure review). The PRS is signed by both parties during formal review even if no changes are made.

Guiding Principles and Collegiality

1. Collegiality (professional behavior) is a faculty responsibility and should be explicitly mentioned in the Handbook and as part of the PRS.

Appendix A Iowa State University Generic Template for a Faculty Position Responsibility Statement with Explanatory Comments

Position Responsibility Statement

Department of _____ College of _____

Faculty: _____ **Title:** _____

¹This Position Responsibility Statement (PRS) is a generalized job description used as part of all evaluations. It describes different areas of responsibility, including the proportion of effort that is expected in each area, and it makes explicit an expectation of collegial professional behavior.

²Areas of Responsibility with Proportions of Effort

³[Common Areas -- these three areas are in all PRSs, even if the proportion of effort is 0%]

Teaching (##%)

[Expectations related to teaching and advising will be listed here.]

Research/Creative Activity (##%)

[Expectations for the faculty member's research/creative activity will be listed here.]

Institutional Service (##%)

[Expectations for institutional service in accordance with the needs of the individual's department, college and the university will be listed here]

⁴[Additional Areas of Responsibility--these areas are included as appropriate]

Extension (##%)

Professional Practice/Clinical Practice (##%)

External Service/ Engagement and Outreach (##%)

Administration (formal) (##%)

⁵Citizenship & Collegiality

The Department of _____ is committed to sustaining a collegial, positive, and productive working environment for each individual and for the collective benefit of all. Professional behavior (as described in Faculty Handbook Section 7.1.2) is an expectation of all faculty.

⁶Agreed to by:

[signed after the PRS is developed] _____ Date _____
Faculty Member

[signed after the PRS is developed] _____ Date _____
⁷Unit head (e.g., Chair)

⁸This PRS must be formally renewed by [month/year] as part of [formal action].

Explanatory Comments

¹The Iowa State University Faculty Handbook requires that every faculty member have a Position Responsibility Statement, or PRS, that is the basis of all faculty evaluations, both annual performance reviews and advancement/promotion/tenure/post-tenure reviews. The PRS is a general job description that will change as faculty duties change. For tenured and tenure-eligible faculty, it is developed as a result of negotiation between the faculty member and the chair/unit head. The negotiation is based on the job advertisement and on the department's expectations for faculty at the hiring rank. The PRS should be developed **within 6 weeks** of the faculty member's arrival on campus. A copy signed by both parties is placed in the faculty member's personnel record. The PRS for non-tenure eligible faculty is also negotiated except for those faculty initially hired with specific responsibilities outlined in the LOI. This document explains the areas of responsibility that must be and that might be included in a PRS. It provides guidance to the faculty member and the chair about what the negotiated PRS might look like.

²**Areas of Responsibility with Proportions of Effort**

The PRS template is shown with separate sections for each area. A narrative format combining the areas can also be used, but percentages are still required. The percentages represent the proportion of effort that is to be devoted to an area of responsibility. Effort indicators are approximate, serving only as guidelines, because effort required for any area may vary substantially over shorter periods of time (e.g., weeks). Percentages should be in increments of no less than 5% and should represent proportion of effort over the academic year.

³**Common Areas of Responsibility** [*The following three areas are in all PRSs, even if the proportion of effort is 0%*]

Teaching - Expectations related to teaching and advising will be listed here. Expectations for TTE faculty will be listed in broader terms rather than specific courses. For example: "Responsibilities for teaching include one graduate course, one undergraduate course, and shared responsibility for the introductory lab course. The minimum teaching responsibilities will be [N] formal courses per year [or N credit hours per year]." Or "Responsibilities include teaching 12 credits per academic year made up of at least one graduate course, one entry level course, and others as assigned by the department chair. Advising of graduate and undergraduate students is also expected." Expectations for NTE hired to teach specific courses or perform specific curricular-related activities may have more specific descriptions tied to the Letter of Intent.

Research/Creative Activity - Scholarship varies among disciplines; it is defined to include an original product that is disseminated widely and is peer reviewed. It includes research, discovery, and other creative activities. Expectations for the faculty member's scholarship will be stated here. If specific activities, such as grant submission, are expected, they should be noted. An example for a research-focused hire might be "You are expected to maintain an active research program in _____ that leads to data-based, refereed publications in appropriate scholarly journals [note: this could reference an available list of journals if one is maintained by the unit]. In addition, you are expected to pursue external funding to support your research program and graduate students."

Institutional Service - This area will describe the expectations for institutional service in accordance with the needs of the individual's department, college and the university. For those with low proportion of effort in this area, a simple statement like "Your institutional service activities may include departmental, college, and university committees." is acceptable. When a faculty member assumes a major institutional service role (e.g., the faculty member becomes Associate Chair and/or Director of Graduate Education [DOGE] in a department, is elected to a leadership position in the Faculty Senate, or is appointed to chair a major University Committee such as the Institutional Review Board), the faculty member's PRS should acknowledge this responsibility. Institutional Service is required for promotion and tenure and is expected for tenured professors.

⁴**Additional Areas of Responsibility** *[included only when appropriate]*

Extension - Extension is an integral component of the land-grant mission of the University. This category recognizes appointments with explicit expectations in the area of extension.

Professional Practice/Clinical Practice - This area describes faculty duties and responsibilities related to clinical or similar professional activities, such as veterinary clinical practice, librarianship, or design.

External Service/Engagement and Outreach - This dual area recognizes two kinds of activity that are connected to the individual's area of expertise but that have a focus external to the university. It includes service to funding agencies and to professional organizations/societies/agencies. Reviewing, editing, serving as an officer are other examples. Engagement and outreach activities that leverage the professional expertise of the individual should also be included here. Service activities that do not relate to the professional expertise of the individual should not be included here.

Administration (formal) - This category is for formal administrative appointments such as department chairs and center directors, when appropriate. It is recognized that most DOGE or associate chair appointments are considered institutional service.

⁵**Citizenship & Collegiality**

The Faculty Handbook section on Professional Responsibilities is referenced in the PRS to emphasize the expectation of collegiality as a condition of employment. "Faculty members do not exploit, harass, or improperly discriminate against colleagues. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas, faculty members show due respect for the opinions of others." [excerpt from FH 7.2.1]

⁶The agreed upon PRS can be altered and adjusted by mutual consent of the faculty member and unit head. Because all faculty evaluations are done in reference to the PRS, whenever there is a change in major responsibilities, the PRS should be changed to reflect the change in responsibility. The change can be initiated by the faculty member or by the chair, but no change

can be made without agreement by both parties. Each department's governance document states the procedure to follow should there be a dispute regarding the content of the PRS.

⁷A faculty member has only one PRS. Some faculty hold appointment in two departments. For faculty with joint appointments, the PRS will be signed by the chairs of both departments. The descriptions of the areas of responsibility and proportions of effort should clarify the expectations in each department. One department will be designated as primary. For TTE faculty, this is the department in which tenure will reside. Faculty without joint appointments may have responsibilities in a second department or faculty may have responsibilities in a program. Such responsibilities should be part of the PRS, but there is no requirement for the signature of the head of the second unit.

⁸To ensure that formal review of this document occurs in a timely manner, a formal PRS review will be conducted at the time of each major faculty evaluation event (e.g., contract renewal for NTE faculty, 3rd year review for tenure-eligible faculty, promotion review and post-tenure review for tenured faculty). The next formal PRS review and its date are indicated on the PRS itself. If no change in the PRS is needed at that time, the signature page is revised to reflect the date of current review as well as the date of the next formal review, and the document is signed again by both/all parties.

Appendix B

Recommended Changes to the Faculty Handbook

The Task Force found the placement of the PRS definition (FH 5.1.1.5) in the middle of FH 5.1 (Evaluation and Review) to be confusing. It is listed at the same organization level as specific types of review (annual performance review FH 5.1.1.2, probationary review FH 5.1.1.3, and promotion and tenure review FH 5.1.1.4) that are to use the PRS and it comes after the descriptions of those reviews. At the very least, it should be 5.1.1.1. However, because all faculty should have a PRS and that PRS should be developed shortly after employment begins, the Task Force believes that it is more logical to define the PRS in Chapter 3 of the Handbook (Appointment Policies and Procedures), perhaps as 3.1 (Appointment Policies) or 3.2 (Appointment Procedures). The following suggested language is based on existing language but also implements the recommendations made in the Task Force Report. It would replace current FH 5.1.1.5.

X.1. The Position Responsibility Statement

X.1.1 General Description

A position responsibility statement (PRS) is a tool that describes the range of responsibilities undertaken by a faculty member. The PRS is written and approved by both the faculty member and the head of the unit(s) to which the faculty member is appointed. Because responsibilities and duties change throughout faculty careers, the PRS is reviewed and updated as necessary at intervals appropriate to the stages of faculty career development. The PRS therefore allows for a flexible and individualized system of faculty review. The PRS does not prevent or constrain justifiable changes to or developments within any area of a faculty member's responsibilities. The PRS description itself should be general and only include the significant responsibilities of the faculty member that are important in evaluating faculty accomplishments, especially for the promotion and tenure process for tenure-eligible/tenured faculty or for advancement for non-tenure-eligible (NTE) faculty. With respect to areas of research or creative activity, the PRS is neither a checklist of expectations nor a constraint on the faculty member's freedom to choose areas and methods of inquiry appropriate to the area of appointment. The PRS shall not violate the faculty member's academic freedom in teaching, in the selection of topics or methods of research/creative activity, or in extension/professional practice. Unless otherwise required, the PRS shall be understood to be a public document, because it outlines the expectations for faculty members in carrying out their duties in accordance with Iowa State University's public land-grant university mission.

X.1.1.1. Appointments requiring a PRS

All faculty members with appointments governed by this handbook (See FH section 3.3, Types of Appointments) shall have a PRS. University administrators generally have faculty rank, and if they have significant responsibilities (especially research/creative activity or teaching) carried out within a unit(s) of the university, they shall have a PRS appropriate to their duties in that

unit(s). Department chairs will have a PRS, written by the department chair and the dean, describing the administrative and other departmental responsibilities of the position.

X.1.1.2 Intended Use of the PRS

As noted in Chapter 5 (Evaluation and Review), the PRS is a tool referenced during all forms of faculty review. The PRS is particularly significant within the promotion and tenure process of tenure-eligible/tenured faculty or for advancement of non-tenure-eligible faculty. The statement should allow both faculty members and their administrative and peer evaluators to understand the basis of the academic appointment and to place that into context with the promotion and tenure criteria and advancement criteria established by the department. The statement should be brief but may include detail important to the department and/or faculty member.

X.1.2. The Form of the PRS

X.1.2.1. General Template

Every PRS should be a brief document that includes the following information:

- Name of faculty member and faculty salary base
- Title
- Primary department (tenure home)
- Secondary department (if any)
- Description of areas of responsibility and proportions of effort
- Further statements (as determined by colleges or units)
- Signatures of faculty member and unit head(s)
- Signature date
- Formal review date

X.1.2.1.1. College-level Customization of the PRS

Colleges may choose to include additional statements or material that clarifies the nature of faculty responsibilities in the PRS, and should follow the general principles elaborated here.

X.1.2.2. Areas of Responsibility and Proportions of Effort

All faculty have a varying range of duties and responsibilities within areas described in this section, and there are differences across faculty in the effort expected in each area. The PRS should generally describe the responsibilities and expected proportions of effort tailored for an individual faculty member.

X.1.2.2.1 Proportion of Effort

The PRS, while remaining flexible and individualized, should guide both faculty and their evaluators in understanding how faculty should balance their effort among their areas of

responsibility. Expected proportion of effort for each area of responsibility included on a PRS should be expressed as a percentage in the PRS. These proportions of effort should not be construed as a strict mandate upon faculty members to spend their time on specific tasks. The percentages should refer to effort over longer periods of time (generally on an annualized basis) and should not be divided into fractions smaller than 5%. The proportions of effort should be compatible with expectations for promotion and tenure or advancement. Evaluation procedures should relate clearly to the proportions of effort as expressed in the PRS. Procedures established by departments/units may or may not have quantitative aspects derived from the expression of proportions of effort as percentages.

X.1.2.2.2. Description of Areas of Responsibility

Each PRS should include a brief narrative description that elaborates the range of responsibilities in an area. The description may be broken out separately by the areas listed with proportion of effort, or the description may be a single narrative.

X.1.2.2.3. Common areas

These are areas that are common to the responsibilities of the large majority of faculty. They should be included in every PRS even if the proportion of effort is zero.

X.1.2.2.3.1. Teaching

Teaching is central to the university's land-grant mission to disseminate knowledge, and many faculty carry significant teaching responsibilities. The PRS should have a brief and general description of the faculty member's teaching expertise and expected contribution. Generally, tenured and tenure-track faculty are expected to have a wide enough range of teaching expertise that the PRS will not indicate the teaching of specific courses. NTE faculty with teaching responsibilities are generally employed to cover more specific teaching needs, and may therefore have a PRS that indicates specific courses or a specific curriculum in which teaching will be done. Advising responsibilities should be included in this area.

X.1.2.2.3.2 Research/Creative Activity

Expectations for the research/creative activity of the faculty member should be stated in the context of the general areas of the faculty member's primary areas of expertise, rather than in overly specific terms. Expectations related to scholarship, including the scholarship of teaching and learning as well as engaged scholarship associated with any area of responsibility should be listed under this area. For NTE faculty with research responsibilities related to specific research activities, this may be indicated in the PRS. The description of research/creative activity should be general. It should not be construed as excluding the development of new areas of interest and inquiry, nor should the inclusion of areas of interest/activity in this description be construed to require that a faculty member demonstrate productivity in all listed areas of interest in every period of review.

X. 1.2.2.3.3. Institutional Service

Institutional service loads will vary widely among faculty. All tenured and tenure-track faculty are expected to undertake institutional service. NTE faculty will generally have lower service expectations. When faculty take on major service responsibilities (e.g., those with a title granted by an academic unit or the Faculty Senate), the faculty member should consult with the chair/unit head and the PRS should be modified to reflect these responsibilities.

X.1.2.2.4. Additional areas

These are areas that will only be included in a faculty member's PRS when appropriate.

X. 1.2.2.4.1. Extension

Extension is central to the university's land-grant mission to disseminate knowledge, and some faculty carry significant extension responsibilities. This area recognizes appointments with explicit expectations in the area of extension.

X. 1.2.2.4.2. Professional/Clinical Practice

This category describes faculty duties and responsibilities related to clinical or similar professional activities, such as veterinary clinical practice, librarianship, or design.

X. 1.2.2.4.3. External Service/Engagement and Outreach.

This dual area recognizes two kinds of activity that are connected to the individual's area of expertise but have a focus external to the university. External service (e.g., service to professional organizations, societies, governmental agencies, or other institutions) should be included here. External service also incorporates service to funding agencies, reviewing, editing a journal, or serving as an officer of a professional society. Engagement and outreach activities related to professional expertise of the individual should also be included here. Service activities that do not relate to the professional expertise of the individual should not be included here.

X. 1.2.2.4.4. Administration (formal)

This area is for formal administrative appointments such as department chairs and center directors, when appropriate. These appointments are generally made at the discretion of deans or other high-level administrators, and the PRS is negotiated with the appropriate dean or administrator. It is recognized that most Associate Chair and/or Director of Graduate Education (DOGE) appointments are considered institutional service.

X.1.2.3. Faculty Conduct, Collegiality, and the PRS

Faculty members are expected to maintain a positive work environment that is free of coercion, misconduct, or harassment. Chapter 7 of the Faculty Handbook describes the procedures for adjudicating disputes about faculty conduct. Section 7.1.2 describes the "special responsibilities"

that faculty have in the performance of their duties, and that faculty members are expected to be guided by the “best scholarly and ethical standards” in the performance of their duties. Some colleges and units have chosen to elaborate these expectations through statements about “collegiality” in college governance documents or PRS language. The PRS should contain a brief statement making faculty aware of the responsibilities they carry under FH 7, and referring to any statements about collegiality that have been approved by their colleges or units.

X.1.3. Procedures for Establishment and Maintenance of the PRS

X.1.3.1 Procedures at Initial Appointment

Upon initial appointment, the chair or appropriate head of unit will provide the newly appointed faculty member with the letter of intent and the PRS template appropriate to the unit. Within the six weeks of the first day of employment, the chair and the new faculty member should agree on a PRS that will be based on the job advertisement. Tenured or tenure-track faculty, whose responsibilities generally include teaching, research/creative activity, and institutional service, are expected to have substantive discussions with their chair in establishing their PRS. NTE faculty, whose responsibilities are generally more closely focused on teaching, clinical practice, extension, or support of large-scale research projects, will generally have a PRS with a narrower scope of duties. Upon initial appointment, most lecturers, clinicians, and NTE research faculty will sign a PRS indicating the specific duties for which they are hired. In all cases, the PRS will be signed and dated by both parties. The signed and dated copy will be on file in the faculty member's personnel file and in the dean's office.

X.1.3.1.1. Joint Appointments

In the case of faculty members who have appointments in two departments, a position responsibility statement will be written by the faculty member and the two chairs and signed and dated by all three parties. Each department and college involved will receive copies of those statements. For tenured and tenure-eligible faculty, the PRS will specify the primary department in which the faculty member's tenure resides or in which a tenure decision will be made. Because evaluations of faculty initiate in their primary department, changes and updates to the PRS will initiate in that primary department. Faculty members with joint appointments are expected to communicate with the chair/head in their secondary department/unit to maintain a PRS signed by all three parties.

X.1.3.2 Review and Update of PRS

The PRS cannot be changed unilaterally by either the chair or the faculty member. The PRS should not be rewritten unless there is the expectation of a substantive change in the faculty member's responsibilities. These include, but are not limited to, changes in expected proportion of effort, addition/deletion of areas of responsibility, changes in focus of research/creative activity or teaching). All faculty undergo annual review and meet with their chair as part of this process (See FH 5.1.1.2). Discussion of the PRS and initiation of changes (if necessary) may take place at any time but should be part of the annual review process.

X.1.3.2.1. Formal Review of the PRS

A PRS is signed and dated by both the faculty member and the unit head, and it remains in effect unless changed, however, the PRS does include a formal review date. The review date should correspond with major action reviews for tenured and tenure-track faculty (post-tenure review, promotion and tenure review, preliminary review) and with renewal for NTE faculty. During the formal review, even if no changes are made, the PRS shall be updated with the new formal review date and signed and dated by both parties. A copy of the updated PRS and signatures will be placed in the faculty member's personnel file. Departments/units may establish a period of PRS review that is shorter than that between the major action reviews or reappointments described here, but this is not mandated.

X.1.3.3. Procedure for Mediating PRS disputes

(The existing language found in 5.1.1.5.1 should be moved here along with new language for disputes involving NTE faculty.)

Appendix C

Sections from the Faculty Handbook Referenced in this Report

Sections of the Faculty Handbook are referenced throughout the Task Force report and some are excerpted. Because the reader may want to see the referenced information in context, the complete subsection from to which a reference was made or from which an excerpt was taken are copied below. In some cases for long subsections, portions of text that are unrelated to the PRS are deleted. Such deletions are noted as follows: [some text deleted].

1. The Faculty Handbook

The *Faculty Handbook* is the official statement of Iowa State University policy governing the rights, responsibilities, and performance of faculty. This handbook contains information on state and federal policies, Board of Regent's policies, administrative policies, and policies approved by the Faculty Senate on behalf of the faculty. This handbook is updated at least annually and more frequently as needed to record policy changes. The Senior Vice President and Provost's staff and the Faculty Senate Handbook Committee share responsibility for revisions to this document, and they should be contacted for information about recent changes that are not yet included.

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2.4 The Faculty

2.4.1 The General Faculty

The General Faculty is the legislative body of the university. It consists of all tenured and tenure-eligible and non-tenure-eligible faculty members as well as all major administrative officers of the university who carry faculty appointments, except as provided in [FH Section 3.3.3.1](#). The General Faculty is responsible for educational policies and procedures of the university, including the following:

- admission requirements
- graduation requirements
- curriculum and course revisions
- new degree programs
- grading procedures
- candidate recommendations for diplomas, degrees, and certificates to be conferred by the president

Major changes in educational programs and policies approved by the General Faculty must be presented by the president to the Board of Regents for final approval.

The General Faculty is responsible to, and is chaired by, the university president. While the Faculty Senate was created by the General Faculty to conduct its business, meetings of the General Faculty may be held as needed at the call of the president. If the General Faculty dissolves the Faculty Senate, meetings of the General Faculty would then be held at the end of each semester and as needed at the call of the president. The documents of the General Faculty, including minutes of its meetings and reports of major committees, are on file in the [University Archives, ISU Library](#).

Approved by the Faculty Senate on May 4, 2010 and by the president and provost on May 24, 2010

2.4.2 The Faculty Senate

The Faculty Senate was established by the General Faculty to act as its representative body and to conduct the business of the General Faculty.

The Constitution of the Iowa State University Faculty Senate, as approved by the Board of Regents, and the *Bylaws* of the Faculty Senate are maintained on the [Faculty Senate web site](#). Also listed are the Faculty Senate Councils and Committees and their current membership . In addition, the official documents of the Faculty Senate, including minutes of its meetings, agendas, calendars, agenda documents, etc., and all corresponding documents of Faculty Senate councils and committees are on file in the Faculty Senate Office.

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3.2 Appointment Procedures

The chair initiates a proposal for a new appointment after consultation with the members of the department. Upon receipt of approval from the dean(s) and the senior vice president and provost, the department follows university search procedures <http://policy.iastate.edu/policy/opensearch/> and <http://policy.iastate.edu/policy/aa/>

When a candidate has been identified for the appointment, the chair specifies the conditions of appointment on a form called the Letter of Intent and in a letter making the offer of appointment including the position responsibility statement.

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

Subsequently, the person to whom the appointment is offered signs the form, indicating acceptance of the appointment and the specified conditions.

3.3 Types of Appointments

Faculty Appointments are made as tenured/tenure-eligible (with rank of assistant professor, associate professor, or professor) or as non-tenure-eligible (e.g. lecturer, clinician, senior lecturer, senior clinician, instructor, adjunct, affiliate, collaborator or visiting faculty). The type of appointment influences such considerations as fringe benefits, tenure status, and renewal procedures.

3.3.1 Tenured and Tenure-Eligible Appointments

Tenured and tenure-eligible appointments are regularly budgeted positions at any rank and account for most faculty appointments. Tenure-eligible faculty are appointed for a specified period of time (term appointment), and notice of intent not to renew shall be given according to the deadlines specified in the [FH Section 3.4](#). A person on a tenure-eligible appointment for a specified term is considered to be in a probationary period of service leading to tenure. The length of this period is specified at the time of initial appointment, but it may not exceed seven years, except in cases of part-time tenure-eligible appointments and in cases of the approved extension of the tenure-clock. Recruitment for tenured and tenure-eligible faculty must follow university procedures.

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3.3.2 Non-Tenure-Eligible Appointments

(For evaluation, renewal, and advancement policies of non-tenure-eligible appointments, [see FH Section 5.4](#))

Faculty Senate approved this policy on December 11, 2001 and the university Administration approved this policy in April of 2002. Revisions were approved by the Faculty Senate and the Administration in 2003. Further revisions approved by the Faculty Senate on January 20, 2009, and by the provost and president January 27, 2009.

3.3.2.1 Appointment Policies for Lecturer, Senior Lecturer, Clinician, Senior Clinician, and Adjunct appointments

Non-tenure-eligible faculty positions are term appointments eligible for renewal based upon the quality of performance and the continuing need of the unit. They are subject to approval by the dean and senior vice president and provost. Individuals appointed to these positions will be evaluated for compensation and advancement using established criteria appropriate to their positions. Evaluations for renewal of appointment will be conducted by an appropriate faculty committee and recommended by the department chair.

The types of non-tenure-eligible appointments include the following:

- Lecturer and Clinician¹: a limited term, full- or part-time renewable appointment of from one semester to three years.
- Senior Lecturer and Senior Clinician¹: a limited term, full- or part-time renewable appointment not to exceed five years, requiring a notice of one year of intent not to renew. To be eligible for appointment as Senior Lecturer or Senior Clinician, the individual shall have served as a Lecturer or Clinician or its equivalent for a minimum of six years or completed 12 semester FTEs of employment.
- Adjunct appointment: a limited-term, full- or part-time renewable appointment with possible titles as adjunct professor, adjunct associate professor, adjunct assistant professor, and adjunct instructor². The Adjunct title signifies that the person, because of special personal or departmental circumstances of a clearly unusual nature or character, is neither tenured nor tenure-eligible. Adjunct appointments are not to exceed five years for

each appointment, requiring a notice of one year of intent not to renew except when the appointment is for a year or less.

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

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3.3.2.2 Appointment Procedures for Lecturer, Senior Lecturer, Clinician, Senior Clinician, and Adjunct appointments

In addition to the above principles established in conjunction with the Faculty Senate, the following practices and procedures shall apply:³

- Appointments as non-tenure eligible faculty are made using established university search processes.
- Appointment of Senior Lecturers and Senior Clinicians or adjunct appointments must be approved by the dean and the senior vice president and provost. Request for approval should include a summary of the review results and a statement regarding the continuing need of the unit.
- Appointments may be advertised and filled as either full- or part-time.
- Standard appointment is for nine months (B-base).
- Ordinarily a graduate or professional degree is required for appointment.
- Appointment to the Graduate Faculty for non-tenure eligible individuals is governed by Graduate College policy.
- Faculty members who have been denied tenure in a mandatory year review at Iowa State University are not eligible for appointment as non-tenure-eligible faculty.

³ For P&S employees, notice of intent not to renew is governed by the P&S appointment. Termination of the P&S appointment will also mean termination of the non-tenure-eligible appointment.

3.3.2.3 Adjunct Faculty Employed Elsewhere

Adjunct titles may be used for persons who are employed elsewhere but have special or unique expertise to take on faculty responsibility at Iowa State. This would include persons currently funded or employed in businesses, government, and other organizations without direct connection to ISU. These appointments are normally part time, made to recognize the appropriate teaching, extension/professional practice, and/or research responsibilities of these individuals. Any temporary full-time appointments of these individuals would be for a special need and usually last no longer than one-year. Adjunct faculty should be individuals holding a terminal degree in an appropriate field. Under extraordinary circumstances, individuals without the terminal degree but with national or international reputations in their field might be considered for appointment in an adjunct position.

Individuals who are faculty members at another institution should be appointed as Visiting Professors ([see FH Section 3.3.4](#)).

3.3.2.4 Adjunct Faculty Employed by the University

In the University's quest to hire and retain excellent faculty, including dual-career couples, as well as to carve out new areas of academic expertise, and attract experts on extra mural grants and contracts, certain individuals may be hired in full time positions as adjunct faculty. These should be persons with a terminal degree in their field. They will likely function as faculty with significant research or extension/professional practice responsibilities, usually funded by external grants and contracts. Whenever possible, these individuals when employed by the department should be considered for tenure-eligible positions. Adjunct faculty are not tenure-eligible faculty and have term appointments as specified in [FH Section 3.3.2.1](#).

[some text not copied]

3.3.2.5 Professional and Scientific (P&S) Non-Tenure-Eligible Appointments

A person employed in a Professional & Scientific (P&S) position may also be appointed to non-tenure-eligible positions by an academic department to carry out faculty responsibilities for that department. Individuals holding a full or part-time P&S position may have no more than 30% of their total work responsibilities in teaching.

A broad range of P&S employees are granted faculty rank so that they can conduct faculty duties, most often teaching. Previously these individuals were appointed as Adjunct Instructors, Adjunct Assistant Professors, Adjunct Associate Professors, and Adjunct Professors. The specific title reflected the employee's academic credentials and the title was usually for a term appointment.

The following system is now employed for P&S employees assuming faculty responsibility.

When the faculty work undertaken is similar to that of a department's Lecturers and Clinicians, the title of Lecturer and Clinician (or Senior Lecturer and Senior Clinician) is appropriate. These titles should only be given to employees with an advanced degree in an appropriate field. These titles can be given for terms not to exceed five years, when a department foresees a continuing need for the P&S employee's service in faculty roles.

When the faculty work undertaken is substantially different from the work of department Clinicians and Lecturers, which often occurs when the work is focused on research or extension/professional practice, the P&S employee may be given the title of Adjunct Assistant Professor, Adjunct Associate Professor, or Adjunct Professor. The qualifications for these titles should be similar to those required to hire at the Assistant, Associate or Full Professorial ranks under the tenure-eligible system. These titles should only be given to employees with the terminal degree in the field. The awarding of these titles must be approved by the department, the college, and the senior vice president and provost.

[some text not copied]

3.3.3 Non-Tenure-Eligible Research (NTER) Appointments

Funding for these positions shall be external to the university and are not a part of the university base budget. ([See FH Section 4.1.3](#))

Approved by the Faculty Senate on February 12, 2008, by the president and provost on February 15, 2008 and by the Board of Regents on May 1, 2008.

3.3.3.1 Appointment Policies for Non-Tenure-Eligible Research Appointments

Research professors are persons holding the rank of research assistant professor, research associate professor, and research professor. Research professors are employees of the university. They are subject to appointment, renewal, advancement, termination, and conduct consistent with university policies and procedures, and the special conditions outlined herein. All positions shall be non-tenure-eligible renewable term appointments not to exceed five years in any one contract period. These appointments shall be approved at the department, collegiate and provost levels. Qualifications, standards and procedures for ranks shall be the same as for tenured and tenure-eligible faculty with commensurate titles. Each department and college hiring NTER faculty shall include provisions defining NTER positions, search and appointment processes, and review, renewal and advancement procedures in its governance documents. Persons holding this title are not members of the General Faculty, may not hold senate positions, nor represent the faculty on collegiate or university committees. Departments will decide departmental rights and responsibilities.

3.3.3.2 Appointment Procedures for Non-Tenure-Eligible Research Appointments

Departments intending to retain NTER faculty shall develop procedures for hiring research professors. Tenured and/or tenure-eligible faculty shall be involved in the search process, review of applications and credentials, final recommendations for hiring, and determination of rank consistent with that department's processes for hiring tenure-eligible faculty. Similar tenured and tenure-eligible faculty involvement needs to be followed for candidates holding other types of appointments at ISU seeking to convert to a research professor position.

1. Research professors shall have a departmental home and a PRS. In the case of joint appointments, at least 51 percent of the appointment shall be in the home department.
2. Persons holding NTER positions shall have a PRS stipulating not less than 90 percent time commitment of the appointment to research. Up to a maximum of 10 percent time commitment may be assigned for serving on graduate committees and/or leading research related seminars. As these are research (not teaching) appointments, funding for the incidental teaching time-share shall be from external funds.

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3.3.4 Continuous Adjunct Appointments

The title continuous adjunct was employed in the past to extend certain adjunct appointments beyond seven years and subject to termination only for adequate cause ([FH Section 7.2](#)), elimination of academic programs ([FH Section 3.4.2.2](#)) or financial exigency ([FH Section 3.4.2.3](#)), lack of need for the role the person has been playing in the department, significant change in the nature of that role, or other circumstances related to the nature of the position within the department. No new appointments may be made using this title.

Salaries for continuous adjunct faculty should reflect equity with other faculty making similarly valuable contributions.

Faculty Senate Resolution 96-12 (approved March, 1997); revision approved by Faculty Senate (May 4, 2010); by provost and president (May 24, 2010).

3.3.5 Visiting Appointments

Visiting Appointments are ordinarily intended to provide special input into the teaching or research program of the department. A visitor is usually a member of the faculty of another institution and is appointed at the rank held at that institution. A visitor may, however, also come from business, industry, or government, in which case the appointment is at a rank consistent with the individual's professional experience. A visiting appointment is usually for one academic year, but may be for a shorter period of time. It is not subject to renewal, so no special notification of intent not to renew is necessary. The person is not considered to be tenured at Iowa State, nor is the visiting appointment considered to be service in a probationary period leading to tenure since renewal is not contemplated. If, however, the individual is subsequently given a regular appointment following an open recruitment process, continuous time up to one year served in a visiting status may be credited toward completion of the probationary period. Since visiting appointments are not renewable, the university's affirmative action procedures do not apply and the position need not be advertised. Visitors appointed for at least nine months may, at their option, participate in the university's benefits program.

3.3.6 Collaborators

Collaborators are persons not employed by the university who are appointed to the faculty with the understanding that they will receive no remuneration for services rendered to the university. Typically they are persons whose special expertise is deemed useful to the university in connection with a particular teaching or research program. A collaborator appointment may be made at any academic rank and remains in effect as long as it is mutually agreeable to both the department and the individual. A collaborator is not tenured, does not serve a probationary period leading toward tenure, and does not participate in the university's benefits program.

3.3.7 Affiliates

Affiliates are persons appointed to the faculty, without financial obligation on the part of the university, to carry out scholarly activities from which the individual as well as the department and the university will benefit. Faculty rank will reflect scholarly qualifications equivalent to those of similar rank in the department. Unlike collaborators, affiliates are not employed on a regular basis outside the university. Since affiliates are not recruited following university affirmative action procedures, they may not be assigned duties or responsibilities - such as teaching courses or providing research support for other faculty or staff - that would ordinarily be carried out by a person in a faculty or P&S position. If a department desires to assign such responsibilities to a person on an affiliate appointment, that person's appointment status may be converted to an appropriate status by following the university's procedure for filling a faculty or P&S position.

Appointments may be made for one to three years and may be renewed. The conditions of the appointment, including the extent to which the department will provide support services for the

individual, are stated in a written agreement signed by both parties at the time of the appointment. If a person on an affiliate appointment obtains financial support from a grant or contract for which he or she is the principal investigator, he or she is paid through the university's payroll system and may participate in the university's benefits programs, provided that all salary and benefit costs are supported by the affiliate's grant or contract. An affiliate is not tenured, and time spent in affiliate status is not considered to be service in a probationary period leading toward tenure. Persons on affiliate appointments are, however, subject to university and faculty policies.

3.3.8 Joint Academic Appointments

A faculty member may hold an appointment in more than one academic department. Initiation of such an appointment - which may be made either coincidental with, or subsequent to, the individual's original appointment - requires a Letter of Intent signed by the chairs of both departments and the dean or deans of the college(s) involved and the senior vice president and provost. In approving the appointment, the second department should stipulate in writing the role the faculty member will play in that department, including the person's rights with respect to involvement in the governance of the department. One of the departments is designated as the individual's primary department, which is considered to be the faculty member's home department for purposes of evaluation, review and initiating personnel actions.

Recommendations for promotion and tenure are initiated and submitted by the faculty member's primary department, with the advice of the secondary department. Ordinarily, the faculty member's tenure is assumed to reside in the primary department only. Joint appointments may involve joint budgeting, but the primary department may also fund the faculty member's entire salary. In the latter case, the appointment in the secondary department is sometimes referred to as a courtesy appointment. The Position Responsibility Statement should clarify the expectations in each department.

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4.1 Salary Policies and Procedures

Faculty salaries are determined annually on a merit basis and reflect the annual review of faculty performance based on position responsibilities, market factors, and equity considerations. Within the limits of budgetary resources, every effort is made to maintain faculty salaries at a level competitive with those of similar universities throughout the country. Because Iowa State University is a public institution, the salaries of all employees are a matter of public record.

The general procedure for initiating salary recommendations begins with the chair of a department or with persons in-charge of the individual's work. In some departments, committees assist in the evaluation. The department's salary recommendations are then reviewed by the college dean, the senior vice president and provost, and the president before being submitted to the Board of Regents for final approval. After the Regents' approval, but not before, the department chair shall inform each faculty member in writing of his or her salary increase and the reasons for it.

Faculty members shall be reviewed annually for performance and development on the basis of their position responsibility statement. The evaluation will be based on scholarship and contributions in: (1) teaching, (2) research/creative activities, (3) extension/professional practice, and (4) institutional service.

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5.1.1.2 Annual Performance Evaluations

All faculty members (tenured, tenure-track, non-tenure-eligible, whether fulltime or part-time) will be evaluated annually (January 1 to December 31) for performance appraisal and development on the basis of their position responsibility statement ([FH section 5.1.1.5](#)). The evaluation is based on scholarship and contributions in teaching, research/creative activities, extension/professional practice, and institutional service as indicated in each individual's position responsibility statement. Each faculty member's overall performance shall be evaluated as either satisfactory or unsatisfactory ([FH section 4.1.1](#)). The annual evaluation will serve as a basis for determining merit salary increases.

The annual faculty evaluation process is the responsibility of the department chair. In some departments, the associate/assistant chair or a designated review committee has a role in the evaluation process. Department chairs will follow the annual evaluation process as outlined in their departmental governance document.

The departmental governance document shall specify the process by which the faculty member will provide evidence about his or her performance in the areas of his or her position responsibilities for the year under review. Failure by a faculty member to comply with that process will, except in extenuating circumstances, result in an unsatisfactory annual evaluation. For tenured faculty two consecutive unsatisfactory annual performance evaluations trigger a Post Tenure Review ([FH Section 5.3.5](#)), and for all faculty may also result in a charge of unacceptable performance as defined in the Faculty Conduct Policy ([FH Section 7.2.2.5.1](#)). Evaluation of faculty will be in accordance with their Position Responsibility Statement and their percentage of appointment.

The annual evaluation meeting between chair and faculty member provides an opportunity for an exchange of ideas of benefit to the individual and the department. The annual evaluation meeting includes a review of the faculty member's position responsibility statement and any action plans from the previous post-tenure review or annual performance evaluation.

The annual evaluation process is finalized in a written document that is prepared by the department chair and signed by both chair and faculty member. The report should include an evaluation of each area of the position responsibility statement as well as an overall summary assessment. It is the responsibility of the department chair to ensure that the evaluation is finalized in a timely manner and by the university deadline. The faculty member signs the evaluation as an acknowledgement of receipt, not as an endorsement of the evaluation.

A faculty member who disagrees with the evaluation may submit a written statement of concerns that will be appended to the evaluation. The faculty member may also appeal the evaluation through the established grievance procedures ([FH section 9.1](#)).

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5.1.1.5 Position Responsibility Statement

A position responsibility statement is a tool that allows for a flexible and individualized system of faculty review, particularly within the promotion and tenure process of tenure-eligible/tenured faculty or for advancement of non-tenure-eligible faculty. The position responsibility statement description itself should be general and only include the significant responsibilities of the faculty member that are important in evaluating faculty accomplishments in the promotion and tenure process for tenure-eligible/tenured faculty or for advancement for non-tenure-eligible faculty. The position responsibility statement shall not violate the faculty member's academic freedom in teaching, in the selection of topics or methods of research, or in extension/professional practice.

The statement will be subject to regular review by the faculty member and his/her chair, and allow for flexibility in responsibilities over time and for the changing nature of faculty appointments. The statement should allow both faculty members and their administrative and peer evaluators to understand the basis of the academic appointment and to place that into context with the promotion and tenure criteria. The descriptions should be brief but may include detail important to the department and/or faculty member. The position responsibility statement cannot be changed unilaterally by either the chair or the faculty member. The governance document in each department may specify the procedure by which a position responsibility statement can be changed. The policy for changing the PRS for a non-tenure-eligible faculty member is found in (FH section 5.4.1.2) henceforth, the statements in this section will relate only to tenure-eligible and tenured faculty.

At the time of appointment or within the first semester of the appointment, the chair and the new tenure-eligible/tenured faculty member will agree on a position responsibility statement that should be based on the job advertisement. This document will be signed and dated by both parties. The signed and dated copy will be on file in the faculty member's personnel file and in the dean's office. This PRS should stand for the first three years of appointment. In most cases, this initial statement will remain in effect until the tenure review, unless the new faculty member is already tenured. Any changes in the expectations for the tenure-eligible/tenured faculty member must be made in consultation between the chair and the faculty member.

When tenure is granted, the faculty member and his/her chair will review the details of the position responsibility statement and make any necessary changes.

At least every five years as part of the annual review process, tenured faculty members will re-evaluate their position responsibilities with their chairs. The statement may be reviewed and/or changed more frequently as part of the annual review process, but this is not mandated. Any changes in the statement must be made in consultation between the chair and the tenured faculty member and signed and dated by both parties. The signed and dated copy will be on file in each

faculty member's personnel file and in the dean's office.

In the case of faculty members who have appointments in two departments (or a department and a program), a position responsibility statement will be written by the faculty member and the two chairs and signed and dated by all three parties. Each department and college involved will receive copies of those statements as indicated above.

Department chairs will have a position responsibility statement, written by the department chair and the dean, describing the administrative and other departmental responsibilities of the position.

5.1.1.5.1 Procedure (Mediation Guidelines) to Handle Disagreements Related to the Position Responsibility Statement (for tenure-eligible/tenured faculty only)

When both parties (the tenure-eligible/tenured faculty member and the department chair) agree to the Position Responsibility Statement, it will be signed by both parties and dated. If however one of the parties disagrees with a proposed change to the faculty member's PRS, either party may refer the matter to the PRS Mediation Panel, which will be in place in each department. This panel will consist of one tenured faculty member selected by the faculty member involved in the disagreement and one tenured faculty member selected by the department chair. A third tenured faculty member will also serve, and unless the department decides otherwise, the default policy for obtaining that member will be by faculty election in the department at the beginning of each year¹. The elected faculty member must be in place as soon as possible following passage of this change and no later than the end of the following semester. The faculty members selected by the two parties will be selected at the time of the disagreement between those two parties.

The party referring the matter to the PRS Mediation Panel will submit to the panel the faculty member's existing PRS, the text of the proposed PRS, an explanation of why the change is being sought/or is not acceptable, and the faculty member's curriculum vita. The other party should provide a written explanation of why the proposed change is not acceptable/is being sought. The PRS Mediation Panel will review the materials that have been submitted, meet with both parties, deliberate on the issue, and deliver a written opinion in a timely fashion (within two months) on how the disagreement should be resolved. The faculty member and the department chair should then reconsider the matter to see if an agreement can now be reached based on the panel's recommendation. If an agreement between the faculty member and the department chair does not then emerge within ten working days, the matter will be forwarded by the party disagreeing with the proposed change to the faculty member's college where a mechanism, which will be fair and equitable to both parties (e.g., elected group) will be in place for further consideration and resolution. If the issue is not resolved at this level, the matter will be taken to the dean of the college by the party disagreeing with the proposed change.

During the time of this mediation process, the existing signed and dated Position Responsibility Statement will remain in effect.

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5.2.2 Standards for Promotion and Tenure

5.2.2.1 Introduction

Iowa State University is a public land-grant institution where liberal and professional education is merged with basic and applied research in pursuit of advancing society's potentials and assisting in solving its problems. The university serves the people of Iowa, the nation, and the world through its interrelated programs of teaching, research/creative activities, and extension/professional practice.

Evaluation of a faculty member for promotion and/or tenure is based primarily on evidence of scholarship in the faculty member's teaching, research/creative activities, and/or extension/professional practice. In all areas of professional activity, a faculty member is expected to uphold the values and follow the guidelines in the Statement of Professional Ethics found in "Professional Policies and Procedures."

A key tool in the promotion and tenure review process is the position responsibility statement, which describes the individual's current position responsibilities and activities in the following areas: (1) teaching, (2) research/creative activities, (3) extension/ professional practice, and (4) institutional service. This statement is used by all evaluators to interpret the extent, balance, and scope of the faculty member's scholarly achievements.

The following sections define and provide examples of scholarship and the four central areas of faculty responsibilities and activities.

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5.2.2.3.2 Scholarship of Teaching and Learning (SoTL)

The evolving body of research on learning has fostered new forms of inquiry into teaching. By better informing teaching, the scholarship of teaching and learning (SoTL) enhances student learning. Every faculty member with a teaching appointment should engage in scholarly teaching because of its centrality to the university's mission. Table 2 shows a comparison of scholarly teaching and SoTL. SoTL ultimately improves student learning and occurs when “our work as teachers becomes public, peer-reviewed and critiqued, and exchanged with other members of our professional communities so they, in turn, can build on our work, these are the qualities of scholarship.” [This quote is derived from work by the Research University Consortium for the Advancement of Scholarship of Teaching and Learning and Lee Shulman, President of the Carnegie Foundation for the Advancement of Teaching.]

Table 2. Comparison of scholarly teaching and scholarship of teaching and learning (SoTL)

	Scholarly Teaching	SoTL
Faculty work as teachers is anchored in the literature of teaching and learning.	X	X
Faculty work as teachers emphasizes documenting student learning.	X	X

Faculty work as teachers is publicly shared with our colleagues and peers.		X
Faculty work as teachers is externally peer-reviewed as scholarship.		X
The evidence of the outcomes of faculty work as teachers is disseminated through professional outlets.		X

SoTL extends across all disciplines. However, the way that SoTL manifests itself is defined by each discipline. At Iowa State University, SoTL contributes to the discovery of knowledge about teaching and learning in higher education and must be held to the same standards of rigor, relevance, peer review, and dissemination as other forms of disciplinary research and creative activity. While SoTL may be an important part of the promotion and tenure process, it should not displace high quality scholarly teaching in annual performance reviews and in promotion and tenure decisions. Although all faculty should engage in scholarly teaching, not all faculty need to engage in SoTL. Scholarly teaching is part of a faculty member's teaching responsibilities; if a faculty member chooses to pursue SoTL, this work is part of their scholarship/creative activity/research responsibilities.

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5.2.2.6 Institutional Service

Faculty members are expected to play a vital role in the functioning of the university at all levels by participating effectively in faculty governance and in the formulation of department, college, and/or university policies; or by carrying out administrative responsibilities. Therefore, to be promoted and/or tenured, faculty members are expected to have been involved in institutional service. The level and amount of service are expected to be higher for those seeking promotion to the rank of professor. However, institutional service alone shall not serve as the central basis for promotion and/or tenure. As citizens of the university, faculty members may also make other direct and indirect contributions to their departments, colleges, and university communities.

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5.4.1.2 Evaluation, Renewal, and Advancement Procedures for Lecturer, Senior Lecturer, Clinician, Senior Clinician, and Adjunct appointments

In addition to the above principles established in conjunction with the Faculty Senate, the following practices and procedures shall apply:³

- Since the appointment of Lecturers and Clinicians is for a specified period of time, no special notice of intent not to renew is necessary, with one exception. For Lecturers and Clinicians who have been employed continuously at one-half time or greater for three years or more, advanced written notice of nonrenewal must be given at least one year in advance; see [FH Section 3.4.1.1](#).
- Persons on appointment as Lecturer or Clinician may be reviewed for advancement to Senior Lecturer or Senior Clinician and may be advanced without a search.

- Persons on adjunct appointment may be reviewed by an appropriate faculty committee for advancement to Adjunct Associate Professor or Adjunct Professor using established criteria appropriate to the position.
- Persons appointed as Senior Lecturer and Senior Clinician must receive notice by May 15 of the year preceding the end of the term appointment (or at least 12 months in advance of the end of the term appointment when the appointment end date is not May 15) of intent to renew or not renew.
- Renewal of Senior Lecturers and Senior Clinicians or adjunct appointments must be approved by the dean and the senior vice president and provost. Request for approval should include a summary of the review results and a statement regarding the continuing need of the unit.
- Both full-time and part-time non-tenure-eligible faculty will receive annual reviews as well as review by a faculty committee at least every six semesters of employment.
- Review of individuals in these positions will be based on the Position Responsibility Statement (PRS) derived from the advertised position. At each renewal time, the Position Responsibility Statement may change, depending on the continuing and/or changing needs of the unit. The PRS will be discussed and disagreements negotiated at that time as a part of the renewal agreement. The agreed upon PRS will be signed by both parties and dated.

³ For P&S employees, notice of intent not to renew is governed by the P&S appointment. Termination of the P&S appointment will also mean termination of the non-tenure-eligible appointment.

Approved as amended by the Faculty Senate on February 13, 2007

Approved as revised by the Faculty Senate on January 15, 2008, and by the president and provost on January 23, 2008

Non-substantive changes approved by the Faculty Senate Executive Board on June 22, 2010

5.4.1.3 Evaluation, Renewal, and Advancement of Adjunct Faculty Employed Elsewhere

Adjunct faculty are eligible for review for advancement in accordance with university promotion policies.

5.4.1.4 Evaluation, Renewal, and Advancement of Adjunct Faculty Employed by the University

Adjunct faculty are eligible for review for advancement in accordance with university promotion policies.

5.4.1.5 Evaluation, Renewal, and Advancement of Professional and Scientific (P&S) Non-Tenure-Eligible Appointments

A person employed in a P&S position and assigned non-tenure-eligible faculty responsibilities shall be evaluated in accordance with the procedures governing non-tenure-eligible appointments for that portion of their responsibilities related to their non-tenure-eligible appointment.

P&S employees who held adjunct rank at the Assistant, Associate or Full Professorial levels at the time of adoption of this policy (2/11/03) will retain these titles, with appropriate review and approval by the departments in which the title is held. The term of these appointments shall be as

previously specified or for a renewable term not to exceed five years. Departments will need to review employees who held Adjunct Instructor rank at the time of adoption of this policy (2/11/03), and will need to recommend to the college and senior vice president and provost future classification for these individuals.

5.4.2 Evaluation, Renewal, and Advancement of Continuous Adjunct Appointments

Faculty on continuous adjunct appointment are eligible for review for promotion in accordance with university promotion policies and procedures. No new appointments may be made using this title.

5.4.3 Evaluation, Renewal, and Advancement of Visiting Appointments

Visiting appointments are not renewable.

5.4.4 Evaluation, Renewal, and Advancement of Collaborators

Collaborators are eligible for review for advancement in accordance with university promotion policies.

5.4.5 Evaluation, Renewal, and Advancement of Affiliates

Affiliates are eligible for review for advancement in accordance with university promotion policies.

5.4.6 Evaluation, Renewal, and Advancement of Non-Tenure-Eligible Research (NTER) Faculty

Appointments for all ranks of NTE research professors shall be for a stipulated time duration not to exceed five years per appointment period. There is no limit to the number of appointment periods or to time in rank except as noted in the following. Appointments are renewable at the discretion of the home department contingent on continuation of external funding (except that research professors supported by federal funds shall be governed by applicable federal policy) and departmental performance review. The senior vice president and provost shall approve reappointments. At any time during the contract period positions may be terminated without cause and/or due to lack of grant funding sufficient to cover salary and benefits through the term of contract (subject to federal guidelines when they apply).

1. Annual performance reviews shall conform to those for tenured and tenure-eligible faculty.
2. Performance review involving tenured and tenure-eligible faculty shall be done periodically, at least once every three years.

A NTER faculty member may be proposed for advancement to the next rank. Departments shall develop procedures for advancing NTER faculty. The standards for each rank shall be the same as the definitions for scholarship performance at rank for assistant, associate and professor ranks for tenure-eligible and tenured faculty. The advancement review process shall include tenured and/or tenure-eligible faculty and be the same as the review for tenure and promotion of tenure-eligible and tenured faculty.

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7.1.2 Professional Responsibilities

Iowa State University recognizes that membership in the academic profession carries with it special responsibilities. Faculty members, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their discipline is to seek and to state the truth as they see it. To this end faculty members devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Faculty members do not allow subsidiary interests to compromise their freedom of inquiry.

As teachers, faculty members encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. Faculty members demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. Faculty members foster honest academic conduct and evaluate student work with respect to its true academic merit. They respect the special nature of the relationship between professor and student. They do not exploit, harass, or improperly discriminate against students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom.

As administrators and colleagues, faculty members have obligations that derive from common membership in the community of scholars. Faculty members do not exploit, harass, or improperly discriminate against colleagues. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas, faculty members show due respect for the opinions of others. They acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Faculty members accept their share of faculty responsibilities for the governance of their institution.

As members of an academic institution, faculty members seek to be effective teachers, scholars, and administrators. Faculty members maintain their rights to criticize and seek revision of university regulations and actions that they believe violate academic freedom. Faculty members give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it. When considering the interruption or termination of their service, faculty members recognize the effect of their decision upon the program of the institution and give due notice of their intentions.

As private individuals, faculty members have the same rights and obligations as others. Faculty members measure the urgency of these obligations in the light of their responsibilities to their discipline, to their students, to their profession, and to their institution. When they speak or act as private persons, they avoid creating the impression of speaking or acting for their college or university. As individuals engaged in a profession that depends upon freedom for its health and integrity, faculty members promote conditions of free inquiry and further public understanding of academic freedom.

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