

**Governance Document Department of Statistics Approved
1/19/00**

REVISED 10/4/2017

Policies and Procedures for the Department of Statistics in the College of Liberal Arts and Sciences
College of Agriculture and Life Sciences and the Statistical Laboratory
Iowa State University

TABLE OF CONTENTS

I. Organization of Department	2
II. Department Committees	7
III. Procedures for Recruitment of Tenured or Tenure Track Faculty	7
IV. Policies for Review of Tenured or Tenure Track Faculty	8
V. Policies for Tenure Review and Promotion of Tenured or Tenure Track Faculty	15
VI. Policy for Recruitment, Review, Reappointment and Promotion of Non-Tenure Track Faculty	22
VII. The Chair's Availability to Individual Staff Members	25
VIII. Amendment Procedures	25

I. Organization of Department

A. Introduction

This document delineates the administrative organization and administrative procedures of the Department of Statistics and the Statistical Laboratory at Iowa State University. It was prepared and approved by the Statistics Faculty in 1989 and was amended on January 19, 2000. This document is designed to meet the requirements of and to be consistent with the university administrative structure.

The primary objective of the administrative organization of the Department is to improve the productivity and creativity of the faculty in their teaching, research, consulting and service activities. Included among the administrative activities are hiring and retention of high-quality faculty; recruitment and placement of students; personnel actions, including promotion and dismissal; allocation of resources such as funds, classroom space and office space; assignment of duties and responsibilities to faculty and staff members; and maintenance of records of faculty and staff's performance consistent with university guidelines. In such activities there is interplay between advice and recommendations originating with the faculty and directions received from higher-level administrators.

B. Departmental Organization

1. The Department Chair is responsible for the overall administration of the Department of Statistics and the units within the Statistical Laboratory (hereafter collectively called the Department). The Chair takes primary administrative responsibility for the teaching, research, professional practice and service activities. Matters involving fund allocations, new positions, proposals for contracts and cooperative agreements, and other policy questions should be discussed directly with the Chair. The Chair will appoint committees and administrative officers to assist in departmental administration, as the Chair deems appropriate.

Under the Iowa State University organization, the Chair of the Department is responsible to the Dean of the College of Liberal Arts and Sciences (LAS), the Dean of the College of Agriculture and Life Sciences (CALS), and the Vice Provost for Research and Economic Development, for seeing that policies and allocations are carried out appropriately within the Department and for maintaining continuity and stability in the operations of the Department.

The Chair's responsibility to the faculty is that of contributing to enhancement of the professional stature of the Department, facilitating the professional development of the faculty, and trying to create and maintain physical conditions, services, and patterns of communication that will increase the productivity and strengthen the morale of the Department. In pursuit of these objectives, the Chair will discuss major policy issues with the faculty of the Department or with the relevant subset of the faculty. A monthly faculty meeting is held during the academic year for such discussion. The Chair is responsible

for communicating the recommendations and policy positions of the Statistics Faculty to the proper administrative officers.

A proposal affecting the work of the Department may be initiated by anyone interested in the Department's work. Proposals of major importance will be discussed by the Chair and members of the faculty. After discussion has been conducted, it may be necessary for the Chair to make a decision about resource use within the limits of existing authorizations. If there is substantial disagreement within the Department on the subject of such a recommendation, the Chair shall indicate to the college administrators the nature of the disagreement.

At least once a year the Chair shall meet with each non-tenured faculty member to review the individual's activities and progress. The Chair is also responsible for annual written evaluation of all faculty members. (See Section IV below.)

2. There are areas within the Department that involve activities of a magnitude requiring a person to take primary administrative responsibility for those activities. The administrative positions are:

- Director of Undergraduate Studies
- Undergraduate Advising Coordinator
- Director of Graduation Education
- Associate Chair

The Director of Undergraduate Studies takes primary responsibility for the routine administration of the undergraduate teaching program. This individual assists the Chair and the Director(s) of Graduate Education with assignments of graduate student instructors, graders and laboratory assistants to their duties. Class scheduling, classroom assignment, evaluation of graduate teaching assistants, organization of multi-section courses and general policy matters related to undergraduate teaching are this individual's responsibility. Records required by the Department, the College of Liberal Arts and Sciences and the university concerning the undergraduate teaching program are maintained under the supervision of this individual.

The Director of Undergraduate Studies will also have administrative responsibility for the undergraduate program in Statistics. In view of this, this individual will ordinarily be appointed chair of the Undergraduate Committee of the Department. Records of students who have completed the B.S. degree in Statistics or who have left the university when they were Statistics majors will be kept under supervision of the Director of Undergraduate Studies. At least once each year the Director of Undergraduate Studies will report to the Statistics faculty on the status of the undergraduate program.

The Undergraduate Advising Coordinator, generally another faculty member, will assist in the administration of the undergraduate program. This individual is responsible for (1) the assignment of new majors to advisers, (2) the timely dissemination of changes in

university policies regarding advising to all undergraduate advisers, and (3) representation of the Department on the LAS Advising Council. The Director of Undergraduate Studies or the Advising Coordinator will be assigned such duties as (1) Liaison person for the Department with the Placement Office, (2) Resource individual for Statistics with the Student Counseling Service, and (3) Outcomes Assessment Representative in order to administer effectively the B.S. program in the Department. They will also have responsibility for creation and administration of learning communities and selection of the Undergraduate Statistics Club advisor.

The Director(s) of Graduate Education is responsible for the recruitment, admission, initial advising, and placement of graduate students. The Director(s) of Graduate Education and the Chair, aided by the Assistantship Evaluation Committee, determine which students should be admitted to the graduate program and which new students should be supported. The Director(s) of Graduate Education assists the Chair and the Director of Undergraduate Studies, assignments of graduate assistants to positions. The Director(s) of Graduate Education works closely with the Chair to maintain proper coordination among the teaching, research, professional practice, and service programs of the Department. The Director(s) of Graduate Education assists major professors in the placement of students by gathering and making available to students' information on job openings. At least once a year, the Director(s) of Graduate Education will report to the Statistics Faculty on recruitment, assignment and placement of graduate students, and the status of the graduate program.

The Chair has authority to appoint an Associate Chair to assist the Chair in the administration of the Department and to assist and coordinate activities of the Director(s) of Graduate Education, the Director of Undergraduate Studies, and the Undergraduate Advising Coordinator.

3. The position of Administrative Specialist is professional, in the sense of requiring a college education and/or considerable specialized training and experience. The basic function of the Administrative Specialist is to relieve faculty members and academic administrators of detailed involvement in office management and accounting activities. Major office management decisions affecting the welfare of faculty members will be made by the Chair after consultation with individual faculty members and/or faculty committees.

The Administrative Specialist, with help from the Account Clerk, is responsible for checking payrolls, requisitions, absence requests and other documents for conformity to university regulations and for availability of funds; for informing project leaders and the Chair concerning cumulative expenditures and remaining balances in the various departmental accounts; for gathering information and preparing reports requested by the colleges and university administrative units; and for expediting other services to the Department at the direction of the Chair or other administrative officers. The position requires constant communication with fiscal officers, purchasing agents, (nonacademic) personnel officers, and others responsible at the college or university level for complex business management functions.

The Administrative Specialist will interview, hire, train and evaluate office support staff; organize, direct and control the activities of the office support staff; and recommend appropriate classification (reclassification) and termination changes. The Administrative Specialist will keep a master file for each faculty member including current curriculum vitae, the record of their academic honors and activities, and all periodic evaluations.

The Administrative Specialist is responsible for taking minutes at faculty meetings and distributing them in a timely fashion.

4. Additional delegations of coordinating responsibility in particular areas may be made by the Chair to individual faculty members or committees. The Chair also has authority to appoint ad hoc committees to handle particular short-term assignments.

5. Any faculty member, staff member, or student may communicate directly with the Chair and other departmental administrative officers. However, working on the basis of the above delegations of responsibility will facilitate orderly conduct of the Department's business. Questions of administrative policy that are within the over-all jurisdiction of the Chair may be referred by the Chair to the Statistics Faculty for discussion and recommendations.

C. Statistics Faculty

The Statistics Faculty consists of all Full Professors, Associate Professors, Assistant Professors, non-tenure eligible Research Professors, Senior Lecturers and Lecturers of Statistics on regular appointments and anyone else on a faculty appointment as defined in the Faculty Handbook. These include, for example, Adjunct appointments and Collaborators. The voting status of a person on a visiting appointment will be determined by the Chair at the time of appointment.

The Statistics Faculty is the basic consultative and advisory body to the Chair with respect to policies and programs of the Department, including the selection and promotion of faculty members at or to the rank of Assistant Professor or higher.

Regular meetings of the Statistics Faculty will typically be held each month of the academic year. Additional meetings can be called by the Chair. The Chair or a designated representative will chair these meetings. The Iowa Stat-ers representing the Statistics Graduate Students selects one graduate student majoring in Statistics as a nonvoting representative to regular faculty meetings. Emeritus faculty may attend faculty meetings as nonvoting members. The Administrative Specialist may attend these meetings to record the minutes and maintain awareness of Department activities.

Staff members not included in the Statistics Faculty may ask the Chair, or a member of the Statistics Faculty, for an opportunity to present suggestions to the Statistics Faculty at one of their regular meetings. Questions of particular concern to individual faculty members should be taken up directly with the Chair or other appropriate departmental administrators.

D. Graduate Assistants

Faculty supervising the work of Graduate Assistants are directly responsible for explaining and applying university and departmental policies to them --that is, those policies that relate to their responsibilities as employees of the university and the Department. They also bear primary responsibility for encouraging good working relations between them and other employees of the Department.

The Chair will take responsibility for seeing that every Graduate Assistant is appropriately informed of changes in Department policies and personnel and of other news relevant to their work and participation in the professional life of the Department.

As academic advisors, major professors have recognized responsibilities for the application of university academic policies to Graduate Students.

E. Emeritus Status

The Chair will nominate for emeritus status anyone meeting university guidelines. Departmental goals with respect to emeritus status are:

1. To provide, if desired, an opportunity for continuation of relationships with the Department, particularly in, but not limited to, the following areas: collaborative research, independent research, recruitment of faculty and students, seminar selection and arrangements, counseling of faculty and students in teaching, research and consulting matters, review of manuscripts, review of research proposals and teaching plans, and substitute teaching.
2. To maximize for the Department and for its active faculty and students the continuing contributions which emeritus faculty are willing and able to make.
3. To produce complementary relationships between the career development activities of active faculty members and the continuing activity of emeritus faculty.

The privileges of the emeritus faculty member compatible with departmental goals are:

1. To serve as a member on graduate student committees.
2. To serve, with the approval of the Chair, as a co-chair of a graduate student committee provided the other co-chair is a full-time regular faculty member and a member of the graduate faculty.
3. To participate in the business of the Statistics Faculty, including attendance at meetings, in an advisory capacity.

4. To be eligible for appointment as a member of departmental committees in either an advisory or voting capacity at the option of the Chair.
5. To have current expense and assistantship help on a research project that is requested by college level administrators, that is compatible with the skills and experience of the emeritus faculty member, and for which no qualified, active faculty member wishes to assume major responsibility.
6. To participate in teaching and department activities in a manner consistent with university policy.
7. To have limited office space, if available. To have secretarial and clerical help to the degree required for duties performed in the interest of the Department. The provision of office space and help will, in part, be contingent on the continuation of frequent interaction with some activities of the Department.

II. Department Committees

Standing committees will be appointed by the Chair in connection with a number of continuing or recurrent activities in which faculty consultation and cooperation are important. Standing committees shall present a report at a regular faculty meeting (or in writing) in the spring of each year.

Action in response to committee recommendations is, in general, the responsibility of the Chair or the representative designated by the Chair. Committee responsibility that would involve new policies or procedures of major concern to the faculty will be discussed with the Statistics Faculty.

III. Procedure for Recruitment of Tenured or Tenure Track Faculty

A. If a vacancy should arise, the Chair will obtain permission from appropriate college deans to fill the position and then appoint a search committee. The committee will meet to identify departmental needs and goals and to formulate a description of the job and type of person desired for the position. In general, the committee will consult with individuals in the Department who hold a special subject matter interest in the area in which the position is located.

B. The Search Committee will advertise the vacant position in the appropriate professional media, send letters to other departments, government agencies, and firms, and disseminate information about the vacancy through other potentially productive channels. In all matters concerning recruitment and hiring, the Department and the Search Committee will adhere to State and Federal Fair Employment regulations and follow procedures consistent with Iowa State University Policies.

C. A file typically consisting of curriculum vitae, letters of recommendation, grade transcripts (for junior candidates), and other evidence of professional merit will be compiled for each candidate.

D. Minimum qualifications for tenured and tenure track faculty positions will include a Ph.D. in Statistics or another discipline appropriate to the position description. In unusual circumstances, the Department Chair may, after consulting with the Search Committee Chair, request a waiver of these minimum qualifications from the College Dean.

E. Normally the committee will select three or more candidates from among the applicants to invite to the Department, whereupon, each candidate will typically meet interested faculty, administrators, and students and present a seminar. Prior to the visit of a candidate, all resident faculty will be given the opportunity to request a meeting with the candidate. The complete file for each candidate to be interviewed will be maintained by the Administrative Specialist and made available to the Statistics Faculty.

F. The Search Committee will consider all relevant information in formulating and submitting recommendations to the assembled Statistics Faculty. Those present will vote on the recommendations at this meeting. If it is anticipated that the appointment is to be made with tenure and/or at a rank higher than Assistant Professor, a separate secret ballot will be taken by the appropriate Departmental Promotion and Tenure Preliminary Screening Committee, as defined in Section V.2. The faculty's votes will be forwarded by the Chair to the college level.

Neither the committee nor the faculty will generally be involved in salary recommendations or negotiations.

IV. Policies for Review of Tenured or Tenure Track Faculty

A. General Information

This document is consistent with the policies and procedures in the College of Liberal Arts and Sciences and the College of Agriculture and Life Sciences. Taking the college documents as a starting point, this section elaborates on how the college policies and procedures will be carried out in the Department.

The Department maintains a very broad program of teaching, research, service and professional practice. An appreciation of this is critical as a background for the review policies of the Department. An abbreviated listing of the activities is as follows:

1. Teaching and advising
 - a. Undergraduate teaching
 - i. Service courses
 - ii. Major courses
 - iii. Online education
 - b. Graduate teaching
 - i. Service courses

- ii. Minor courses
 - iii. Major courses
 - iv. Serving on graduate P.O.S. committees
 - v. Online education
- c. Advising statistics majors
 - i. Undergraduate
 - ii. Graduate (on and off campus)
 - d. Mentoring graduate assistants
 - e. Developing teaching materials
 - i. Textbooks and other teaching materials (including online and multimedia materials)
 - ii. Articles on teaching
 - f. Grants for developing and disseminating new teaching tools for statistics

2. Research

- a. Research in statistics theory, methods, and computing
- b. Research in applications
- c. Direction of graduate student research
- d. Dissemination-publications (print and electronic)
 - i. Refereed papers
 - ii. Refereed Conference Proceedings
 - iii. Un-refereed papers and conference proceedings
 - iv. Books, book chapters, texts/monographs
 - v. Multimedia materials
 - vi. Software made available for public use
 - vii. Supporting materials for refereed works
- e. Dissemination-presentations
 - i. Invited lectures/papers/presentations/workshops
 - ii. Contributed papers/presentations
 - iii. Posters
 - iv. Websites
- f. Grants
 - i. For research in theory and methods
 - ii. For research in application of statistics

3. Professional Practice

- a. Statistical consulting
- b. Improvement of the statistics-computing interface
- c. Survey operations

- d. Conducting workshops/conferences
- e. Teaching extension courses
- f. Public science education
- g. Authorship and co-authorship of papers with statistical content in other disciplines
- h. Grants for collaborative research with subject matter specialists
- i. Outreach to state and national government agencies and companies, especially those with an interest in Iowa

4. Service

- a. Institutional
 - i. Departmental committees
 - ii. College committees
 - iii. University committees
- b. Professional societies
 - i. Offices
 - ii. Committees
- c. National review functions
 - i. Advisory panels
 - ii. NSF and other grant agency reviewing
- d. Editorial functions
 - i. Editor/associate editor work
 - ii. Refereeing papers/reviewing books

B. Basis of Review

Every faculty member is responsible for:

1. Maintaining a current curriculum vitae on the designated departmental storage device.
2. Conducting student course evaluations using the departmental form and procedures,
3. Providing the Chair an annual summary of his or her accomplishments and activities, and
4. Maintaining a current approved Position Responsibility Statement.

The Position Responsibility Statement is agreed upon by the faculty member and Chair. Although it can be reviewed and revised more frequently, the term of the Position Responsibility Statement may not exceed five years. In rare cases where the Chair and faculty member cannot agree upon a Position Responsibility Statement, the following procedure will be used:

1. The Chair and the faculty member will each choose a tenured faculty member in the Department to serve on a three-member Position Responsibility Statement (PRS) Mediation Panel. The PRS Mediation Panel will be chaired by a Full Professor in the Department who will be elected by vote of the Statistics faculty at the beginning of each academic year.
2. The review committee will meet with the Chair and faculty member to hear their views.
3. The committee will draft a report and recommend its own version of a Position Responsibility Statement in light of the perceived well-being of the individual and of the Department. If the Chair and faculty member can agree upon the committee's recommendation, the matter is settled
4. If an agreement cannot be reached within 10 working days on the committee's proposal, the matter (including the committee report) is referred to the LAS College for resolution. The default PRS for the College will be adopted during any time period when no other statement is in effect.

For joint faculty appointments with other departments, the PRS will be jointly negotiated and approved by the faculty member and the Chair of each department. In cases where the Chairs and the faculty member cannot agree upon a PRS, the procedure outlined above will be used if the tenure home of the faculty member is in the Department of Statistics. If the tenure home of the faculty member is in another department, then mediation will follow the procedures of the department and college corresponding to the tenure home of the faculty member.

C. Review by the Chair

Every faculty member is reviewed annually by the Chair. This evaluation is carried out in light of the faculty member's Position Responsibility Statement and the faculty member receives a written copy of the Chair's evaluation. The faculty member must acknowledge receiving the written report by returning a signed copy to the Chair. This acknowledgement only verifies that the faculty member has read the report; it does not imply that the faculty member agrees with all aspects of the report. The faculty member may write a response to the evaluation that becomes part of the record.

D. Post Tenure Review

Each tenured member of the Statistics Faculty who has their tenure home in the Department of Statistics will be reviewed by their peers in accordance with the Faculty Handbook. The review shall address the quality of the faculty member's performance in accordance with all position responsibility statements (PRSs) in effect during the period of the review in the areas of teaching, research/creative activities, extension/professional practice, and service. The review shall include an overall evaluation of the performance (meeting expectations or below expectations). A faculty member may receive an overall below expectation review if their performance in any aspect of their PRS is below expectations.

1. Post-tenure review timeline

Post-tenure review of each tenured faculty member on full-time or part-time

appointment with tenure home in the Department of Statistics will occur under the following guidelines:

- At least every seven years.
- At the request of the faculty member (but at least five years from the previous review).
- During the year following two consecutive unsatisfactory annual reviews.

2. Post-tenure review outcomes

Based on the outcomes of the post-tenure review, the following actions will be taken:

- If a faculty member is “meeting expectations” in all PRS areas, no particular action plan is required.
- If a “meeting expectations” post-tenure review recommendation includes a determination of “below expectations” performance in any PRS area, then the faculty member will work with the Department Chair and the Chair of the Department Post-Tenure Review Committee to develop a detailed action plan for performance improvement in those areas. The action plan shall be signed by all three parties. If agreement on the proposed action plan cannot be reached, the action plan will be negotiated following the procedures outlined for PRS mediation in section IV.B.
- An overall “below expectations” post-tenure review recommendation will include specific recommendations for achieving a “meeting expectations” performance evaluation. The faculty member will work with the Department Chair and the Chair of the Department Post-Tenure Review Committee to develop a detailed action plan for performance improvement in areas deemed “below expectations”. The action plan shall be signed by all three parties. If agreement on the proposed action plan cannot be reached, the action plan will be negotiated following the procedures outlined for PRS mediation in section IV.B.
- If an action plan is necessary, it must include a justification for the plan, a specific timetable for evaluation of acceptable progress, and a description of possible consequences of not meeting expectations in accordance with the timetable for evaluation. Failure to have the action plan in place by the time of the next academic year’s annual performance review may result in a charge of unacceptable performance as defined in the Faculty Conduct Policy Section of the Faculty Handbook.
- After the action plan is agreed upon, it is the responsibility of the department chair and the faculty member to ensure that the action plan is implemented. It is the chair’s responsibility to assess the faculty member’s performance in accomplishing the action plan.

3. Post-tenure review procedures

- Committees involved in the Post-Tenure Review Process

For review of tenured full professors, the Department Post-Tenure Review Committee (PTRC) for an individual Professor will consist of all resident tenured full professors, excluding the Department Chair and the candidate being reviewed. For review of tenured associate professors, the Department Post-Tenure Review Committee (PTRC) will consist of all resident tenured full professors, excluding the Department Chair. The Chair of the Advisory Committee on Promotion and Tenure (ACPT), defined in section V.A.1, will be responsible for coordinating post-tenure review activities.

- Post-Tenure Review Process

Early in the fall semester, the Department Chair will identify the faculty member(s) to be reviewed, and the ACPT Chair will contact each faculty member designated for post-tenure review and request a CV, an optional summary statement (up to 5 pages) of the faculty member's effort and accomplishments during the review period, and copies of at most six papers or other expressions of scholarship that have been produced or published during the review period. Material in the CV covering the review period (typically the past seven years) should be highlighted.

The Department Chair will provide copies of the faculty member's Position Responsibility Statement(s) in effect during the review period, a summary of the student evaluations for courses taught during the review period, and copies of any peer reviews of teaching conducted during the review period. If the faculty member provides additional information to the PTRC, such as student comments on teaching and advising performance, annual reviews, responses to annual reviews, the PTRC may use these materials in their review. The PTRC must complete their review and submit their recommendations to each faculty member under review and the Department Chair at least six weeks prior to the college deadline for submitting post-tenure reviews. When the reviewed faculty member holds a joint appointment in another department, the ACPT Chair will coordinate the post-tenure review process with the other department.

The ACPT Chair shall be responsible for arranging Post-Tenure Review Committee meetings to complete the reviews and make recommendations. Two-thirds of the faculty eligible to serve on the PTRC will constitute a quorum.

- For each faculty member under review, the PTRC will elect one of

its members to serve as the PTRC Chair and another as vice-chair for that particular review. Different reviews in the same academic year will usually have different PTRC Chairs.

- For each component of the PRS, research, teaching/advising, service, and possibly professional practice, the Post-Tenure Review Committee will vote as to whether the faculty member's performance is "meeting expectations" or "below expectations". Each "meeting expectations" vote will be scored as one point, and each "below expectations" vote will be scored as zero points. If the average score is less than or equal to 0.5, performance will be reported as "below expectations". Otherwise, performance will be reported as "meeting expectations". For each component of the PRS, only the "meeting expectations" or "below expectations" evaluation will be included in the PTRC report; the numerical results of each vote will not be reported.
- Using the same scoring procedure, the PTRC will conduct a separate vote on the overall evaluation of the faculty member's performance during the review period and record the result as "meeting expectations" or "below expectations".
- The PTRC Chair and vice-chair shall be responsible for drafting the PTRC report which will report the results for their review, summarizing committee discussion, to the faculty member under review and to the Department Chair. The report, however, should be reviewed by the entire committee and approved by a majority of the committee. A dissenting committee member may write a minority report as an addendum.
- If the review concludes that performance has been "below expectations" in any PRS area, an action plan shall be developed jointly by the faculty member, the Department Chair, and the PTRC Chair and co-chair.
- If agreement on an action plan cannot be reached within two weeks of receipt of the PTRC report, the action plan will be negotiated following the procedures outlined for PRS mediation in section IV.B of this document. The Chair of the Department Mediation Committee must submit a written report of the Department Mediation Committee recommendations for an action plan to the faculty member under review, the PTRC Chair and the Department Chair at least two weeks before the college deadline for submitting the report.
- The faculty member under review may respond in writing to the report and the proposed action plan (if any). This response must be submitted to the PTRC Chair and the Department Chair at least one week before the college deadline for submitting the report.

The report from the Post-Tenure Review Committee, the faculty member's written response (if any), and the action plan (if any) constitute the final report of the post-tenure review process. The Department Chair shall

forward these materials to the appropriate college

E. Peer Review of Assistant and Associate Professors

Each tenured member of the Statistics Faculty who has their tenure home in the Department of Statistics will be reviewed by their peers in accordance with the Faculty Handbook. The review shall address the quality of the faculty member's performance in accordance with all position responsibility statements (PRSs) in effect during the period of the review in the areas of teaching, research/creative activities, extension/professional practice, and service. The review shall include an overall evaluation of the performance (meeting expectations or below expectations). A faculty member may receive an overall below expectation review if their performance in any aspect of their PRS is below expectations.

V. Policies for Tenure Review and Promotion of Tenured Track Faculty

A. Committees involved in the Departmental Promotion and Tenure Review Process

1. The Advisory Committee on Promotion and Tenure (ACPT). This committee is composed of at least four Full Professors on staggered terms, with the most senior in length of committee service acting as chairperson, and the most junior appointed each year by the Chair. The committee chairperson and two committee members form a quorum for this committee.
2. The Preliminary Screening Committee (PSC). The Chair serves as (nonvoting) chairperson of this committee. For the review of Assistant Professors, the membership of the PSC consists of all resident tenured Associate and Full Professors. For the review of Associate Professors, the membership of the PSC consists of all resident tenured Full Professors. The Chair and two-thirds of the committee membership form a quorum for this committee.
3. If a member of the ACPT or PSC has a conflict of interest in evaluating a candidate (due to family or business relationships), the member will be excused from all discussions, recommendations, and ballots involving this candidate and other candidates at the same rank.
4. Neither the ACPT nor the PSC shall recommend dismissal, demotion, revocation of tenure, reduction of salary, or withholding of leave for Associate Professors.

B. Outline of Promotion and Tenure Policy

Most initial appointments are made at the Assistant Professor level to fill demonstrated needs in one or more of departmental activities noted above; i.e., teaching research, and professional practice. Every faculty member is expected to be involved in institutional service (at minimum, through effective annual service on Department committees). The Department

does not currently have, nor expect to have in the foreseeable future, staff below the level of Assistant Professor on tenure track.

Recommendations for promotion and/or tenure are based almost totally on two criteria:

1. effectiveness of contribution to the overall departmental program,
2. personal growth in the areas of the faculty member's responsibility.

LAS College and University promotion and tenure documents dictate that success in meeting Department promotion criteria be defined in terms of the individual's Position Responsibility Statement. The remainder of this section consists of an expansion and interpretation of criteria (a) and (b) above, and their implementation in the drafting of Position Responsibility Statements and in the use of these statements in promotion and tenure deliberations.

In all cases, the ability to present courses effectively and to interact appropriately with students is vital. In part, the quality of this activity is estimated from student questionnaires. Effectiveness of departmental seminars and peer evaluation of course conduct and materials are also used as input in judging teaching effectiveness. The Department is required to submit a teaching portfolio (defined in the university promotion and tenure document) for all candidates considered for promotion and tenure. Normally, this portfolio will consist of summaries of a candidate's teaching contributions, with detailed information on only a few (1-3) of what a candidate judges to be his or her most effective/important contributions to the departmental teaching program. Where a very large part of a candidate's responsibilities involve teaching, this portfolio will be more extensive.

The means used to judge faculty effectiveness in the areas of Teaching, Research, Professional Practice and Service will be consistent candidate to candidate. However, the emphases these areas are given in the evaluation of a particular individual will depend upon the person's role in the Department and the mix of duties specified in his or her position responsibility statement.

1. Effectiveness in teaching will be evaluated on the basis of:
 - a. student evaluations
 - b. evaluations of peers who have observed the faculty member's teaching and reviewed course materials,
 - c. exit interviews with students, as well as feedback of former students who have graduated.
 - d. peer evaluations of effectiveness of presentations in Department seminars,
 - e. quality and extent of course development (as judged by Department peers),
 - f. extent of work on P.O.S. committees inside and outside the Department.
 - g. formal and informal feedback obtained from advisees and graduate assistants,
 - h. feedback obtained from participants in online education,
 - i. the extent and quality of development of externally accepted teaching materials (documented by reviews in refereed publications, sales figures,

- website use, written opinions of external reviewers, awards, etc.),
- j. the refereed nature and quality of publications on teaching statistics,
- k. the competitive nature and the candidate's role in grants obtained for developing and disseminating new teaching tools, and
- l. other appropriate means.

2. Effectiveness in Statistics Research will be evaluated on the basis of:

- a. the quantity and quality of refereed publications (paper and electronic) (including assessment of the quality of forums where the publications appear),
- b. the extent and effectiveness of thesis direction (including graduate advisee publication of thesis work),
- c. the extent and nature of invitations to present research results,
- d. the competitive nature and the candidate's role in grants obtained for statistical research,
- e. reviews in refereed publications of research monographs and books,
- f. the results and nature of peer review of supporting materials for refereed publications,
- g. level of use of websites and online outlets, and
- h. other appropriate means.

3. Effectiveness in Professional Practice will be evaluated on the basis of:

- a. feedback both informal and solicited from client groups) on the effectiveness of consulting efforts,
- b. the extent and nature of (joint) publications in relevant fields of application,
- c. the extent and nature of grant collaboration with subject matter specialists,
- d. student and peer evaluation of extension courses, workshops and short courses,
- e. the extent and importance of public science education activities
- f. use of websites and other online outlets, and
- g. other appropriate means.
- h. Effectiveness in Service will be evaluated on the basis of

4. Effectiveness in Service will be evaluated on the basis of

- a. the extent and effectiveness of institutional service, including service on department, college and university committees and governance bodies,
- b. the extent and importance of work for of professional societies,
- c. the extent and importance of editorial and review work,
- d. the extent and importance of service on national advisory panels and grant agencies

C. Promotion from Assistant Professor to Associate Professor

Usually the new Assistant Professor has obtained the Ph.D. only recently. This individual will be appointed for a specific role, such as to increase departmental offerings, for example, in theoretical statistics, in statistical computation, or in engineering statistics. The Assistant Professor must direct his or her efforts in two respects: to give excellent performance in the assigned responsibility and to exhibit professional growth and scholarship that will lead to a national reputation. Each Assistant Professor is reviewed by:

1. the ACPT,
2. the PSC,
3. the Chair.

The details of this review and ensuing procedures are as outlined below in Section F.

D. Promotion from Associate Professor to Full Professor

The Associate Professor is a person whose professional life is aimed very strongly towards improving the Department, with a concurrent aim of professional growth. The Full Professor is expected to have a national reputation and very deep commitment to the Department with an aim and ability to be a leader in the Department, or in the university, or in the profession. Each Associate Professor is reviewed by:

4. the ACPT,
5. the PSC,
6. the Chair.

The details of this review and ensuing procedures are as outlined below in Section F.

E. Tenure

The Department follows the tenure policy of the university, as described in the Faculty Handbook.

Faculty on part-time appointment, will be given the same opportunities for advancement in rank and for tenure as full time appointees, and will be judged on the same basis. Joint appointees must designate a “primary” department which will be responsible for preparing the promotion nomination. The secondary department will review the case, and take a vote. The Chair and ACPT will summarize the views of the Department in a letter to be attached to the nomination.

F. Common Aspects of Promotion and Tenure Procedures

1. Every faculty member on tenure track at the level of Assistant or Associate Professor is eligible to be considered for promotion and/or tenure. It is the policy of the Department that by the end of the fifth week of classes of every academic

year all faculty members update their curriculum vitae, which are on file with the Department. This ensures that the best possible case, as judged by the faculty member, is available for review purposes. Additionally, the policy of the Department is that all faculty members are given the opportunity to bring to the attention of the Chair and ACPT any additional evidence that may be used to support a proposal for tenure and/or promotion. All faculty members below the rank of Full Professor maintain in the Department office an Academic Record File used by the ACPT and PSC, containing Position Responsibility Statements, reprints of publications, evidence on teaching effectiveness (including student course evaluations) and other evidence of scholarship deemed relevant to promotion and tenure considerations by the faculty member.

2. The ACPT annually reviews with the Chair the progress of every Assistant and Associate Professor. With the counsel of the ACPT, the Chair confers with each eligible faculty member, to determine the advisability of bringing their case before the PSC. In appropriate cases, the debits of premature consideration by the PSC are explained to the faculty member. Such debits include the possibly adverse effects of soliciting supporting letters. Usually the Chair and faculty member will reach agreement on whether to proceed; the ultimate decision does, however, lie with the faculty member.

For each faculty member whose case is to be brought before the PSC, the ACPT prepares a file, made available to the PSC, including the candidate's curriculum vitae, student evaluations, and additional materials that the candidate has submitted, as well as supporting letters requested by the ACPT from outside the university. External evaluations are requested by the ACPT from individuals outside the university who are knowledgeable in the candidate's area(s) of responsibility. The candidate is asked to submit a short list of names of potential external reviewers, from which 2-3 evaluations are obtained by the ACPT. The ACPT also obtains 2-3 evaluations from outside experts not on the candidate's short list, for a total of 5-6 external letters. Upon request to the Chair, a candidate may review the contents of the file prepared by the ACPT, exclusive of letters received by the ACPT and sections quoting those letters.

The PSC deliberates on each case presented to it and casts a secret ballot based on the information developed from that deliberation, the candidate's files, and presentations by the Chair and a member of the ACPT. For each candidate receiving a simple majority of favorable votes from PSC members in attendance, the Chair prepares and forwards to the appropriate deans a Recommendation for Promotion and/or Tenure Nomination. It is the philosophy of the Department that, within the above limits, the PSC review process will be used at the discretion of the Chair in subsequent discussions with the appropriate college administrators.

College and university promotion and tenure documents require that cases forwarded from the Department be documented in "a Promotion and Tenure Vita, a Faculty Portfolio and other materials." Upon request to the Chair, the candidate

will be allowed to review those parts of this dossier that are not (internal or external) confidential letters, evaluations nor summaries of such confidential material.

3. If a candidate does not obtain a simple majority, the Chair meets with and informs the unsuccessful candidate of this. In rare circumstances special considerations may be elicited by this meeting, in which case the Chair may reconvene the PSC. If the Chair moves the nomination forward without the candidate having received a PSC majority vote, the documentation that is forwarded shall include the outcome of the PSC vote.
4. If a candidate obtains a simple majority, but promotion and/or tenure is denied at a higher administrative level, the Chair will give the candidate a summary of the reasons that underlie the university's decision. The faculty member has the option of conferring with higher administration.
5. The procedures available to faculty members for appeal of promotion and tenure decisions are described in the Faculty Handbook under the heading: Faculty Grievance Procedures.

The ACPT will review this section of the Department's document each year to see if changes are required by the LAS Promotion and Tenure Document, or the Department. If changes are needed, this Department's document will be modified by the ACPT and presented to the Statistics Faculty for approval.

VI. Policy for Recruitment, Review, Reappointment, and Advancement of Term Faculty

A. Term Faculty

Term faculty positions are non-tenure-eligible appointments that may be renewed based upon the quality of performance and the continuing needs of the Department. All appointments, reappointments and advancements of term faculty are subject to approval at the College and University levels. Term faculty members are expected to participate in the shared governance of the Department.

B. Term Faculty Review Committee

The Faculty Handbook and LAS Policy on Term Faculty Appointment, Renewal, and Advancement call for the establishment of a departmental committee to facilitate required reviews of term faculty members. In the Department of Statistics, this committee will be referred to as the Term Faculty Review Committee (TFRC), and will be made up of the members of the Advisory Committee on Promotion and Tenure (ACPT) and at least one additional faculty member from among the tenured associate professors, the term full professors, and the term associate professors; whenever possible, this committee will include at least one term faculty member. The chair of the ACPT will also serve as the chair of the TFRC. Depending on the advancement cases to be considered in a given year, there may be instances in which only full professors (tenured and term) may serve, as described in Section VI.D.8.

C. Lecturers

1. The Lecturer is a limited term full- or part-time appointment. The duration of the appointment may be up to one year. Lecturers are eligible to vote in all faculty decisions except those involving the employment, evaluation, and promotion of tenured, tenure-track, or term professors of any rank.
2. Because the decision to hire a Lecturer is often made on short notice, the Department will run a continuous advertisement for a part-time position. With College approval, the Chair will decide when to fill this position. The Chair, with input from the Associate Chair and/or the Director of Undergraduate Education, will be responsible for interviewing Lecturer candidates and selecting those to which offers are made. The minimum educational qualification for a Lecturer is a graduate degree in statistics or a closely related discipline.
3. A written Position Responsibility Statement (PRS) will be prepared that clearly indicates the duties and expectations of each Lecturer. PRS statements for Lecturers must include at least 75% effort in instruction, advising, curriculum coordination and other responsibilities related to the teaching mission.
4. Each Lecturer appointed for a full academic year will be reviewed annually by the Chair. The review process will include the following materials:
 - An updated CV
 - A summary of accomplishments
 - Student evaluations

When appropriate, the annual review of a Lecturer may also include some or all of the following:

- Classroom visits by peers
- Evaluation of course syllabi
- Evaluation of exams and assignments
- Evaluation of printed or electronic course material
- Discussions with faculty in the departments being served by the courses

On the basis of this information, a written report will be completed during the spring semester and given to the Lecturer by February 15. This report will be discussed by the Chair and the Lecturer before the end of the spring semester.

5. Lecturers will be considered for reappointment based upon a positive outcome of the annual review process and continued need within the Department. Evaluation against the PRS will be the basis for the reappointment decision with the criteria for reappointment including:
 - Documented success in teaching and teaching-related activities, and potential for excellence, and
 - Evidence of continuing professional development

The decision to renew the appointment of a Lecturer for up to one additional year will be made by the Chair with the approval of the College; the Lecturer will be notified of this decision by February 15.

6. Each Term Professor will be reviewed annually by the Chair. The review process will include the following materials:
 - An updated CV
 - A summary of accomplishments

When appropriate, the annual review of a Term Professor may also include some or all of the following

- Student evaluations
- Classroom visits by peers
- Evaluation of course syllabi
- Evaluation of exams and assignments
- Evaluation of printed or electronic course material
- Discussions with faculty in the departments being served by the courses
- Reports by supervising faculty or center directors on contributions made to research efforts

On the basis of this information, a written report will be completed and will be discussed by the Chair and the Term Professor before the end of the spring semester. A term faculty member may write a response to an annual review, to be included as part of the employment record.

7. The primary bases for renewal of Term Faculty appointments are the performance of the responsibilities identified in the PRS and the continuing need of the Department. Renewal of contracts for Research Faculty specifically requires a demonstration of research and scholarly productivity commensurate with tenure-track faculty of the same rank, and independence as appropriate for their rank. Term faculty on contracts of three or more years undergo a reappointment review in the penultimate year of the contract. The TFRC will have the responsibility of conducting a reappointment review. Tenured faculty and term faculty at the rank of associate professor and higher are eligible to serve on this committee. The decision to reappoint a Term Professor must be discussed and voted on at a meeting of the resident tenured faculty and term faculty at the rank of associate professor and above, at which the TFRC will present the merits of the case. Two-thirds of this body, excluding the Chair, will constitute a quorum. The voting results, together with the Chair's recommendation, will be forwarded to the LAS College by the Chair.
8. Term Assistant Professors and Lecturers are eligible for consideration for advancement to Term Associate Professor after 5 years of employment as a faculty member at ISU, or equivalent service as determined at initial appointment, and may apply for advancement at the beginning of their 6th year of service.

Advancement from Term Associate to Term Full Professor does not have a specific time requirement. Advancement for term faculty is optional; individuals who are eligible for advancement consideration are not required to pursue it. Advancement cases are documented using the LAS Term Faculty Advancement Template. The TFRC will have the responsibility of conducting advancement reviews for term faculty. All professors, both tenure-track and term, of higher rank than that of the term faculty candidate are eligible to serve on this committee. The decision to support the advancement of a term faculty member must be discussed and voted on at a meeting of the resident professors, both tenure-track and term, of higher rank than that of the term faculty candidate, at which the TFRC will present the merits of the case. Two-thirds of this body, excluding the Chair, will constitute a quorum; the Chair's recommendation is documented in a separate letter. The Chair will communicate the faculty's recommendation, including the result of the vote, and the Chair's recommendation to the candidate. The voting results and the Chair's recommendation are included in the LAS Term Faculty Advancement Template. If the Chair is supportive of the advancement, the Chair will submit this documentation to the Dean. If the Chair is not supportive of the advancement, the candidate may withdraw the application for advancement, or may request that the Chair submit the application for consideration by the Dean. There is no penalty for withdrawing an application for advancement, and the candidate may resubmit an updated application during a subsequent advancement cycle. The Dean will inform the candidate in writing before the College's recommendations are submitted to the Provost for consideration. In cases where the Dean does not support the application for advancement, the candidate may request that the application not be forwarded to the Provost for further consideration; there is no penalty associated with such a request.

Advancement criteria for term faculty ranks include the following:

- Advancement from Assistant Teaching Professor to Associate Teaching Professor requires:
 - A record of success in executing the primary responsibilities identified in the PRS. This should include a positive peer review evaluation of teaching and evidence of pedagogical development. The methods and metrics of evaluating teaching performance shall be the same for term faculty as for tenure-track faculty.
 - 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 that promote student learning.
- Advancement from Associate Teaching Professor to (Full) Teaching Professor requires:

- Proven and sustained excellence in the primary responsibilities identified in the PRS. The methods and metrics of evaluating teaching performance shall be the same for term faculty as for tenure-track faculty.
- Effectiveness in any other areas of the PRS.

There is an expectation that individuals considered for advancement to (Full) Teaching Professor be substantially engaged in the broader mission of the University beyond routine classroom teaching. Examples of such involvement include:

- A record of significant curriculum improvement and development, including (for example) collaborative courses and programs, innovative use of technology, and pedagogical innovation,
 - Course or program coordination for multi-section courses,
 - Substantial student service including (for example) advising individual students or student organizations, mentoring, service on graduate student committees, and leading learning communities,
 - A record of substantial and meaningful service to the Department, University, or profession,
 - A leadership role in the Department, College, or University, and
 - A record of involvement in Department life and responsiveness to Department needs.
- Advancement from Assistant Research Professor to Associate Research Professor requires a level of scholarly productivity and independence similar to that required of tenure-track faculty of the same rank. External evaluation letters are required in such cases.
 - Advancement from Associate Research Professor to (Full) Research Professor requires a level of scholarly productivity and independence similar to that required of tenure-track faculty of the same rank. External evaluation letters are required in such cases. There is an expectation that individuals considered for advancement to (Full) Research Professor be substantially engaged in the broader mission of the University beyond the narrow administration of their grants in a sustained and substantial manner. Examples of such involvement include:
 - Supervising graduate students,
 - Serving on graduate committees,
 - Service on University committees that evaluate grants or grant proposals,
 - A record of substantial and meaningful service to the Department, University, or profession,
 - A leadership role in the Department, College, or University, and
 - A record of involvement in Department life and responsiveness to Department needs.
- Advancement from Assistant Adjunct Professor to Associate Adjunct Professor requires that the faculty member demonstrate effective performance in all areas of responsibility, and excellence in scholarship.

- Advancement from Associate Adjunct Professor to (Full) Adjunct Professor requires that the faculty member demonstrate effective performance in all areas of responsibility, and distinction in scholarship.

Minimum qualifications for the advancement of term faculty may not include requirements that exceed those used in individual's initial appointment. If a term faculty member is hired under a waiver of minimum requirements, the usual minimum requirements cannot be required for subsequent advancement.

9. Term Professors will be eligible for professional development support similar to the support given tenured and tenure-track faculty. Research faculty are eligible to have personal incentive accounts supported from indirect costs captured from funded research; reimbursable travel, conference and professional development expenses shall be covered by grant funding or personal incentive accounts. Term Professors will also be given departmental committee assignments when appropriate and consistent with the PRS.
10. When P&S employees are assigned job responsibilities similar to those of Term faculty, they may be considered for Term faculty titles in addition to their P&S employee titles. The awarding and renewing of Term faculty titles to P&S employees must be approved by the Department, the College, and the Provost. Review and advancement processes for Term faculty as described above shall apply to P&S employees with Term faculty titles.

VII. The Chair's Availability to Individual Staff Members

The Chair should be available to confer with any faculty member or student on any subject. Through the Chair, faculty members, students and staff members may request an opportunity to present an item at one of the Department's faculty meetings.

VIII. Amendment Procedures

This document may be amended by approval of 2/3 of the entire Statistics Faculty at any duly called regular or special meeting of the Statistics Faculty, or by a written mail ballot, provided the text of the proposed amendment is distributed at least seven days prior to the meeting or written ballot.