

Proposed Faculty Handbook New Section 3.4

Background. The Faculty Senate and the Office of the Provost in partnership formed a Task Force to review the use of the faculty PRS established in the Faculty Handbook (section 5.1.1.5) in 1999. The PRS was designed as a generalized job description and is a valuable tool that has grown in importance since it was established. The Task Force conducted a broad review of the PRSs currently in place and examined how they are used. The Task Force recommended a number of changes to the Handbook designed to allow the PRS to more accurately reflect what is expected of faculty.

Rationale for a new Handbook Section 3.4. Because all faculty should have a PRS and that PRS should be developed shortly after employment begins, the PRS Task Force recommended that language describing the PRS fits better in Chapter 3 of the Handbook (Appointment Policies and Procedures) than in Chapter 5 (Evaluation and Review), where it currently exists as FH 5.1.1.5.

Chapter 3. Appointment Policies and Procedures
3.1 Appointment Policies
3.2 Appointment Procedures
3.3 Types of Appointments
3.4 The Position Responsibility Statement (PRS)
3.5 Nonrenewal and Termination of Appointments

Chapter 5. Evaluation and Review
5.1 Evaluation and Review
5.1.1 Evaluation of Faculty Members
5.1.1.1 General Policies and Procedures
5.1.1.2 Annual Reviews
5.1.1.2.1 Action Plan
5.1.1.3 Preliminary Review of Probationary Faculty
5.1.1.4 Promotion and/or Tenure Review
5.1.1.5 Position Responsibility Statement
5.1.1.6 Joint Appointment

Overview of Changes. The following suggested language is based on existing PRS language but also implements many of the recommendations made in the Report of the *Task Force to Review the Faculty Position Responsibility Statement (PRS)*, which is available on the Senate Home Page. **The proposed FH Section 3.4 would replace current FH 5.1.1.5.**

The major substantive differences with current language (FH 5.1.1.5) are:

- the number of categories in the PRS is expanded from 4 (teaching, research/creative activity, extension/professional practice, and institutional service) to 7 (teaching, research/creative activity, extension, professional/clinical practice, institutional service, professional service/engagement and outreach, and administration)
- percentages are used to define proportion of effort
- the mediation process is extended to all faculty

Four other additions are:

- inclusion of a formal review date for the PRS
- more formal description of procedures involving PRS development
- an explicit outline of information needed in a PRS
- requirement for inclusion of an annotated template with the LOI; a sample of such a template is appended to the end of this document

NOTE: If these changes are adopted, Chapter 5 will need to be revised to reflect the new categories.

Note: All language that is currently in FH 5.1.1.5 is included below. Some current language is maintained and some is deleted. The new language has headings, the current language does not. The current language was moved under the relevant heading. The fact that text has been moved is not noted in the mark-up.

5.1.1.5-3.4 The Position Responsibility Statement

It is the policy of Iowa State University that evaluations of ~~tenure-eligible/tenured~~ faculty are based on the position responsibilities of faculty members and other activities that relate to faculty appointments. The results of all reviews must be shared with the individual faculty members.

3.4.1 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, ~~particularly within the promotion and tenure process of tenure-eligible/tenured faculty or for advancement of non-tenure-eligible faculty. The PRS does not prevent or constrain justifiable changes to or developments within any area of a faculty member's responsibilities.~~ The ~~position responsibility statement~~ PRS description itself should be general and only include the significant responsibilities of the faculty member that are important in evaluating faculty accomplishments, especially in the promotion and tenure process for tenure-eligible/tenured faculty or for advancement for non-tenure-eligible 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 discipline. The ~~position responsibility statement~~ 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, or professional/clinical 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.

3.4.1.1. Appointments Requiring a PRS

All faculty members with appointments governed by this handbook as defined in Section 3.3 shall have a PRS. University administrators generally have faculty rank, and if they have significant non-administrative 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 ~~PRSPosition responsibility statement~~, written by the department chair and the dean, describing the administrative and other departmental responsibilities of the position.

3.4.1.2. 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~~ PRS 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.

3.4.2. The Form of the PRS

3.4.2.1. 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

3.4.2.1.1. College-level Customization of the PRS

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

3.4.2.2. Areas of Responsibility and Proportions of Effort

All faculty have a varying range of duties and responsibilities within the 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.

3.4.2.2.1 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.

3.4.2.2.2. 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. There are seven different areas, but few faculty will have expectations in all seven.

3.4.2.2.2.1. 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. Undergraduate advising responsibilities are included in this area.

3.4.2.2.2.2. 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.

3.4.2.2.2.3. 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. Those expectations are included here.

3.4.2.2.2.4. 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.

3.4.2.2.2.5. 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.

3.4.2.2.2.6. Professional 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 (in contrast to institutional service). Professional service (e.g., service to professional organizations, societies, governmental agencies, or other institutions) should be included here. Professional 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.

3.4.2.2.2.7. Administration

This area is for 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 rather than administration.

3.4.2.3. Faculty Conduct and the PRS

As described in Chapter 7 (Faculty Conduct Policies), faculty members are expected to maintain a positive work environment that is free of coercion, misconduct, or harassment. The PRS should contain a brief statement making faculty aware of the responsibilities they carry under Chapter 7 and include any statements about collegiality that have been approved by their colleges or units.

3.4.3. Procedures for Establishment and Maintenance of the PRS

3.4.3.1 Procedures at Initial Appointment

At the time of appointment or within the first semester of the 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 annotated PRS template appropriate to the unit. Within six weeks of the first day of employment, the chair and the new tenure-eligible/tenured faculty member will should agree on a position responsibility statement PRS that should will be based on the job advertisement. Tenured or tenure-track faculty, whose responsibilities generally include but are not limited to 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 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.

3.4.3.1.1. Joint Appointments

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/[unit heads](#) and signed and dated by all three parties. Each department and college involved will receive copies of those statements as indicated above. [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.](#)

3.4.3.2 Review and Update of PRS

~~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.~~

The ~~statement~~ PRS 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 ~~position responsibility statement~~ 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. 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.](#)

3.4.3.2.1. 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 or immediately after the formal review, even if no changes are made, the PRS shall be updated with the next formal review date and signed and dated by both parties. A copy of the updated PRS with 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.

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

3.4.3.3. Procedure for Mediating PRS disputes

When both parties (the ~~tenure-eligible/tenured~~ faculty member and the department chair) agree to the ~~Position Responsibility Statement~~ PRS, 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 [PRSPosition Responsibility Statement](#) will remain in effect.

¹Departments who desire another method of obtaining the third member may choose one of the following: a) a tenured faculty member who is chair of an elected departmental council; b) a tenured faculty member who has been elected by the department to the promotion and tenure review committee and who chairs that committee; c) a tenured faculty member who has been elected by the department to the post-tenure review committee and who chairs that committee.

Approved as amended by the Faculty Senate 2/13/07.

**Iowa State University Annotated Generic Template for a
Faculty Position Responsibility Statement**

Position Responsibility Statement

Department of _____ College of _____

Faculty: _____ **Title:** _____

¹This Position Responsibility Statement (PRS) is a generalized job description for the individual named above. It is used as part of all evaluations. It describes different areas of responsibility, including the proportion of effort that is expected in each area. Expectations regarding conduct are described in Chapter 7 of the *Faculty Handbook*.

²Areas of Responsibility with Proportions of Effort

Teaching (##%)

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

Research/Creative Activity (##%)

[Expectations for research/creative activity will be listed here.]

Extension (##%)

[Expectations for extension activity will be listed here.]

Professional Practice/Clinical Practice (##%)

[Expectations for professional or clinical practice will be listed here.]

Institutional Service (##%)

[Expectations for institutional service will be listed here. The proportion of effort must be at least 5% for TTE faculty.]

Professional Service/ Engagement and Outreach (##%)

[Expectations for external service activity will be listed here.]

Administration (##%)

[Expectations for administrative activity will be listed here.]

^{3,4}Agreed to by:

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

[signed after the PRS is developed] _____
Unit head (Chair or Director) Date

⁵This PRS must be formally renewed after or as part of *[formal action]*, which is scheduled for *[month/year]*.

Explanatory Comments

¹The Iowa State University *Faculty Handbook*, which is the official statement of Iowa State University policy governing the rights, responsibilities, and performance of faculty, 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 and provides guidance to the faculty member and the chair about what the negotiated PRS might look like. In addition to these individualized responsibilities, expectations regarding faculty conduct, promotion standards, and instructional requirements are described in the *Faculty Handbook*. All faculty should be familiar with the *Handbook* and are accountable for following its policies. Chapter 7, in particular, is referenced in the PRS to emphasize the expectation of professional behavior 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]

²Areas 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. There are seven different areas of responsibility, but few faculty will have expectations in all seven areas.

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 department/unit]. In addition, you are expected to pursue external funding to support your research program and graduate students."

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.

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. The minimum percent effort in institutional service for tenured and tenure-eligible faculty is 5%.

Professional 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 - This category is for 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.

³The agreed upon PRS can be altered and adjusted by mutual consent of the faculty member and unit head (chair or director). 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.

⁴A 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.

⁵To ensure that formal review of this document occurs in a timely manner, a formal PRS review will be conducted as part of or immediately after 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.