

Faculty Governance Policies and Procedures

Department of Computer Science
Iowa State University

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Preamble

No rules or procedures described in this document take precedence over College or University procedures, guidelines, or rules as written in University documents, especially the Faculty Handbook.

Acronyms used in this document

CASTLE	Committee on the Advancement of Student Technology for Learning Enhancement
DEO	Department Executive Officer
ISU	Iowa State University
LAS	College of Liberal Arts and Sciences
PRS	Position Responsibility Statement
TFRC	Term Faculty Review Committee

1 Department of Computer Science mission statement

We, the faculty of the Department of Computer Science at Iowa State University, strive to excel in the following four areas:

Undergraduate Education: Our undergraduate programs are designed to prepare computer scientists, information technologists, and software engineers for productive, life-long careers. Such education equips students with a sound knowledge of the foundations of computer science and with the problem solving and software skills necessary for designing and building robust, efficient, reliable, scalable, and flexible computing systems. Our department offers strong undergraduate programs leading to a B.S. in Computer Science and a B.S. in Software Engineering. We also support interdisciplinary education and are one of the founding departments of the B.S. programs in Bioinformatics and Computational Biology and in Data Science.

Graduate Education: Our graduate program provides research-based education leading to M.S. and Ph.D. degrees in Computer Science. Our department also plays a pivotal role in interdepartmental graduate majors and minors in Bioinformatics and Computational Biology, Information Assurance, and Human-Computer Interaction.

Discovery, Research, and Creative Work: Our department is committed to strong research programs in Computer Science and emerging data-rich and informatics-enabled disciplines, contributing to the fundamental advances needed to address challenges in interdisciplinary areas such as environment, food, health, energy, and security, and increasing the competitiveness of Iowa and the nation.

Outreach, Engagement, and Public Service: Our faculty, staff, and students contribute to the community at large in a number of ways such as engaging in technology transfer, contributing to open source software projects, partnering with Iowa K-12 teachers and students, broadening participation of underrepresented groups in STEM disciplines, and advising industry, government, and non-profit groups.

2 Faculty

All faculty members have a personalized Position Responsibility Statement (PRS). Policies and procedures for the PRS are specified by LAS and the Faculty Handbook. The PRS is subject to regular review by the faculty member and the DEO, and it is changed by mutual agreement between the faculty member and the DEO; in case the two cannot reach an agreement, a PRS Mediation Panel will be formed to decide the content of the PRS.

2.1 Faculty membership and voting

This document uses the following terminology for members of the department faculty.

- A “member of the faculty” is an individual who has a tenured, tenure-eligible, term, or adjunct appointment in the Department of Computer Science and who carries an academic rank of Lecturer, Assistant Professor, Associate Professor, Professor, Assistant Teaching Professor, Associate Teaching Professor, Teaching Professor, Assistant Professor of Practice, Associate Professor of Practice, or Professor of Practice.
- A “tenure-eligible member of the faculty” is a member of the faculty who has a tenured or tenure-eligible appointment in the Department of Computer Science and who carries an academic rank of Assistant Professor, Associate Professor, or Professor.
- A “term member of the faculty” is a member of the faculty who has a term appointment in the Department of Computer Science and who carries an academic rank of Lecturer, Assistant Teaching Professor, Associate Teaching Professor, Teaching Professor, Assistant Professor of Practice, Associate Professor of Practice, or Professor of Practice .
- A “voting member of the faculty” is a member of the faculty who is either a term member of the faculty with at least a 60% appointment in the Department of Computer Science or a tenure-eligible member of the faculty.

Voting members of the faculty are automatically entitled to attend faculty meetings and to vote on matters that do not require special status as specified elsewhere in this document. These “special status” requirements generally arise from the following guiding principles.

- Non-tenured members of the faculty do not vote on matters of tenure.
- Tenure-eligible members of the faculty do not vote on promotions of tenure-eligible members of the faculty to ranks above their own ranks.
- Term members of the faculty do not vote on promotions of term members of the faculty to ranks above their own ranks.
- Term members of the faculty are not involved in matters entailing the evaluation of research by tenure-eligible members of the faculty or matters affecting the role that such evaluations play in department governance. Such matters include the hiring, promotion, tenure, and periodic reviews of tenure-eligible members of the faculty, including the Department Executive Officer, and any changes to this governance document that directly or indirectly involve matters of the above type.

A voting member of the faculty who is on leave retains any right that member has to vote (by email or other individual arrangement) on changes to this governance document. On any matter requiring a vote, any voting member of the faculty may stipulate that voting be by secret ballot. Minutes of the faculty meetings will be retained permanently and will be accessible to all voting members of the faculty. All committee meetings except meetings on personnel actions such as promotion and tenure and grievances are open to any voting member of the faculty.

2.2 Graduate faculty

The types of membership in the graduate faculty of Iowa State University and the rights that come with each type of membership are detailed in the Graduate College Handbook. The account below summarizes those aspects of graduate faculty membership that directly impact procedures of the Department of Computer Science, but there is much more information in the Graduate College Handbook that must be consulted when contemplating or carrying out these procedures.

All tenure-eligible faculty at or above the rank of assistant professor are full members of the graduate faculty.

Some non-tenure-eligible faculty members may be nominated for either graduate lecturer status (this enables them to teach graduate courses) or associate membership in the graduate faculty (this enables them to teach graduate courses and serve on program of study committees of graduate students).

Nominations for graduate lecturer status are submitted by the DEO to the Dean of the Graduate College after approval by the Dean of the College of Liberal Arts and Sciences. The Dean of the Graduate College may approve graduate lecturer status for a term of up to five years.

Nominations for associate membership in the graduate faculty may be submitted to the Graduate College by any full member of the graduate faculty. The nomination must include approval by the director of graduate education (DOGE) of the Department of Computer Science and certification that the DOGE has called a vote by secret ballot of all graduate faculty members in the Department of Computer Science and that a simple majority of those who cast a ballot supported the nomination. Associate membership in the graduate faculty, if granted, is initially granted for a term of five years. After completion of a five-year term, associate members may be nominated for permanent associate membership in the graduate faculty.

More details and forms for the above nominations appear on the Graduate College web pages.

3 Department executive officer

The Departmental Executive Officer (DEO) has obligations both to the administration of the University and to members of the faculty of the Department of Computer Science. The obligations to the administration are recorded elsewhere.

3.1 Leadership role

It is vital that the DEO provide overall leadership, working to provide a congenial environment that is conducive to the mission of the Department. The foremost specific responsibilities within the department are evaluation of faculty, assignment of responsibilities to faculty, hiring and recommending promotion and tenure, and managing the day-to-day activities of the department. However, promotion and tenure decisions and hiring of new faculty are of such influence on the department that

special procedures are established to formulate faculty recommendations in these areas (see Sections 5 and 7 of this document). The evaluation of faculty must be done fairly, and in a manner consistent with the criteria for promotion and tenure. The results of the evaluation as well as policies and procedures used to determine salary increases will be discussed with each individual member of the faculty. In assignment of faculty responsibility, the DEO will take into account the needs of the department and of the specific interests of the individual faculty members. The DEO should seek, and can expect to receive, careful counsel from the faculty on major administrative matters.

The leadership role of the DEO is extensive and includes:

- Representation of the Department and advocacy of its decisions and interests to the administration, to other units in the University, and to organizations outside the University.

If two or more members of the faculty require the DEO to send a written memorandum to the administration, the DEO should send a written letter to the Dean of the College of Liberal Arts and Sciences. In such cases, the faculty members should each be given a copy of the letter or memorandum. Likewise, if two or more members of the faculty would like to see a directive from the administration in writing, the DEO should solicit a written letter to that effect which may be circulated to other members of the faculty.

- Seeking opportunities for faculty development and keeping the faculty informed about funding opportunities.
- Chairing faculty meetings and keeping the Department informed of administrative decisions and other items of importance to the Department or to individual faculty members.

3.2 Appointment

The DEO will be a Chair with a normal term of three to five years.

3.3 Administrative duties

The DEO's administrative duties include the following:

- Liaison to the following committees: Promotion and Tenure, Faculty Search, Graduate Admissions.
- Budget: salaries, wages, benefits, teaching funds, computer fee, equipment, supplies and services, contracts.
- Expenditures: general operating expenses, development funds, computing, TA appointments, telecommunication, student activities.
- Public relations: Web, newsletter, media, upward communications, donors, student groups, parents, industry/recruiters, peer institutions.
- Fundraising: External Advisory Council, ISU Foundation, alumni relations.
- General personnel management: evaluation and supervision of faculty, P&S staff, merit employees, and hourly-paid staff.

- Tenure-track faculty issues: search, evaluation (promotion and tenure, annual review, post-tenure review, etc.), development.
- Policies and procedures management: development and maintenance of policies and procedures, Web posting, etc.
- Student contests and activities: ACM programming contest, UPE, CS Club, GAC, Poster Day, annual reception, etc.
- Periodic strategic planning.

3.4 Associate chairs

The DEO has two or more associate chairs to assist with the DEO's extensive duties. These associate chairs are chosen from the willing, voting members of the department faculty who are either tenured or term members of the faculty. The DEO has wide latitude in recruiting these associate chairs and determining their areas of responsibility, subject to the constraint that only tenure-eligible members of the faculty will be involved in making teaching assignments.

3.5 Review procedures

3.5.1 Timeline

The department of computer science carries out a review of the DEO during the next to last year of each term of service of the DEO. Reviews are carried out at other times if either two-thirds of the tenure-eligible members of the faculty vote for such a review or the Dean requests such a review.

3.5.2 Advisory committee

The review process begins with the formation of an advisory committee. This committee consists of five tenure-eligible members of the computer science department, including three professors, one associate professor, and one assistant professor. The professors on the advisory committee are elected by the professors in the department; the associate professor on the advisory committee is elected by the associate professors in the department; and the assistant professor on the advisory committee is elected by the assistant professors in the department. The exceptions to this are that the DEO shall not be on the advisory committee and shall not have voting rights for electing members of the advisory committee.

The advisory committee coordinates and presents a review of the DEO by the entire computer science department. The review is not to contain an assessment of the DEO by the advisory committee.

3.5.3 Review process

The advisory committee elects a chair from among its members, formulates a process for soliciting evaluations of the DEO's performance from department faculty and staff, discusses this process with the tenure-eligible members of the faculty, and prepares written summaries of these evaluations for three audiences: the faculty (to inform discussion and voting), the DEO, and the Dean. After the tenure-eligible members of the faculty –except the DEO– have had an opportunity to discuss their

summary, they vote on whether the DEO should serve another term and, if so, on how long (three or five years) this term should be. The tenure-eligible members of the faculty –except the DEO– also vote on the following question: If the current DEO does not continue for another term, should the next DEO be sought from within the department’s faculty (“internal search”) or should the next DEO be sought via a nationally and internationally advertised “external search” for a new faculty member to serve as the next DEO. All these votes are taken by secret ballot. The advisory committee calls special meetings of the tenure-eligible members of the faculty as needed in the course of the review process. These meetings are chaired by the chair of the advisory committee and are not attended by the DEO. The advisory committee administers the above voting process. The outcome of the review process is a review (for each of the above three audiences) that consists of the above written summaries together with the tallies of the above votes. This review is communicated to each of the above three audiences. In particular, the review and votes are the department’s recommendations to the Dean.

3.6 Change of leadership

It is ultimately the Dean’s decision whether the current DEO may continue for another term and, if the current DEO does not continue for another term, whether to conduct an internal search or an external search.

A search for a new DEO, internal or external, often extends past the current DEO’s term. In any such circumstance, the Dean typically appoints an interim DEO to serve during the search. If this search is protracted, the interim DEO may serve two or more interim terms, or there may be successive interim DEOs.

An external search for a DEO is conducted by a search committee appointed by and answerable to the Dean. The external search committee is typically chaired by a non-computer science professor in the College of Liberal Arts and Sciences, and it otherwise typically consists of faculty members in computer science. Procedures for this search are determined by the Dean and the chair of the external search committee.

At the Dean’s discretion, an internal search for a DEO may follow the same structure as that outlined for external searches above, or it may be carried out according to the following computer science department guidelines. The internal search is coordinated by an advisory committee. If the internal search follows right after a review of the DEO, then this same advisory committee coordinates the internal search. Otherwise, a new advisory committee is formed with the same composition and selection process as that described above for DEO reviews. The function of the advisory committee is then to coordinate a process by which the department faculty recommends a slate of DEO candidates to the Dean. To this end, the advisory committee elects a chair from among its members and compiles an initial slate of nominees after consulting the faculty. Nominees in this initial slate will all be tenured, voting members of the faculty whose appointments are 100% computer science, and, barring unusual circumstances, they will have the rank of professor. The initial slate of nominees includes all such faculty members who have been nominated by either the advisory committee or by any tenure-eligible member of the computer science department faculty. Once the initial slate has been formed, the advisory committee administers the following two votes, both by secret ballot, with all tenure-eligible members of the computer science faculty eligible to vote.

1. The first ballot contains the initial slate of nominees, each with the question “Would this person be an acceptable DEO?” Each tenure-eligible member of the faculty may vote yes, no, or abstain, on each nominee.

2. The second ballot consists of those nominees in the initial slate who received at least 1.5 times as many “yes” votes as “no” votes in vote 1 above, together with the instruction “Vote for each nominee who would be an excellent DEO.”

The final slate of DEO candidates recommended to the Dean consists of the two (or, in case of a close vote, three) nominees receiving the highest number of votes on the second ballot. The advisory committee calls special meetings of the tenure-eligible members of the faculty as needed in the course of the internal search and reports the final slate of DEO candidates, along with the numbers of votes that they received in vote 2 above, to the department faculty and to the Dean. No member of the advisory committee who turns out to be in the final slate of candidates is eligible to participate in the preparation or transmission of this report.

4 Department committees

To help in governing the department, various committees along with their duties are listed in this section. These committees are appointed by the DEO and serve as advisory committees to the DEO and members of the faculty. However, if the DEO changes a decision made by a committee, a written document is to be submitted to each member of the committee stating reasons for the change. Such written documents should be made available to all members of the faculty.

4.1 Standing committees

- **Term Faculty Review Committee.** Each year the DEO will appoint a five-member Term Faculty Review Committee (TFRC) consisting of three tenured members of the faculty, one Teaching Professor or Professor of Practice, and one Associate Teaching Professor or Associate Professor of Practice. If there are currently no term members of the faculty with the indicated ranks, then those positions in the TFRC shall remain vacant. The DEO will designate one of the tenure-eligible members of the TFRC as its chair. The general responsibilities of this committee are specified in Section 8.1.3.
- **ABET, Continuous Improvement, and Assessment Committee.** Their general responsibilities include managing all aspects of departmental assessment and reviews.
- **Colloquium Committee.** The colloquium committee shall be chosen from the tenure-eligible members of the faculty. Their general responsibilities include establishing a colloquium schedule each semester (fall and spring) and inviting speakers to present their ongoing research work. Speakers may be drawn from the computer science department faculty and graduate students, from faculty in other Iowa State University departments, or from other institutions. Consultation with the faculty search committee is required to schedule colloquia of visiting candidates for faculty positions. Where necessary, this committee should work with the administrative assistant to ensure that out-of-town speakers are reimbursed for their expenses or paid a designated honorarium.
- **Curriculum Committee.** The curriculum committee is responsible for approving new experimental courses and approving dual-listing proposals (for combined 400/500-level courses).
- **Broadening Participation in Computing Committee.** The responsibilities of the BPC committee include gathering data about student diversity, proposing recruitment and retention

actions to foster student diversity, organizing trip to GHC (Grace Hopper Celebration of Women in Computing), and implementing outreach activities.

- **Equipment and Space Committee.** The equipment and space committee shall be chosen from the members of the faculty with the chair being a voting member of the faculty. Members of the software support group may also be included in this committee. Their general responsibilities include dealing with the acquisition, maintenance, disposal, utilization, and the security of the departmental equipment, advising the DEO on space utilization in the building where the department is housed, and serving as an advisory council to establish policies governing the activities of the software support group. They also prepare CASTLE requests and evaluate computer and related equipment needs and SSG quality of service.
- **Faculty, Staff, and Alumni Recognition and Awards Committee.** Their general responsibilities include nominating faculty and staff for internal awards and nominating faculty for awards and advancements in professional societies.
- **Faculty Governance Committee.** Their general responsibilities include organizing, maintaining, and proposing updates to faculty governance documents.
- **Graduate Admissions Committee.** The graduate admissions committee shall be chosen from the members of the graduate faculty. Their general responsibilities include attracting domestic and international applicants to the graduate program, reviewing applications to the graduate program, making recommendations as to type of admission, TA award, and organizing a comprehensive recruitment program.
- **Graduate Committee.** The graduate committee shall be chosen from the members of the graduate faculty. Their general responsibilities include dealing with issues involving the graduate curriculum and serving as a selection committee for various graduate fellowships and awards. Some of the typical charges of this committee include evaluation of academic progress of graduate students, overseeing and evaluation of doctoral qualifying exams, and periodically reviewing the graduate curriculum and rules, monitoring graduate student progress and suitability for TAs, and processing proposals for graduate classes.
- **Grievance Committee.** Their general responsibilities include supervising the process for student, faculty, and staff grievances.
- **Industry Partnership Committee.** Their general responsibilities include fostering faculty-industry collaborations, meeting with company representatives, soliciting donations and funding, and seeking student internships.
- **Library Liaison.** The library liaison shall be chosen from the members of the faculty. The liaison's general responsibilities include representing the department's interests regarding university library decisions such as acquisitions, journal subscriptions and discontinuations, and keeping the department faculty informed of changes to university library procedures.
- **Promotion and Tenure Committee.** The structure of promotion and tenure committees and their charges are specified in Section 5.2.2.
- **PRS Mediation Panel.** At the beginning of each academic year the tenure-eligible members of the faculty elect a tenured [2019apr26 said "tenure-eligible"] member of the faculty with the rank of Professor to serve as the "third member" of any PRS Mediation Panel(s) that need to be formed during that year.

- **Teaching Evaluations and Mentoring Committee.** Their general responsibilities include managing class visits and reports for faculty undergoing evaluations, and managing mentoring for Assistant and Associate Professors.
- **Undergraduate Committee.** The undergraduate committee shall be chosen from the members of the faculty, with its chair being a voting member of the faculty. The DEO and academic advisers shall be non-voting ex-officio members. Their general responsibilities include dealing with issues involving the undergraduate curriculum, requirements for the baccalaureate degree, and requirements for accreditation. Some of the typical charges of this committee include planning undergraduate requirements for the catalog, reviewing the numbering of courses, reviewing the status of cross-listed undergraduate courses and dual-listed courses, serving as a selection committee for undergraduate scholarship awards, managing undergraduate petitions, nominating undergraduate students for awards, and processing proposals for undergraduate courses.

4.2 Ad hoc committees

As needed, the DEO may appoint members of the faculty to serve on ad hoc committees, such as:

- **Faculty Search Committee.** A search committee for tenure-eligible faculty shall be chosen from the tenure-eligible members of the faculty. A search committee for term faculty shall be chosen from the members of the faculty. The DEO shall be a non-voting ex-officio member. The general responsibilities of faculty search committees are specified in Section 7. Multiple Faculty Search Committees may be appointed in a given year.

5 Promotion and tenure

This section describes policies and procedures for the promotion and tenure of tenure-eligible members of the faculty. Policies and procedures for the promotion of term faculty are described in Section 8.

5.1 Criteria

A recommendation by the department that a faculty member be awarded tenure, promotion to associate professor, or promotion to professor requires a clear demonstration that the faculty member's scholarly achievements have elevated the stature of the department and university as research and educational institutions and that the faculty member's future achievements are very likely to continue doing so.

A case that the above criteria have been met uses several types of evidence. These include publications in peer-reviewed, reputable journals and conference proceedings; peer-reviewed external funding; direction of graduate student or postdoctoral scholarship; external peer evaluations of the quantity, quality, and impact of the faculty member's scholarship; and classroom teaching evaluations. Additional types of evidence such as awards, patents, citation counts, editorships, book publications, invited lectures, non-peer-reviewed external funding, service in professional organizations, and supervision of undergraduate scholarship, may also contribute to the case.

The Faculty Handbook specifies some general criteria, applicable to all fields, for promotions to associate professor and professor. Additions and emphases for computer science include the following.

A faculty member's scholarship may well be interdisciplinary. Tenure and promotion to associate professor require a sustained record of scholarship, with external recognition of its importance, along with good classroom instruction and department service. Significant graduate student supervision and some peer-reviewed funding are ordinarily also part of a successful case. Promotion to professor requires a sustained record of scholarship since the last promotion, that has elevated the faculty member to national or international prominence as a scholar. This ordinarily includes high-impact publications, substantial peer-reviewed external funding, significant additional evidence of national or international prominence, and successful supervision of multiple PhD students. Good classroom instruction and service to the university at both department and college or university levels are also required.

5.2 Procedures

This section covers procedures within the Department of Computer Science related to promotion, tenure, and renewal of term appointments. It is subservient to the university level and college level documents and where it fails to address issues or prescribe procedures, the latter documents prevail. The Department of Computer Science maintains a broad program of teaching, research and scholarship, and service. An appreciation of this is needed as background for the promotion and tenure policy of the department. Teaching duties may include teaching undergraduate or graduate level courses for either majors or non-majors, supervising undergraduate projects, and research training of both undergraduate and graduate students. Research and scholarship may include research and guidance of graduate student research. Service may include consulting on and off campus as well as participation on department, college, and university committees.

5.2.1 Standards for promotion and tenure

Evaluation of faculty for promotion, tenure, or probationary reappointment shall be based on evidence of scholarship in the faculty member's teaching and research. The faculty member will demonstrate evidence of excellence in at least one of the two areas. 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, and (3) institutional service. This statement is used by all evaluators to interpret the extent, balance, and scope of the faculty member's scholarly achievements. A strong sense of professional ethics must be exhibited in all three areas covered in the position responsibility statement.

Teaching. Faculty typically teach at both the graduate and undergraduate levels and in both major and supporting courses. Excellence in teaching is based on classroom effectiveness and innovation in pedagogical practices and techniques, publication in educational journals and conference proceedings, and the record of extramural funding to support instruction. Work must be recognized and appreciated by both students and peers at Iowa State University. It must also include external peer recognition of leadership in computer science education and in the development of pedagogical practices and techniques.

Research. Both experimental and theoretical research are encouraged. Excellence in research and scholarship is based on the publication of results in reputable journals and conference proceedings, the record of extramural research funding, and the direction of graduate student research. Work must be recognized by peers, both internal and external to Iowa State University, as being scholarly and important contributions to the body of knowledge in the discipline of computer science. Promotion to Associate Professor requires a sustained record of contribution, recognized for its importance,

along with high promise of continued development and expectations of normal progress toward full professorship. Promotion to Full Professorship requires a sustained record of contribution that has a recognized important impact on the discipline of computer science and establishes the candidate as a nationally recognized expert.

Service. Service is encouraged at the department, college, university, state, national, and international levels. While all faculty are expected to participate in departmental service, less is typically expected of junior non-tenured faculty.

5.2.2 Relevant committees

The departmental Promotion and Tenure Committee (PTC) consists of those individuals franchised to vote on promotion and tenure issues (see Subsection 5.2.7). Its composition will vary depending on the proposed rank of the individual under consideration. An associated Steering Committee is created to guide the departmental promotion and tenure process. The precise composition and functions of the PTC and the Steering Committee are described below.

The Steering Committee shall normally consist of four full professors and one associate professor who are tenured in computer science and receive at least 25% of their support from the department teaching or research budget. The Departmental Executive Officer (DEO) is not eligible to be a member of the Steering Committee. The four full professor members are elected by the faculty of full professors. In the event that there is a shortfall of full professors in the department to fill the committee, the faculty of full professors shall elect tenured full professors with less than 25% appointment in the department or elect one or more full professors from other departments to serve on the Steering Committee. The associate professor member shall be elected by the faculty of associate professors in the department. In the event that there are no associate professors, the slot will be left vacant.

Unless qualified, the term “faculty” in this section shall be taken to mean tenure-eligible faculty in computer science.

The functions of the Steering Committee are to:

- Screen the faculty for eligibility for promotion, tenure, and reappointment.
- Assist the DEO in preparation of recommendations for promotion and tenure.
- Present these recommendations to the PTC for review, possible modification, and formal vote.

The Steering Committee does not take a vote of its members on promotion or tenure cases. Its members only vote on cases as part of the PTC.

5.2.3 Action list

Each spring, the DEO shall cause the formation of a Steering Committee, which in turn shall elect its own chairperson. Prior to May 1 of each year, this committee shall examine the list of faculty other than tenured full professors to determine who is to be considered for promotion, tenure, or reappointment. The Steering Committee will request each such faculty member to submit a resume, as described in the following section, for this purpose. A faculty member whose consideration for promotion, tenure, or reappointment is not mandatory may decline to be considered and thus not submit a resume. The names so selected shall be placed on the Action List. An individual whose

consideration is mandated by university regulations will automatically be placed on the Action List. Mandated cases can only be postponed and removed from the Action List by a written request from the Dean of Liberal Arts and Sciences. A member of the faculty may request to be included in the Action List by providing the relevant information in writing to the Steering Committee by May 1. The DEO may also add names to the Action List. An individual who is placed on the Action List will be hereafter referred to as a “candidate”.

5.2.4 Resume

The resume submitted to the Steering Committee as in the preceding section must be a normal professional curriculum vitae documenting the activities of the individual in relevant areas. It should not include personal data such as marital status, names of family members, etc. The resume must include the following:

- Name, university appointment data including ranks and dates, ranks on graduate faculty and dates, and academic and professional history.
- Brief description of the candidate’s current research and a history of external research funding.
- Complete citation of publications in journals and conference proceedings and a list of all invited papers and talks. As supplementary information, the candidate shall describe the selection process (e.g., refereed, juried, etc.) and provide other relevant information such as program committee membership and acceptance ratios, if available.
- A list of courses taught over the last five years, including the number of students. A list of students whose research has been directed by the candidate, including both graduate and undergraduate students, and the degrees received, with dates.
- A list of consulting activities and any other evidence of creative scholarly activity.
- A list of POS committees on which the candidate has served.
- A list of service activities including dates performed by the candidate for the department, college, university and relevant outside organizations, including advising and committee work.
- Professional activities including journals reviews, manuscript reviews, research reviews, editorships, offices in professional associations.
- Any other information that the candidate deems to be important.

5.2.5 Notification and appeal

By May 8, the Steering Committee shall notify those individuals whose names were placed on the Action List and also those individuals who requested consideration but whose names were not placed on the Action List. A faculty member may appeal his or her candidacy status in writing to the Steering Committee within seven days. Such an appeal will result in adhering to the wishes of the individual except when university rules mandate consideration.

5.2.6 Promotion and tenure recommendation

Under the guidance of the Steering Committee, a Promotion and Tenure Recommendation will be prepared for each candidate. In keeping with university directives, this recommendation must document the candidate's history of activity in teaching, scholarship, and service. The Promotion and Tenure Recommendation will be prepared based on the following:

- The candidate's resume.
- External letters of reference that evaluate the candidate's creative scholarship. A minimum of two of these letters will come from individuals selected from a preliminary list of four or more (at the Steering Committee's discretion) individuals provided by the candidate.
- The candidate's teaching portfolio.
- The candidate's set of position responsibility statements covering the evaluation period.
- Any other material gathered and deemed relevant by the Steering Committee such as evaluation reports, observation of performance by peers, and letters of reference from former students that document the candidate's teaching abilities.

The candidate shall be required to explicitly sign a document indicating either "waiver" or "non-waiver" of access to external letters of reference. Upon soliciting external letters, referees will be informed as to whether or not the candidate has waived the right of access. Letters of reference may not be reused in a later year.

Prior to the deliberations of the PTC, the candidate shall review the factual portions of the Promotion and Tenure Recommendation for accuracy, except for those portions for which right of access has been waived, and any inaccuracies will be corrected. This corrected Promotion and Tenure Recommendation will be submitted to the PTC at least five working days before the PTC meets to discuss a candidate.

5.2.7 Promotion and tenure committee

For tenure or promotion to the rank of full professor, the PTC shall consist of all tenured full professors. This same committee will also act on the probationary reappointment of non-tenured professors. For tenure or promotion to the rank of associate or full professor, the PTC shall consist of all tenured associate and full professors in the department. In the event that there are fewer than three eligible individuals, the outside members serving on the Steering Committee will also serve on the PTC.

The DEO will preside over the deliberations of each respective PTC. In the event of multiple candidates, each case will be handled independently, with order determined by an alphabetized list of last names. The committee shall concern itself with faculty members on an individual basis and shall recommend for or against promotion in each case independent of the number of cases being considered or the number of faculty at a given rank.

The Chair of the Steering Committee will present the Promotion and Tenure Recommendation to the PTC. Members of the PTC shall have prior access to the entire file of information gathered on each candidate. After presentation and discussion, the PTC will vote by secret ballot on promotion and tenure. The DEO will not vote. Absentee votes will be accepted only by unanimous consent of those present and eligible to vote. An affirmative vote for promotion and tenure requires a simple majority

of those present, provided a quorum of 2/3 of those in residence and eligible to vote is present. Any voting member wishing to file a minority report must notify the PTC immediately following the vote. Any minority reports proposed to be forwarded to the College shall also be completed within three working days and shall be presented to the PTC. The PTC shall have the opportunity to forward its review of the minority report.

If the vote is unfavorable, the candidate may ask within five working days for a hearing before the PTC for purposes of reconsideration.

Based on the deliberations of the PTC, the DEO will revise the Promotion and Tenure Recommendation and reconvene the Steering Committee for any discussion and further modifications. After final approval, the DEO will inform the candidate in writing of the vote and discuss with the candidate the entire Promotion and Tenure Recommendation, appropriately edited to preserve anonymity where access rights have been waived, and then forward it to the Dean of the college.

5.2.8 Evaluation by the DEO and higher administration

The DEO will provide a separate evaluation of the candidate to the college and shall inform the PTC of the evaluation except in extraordinary circumstances as agreed to by the Dean of the college.

After the Promotion and Tenure recommendation has been forwarded to the college, the DEO shall in a timely manner inform the candidate of all subsequent recommendations and decisions by higher administration unless such disclosure is expressly precluded by the Dean of the college.

5.2.9 Joint appointments

Candidates holding appointments with another academic department shall be considered for promotion, tenure, and reappointment using the normal procedures in their primary department, with advice from their secondary department.

This reflects the most recent directives from LAS

5.2.10 Conflict of interest

An individual who has a conflict of interest in the consideration of a candidate for promotion, tenure, or probationary reappointment is ineligible to participate in any discussion, deliberations or votes with respect to that particular candidate. The associate professor member of the Steering Committee may not participate in the consideration of his or her own candidacy. A member of the PTC who is related to or has an affectional affiliation with a candidate is ineligible to participate in any aspect of the considerations with regard to that candidate.

The “Review and modification” section has been removed because there is no separate P&T Document.

6 Post-tenure review

This section establishes goals, procedures, and safeguards for the post-tenure review (PTR) process of the Department of Computer Science. The objective is a PTR process that is fair, objective, respectful of the rights and privileges of tenure, and not unduly bureaucratic or burdensome. The PTR process is a peer-review process by and for tenured faculty that neither encroaches upon nor

augments the prerogatives of the DEO nor duplicates the duties of the DEO with regard to tenured faculty. Rather the PTR process provides information to the reviewed faculty member and Iowa State University administrators.

The policy of the Department of Computer Science is that PTR shall be a positive process of creative self-renewal for the tenured faculty member. Creative renewal shall be accomplished through a review that respects the right of each tenured faculty member to exercise personal choice over scholarly activities, within the general bounds of professional conduct. The PTR process shall be conducted in a manner that reaffirms the dignity and honor of the academic profession and the personal and professional respect to which a tenured faculty member is entitled.

Toward these ends, the department hereby reaffirms its commitment to academic freedom and to the institution of tenure. Specifically, this department reaffirms its adherence to the principles established by the American Association of University Professors (AAUP) in its 1940 Statement of Principles on Academic Freedom and Tenure, its 1958 Statement on Procedural Standards in Faculty Dismissal Proceedings, its 1983 policy on post-tenure review, and its 1999 reaffirmation of that policy. Where conflicts exist or arise between this department's PTR policy or procedures and these AAUP documents, the latter shall prevail. As the 1999 AAUP reaffirmation states, post-tenure review is not a reevaluation of tenure, nor may it be used to shift the burden of proof from university administration (to show cause for dismissal) to the individual faculty member (to show cause why he or she should be retained).

6.1 Timeline

Each tenured faculty member shall be reviewed with the frequency and time constraints specified in the Faculty Handbook. In the fall of each academic year the DEO will notify each faculty member who is scheduled for a PTR, providing him or her with a copy of this document and instructions to trigger the formation of the Advisory Panel described in the following section.

6.2 Advisory panel

Each PTR shall be conducted by an Advisory Panel. The panel shall consist of three members, all of whom shall hold tenured faculty appointments in any case, and none of whom shall hold an administrative appointment, unless the faculty member requests otherwise. The chair of the Advisory Panel shall be selected by the faculty member under review; a second member shall be selected by the DEO from a list of six submitted by the faculty member; and the third member shall be selected by the two previously selected members from the list of six submitted by the faculty member.

Upon completion of the appointment process, each panel member shall individually communicate to the DEO in writing that said panel member has no conflict of interest in participating in the review process for the faculty member under review.

The faculty member may include in the above list a faculty member from outside the member's home department, including, in special cases, from another university. In all cases, however, the panel members shall possess relevant knowledge and experience in the general field or in the area of the individual member's specialization and shall be demonstrably capable of fair and impartial judgment toward the individual under review.

6.3 Performance standards

The performance of the faculty member under review must be assessed with respect to standards that are fair and reasonable and that are appropriate to the individual and the department. The level of expected performance used to judge the performance of the individual in any year must be consistent with the individual's applicable PRS in effect for each of the years under review. Exercise of academic freedom (e.g., choice of research topics or teaching methods) may never be a basis for unfavorable review. Finally, the faculty member is at all times entitled to presumption of competence; the burden of proof for any contrary finding by the Advisory Panel must lie with the Advisory Panel.

6.4 Review process

After the Advisory Panel has been selected, the faculty member and Advisory Panel will begin the PTR process by reviewing the faculty member's PRS, annual activity reports, and students' and peers' teaching evaluations since the member's most recent review or promotion. If the faculty member and Advisory Panel jointly identify one or more areas in which the faculty member wishes deeper review or more extensive advice, then the faculty member and the Advisory Panel will undertake this deeper review in accordance with the following procedures and constraints.

6.4.1 Review of teaching

A deeper review of teaching may consider the complete range of evidence available. While student evaluations should be included, sole or even predominant reliance shall not be placed on this one source. Rather, the entire portfolio of teaching material may be examined, including but not limited to syllabi, examinations, homework exercises, writing assignments, textbooks, and student research papers. Measurements of actual student performance may be included and compared to established standards appropriate to the course(s) in question. When appropriate, opinions may be sought from teaching assistants and other colleagues who have taught the same or similar courses, both for their assessment of the work of the individual under review and for an understanding of the demands of the teaching environment. The faculty member being reviewed may request classroom visits by one or more members of the Advisory Panel.

6.4.2 Review of research

The standards and methods used to review research must respect the right of the tenured faculty member to select his or her own research topics and to pursue these topics thoroughly over the course of a research career. Emphasis in the review must be placed on the overall intellectual merit of the research program and not on quarterly or even annual output flow or on commercial or pecuniary gain. The research standards must be appropriate to the computer science discipline and to the faculty member's field(s) of specialization.

Members of the Advisory Panel are expected to familiarize themselves with and evaluate the faculty member's entire body of intellectual inquiry. At the discretion of the faculty member under review, the assessments of the panel members may be supplemented with the opinions of scholars of the faculty member's choosing from outside the panel.

The faculty member's record of securing research funding shall be evaluated only insofar as such funding is needed to enable the faculty member to carry out his or her responsibilities consistent with his or her applicable PRS. If such research funding has not been secured, a demonstrated good

faith effort to obtain such funding shall be an adequate defense to a finding that such funding has not been obtained.

6.5 Summary report

The final report of the Advisory Panel will summarize the faculty member's overall performance as "meeting expectations" or "below expectations", with possible consequences as stated in the Faculty Handbook. The criteria for a "below expectations" finding are the same as those for "unacceptable performance of duty" (a finding that can lead to termination of employment) in the Faculty Handbook.

6.6 Due process

The faculty member shall have the right to receive copies of all written and other materials considered. The faculty member shall have the right to present his or her personal testimony and the testimony of any witnesses the member chooses. The faculty member shall have the right to know the identity of any witness, to review and respond to all testimony taken from the witness, and to put questions to the witness. The Advisory Panel shall prepare an initial report of findings that shall be made available for review of the faculty member under review. The Advisory Panel shall then prepare a revised final draft accounting for, or responding to, the faculty member's feedback.

6.7 After the review

6.7.1 Consequences

The PTR does not change the circumstances under which a tenured faculty member may be dismissed from the university. Grounds for dismissal remain those listed in the Faculty Handbook under Faculty Dismissal Procedures. Moreover, the Advisory Panel shall not recommend any dismissal, demotion, revocation of tenure, reduction in salary, reduction or removal of perquisites, withholding or denial of leave or other privileges, increase in teaching or other workload, withholding or denial of promotion, reduction in financial or staff support for research, teaching or extension duties, or other adverse personnel action.

6.7.2 Dissemination

The faculty member shall receive copies of all findings, conclusions, and recommendations of the Advisory Panel and, on request, of any written evidence on which they are based. Neither the findings, conclusions, nor recommendations of the Advisory Panel, nor the evidence on which they are based shall be circulated to anyone other than those specified by the university PTR policy without the advance written permission of the faculty member being reviewed. In the event of release of a portion of the PTR file by the faculty member being reviewed to someone other than those specified by the university PTR policy, the department may release the entire file to said individual or individuals; it being the intention that the PTR file is not to be circulated beyond the specifically identified parties.

6.7.3 Right of appeal

A faculty member shall have the right to comment, in writing or otherwise, in response to a PTR, to challenge the process or findings, and to correct the underlying record. The faculty member shall have a reasonable period, not less than twenty working days, in which to respond to the findings of the Advisory Panel, and the Advisory Panel can revise its document in the light of the response. If the faculty member still believes that the Advisory Panel has not followed due process, or if the faculty member disagrees with the record, findings, or recommendations, he or she may appeal by following the appeal processes as described in the Faculty Handbook.

Nothing in the PTR process shall be interpreted or construed so as to deny, limit, modify, compromise, revoke, or supersede any faculty rights, privileges, or protections, whether procedural, substantive, or appellate, as may have been or in the future may be established under Iowa State University policies or procedures or state or federal statutes or regulations.

7 Hiring procedures

Subsection 7.1 below outlines minimum qualifications for both tenure-eligible faculty positions and term faculty positions. The remainder of this section details hiring procedures for tenure-eligible faculty members other than the DEO. Hiring procedures for the DEO are discussed in Section 3, and hiring procedures for term faculty are discussed in Section 8.

7.1 Minimum qualifications

The Iowa State University Department of Computer Science maintains high standards for the qualifications of individuals hired as faculty members, both tenure-eligible and term. Candidates for faculty positions are expected to have outstanding qualifications in their fields of expertise. For tenure-eligible faculty these qualifications normally include a PhD in computer science or a related discipline and a record of achievement that justifies a faculty appointment at a research university. For term faculty these qualifications normally include an MS (with a PhD preferred) in computer science or a related discipline or professional experience indicating equivalent knowledge of computer science. Any candidate who does not meet these minimum standards will not be considered for a faculty appointment, unless the department deems it necessary to seek a waiver for that candidate as detailed in the following paragraph.

The search committee and the DEO will determine whether or not a waiver should be sought and, if so, will submit the question to the department. If a majority of the department faculty who are eligible to vote on this hire vote in favor, the chair will forward a waiver request, with a justification for the waiver, to the Dean. In the case of faculty appointments where no search committee is used, the DEO will meet with the directors of undergraduate and graduate education to consider whether to proceed with the request for a waiver. If a majority of that group decides to proceed, the request will be made, with a justification for the waiver, to the Dean. The Dean may recommend to the provost that a waiver be granted.

7.2 Procedures

At the beginning of each academic year, the DEO will appoint a Faculty Search Committee, consisting of voting members of the faculty. The DEO will inform the search committee of open positions as

they arise.

In consultation with the faculty, the search committee will advertise vacant positions in appropriate professional media. A file typically consisting of a resume, letters of recommendation, and other evidence of professional merit will be compiled for each candidate. These files will be available to all voting members of the faculty who wish to review them. In all matters concerning hiring, the affirmative action policies of the university will be followed.

Normally the search committee will select some number of candidates from among the applicants to invite to campus for an interview. Upon visiting the department, each candidate will typically meet interested faculty, administrators, and often students. The candidate will also give a seminar to faculty and students. Following the visit, all tenure-eligible members of the faculty will be invited to comment on the candidate and to express their preferences among candidates. If necessary, a secret ballot may be held following the candidates' visit. The voting members of the faculty may choose to vote on recommendations at a regular faculty meeting. Such a meeting will be called by the search committee on the basis of individual recommendations and comments by the faculty.

8 Term faculty

This section concerns the hiring, appointment, renewal, and advancement of term members of the faculty. Much of this section is taken directly from the LAS Policy on Term Faculty Appointment, Renewal, and Advancement in the College of Liberal Arts and Sciences, as approved by the LAS Representative Assembly on November 27, 2018, and referred to below as LAS-Term.

Term faculty and their various titles are specified in Section 8.1.1 of this document, and minimum qualifications are specified in Section 7.1 of this document. Further elaboration of the operational meanings of these titles, adapted from LAS-Term, are as follows.

8.1 Appointments

The Department of Computer Science will abide by the restrictions on the PRS noted in the full descriptions of term faculty appointments. These restrictions require that a certain percentage of the faculty member's effort must support the aspect of the university's mission to which the appointment is primarily related. The full description for each of the titles is in FH 3.3.2.2.

8.1.1 Term faculty titles

- **Teaching faculty.** The primary responsibility of teaching faculty is to contribute to the teaching mission of the university. These positions must include a significant element of instruction; additional responsibilities may include advising, curriculum coordination, leadership of multi-section classes, and other responsibilities related to the teaching mission. All Teaching faculty must devote at least 75% of their time to instruction, advising, curriculum coordination and other responsibilities related to the teaching mission.
- **Practice faculty.** Practice faculty must have significant relevant professional experience outside of academia that qualifies them to contribute to instruction and/or advising. Their primary responsibility is teaching in their area of professional expertise and related institutional and professional service. All Professor of Practice faculty must devote at least 75% of their time to teaching in their area of expertise and related institutional and professional service.

- **Adjunct Faculty.** Adjunct appointments may be appropriate for facilitating the university's aims to hire and retain excellent faculty, including dual-career couples; to carve out new areas of academic expertise; and to attract experts on extramural grants and contracts.
- **Clinical Faculty.** Clinical faculty provide or oversee the delivery of professional services to individual patients or clients, and teach students, residents, or fellows of the university at the undergraduate, graduate, professional, or postgraduate level. They are expected to integrate the delivery of their professional services with their teaching. (Note: At the time of this writing, the Department of Computer Science has not had occasion to hire clinical faculty.)
- **Research Faculty.** Research faculty primarily engage in externally funded research, and they must have opportunity to move toward research independence. At least 10%, but no more than 20%, of a research faculty member's salary shall be paid from the general fund. (Note: At the time of this writing, the Department of Computer Science has not had occasion to hire research faculty.)
- **Distinguishing teaching faculty and practice faculty.** Practice and teaching faculty both have a primary responsibility of teaching and related service. The teaching titles are appropriate when the faculty member's primary qualification for the position is academic. The practice titles are appropriate when the primary qualification for the position is professional experience that is not academic in nature. Practice faculty may hold a graduate degree, but that degree is not the primary basis of their appointment. Practice faculty may also have significant service responsibilities unrelated to teaching or advising, but related to their field of professional expertise.
- **Distinguishing Lecturer and Assistant Teaching Professor titles.** Lecturer and Assistant Teaching Professor both indicate teaching positions. The difference between them is a matter of contract length. Lecturers are on contracts of one year or less. Assistant Teaching Professors are on multi-year contracts (FH 3.3.2.2). Teaching professor appointments of any rank in LAS are for a minimum of three years.

The title of faculty members employed as lecturers, when renewed after three academic years of continuous employment as a faculty member at Iowa State University, will change to Assistant Teaching Professor. In LAS, renewal beyond the third year requires a continuing need, available funds, and a review by peer faculty. The title change is not a new appointment, nor is it an advancement (FH 3.3.2.3).

In LAS, faculty members may have an initial appointment as Assistant Teaching Professor if they have a multi-year contract and appropriate experience.

8.1.2 Searches

A faculty hiring committee is required for term faculty searches only if the initial appointment is greater than one year.

8.1.3 Contract length

As a general principle, the TFRC conducts reviews and documents them, but TFRC members do not vote within the TFRC on any case of renewal or advancement.

- **Lecturers.** Lecturers are short-term teaching faculty appointments, and shall have a contract length of one year or less. Such contracts are renewable for up to three years of continuous service. A search committee is not required for the hiring of Lecturers.

After three years of continuous service, Lecturers who are renewed will be renewed as Assistant Teaching Professors with three-year contracts. Such a renewal requires a TFRC review, a separate evaluation by the DEO, and a majority vote of all voting members of the faculty other than Lecturers, after they have been allowed to read the review and evaluation. The change in title and contract length is not an advancement, and will not normally lead to changes in the PRS or FTE of the appointment. Renewals as a Lecturer, i.e., an additional short-term appointment prior to renewal as Assistant Teaching Professor, are decided by the DEO. Peer review is not required for renewal as Lecturer during the first two years after initial appointment.

Term faculty at the Lecturer rank require a notice of three months of intent not to renew.

Lecturers must be reviewed by the TFRC and notified by the department chair of an intent to renew or not renew by February 15 of their third year of continuous employment.

- **Assistant term professors.** Adjunct faculty at the assistant rank shall have a contract length of one or three years. After three years of continuous service, subsequent contracts shall be for three years.

Assistant term professors shall have three-year contracts. The Faculty Search Committee must conduct a search for the hiring of faculty whose initial appointment at Iowa State University is as an Assistant Teaching Professor. Assistant term faculty on three-year contracts will undergo a review by the TFRC during the second year of their contract. This review, and a separate review by the DEO, will inform a vote on whether to renew the contract. All term associate professors, term professors, and tenure-eligible faculty are eligible to vote on such renewals.

Assistant term professors are eligible for advancement to the associate term rank after five years of service at the assistant/lecturer rank, inclusive of all service under either title. Faculty may receive credit for time served at other institutions at the time of initial appointment. Assistant term professors who are eligible for advancement are not required to pursue advancement.

- **Associate term professors.** Associate term professors shall have a contract length of three years with renewal reviews conducted by the TFRC in the second year of each contract period. Associate term professors who are eligible for advancement are not required to pursue advancement.
- **Term professors.** Term professors shall have a contract length of five years with renewal reviews conducted by the TFRC in the fourth year of each contract period.
- **Term faculty on one-time funds.** Lecturer positions may be paid for with one-time funds with LAS approval. Assistant Professor of Practice and Assistant Clinical Professor positions may be on one-time funds if their contract is two years or less. Assistant Teaching Professor positions and all term faculty appointments at the rank of associate professor or professor may be paid with one-time funds with LAS approval.

8.1.4 Term faculty in the Graduate College

The Graduate College sets its own policies on the roles that term faculty may adopt within the Graduate College and the procedures for admitting them into those roles. The Department of Computer Science does not hire term faculty for the purpose of teaching at the graduate level, though term

faculty may occasionally be asked to do so. Below is a summary of the Graduate College's policies as of November 2018.

- **Associate members of the Graduate Faculty.** Any full member of the graduate faculty may nominate a term faculty member for Graduate Faculty associate membership. Associate members of the Graduate Faculty must have demonstrated competence for pursuing creative work by completing a research doctorate or the highest degree appropriate to their discipline from an accredited or internationally recognized institution. In rare circumstances, individuals without the required degree may be eligible for Graduate Faculty associate membership when they have a demonstrated record of impactful creative work that establishes equivalent experience (Graduate Handbook Appendix G: Graduate Faculty Membership and Associate Membership, Section G.2). Procedures for nomination are included in the Graduate Handbook.

Graduate Faculty associate membership allows an Iowa State University employee who has been appointed to a faculty rank to serve as a co-major professor or a committee member, and to teach graduate-level (500-level and 600-level) courses.

- **Graduate Teaching.** A term faculty member who does not have a terminal degree may be allowed to teach a graduate course if they are nominated and approved to do so by the Graduate College. Nominees need to have a degree comparable to the level of class they will be teaching. These individuals will be able to teach 500-level courses on a temporary basis if they have a master's degree. Individuals approved to teach who are not members of the graduate faculty are not eligible to serve on POS committees.

8.2 Advancement criteria and procedures for term faculty

8.2.1 Advancement and the PRS

The DEO negotiates with each term faculty member the position responsibilities of that term appointment. While department needs may limit the room for negotiation, the PRS must be written to allow term faculty the opportunity to make a reasonable case for advancement if the faculty member is interested in such advancement (FH 3.4.2.2). Term faculty may participate in the PRS mediation process (FH 3.4.4).

The PRS offers guidance on how much weight to place on the different responsibilities a faculty member has relative to other faculty in their department or college. For example, a 3/4 time faculty member who teaches six classes a year has a greater expected proportion of effort for teaching than a 3/4 time faculty member who teaches three classes per year. With the greater proportion of effort devoted to teaching responsibilities, the evaluator gives greater weight to teaching for the faculty member in accordance with evaluation procedures (FH 3.4.2.2). As teaching and practice faculty have a relatively higher effort allocation to teaching, the quality of their teaching performance will be given greater weight than that of tenure-stream faculty in advancement decisions.

8.2.2 Criteria for advancement

Advancement to Associate Teaching Professor. Term faculty are eligible for promotion to the associate rank after completing five years of employment as a faculty member at Iowa State University (at any FTE) including credited experience elsewhere (see FH 5.4.1.3). Faculty may apply

for advancement at the beginning of their sixth year. Credit for experience at other institutions shall be determined at time of initial appointment.

To be eligible for promotion to Associate Teaching Professor, the faculty member must also have (see FH 3.3.2.3):

- A record of success in executing the primary responsibilities identified in their PRS. This should include a positive peer review evaluation of their teaching and evidence of pedagogical development, which can include activities such as use of creative teaching techniques, responsiveness to course assessments, innovative use of technology, or work with campus partners.
- Promise of further academic and professional development as a scholarly teacher. Scholarly teaching is distinct from scholarship and requires command of the subject matter, continuous growth in the subject field, and an ability to create and maintain instructional environments to promote student learning (FH 5.2.2.3.1).

Advancement to Teaching Professor. To be eligible for promotion to Teaching Professor, a faculty member must have:

- Proven and sustained excellence in the primary responsibilities identified in their PRS.
- Shown effectiveness in any other areas of their PRS (see FH 3.3.2.3).

To advance to the title of Teaching Professor, faculty members must participate in the mission of the university beyond routine classroom teaching and beyond their previous promotion in a sustained and substantial manner. They may engage the broader mission through non-routine classroom teaching or other kinds of service. Examples of contributions supportive of advancement include, but are not limited to,

- A record of significant curriculum improvement and development, including activities such as collaborative courses and programs, innovative use of technology, and pedagogical innovation.
- Course or program coordination for multi-instructor courses.
- Substantial student service (e.g., advising individual students and student organizations, mentoring, service on graduate student committees, leading learning communities).
- A record of substantial and meaningful service to the department, university, or profession.
- A leadership role in a department, the college, or the university.
- A record of involvement in department life and responsiveness to department needs.

Contributions to the professional field are not required, but may support advancement to the professor rank when related to the PRS. Career contributions will not offset deficiencies in PRS performance.

Advancement of practice faculty. Advancement of practice faculty shall follow standards similar to those for teaching professors, above. The PRS may not require that practice faculty continue professional practice outside the university.

To advance to the title of Professor of Practice, faculty members must participate in the mission of the university beyond routine classroom teaching and beyond their previous promotion in a sustained and

substantial manner. They may engage the broader mission through non-routine classroom teaching or other kinds of service. Examples of contributions supportive of advancement include, but are not limited to,

- Interaction with internal and external audiences.
- Mentoring students or connecting them to professional opportunities.
- Significant professional service of benefit to the university.
- Substantial student service (e.g., advising individual students and student organizations, mentoring, service on graduate student committees, leading learning communities).
- A record of substantial and meaningful service to the department, university, or profession.
- A leadership role in a department, the college, or the university.
- A record of involvement in department life and responsiveness to department needs.

Practice faculty may include professional contributions related to their PRS in applications for advancement.

Advancement of adjunct faculty. Advancement of adjunct faculty proceeds according to LAS guidelines.

Advancement of research faculty. The Department of Computer Science has not hired research faculty and will need LAS approval of criteria for appointment, renewal, and advancement prior to any faculty search/appointment of research faculty.

Advancement of clinical faculty. The Department of Computer Science has not hired clinical faculty and will need LAS approval of criteria for appointment, renewal, and advancement prior to any faculty search/appointment of clinical faculty.

8.2.3 Procedures for advancement

Advancement template. Term faculty members will use the LAS Term Faculty Advancement Template in submitting their materials for advancement. This template will be available to all faculty on the College's webpage.

The DEO completes the cover sheet of the template. Sections 1 and 2 are the responsibility of the candidate, in consultation with the TFRC or DEO. The candidate and TFRC should both review and approve these sections for factual accuracy.

Section 3 includes two parts. The TFRC writes the first part, independently of the candidate. The second part is the DEO's recommendation.

Once the dossier is complete, sections 1 and 2 will continue to be available to the candidate; Section 3 is a confidential document and will not be available to the candidate.

Evaluation of teaching. The TFRC provides documentation for the evaluation of teaching excellence. Methods and metrics for this will include class visits, course materials, student outcomes, student evaluations of teaching, and other relevant sources identified by the TFRC. The methods and metrics of evaluating teaching performance shall be the same for term faculty and tenure-eligible

faculty. Teaching performance will have greater weight for faculty with significant teaching responsibilities than for faculty with lower teaching responsibilities.

Vote on advancement. For cases of advancement to associate term professor, the eligible voters are associate professors, associate term professors, professors, and term professors. For cases of advancement to term professor, the eligible voters are professors and term professors. Eligible voters will have access to the TFRC report and sections 1-3 of the template. All such votes are by secret ballot and are forwarded to LAS with the other advancement materials.

DEO role. The DEO will make an independent evaluation of the advancement case informed by the TFRC report, along with the department discussion and vote.

The DEO may decide to support or not support the advancement. The DEO will explain to the candidate in writing both the results of the faculty vote and the DEO's recommendation before these are submitted to the college. The DEO will provide constructive assessment of the candidate's performance that includes feedback designed to aid the candidate in improving his or her performance.

If the DEO decides to support the advancement, the DEO will submit the peer review committee's report along with the DEO's letter of recommendation to the Dean with the department vote.

If the DEO decides not to support the advancement, the candidate may withdraw the application for advancement or may request that the chair submit the request for consideration by the Dean. There is no penalty for withdrawing an application for advancement, and the candidate may resubmit the application during any future advancement cycle once the advancement portfolio has improved. There is no penalty for requesting that the materials go forward.

Advancement and renewal are separate processes. A decision not to support advancement may not be used as a basis for non-renewal. However, the peer review process used to inform the advancement recommendation may also inform renewal decisions.

College review. The Dean will make an independent evaluation of the advancement case informed by the department evaluation. The Dean will seek input from the college leadership team to review the materials and make a recommendation.

The Dean will inform the candidate in writing before the college's recommendations are submitted to the Provost for consideration.

Faculty who are not recommended for advancement will be informed by the Dean in writing. This information should be presented in a constructive manner and, where appropriate, should include guidance for improving performance in terms of the college's criteria for advancement. Faculty not recommended for advancement can request that their materials go forward to the Provost for further review at the university level. Faculty who are supported for advancement will have their materials automatically forwarded to the Provost. There is no penalty for faculty who are not recommended for advancement.

8.3 Renewal reviews

The primary bases for renewal of term faculty appointments are performance of the responsibilities identified in the PRS and the department's continuing need of the position. The college and department determine continuing need based on course demand, curricula, strategic priorities, and the availability of financial support. Performance is documented by the TFRC using measures such as class visits, course materials, student outcomes, student evaluations of teaching, and other relevant sources.

In renewal decisions, teaching performance will have greater weight for faculty whose PRS require a greater proportion of their effort be devoted to teaching than for faculty with lower teaching responsibilities.

8.3.1 Timing of renewal reviews

Annual reviews. All faculty, including term faculty, must receive annual reviews from the DEO or designee (FH 5.1.1.2).

Annual reviews may inform TFRC reviews for advancement and renewal.

Contract renewal of faculty on contracts of one year or less. Annual reviews may be used as the basis for renewal of appointments of one year or less.

Term faculty on contracts of one year or less must undergo a TFRC review before the end of their third year of continuous service from their initial appointment date (FH 5.4.1.2). During the first two years of initial appointments, the DEO or a designee will conduct the review. Renewal beyond the third year and subsequently requires both a TFRC review and continuing need.

Lecturers must be reviewed by the TFRC and notified of an intent to renew or not renew by February 15 of the third year of continuous service.

Term faculty on multi-year contracts. After three years of continuous service, term faculty must receive one year of notice before non-renewal. Thus, faculty on three- year contracts are reviewed at the end of the second year; and faculty on five-year contracts are reviewed at the end of the fourth year.

Department votes. The renewal voting process is the same as the advancement voting for term faculty, except that the eligible voters are only supplied with the TFRC report; there is no LAS template.

8.4 Service and the PRS

8.4.1 Service required by the PRS

Term faculty shall have service responsibilities appropriate to their rank and role in the department. Required service shall not exceed 10% of appointed effort without complementary adjustments to the PRS. The PRS must indicate any required service responsibilities.

8.4.2 Service outside the PRS

Term faculty may volunteer for service that goes beyond their PRS, because participation in shared governance is a right of all faculty. Such voluntary service, or its absence, shall not be held against faculty during performance reviews (annual, renewal, or advancement).

8.5 Research by teaching and practice faculty

The College of Liberal Arts and Sciences and its departments will not provide salary support for scholarship by teaching and practice faculty from general funds. Teaching and practice faculty may

apply for grants as PIs or co-PIs to support scholarship with approval of their chair. They may also be supported by external grant funds for which they are not a PI or co-PI, with approval of their department chair and the College.

The Faculty Handbook requires that at least 75% of the time of teaching and practice faculty be devoted to teaching and related service (3.3.2.2). Consequently, no more than 25% of their time can be devoted to all other responsibilities including scholarship. This limit does not apply to summer funding.

8.5.1 Role of scholarship in review of teaching and practice faculty

If scholarship is a part of the PRS, all regular reviews (annual, renewal, and advancement) must ensure that the faculty member is effective in that area. If the faculty member is not effective in scholarship, the PRS will be adjusted accordingly.

Scholarship is distinct from scholarly teaching, which is expected of all faculty who teach (see FH 5.2.2.2 and 5.2.2.3 for a fuller explanation of the distinction).

8.5.2 Scholarship outside the PRS

Term faculty may engage in scholarship on their own time. Term faculty may include scholarly activities in the documents they submit for review (annual, renewal, and advancement). While such outside scholarship is neither required nor compensated, such activity is still governed by university policies on academic and research misconduct (FH 7.2.2.3).

9 Appeals

Any voting member of the faculty may file an appeal on any matter within the mandate of the appropriate committee. All such appeals shall be discussed first with the committee and, if a resolution is not reached, with the DEO and the committee. If both of these fail, the tenure-eligible members of the faculty shall resolve the matter by majority vote at a regular faculty meeting.

An individual student may file an appeal on any matter within the mandate of the appropriate committee. All such appeals shall be discussed first with the committee and then, if a resolution is not reached, with the DEO and the committee, whose joint decision shall be final.

10 Changes to this document

Any tenure-eligible member of the faculty may submit a written proposal for a change in the governance document, and any term member of the faculty may do so if the change does not involve either the evaluation of research by tenure-eligible members of the faculty or matters affecting the role that such evaluations play in department governance. In either case, such a proposal should be discussed in a faculty meeting and will be adopted if approved by a majority of (1) the tenure-eligible members of the faculty, if the change involves either the evaluation of research by tenure-eligible members of the faculty or matters affecting the role that such evaluations play in department governance, or (2) the voting members of the faculty if the change does not involve either the evaluation of research by tenure-eligible members of the faculty or matters affecting the role that such evaluations play in department governance.

The following versions of this document have been previously approved by the faculty:

- April 26, 2019.
- February 25, 2019.
- October 7, 2018.
- Prior to the October 7, 2018 version, several separate documents were in existence, addressing different portions of departmental governance.