

**GOVERNANCE DOCUMENT**

**HISTORY DEPARTMENT**

**IOWA STATE UNIVERSITY**

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## I. Introduction

A. This document describes the basic policies and procedures of the Department of History of Iowa State University. This, and all ancillary Department documents, is supplementary and subordinate to policies and procedures of the Board of Regents, the State of Iowa; Iowa State University (as expressed in, among other documents, the *ISU Faculty Handbook*); the College of Liberal Arts and Sciences; and the Graduate College (as expressed in, among other documents, the *Graduate College Handbook*). Any rule or policy adopted by any or all of these bodies subsequent to the adoption of this Governance Document require revision or modification of the latter, if there is conflict between them.

B. In cases where conflicts exist among Department, College, University, and Regents documents, the higher-level governance document prevails. The rules and regulations of higher-level governance documents are still in effect even if absent from the lower-level document. It is to be understood that references to “College” in this document mean the College of Liberal Art and Sciences, unless otherwise stated.

## II. Mission Statement

A. Faculty in the Iowa State University Department of History contribute to our collective knowledge of the past through research and writing, by teaching about the history of humanity and the environment, and providing service to the institution and to the profession.

B. As the record of past human aspirations and accomplishments, historical knowledge is essential to the understanding of the humanities, social sciences, and sciences. Thus the Department of History at ISU is responsible for teaching all students about their cultural heritages as well as the political, social, and economic processes, forces, events, and people shaping their lives and the evolution of the disciplines they study. In fulfilling this broad responsibility, the History faculty has three distinct instructional roles to perform: the first for general students; the second for History majors and others seeking historical expertise; and the third for graduate students.

C. The first role arises from the fact that history is essential to any program of undergraduate education. The Department’s survey courses provide basic, informative, and relevant instruction for undergraduate students from all parts of the University.

D. The second role involves specialized undergraduate instruction directed at History majors and students majoring in other disciplines who seek broader and deeper knowledge of the past. For all of these students, the faculty must make certain not only that they are aware of what has happened in the past, but are also able to deal with historical materials critically and analytically.

E. The Department of History’s third role rests in providing advanced training for graduate students. Many who obtain the Department’s master’s degree will use their expertise as teachers and as professionals in other fields, helping to extend the Department’s influence well beyond

ISU. The Department also maintains a PhD Program in Rural, Agricultural, Technological, and Environmental History (RATE). The ISU RATE Program trains specialists in the discipline of history and supports the strengths of the University, as a land-grant institution, in agriculture, rural and environmental studies, engineering, and technological development.

### III. Diversity, Equity, and Inclusion Statement

#### Vision

The Department of History is committed to the values of Diversity, Equity, and Inclusion (DEI) in all aspects of our pedagogy, research, professional practices, and interactions with students, staff, and our faculty colleagues.

The profession of history is uniquely situated to contribute to the DEI efforts in the College of Liberal Arts and Sciences and at Iowa State University. Our disciplinary expertise offers a wide range of perspectives on all aspects of history on every continent and almost every population group across the globe. Our discipline has led the way in seeking out and exposing past inequities and in working to define “We the People” as an all-encompassing category in our professional practice. In short, we provide a diverse, global understanding of the human past.

As historians, we commit to honesty and integrity in our pedagogy, scholarship, and professional service. We affirm the dignity of everyone. We endeavor to provide access to an education and workplace free from discrimination and bias. We strive to create a just community that exemplifies respect for all. We embrace equitable access to opportunities for our students, faculty, and staff.

#### Mission

The concepts of Diversity, Equity, and Inclusion are built on the ideals of integrity, respect, dignity, and accountability. We take our commitment to advancing these ideals seriously and value these concepts in all of their human dimensions. To be an inclusive Department means that we have a diverse and an equitable Department.

As a Department, we are committed to diversity. We define diversity as the incorporation of underrepresented communities into the Department, especially those from marginalized or minoritized racial and ethnic backgrounds and gender and sexual identities. We are particularly interested in diversity efforts aimed at bringing historically excluded faculty, staff, and students into the Department. We will achieve this diversity through intentional recruitment, hiring, and retention of faculty, staff, and students from diverse populations.

We also commit to equity. We define equity as the purposeful promotion of access and fairness in all of our policies, practices, and procedures. As a Department we are particularly interested in equity efforts that disrupt systemic or institutional disparities and biases within the Department. Equity means that we will provide access to an education and workplace free from discrimination and give everyone the tools they need to be successful.

Finally, we commit to upholding the ideals of inclusion. We define inclusion as creating educational and professional spaces that are welcoming, that accommodate those with disabilities, that actively incorporate the diverse identities and perspectives we seek through our diversity efforts, and that advance the equity mission of the Department so that everyone succeeds. Inclusion is thus the culmination of our diversity and equity efforts.

# *Part One: General Policies and Procedures*

## III. Faculty Membership

### A. Membership Categories

Subject to University and College regulations, the Department selects its own faculty members and designates the following categories of Department membership:

1. Regular faculty, whether tenured or term, hold appointments only in the History Department;
2. Joint faculty, whether tenured or term, hold an appointment in the History Department and concurrently an appointment in one or more other units of the University. Such appointments are initiated by the Chair after discussion with the Department;
3. For Term Faculty categories are explained below, Section IX.B.
4. The Department reserves the right to make use of other categories of Department membership as occasion arises and in accordance with the membership categories of the *ISU Faculty Handbook*. The Department normally assigns some stand-alone teaching to advanced graduate students to further their professional training.
5. The rights, privileges, and duties of the faculty are explained in the *ISU Faculty Handbook*.

### B. Voting Eligibility

1. All tenure-eligible faculty have voting rights in Department business, as appropriate to their rank. With regards to Term Faculty, the *ISU Faculty Handbook* states, "As members of the general faculty, all term faculty have full rights of academic freedom and participation in shared governance" (3.3.2). Term Faculty have the right to participate in all Departmental votes with the exception of personnel decisions concerning tenured or tenure-eligible faculty whose PRS includes research.

## IV. Administration

### A. Department Chair

1. The Chair is appointed by and serves at the pleasure of the Dean of the College of Liberal Arts and Sciences. They are customarily chosen from a shortlist recommended by the Department and resulting from a search by a Department Search Committee. The Chair represents the Department in meetings with officers of the College and the University and signs all documents requiring the

signature of the Chair. When the need arises, the Chair may designate a substitute to perform these tasks, subject to the approval of the LAS Dean.

2. As Chief Executive Officer of the Department, the Chair:

a. Presides at Department meetings;

b. Appoints all Department officers, unless the Department has specified that a particular office is elective;

c. Appoints the members of Department committees, unless the Department has specified a particular committee membership is elective;

d. Assigns office space and equipment allocated to the Department;

e. Approves, after consultation with affected faculty and/or relevant Department committees, teaching times, teaching loads, courses to be taught, and the tasks of graduate assistants, and also, according to his/her discretion and departmental teaching needs (and in consultation with the faculty member), release for tenure-track faculty from teaching duties for a single semester in the probationary period;

f. Decides, after consultation with the Graduate Committee, which applicants to the Graduate Program to admit or to reject, and the basis of admission or rejection;

g. Submits to the LAS Dean, after consultation with the affected faculty, the annual faculty evaluations called for by the College, and any personnel reports called for by the College and the University;

h. Oversees the hiring and functioning of the Department office staff;

i. Recommends to the LAS Dean the annual salary increments for the faculty, making certain the faculty understand the general principles on which increments are based and any modifications of them for a given year;

j. Prepares the annual report about the Department for submission to the LAS Dean, when the Dean so requires;

k. Selects, on the basis of availability and fairness, the teaching staff for the Department's Summer School Program;

l. Reviews, with the affected faculty, off-campus and online history courses proposed by them and determines whether they should be taught or not;

m. Makes all budgetary and fiscal-resource decisions and prepares all budget documents called for by the LAS Dean's office, including requests for additional monies for new Department undertakings;

n. Appoints, if necessary and with the approval of the LAS Dean and with the advice and consent of the Department, an Associate Chair to help with the administrative work load of the Department; and

o. Approves, as required by College and University regulations, all forms of leave by faculty and staff.

3. The Department Chair is evaluated on the basis of administrative responsibilities and accomplishments as a faculty member. This review is usually initiated by the LAS Dean as part of a reappointment decision, with input from Department faculty.

## B. Faculty

1. Faculty members participate in Department administration through their service as appointed or elected Department officers and appointed or elected members of Department committees.

2. Faculty members perform the administrative work entailed in classroom teaching, including administering examinations, keeping records about student performance, supervising graduate assistants, and punctually submitting mid-term and final grades. They also submit to the Chair reports about the performance of course assistants, and CIP and assessment reports as required by the College.

## V. Organization

### A. Faculty Meetings

1. During the academic year, Department meetings usually occur on the first Tuesday of each month, at 4:10 p.m. The Chair may call additional meetings when the situation warrants, preferably at the Tuesday 4:10 p.m. meeting time.

2. At the first meeting of the academic year, the Department elects a Recording Secretary, whose responsibilities include keeping minutes and distributing them to the faculty in time for approval at the following meeting.

3. Department meetings will be conducted in a respectful and constructive manner. Faculty will exhibit a spirit of collegiality, mutual respect, and open mindedness at all times.

4. Department meetings are conducted according to an agenda prepared and distributed by the Chair at least 24 hours before the meeting. Faculty members who wish to have items put on it should submit them to the Chair in timely fashion.

5. A quorum of the Department members eligible to vote must be present at a meeting for votes to be binding. A quorum consists of 50% of tenure-eligible and term members of the Department faculty, including those on leave.

6. Written ballots will be used on any question if requested by any voting member of the Department.

7. Absentee votes may be cast electronically (that is, by email to the individual chairing the pertinent committee) by any voting member of the Department on promotion and tenure decisions on which the person would be entitled to vote if present; on changes in the Department Governance Document; on renewal of an incumbent Chair; and on the appointment of a new Chair.

## B. Department Officers

### 1. Department of History Officers

Undergraduate Advising Coordinator  
Director of Undergraduate Studies (DUST)  
Director of Graduate Education (DOGE)  
Director, Consortium for the History of Technology and Science  
Faculty Review and Advancement Coordinator (FRAC)  
Social Studies Education Coordinator (SSEC)

### 2. Undergraduate Advising Coordinator

The Chair shall bring forward, when appropriate, the name or names of candidates for the position of Undergraduate Advising Coordinator to the Department for its vote. The Undergraduate Advising Coordinator oversees the degree programs and progress of all History undergraduate majors and minors; acts as a point of contact for history/social science teacher licensing; and will usually have an advisory role on the Department's Curriculum Committee.

### 3. Director of Undergraduate Studies (DUST)

The Director of Undergraduate Studies is appointed to a three-year term. He/she is nominated by the Chair and must receive a majority endorsement from Department faculty. DUST position responsibilities include:

1. serving as faculty advisor to History Club and/or PAT;
2. assisting chair with undergraduate recruitment and enrollment;
3. providing career, job, and graduate school advice to majors;
4. attending ISU career fairs annually and report to faculty on what recruiters say;
5. meeting with majors regularly to understand their hopes and concerns;
6. meeting with LAS Career Services staff to learn about opportunities for History majors and to offer guidance on how to market History to employers;

7. overseeing External Review Report recommendations;
8. scheduling social events to welcome new and greet returning students;
9. encouraging study abroad among History majors;
10. serving as liaison between the History Department and other units of the University.

The work of the DUST will not extend to any undergraduate advising, which is the purview of the Undergraduate Advising Coordinator.

#### 4. Director Of Graduate Education (DOGE)

a. The DOGE is appointed for a three-year term. He/she is nominated by the Chair and must receive a majority endorsement from Department faculty. The DOGE is the point of contact with the Graduate College and his/her principal responsibilities include: serving as advisor to all “unattached” students; assigning students to major advisors; participating in the graduate committee (including participating in TA assignments); running the MA Program, including handling admissions; and coordinating PhD applications with appropriate faculty for admission decisions.

b. The DOGE administers the Department’s PhD program, including overseeing admission to a Program and curriculum development, and providing direction for graduate students. The Coordinator will confer with Department faculty as appropriate and will report to the entire Department, at the beginning of each semester, about the status of the Graduate Program, including enrollments, student progress, assistantships, admissions, prizes, honors, placements, and any other information the Department may wish to know, barring only that confidentiality be preserved when University rules so dictate.

#### 5. Director, Consortium for the History of Technology and Science

a. The Consortium for the History of Technology and Science was established by the ISU Department of History in 1986 as the Center for the History of Technology and Science. The Consortium brings together ISU faculty, graduate students, and others to support research, study, and teaching in the history of technology and science, broadly defined. The Consortium is a natural fit for Iowa State as a university that has traditionally emphasized and excelled in the development of technology and science. The Consortium has promoted interdisciplinary work, hosted speakers on campus, organized and run seminars funded by external grants, expedited the development of manuscript collections for ISU, and provided funding to graduate students concentrating in the history of technology and science.

b. The Director of the Consortium will be selected by the faculty (with the approval of the Chair), and will serve a three-year term, with the possibility of renewal, subject to the same approval. The Director will confer with Department faculty and will report to the entire department at the beginning of each academic year on Center activities, any other relevant matters (including financial matters), and any other information the department may wish to know. The Center will be formally reviewed every seven years in conjunction with the History Department's external review.

## 6. Faculty Review and Advancement Coordinator (FRAC)

- a. The Faculty Review and Advancement Coordinator will be a tenured full professor, nominated by the Department Chair and elected by the Department's voting faculty. The FRAC will serve a three-year, non-repeatable term. Nomination will occur prior to the January department meeting at which the formal vote will take place. The new FRAC term will begin at the end of that Spring semester.
- b. The FRAC will establish, in consultation with the Department Chair, one ad hoc Review Committee per candidate as necessary for the review of tenure-eligible and term faculty. Candidates will have the right to review committee memberships and, if valid reasons exist, object to member(s).
- c. The Chair will present the proposed ad hoc Review Committees to each candidate for their approval.
- d. Should a candidate oppose the appointment of one or more members of their committee, the FRAC will, in consultation with the Chair, select one or more replacement members.
- e. The FRAC will obtain the approval of each accepted ad hoc Review Committee member and report the composition of the committee to the faculty at the next department meeting.
- f. The FRAC will advise those ad hoc Review Committees on relevant departmental and university deadlines, policies, and procedures.
- g. The FRAC will review the preliminary reports of the ad hoc Review Committees and offer feedback as necessary.
- h. The FRAC will serve, if necessary, on the ad hoc Review Committees of candidates under consideration for promotion to full and of full professors undergoing post-tenure review because those committees must be composed entirely of full professors. The FRAC must be recused from any personnel review of the individual serving as FRAC. In the event the FRAC undergoes a post-tenure review at the same time as another post-tenure review occurs, neither the FRAC nor the other faculty member undergoing a post-tenure review may serve on a post-tenure ad hoc Review Committee.
- i. The FRAC will prepare an addendum to the Tab 3 Department Report to the College explaining the vote (e.g., in the case of post-tenure reviews, the final report must include an assessment of the faculty member in each of the three major areas of performance).
- j. The FRAC will report the Department's recommendations to the Department Chair in writing, including all formal votes.

- k. Upon request of either the ad hoc Review Committee or the candidate, the FRAC will attend formal meetings of a candidate with his/her ad hoc Review Committee.
- l. The FRAC will provide guidance as necessary to his or her successor.
- m. Ad hoc Review Committees will conform to university policies with respect to composition (e.g., concerning the rank of members, number of committee members, conflicts of interest). Ad hoc Review Committees for tenure-eligible faculty will consist of three tenured faculty members. Each ad hoc Review Committee should elect its own chair, who will be responsible for drafting the Report on its candidate, arranging meetings with the candidate, arranging for the observation of teaching, and formal communication with the FRAC.
- n. External members will be appointed to ad hoc Review Committees if the number of professors above the level of the candidate available to serve does not meet the minimum required by College and University policies.
- o. Any FRAC who receives an FPDA or other form of paid leave, or voluntarily takes approved unpaid leave from the University, will be replaced by the election procedure spelled out in clause a., above.

#### 7. Social Studies Education Coordinator (SSEC)

The Social Studies Education Coordinator (SSEC) is appointed to a one-year term that may be repeated. The Coordinator will be nominated by the Chair and must receive a majority endorsement from Department faculty at the final Department meeting of the academic year. They will administer the social studies education program within the department of history and serve as a point of contact for the program with the School of Education. Primary responsibilities include: communicating with prospective and current students; serving as program representative on all relevant committees across the college and university; working with the Undergraduate Advising Coordinator and DUST to help undergraduates in the program with their plans of study; working with the DOGE to help students in the M.A.T. program with their plans of study; and conducting outreach across the university and within the state. The coordinator will also be available, if needed, for student advising at the start of each semester, as well as in mid-semester when students are planning for the following semester.

### C. Department Committees

- 1. The Department has four standing committees and the power to form *ad hoc* committees as needed.
- 2. The Department maintains the following Standing Committees:
  - a. Graduate Committee:
    - Five voting members: the Chair and the DOGE (*ex-officio*) and three regular Department

faculty, one representing each rank and elected by a majority of faculty holding that rank, constitute the Graduate Committee. The terms of the Chair and the DOGE are coterminous with their terms as Department officers; the terms of the faculty are three years. Responsible for recommending admission to the PhD Program and for preparing a slate of teaching assistants for each semester or year; also makes recommendations for the occasional problem with the PhD Program, faculty, and students.

b. Curriculum and Scheduling Committee:

The Curriculum and Scheduling Committee consists of the Curriculum Chair (nominated by the Department Chair, with a majority endorsement from Department faculty, to a three-year term), the DOGE, the DUST, a coordinator of the history secondary education program, and the undergraduate advisor, *ex officio*. The committee evaluates new course proposals, and makes recommendations to the Department, as well as making recommendations with regard to any other matters of curriculum, undergraduate or graduate. It also informs the Department of changes in course numbers and descriptions, and of numbers and descriptions of experimental courses. It oversees catalogue revisions. The Curriculum Chair drafts the Department's schedule of courses for the academic year. The Department Chair finalizes the schedule, handles course assignments during the academic year, and has full responsibility for the summer offerings. The outgoing Curriculum Chair will provide guidance as necessary to his or her successor.

c. Awards and Scholarships Committee

The Awards and Scholarships Committee consists of a chair (nominated by the Department Chair, with a majority endorsement from Department faculty, to a three-year term) and two committee members, tenure-track or term History Department faculty, nominated by the faculty and confirmed by the eligible voting faculty to three-year terms. This Committee will administer the award of undergraduate prizes and scholarships. It will serve as a clearinghouse for information about prizes and scholarships; solicit nominations and information from faculty and the undergraduate advisor; and meet once in the Fall and once in the Spring with the undergraduate advisor to select candidates for prizes and scholarships for History undergraduates awarded by the Department of History and the College of Liberal Arts and Sciences. The Committee will also solicit nominations from tenured faculty for College-level awards; meet before the October Department meeting to select potential nominees; present nominations at the October Department meeting; and solicit nominators to write nominating letters and coordinate nomination packages. Members of the Committee will remain eligible to nominate faculty and coordinate nominations.

d. The Department of History Committee on Diversity, Equity, and Inclusion (DEI or Diversity Committee):

The Diversity Committee consists of a Committee Chair nominated by the Department Chair and voted on by eligible voting faculty, as well two committee members of tenure-track or term Department faculty nominated by the faculty and voted on by the eligible voting faculty. All elected officers to the DEI committee will serve a two-year term and can be re-nominated. The DEI Committee Chair will serve as a coordinator and liaison with other departments, colleges, and university diversity committees; will advocate for the Department at college and university DEI

meetings; and will communicate with the Department regarding University diversity initiatives and campus events related to diversity and inclusion. The responsibilities of the committee as a whole include: preparing training and professional development opportunities for the Department; ensuring, with the Department Chair and other Department officers, that departmental activities and policies comply with the requirements of the University's Diversity Policy, Non-Discrimination Statement, and Faculty Handbook; and assisting the DEI Committee Chair as necessary with coordination of DEI activities.

3. Ad Hoc Committees are appointed by the Chair for non-continuing purposes, such as hiring searches, ranking of FPDA applications, and the like. The Chair may appoint a Chair for an ad hoc committee. An ad hoc committee is dissolved upon the completion of the task for which it was convened. For the specific procedures regarding personnel review committees (ad hoc Review Committees), see Section VIII, below.

#### D. Grievance Procedure

The Department adheres to the rules of grievance outlined in the ISU *Faculty Handbook*.

## *Part Two: Personnel Policies and Procedures*

### VI. Faculty Appointments

#### A. Minimum Qualifications

1. As a unit of a major land grant university, the ISU Department of History maintains high standards for the qualifications of individuals hired as faculty members. Tenure-Eligible faculty candidates are expected to have outstanding qualifications in their fields of expertise. Normally these will include the PhD in History or a related field and a record of accomplishments that indicates their suitability to be a tenure-eligible faculty member. The minimum requirement for Term Faculty is an earned Master's degree in History or a related field, with the PhD preferred.
2. Candidates who do not meet these minimum standards will not be considered for a faculty appointment unless the Department deems it necessary to seek a waiver for a candidate who does not have the stated minimum qualifications. The search committee and the Department Chair 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 faculty vote in favor, the Chair will forward a waiver request to the Dean. In the case of faculty appointments where no search committee was used, the Department Chair, DUST, and DOGE will meet 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.

#### B. Search Procedures

Regular tenure and tenure-track appointments are initiated by the Chair after discussion in the Department of the nature of the appointment. The Chair requests authorization from the College and the University for the appointment, initiates appropriate advertisements for the position, and appoints a search committee. Files of applicants to the position are maintained by the Department for faculty review. As the final step of its deliberations, the search committee decides on a short list of candidates (usually three) and after Department approval of the list, and authorization from the College and University, invites the candidates to visit the Department and the University. The final recommendation to the Dean normally takes the form of a ranked list of candidates, arrived at by a paper ballot of the Department.

#### C. Credit for Prior Service

A faculty member's standard probationary period is seven years, but this may be reduced through credit for prior faculty service at other academic institutions. This arrangement must form part of the discussion during the hiring process and must be included in the letter of intent. The exact amount of time to be credited will depend upon the length of faculty service elsewhere and its specific relevance to the needs and criteria of ISU and the Department. Evidence of the quality of

prior service should be requested from the institution(s) in which the new faculty member has served. Up to one-year served on a visiting appointment at ISU can be credited as probationary time for promotion-and-tenure purposes, so long as the time spent in visiting status is followed, without any interruption, by service in a tenure-eligible position.

#### D. Mentoring

1. A mentor (who will be a tenured member of the faculty) will be appointed for faculty members, whether term or tenure eligible, in the first semester of their appointment, and will be expected to meet regularly with them.
2. For tenure-eligible faculty members, the role of the mentor is to offer advice and encouragement in areas of teaching, research, service, extension (if appropriate), and other professional responsibilities, and to help prepare newly appointed probationary faculty members for preliminary review and the second probationary period, if reappointed. A substitute will be appointed from the tenured faculty to replace a mentor who is absent from the University for a semester or longer.
3. For a term faculty member, the role of the mentor is to offer advice and encouragement in the area of teaching to help prepare the faculty member to meet institutional and Departmental classroom expectations and to prepare the faculty member for review.
4. Mentors are encouraged to invite probationary faculty to observe their classes, at times convenient to both parties, in order to model effective teaching methods for them. Probationary faculty may also ask to observe courses taught by other more senior faculty, if those faculty members are willing.
5. Although the mentor is a natural source of advice and encouragement, he/she will not be the only one. The Chair's annual review will also play a critical role in providing constructive and developmental feedback to faculty members in the areas articulated in a faculty members' Position Responsibilities Statement. The Chair will provide a written report of the probationary faculty member's strengths and weaknesses and offer advice for improvement, as appropriate.

#### E. Position Responsibilities Statement (PRS)

1. The Position Responsibilities Statement (PRS) describes the faculty member's responsibilities and is executed between the Chair and the faculty member. All Position Responsibilities Statements must stipulate percentage values for each class of responsibility (usually teaching, scholarly activities, and service). The Chair and new tenure-track faculty will agree on a PRS based on the job description at the time of appointment or in the first semester of the new appointment, and it must be signed and dated by both parties and copies placed in the faculty member's personnel file and in the Dean's office. In the case of faculty members with appointments in two departments (or a department and program), a PRS will be written by the faculty member and two chairs (or Chair and Program Director), and will be signed and dated by

all three parties and copies sent to each department and college involved. The PRS will not violate academic freedom in teaching, research, or extension and/or professional practice. A PRS cannot be altered unilaterally by either the Chair or faculty member. Changes must be made in consultation and the resulting PRS signed and dated by both parties.

2. Evaluations of tenure-track/tenured faculty and term faculty will be based on the PRS. A PRS should allow faculty members and their peer and administrative evaluators to understand the basis of the academic appointment and advancement within the criteria for promotion and tenure. The PRS description should be general and flexible enough to allow for changes in faculty responsibilities. It should only include significant responsibilities considered to be important in evaluating faculty in the promotion-and-tenure process for tenure-track/tenured faculty or for advancement of term faculty. Significant responsibilities may include research, publication, presentation of research at conferences, applications for external funding to support research, teaching and advising undergraduate students, teaching and/or supervising graduate students, and service to the Department, College and University.

3. The PRS is subject to annual review by the faculty member and Chair, recognizing the need for flexibility in responsibilities over time and changing nature of appointments. Chairs should review expectations set down in the PRS during annual reviews. Newly appointed tenure-eligible faculty will have a three-year term for their initial PRS, and will negotiate a second PRS with the Chair upon completion of preliminary review. Newly tenured faculty will review their PRS with the Chair and make any necessary changes. Tenured faculty will re-evaluate their PRS with the Chair at least once every five years as part of the annual review process. The PRS may be reviewed and/or changed more frequently as part of the annual review process, but this is not mandated. In the case of a joint appointment between the Department and a Cross- Disciplinary Studies Program, the Department shall follow College guidelines. The Department Chair's PRS will be written by him/her in consultation with the LAS Dean, and will set out his/her administrative and other Department responsibilities, including teaching and research.

4. For Term Faculty, see below, Section IX.A.2.

5. Irreconcilable differences between a Chair and faculty member about the content of a PRS will be referred to a mediation panel consisting of the FRAC and two other tenured members of the faculty, one selected by the faculty member involved, the other by the Chair. The panel will review all submitted materials, meet with all parties, and give a written opinion on how the disagreement should be resolved within two months. The matter will be referred to the College for resolution if an agreement does not emerge between the faculty member and Chair within ten working days.

## VII. Annual Faculty Evaluations

### A. Procedures

The Department Chair conducts the annual faculty evaluations mandated by the *ISU Faculty Handbook*. The procedure is:

1. In January of each year the Chair distributes the Faculty Evaluation form for the prior calendar year to all faculty members;
2. Each faculty member completes and returns the form by the deadline stipulated, usually not less than a month following distribution of the form;
3. On the basis of this form and of the faculty members' PRS, the Chair drafts a letter of evaluation to the faculty member;
4. The faculty member and the chair meet to discuss the draft, and the faculty member suggests any revisions on the basis of factual errors in the letter;
5. The Chair revises the letter (if necessary) and meets again with the faculty member for both to sign it;
6. Faculty evaluations are forwarded to the College along with any action plans necessitated by an unsatisfactory annual evaluation.
7. For tenured faculty, two consecutive unsatisfactory performance evaluations trigger a post-tenure review.

## B. Student Evaluation Minima

Given the need to preserve student anonymity on formal teaching evaluations administered by the Department on behalf of the College, and given the desire for honest student responses, no course or section with an enrollment in any semester of four or fewer students should be evaluated using the online instrument. Instructions given to students for all evaluations should include language warning students to avoid information likely to enable the instructor to identify them.

## VIII. Personnel Review

### A. Procedures

1. Ad hoc Review Committees are established by the Faculty Review and Advancement Coordinator (FRAC) in consultation with the Department Chair.
2. One ad hoc Review Committee per candidate will be established. Members must be above the rank of the candidate. Candidates will have the right to review Committees and, if valid reasons exist, object to members.
3. The FRAC will announce the composition of any ad hoc Review Committee at the next department meeting. The FRAC will advise ad hoc Review Committees on relevant departmental and university deadlines, policies, and procedures.

4. The Chair of an ad hoc Review Committee will arrange with the candidate to present a portfolio of evidence following the appropriate template established by the College. Candidates for promotion should make their portfolios available to their ad hoc Review Committees at least six weeks prior to the meeting at which the departmental vote will take place. Candidates for Preliminary Review should make their portfolios available no later than the start of the Spring semester since their cases are normally voted upon at the March Departmental Meeting (see X.C.4.f). Those undergoing post-tenure review should make their portfolios available by the end of the fall semester before the review is to take place (see XII.B.2). Since post-tenure review cases are normally voted on at the February meeting and ad hoc Review Committees are supposed to share draft reports with reviewed faculty at least two weeks prior to that meeting (see XII.B.3), observation of classes will need to occur in the preceding semester.
5. Ad hoc Review Committee members will meet with the candidate to discuss the various aspects of the evidence being considered, such as the candidate's agenda for publications, methods and goals in classroom teaching, and institutional service.
6. In agreement with the candidate on which classes they will attend, ad hoc Review Committee members will each attend at least one of the candidate's classes. They may solicit opinions from the candidate's students, as well as examining course evaluations and the candidate's course materials.
7. The ad hoc Review Committee shall read all of the candidate's published work and as much unpublished work as the candidate chooses to submit for consideration. It is the Department's responsibility to arrange for translations as necessary.
8. The ad hoc Review Committee will then draw up a preliminary report presenting the case for promotion and tenure, avoiding any recommendations or votes.
9. The candidate will see this preliminary report at least two weeks before the Departmental meeting at which the case will be voted upon, and will review the factual information in the report and inform the committee if he/she believes any of it to be incomplete or inaccurate. This step may or may not require a second meeting with the candidate, depending on the candidate's comments. The definition of factual information in this case is anything contained in Tabs 1 and 2 of the College Document (Tabs 3-5 are confidential information and cannot be shown to the candidate at any point in the process).
10. Taking into account any comments from the candidate, the Committee will prepare a final report to be shown to the candidate at least one week before the Departmental vote, and if he/she so wishes, he/she may file a response to the Chair. This report and any response from the candidate go in the candidate's file in the Department.
11. Ad hoc Review Committee Reports are available only to faculty eligible to vote on a candidate.

12. At the conclusion of vote the FRAC shall prepare an addendum to the Tab 3 Report explaining the vote on the basis of the discussion at the meeting.

## B. Conflict of Interest Policy

1. No faculty member may serve on an ad hoc Review Committee who has a conflict of interest with respect to a candidate (e.g., a candidate's domestic partner, parent, or child). The candidate will take up any conflict of interest concerns with the Department Chair.

## IX. Term Faculty Appointments

### A. Structure

#### 1. Definition

Term positions are full-time or part-time appointments that are entitled to renewal based upon quality of performance and continuing Department needs. They support the instructional needs and mission of the Department and the College. All appointments, reappointments, and advancements of Term Faculty will follow established University search procedures and are subject to College and University approval. The Chair will forward all initial appointments and positive recommendations for renewal or advancement to the Dean and University for approval.

#### 2. Position Responsibilities Statement (PRS)

a. A PRS will be negotiated between the Chair and the Term Faculty member at the time of 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. Term faculty may participate in the PRS mediation process.

b. The PRS offers guidance in the form of percentages on how much weight to place on the different responsibilities a faculty member has relative to other faculty in the department. As term faculty have a relatively higher effort allocation to teaching, the quality of their teaching performance will be given greater weight than that of tenure-eligible faculty in advancement decisions.

## B. Titles and Durations

### 1. Lecturer

a. Lecturers are short-term teaching faculty appointments with a contract length of one year or less. Such contracts are renewable for up to three years of continuous service. No faculty committee is required to hire lecturers.

b. After three years of continuous appointments, Lecturers who are renewed will be renewed as Assistant Teaching Professors with three-year contracts following a peer review during the sixth semester of their continuous service. 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. The Chair makes decisions on renewing Lecturers. No peer review is required for renewal as lecturer during the first two years after initial appointment.

c. Term faculty at the Lecturer rank require a notice of three months of intent not to renew. Lecturers must be reviewed by an appropriate faculty committee and notified by the department chair of an intent to renew or not renew by February 15 of their third year of continuous employment.

## 2. Assistant Teaching Professor

a. Assistant Teaching Professors will have three-year contracts. A faculty committee is required to hire faculty whose initial appointment at ISU is as an Assistant Teaching Professor. The College requires a faculty peer review for faculty renewed as Assistant Teaching Professors. Assistant Teaching Professor on three-year contracts will undergo a peer review process during the second year of their contract.

b. Assistant Teaching Professors are eligible for advancement to the associate 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 Teaching Professors who are eligible for advancement are *not required* to pursue advancement.

## 3. Associate Teaching Professor

Associate Teaching Professors will have a contract length of three years with renewal reviews conducted in the second year of each contract period.

## 4. Teaching Professor

Teaching professors will have a contract length of five years with renewal reviews conducted in the fourth year of each contract period.

## 5. Visiting Faculty

Visiting appointments are made by the Chair and to provide special input into Department teaching or research programs. The visitor is usually from the faculty of another institution and is appointed at the rank held there. The appointment is usually for one academic year, but can be for a shorter period. It cannot be renewed. If the individual is subsequently given a regular appointment following an open recruitment process, time served as a visitor may be credited towards completion of a probationary period. Since visiting appointments are not renewable, ISU

affirmative-action procedures do not apply, and the position need not be advertised.

## 6. Collaborator

Collaborators are not employed by the University and are appointed on agreement that they will receive no remuneration for their services. Typically they will have expertise useful for a specific teaching or research program. Appointment may be made at any rank for as long as it is mutually agreeable to the Department and individual. These appointments are initiated by the Chair after discussion with the department.

## 7. Affiliate Faculty

Affiliates are appointed without remuneration to conduct scholarly activities beneficial to themselves and the Department and University. Rank will reflect qualifications consistent with criteria for Department rank. Affiliates and collaborators cannot be assigned duties or responsibilities normally carried out by people in faculty or P&S positions, because they were not hired following ISU affirmative-action procedures. Appointments can be made for one to three years and are renewable. Conditions of appointment—including support services provided by the Department—will be stated in a written agreement signed by both parties at the time of appointment. The Department will follow University policies concerning financial support from a grant or contract secured by an affiliate. Time spent in affiliate status is not considered to be service in a probationary period leading toward tenure. Affiliates are, however, subject to University and faculty policies. These appointments are initiated by the Chair after discussion with the Department.

## C. Criteria for Advancement

### 1. Advancement to Associate Teaching Professor

- a. Assistant Teaching Professors are eligible for promotion to the associate rank after completing five years of employment as a faculty member at ISU (at any FTE), including credited experience elsewhere.
- b. An Assistant Teaching Professor may apply for advancement at the beginning of his or her sixth year. The application must be made to the Chair in August so that an ad hoc Review Committee can be approved at the September meeting. Credit for experience at other institutions shall be determined at time of initial appointment.
- c. To be eligible for promotion to Associate Teaching Professor, the faculty member must also have:
  - i. 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 things such as: use of creative teaching techniques,

responsiveness to course assessments, innovative use of technology, or work with campus partners; and

ii. 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.

## 2. Advancement to Teaching Professor

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

i. demonstrated sustained excellence in the primary responsibilities identified in their PRS; and

ii. demonstrated effectiveness in any other areas of their PRS.

b. To advance to the title of Teaching Professor, the Department expects faculty members to participate in the mission of the university beyond routine classroom teaching in a sustained and substantial manner. They may engage the broader mission through non-routine classroom teaching or other kinds of service. Examples of this type of activity include, but are not limited to, hosting guest speakers in the scholarship of teaching and learning, participating in College and University-wide curricula initiatives, and/or contributed to or designed pedagogical sessions for CELT or other University-wide centers or programs.

c. Examples of contributions supportive of advancement include, but are not limited to:

i. a record of significant curriculum improvement and development, including collaborative courses and programs, innovative use of technology, and pedagogical innovation;

ii. Course or program coordination for multi-instructor courses;

iii. Substantial student service (e.g., advising individual students and student organizations, mentoring, service on graduate student committees, leading learning communities);

iv. A record of substantial and meaningful service to the department, university, or profession;

v. A leadership role in a department, the college, or the university; and

vi. A record of involvement in departmental life and responsiveness to departmental needs.

d. Contributions to the professional field are not required, but may support advancement to the professor rank when related to the PRS.

## D. Procedures for Advancement

### 1. Committee Composition

Ad hoc Review Committees will determine advancements for Term Faculty. An ad hoc Review Committee includes both tenured and term faculty (see above, V.C.2.ii). Tenured and teaching faculty at the rank of associate and above are eligible to serve on ad hoc Review Committees for advancement from the assistant to associate rank. Tenured (full) Professors and teaching (full) professors are eligible to serve on ad hoc Review Committees for advancement from the associate to the (full) professor rank for term faculty.

### 2. Evaluation of teaching

Faculty peers will form judgments of teaching excellence according to criteria established in the department. Methods and metrics for evaluating teaching performance may include class visits, course materials, student outcomes, student evaluations of teaching, and other relevant sources identified by departments. The methods and metrics of evaluating teaching performance shall be the same for term faculty and tenure-stream faculty. Student evaluations of teaching are required, but on their own, they are insufficient evidence of teaching quality. Members of the ad hoc Review Committee for each candidate shall attend at least one class session to observe the candidate's teaching. As noted in the section on PRS statements, in advancement decisions, teaching performance will have greater weight for faculty with significant teaching responsibilities than for faculty with lower teaching responsibilities.

### 3. Voting Procedures

Term faculty advancements will be considered at the Department Meetings set aside for considering P&T Review cases at the same rank. The ad hoc Review Committee will prepare a factual report for the eligible voting faculty, which can include term and tenured faculty. Candidates will have the opportunity to review the report for factual errors at least two weeks before the Departmental meeting at which their case will be voted upon. Faculty who are eligible to vote will have access to the factual report by the ad hoc Review Committee. Department votes shall be by the faculty eligible to serve on ad hoc Review Committees. The FRAC will write an addendum to the Report summarizing the discussions in the Department meeting and explaining the final vote. The Department vote shall be forwarded to college with the other advancement material.

### 4. Department Chair

a. The Department chair will make an independent evaluation of the advancement case informed by the faculty ad hoc Review Committee report, along with the department discussion and vote.

- b. The chair may decide to support or not support the advancement. The chair will explain to the candidate in writing both the ad hoc Review Committee's recommendation (if any), results of the faculty vote, and the chair's recommendation before these are submitted to the College. The chair should provide constructive assessment of the candidate's performance that includes feedback designed to aid the candidate in improving his or her performance.
- c. If the chair decides to support the advancement, the chair will submit the ad hoc Review Committee's report along with the chair's letter of recommendation to the Dean with the department vote. If the chair decides not to support the advancement, the candidate may withdraw their application for advancement, or he or she 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.
- d. 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. For renewal procedures, see IX.A.1.

## X. Preliminary Review of Tenure-Eligible Faculty

### A. Guidelines and Eligibility

1. History Department evaluations must be consistent with College and University regulations, but they also reflect the principles of the History Department. The Department undertakes evaluations in the conviction that teaching, research, and service are interwoven aspects of the same enterprise. Originality in research fosters freshness in teaching, and scholarly expertise informs judgments made in committees, which, in turn, affect Department teaching and research.
2. The purpose of the preliminary review is to provide constructive developmental feedback to probationary faculty concerning their progress in meeting Department criteria for promotion and/or tenure. It also informs the decision whether or not to reappoint probationary faculty for a second probationary contract. If successful, the review will result in reappointment for a second probationary term of three years. If unsuccessful, the upcoming fourth year of the initial appointment would be the terminal year of appointment at ISU. Renewal of the probationary contract is dependent upon a positive preliminary review.
3. For probationary faculty members who do not receive credit for prior work, the preliminary review should take place in the second semester of the third year of their initial four-year probationary contract. (In cases where probationary faculty receive credit for prior work, the Department will follow College guidelines for the timing of the preliminary review.)
4. Probationary faculty members may request a postponement in the timing of preliminary review

but only for legitimate and documented reasons that are clearly stated in the sections of the ISU *Faculty Handbook* concerned with extension of the probationary period.

## B. Areas of Evaluation

### 1. Definition

Preliminary reviews and decisions about contract renewal are based primarily on scholarship, teaching, institutional service, and professional contributions. A probationary faculty member is expected to perform satisfactorily in all areas of professional activity as defined in the PRS, as well as demonstrating evidence of a maturing program of scholarship. All aspects of the PRS will be covered in the preliminary review.

### 2. Rationale

The continued growth and well-being of the Department, College, and University require that Faculty members faithfully and competently execute their position responsibilities. Consequently, satisfactory performance in all position responsibilities, as defined in a Faculty member's PRS, is a requirement for contract renewal. All Faculty members should have responsibilities in the area of institutional service. Indeed, the principle of Faculty governance rests squarely on the expectation for Faculty participation on Department, College, and/or University committees, task forces, etc. For tenure-eligible faculty, institutional service will most likely occur at the Department level. Service may take the form of public outreach when that is complementary to the purposes of the Department. Nearly all tenured and tenure-eligible Faculty members in the College have responsibilities for research and creative activities that further discovery and generation of new knowledge in the College and University. Most Faculty members also have significant teaching responsibilities, which are critical for the University to fulfill its teaching mission.

### 3. Scholarship

a. Contract renewal decisions will be in large part based on evidence of a maturing program of scholarship—as evinced by, for example, published journal articles, articles submitted to journals, and manuscript chapters for a monograph—that demonstrates a solid foundation in a field through original contributions. Another important attribute of such scholarship is that it is subject to peer review. Probationary faculty members should also make efforts to obtain external funding to support their research. In addition, they are expected to disseminate their work to broader academic communities at regional, national, and international conferences and seminars, for example, or in invited lectures. Other evidence of the professional standing of probationary faculty and their research includes requests to review and referee the scholarly work of others for publication or a research grant.

b. Some faculty members might on occasion have position responsibilities in extension or professional practice, helping to enhance the knowledge and skills of people outside ISU in local,

regional, national, or international arenas. Such activities might include preparing informational and instructional materials, conducting workshops and conferences, or consulting with public and private groups. In all cases scholarship of extension or professional practice will be measured by the same standards of rigor, peer review, and dissemination as any other form of research activity.

c. Some faculty members may produce scholarship in the area of teaching that focuses on the discovery of knowledge about teaching and learning. The results and products of this scholarship—articles in journals, for example, scholarly books, chapters in books, invited lectures, professional presentations, or requests to referee the scholarship of others—will be measured by the same standards of rigor, peer review, and dissemination as any other form of research activity.

#### 4. Teaching

Teaching is a major factor in evaluating overall performance in position responsibilities. Classroom teaching should be seriously engaged by the faculty member and well regarded both by students and the ad hoc Review Committee. The Department expects that every member will take seriously his/her teaching duties and discharge them in the various teaching contexts of the Department effectively, conscientiously, and in a manner that recognizes the indivisibility of teaching and research. Evaluation of teaching abilities shall apply to teaching survey classes, advanced undergraduate courses, and graduate seminars. Competence and excellence in teaching will be determined principally by student and peer evaluations through classroom observation, and also by contributions to the curriculum, including but not limited to the development of new courses, or new materials for courses. Teaching evaluations must be provided for both undergraduate and graduate seminars in forms approved by the Department that will protect the anonymity of students.

#### 5. Institutional Service

The success of faculty governance and procedure rests squarely on the expectation that faculty will participate on Department, College, and University committees and task-forces. For tenure-eligible faculty, institutional service will most likely occur at the department level and ought to be modest in scope and scale. Service may take the form of public outreach when that is complementary to the purposes of the Department.

### C. Procedures

#### 1. Documentation

All candidates for preliminary review will prepare a portfolio of evidence. For the purposes of preliminary review and Department Chair recommendations at College and University levels, candidates must use the current College preliminary-review template in putting together their dossiers. A probationary faculty member's portfolio should make clear which activities occurred during the probationary period. The portfolio of a faculty member undergoing preliminary review need only document teaching at Iowa State. Throughout this process members of the ad

hoc Review Committee, the Chair, and the candidate's mentor should make themselves available to offer help and advice. External letters are neither solicited nor used in preliminary reviews.

## 2. Joint Appointment Between Departments

The preliminary review of a faculty member with rank in more than one department will be conducted by the primary department (specified in both the letter of intent and PRS), with advice from the secondary department. Before the review, the chairs of the departments should spell out the role to be played by the secondary department, including the preparation of documentation from the secondary department and the process for including it in the review. In cases with an equal division of responsibilities, the departments may agree to conduct separate reviews.

## 3. Joint Appointment with Cross-Disciplinary Studies Program

A review committee jointly appointed by the Department and Program will oversee preliminary review of "core faculty." The Department and Program will agree to equitable representation of each unit on the committee. The committee will prepare a written review of the candidate's performance (scholarly performance in teaching, research/creative activity, extension or professional practice, and institutional service) based on the expectations outlined in the candidate's PRS. The review committee's report will be submitted to the Department and procedures from here on are the same as for faculty without an interdisciplinary appointment (as outlined below). The review committee's report will also be submitted to the Department Chair and Program Director to be used in accordance with the established procedures of each. The Department Chair and Program Director might choose to make separate administrative recommendations or to submit a joint administrative recommendation signed by both parties.

## 4. Ad Hoc Review Committee Role

The ad hoc Review Committee will examine will abide by the following stipulations:

- a. The Chair of the committee will arrange for the candidate to present a portfolio of evidence using the College template. This portfolio must be submitted to the committee by the deadline it sets, usually in mid-January.
- b. The ad hoc Review Committee will meet with the candidate to discuss the evidence being considered, such as his/her agenda for publications and his/her methods and goals in classroom teaching.
- c. In agreement with the candidate, committee members will each attend at least one of the candidate's classes. They may solicit opinions from the candidate's students, as well as examining course evaluations and the candidate's materials for his/her courses.
- d. The ad hoc Review Committee shall read all of the candidate's published work and as much unpublished work as he/she chooses to submit for consideration. It is the Department's

responsibility to arrange for translations as necessary.

e. The ad hoc Review Committee will draw up a preliminary report on the case for consideration of contract renewal, avoiding any recommendations or votes.

f. The ad hoc Review Committee will show its preliminary report to the candidate in mid-February, at least two weeks before the Departmental meeting at which the case will be voted upon (normally the March meeting). The candidate will review its factual information and inform the committee if he/she believes any of it to be incomplete or inaccurate. This step may or may not require a second meeting with the candidate, depending on the candidate's comments. The definition of factual information in this case is anything contained in Tabs 1 and 2 of the College Document (Tabs 3-5 are confidential information and cannot be shown to the candidate at any point in the process).

g. Taking into account any comments from the candidate, the ad hoc Review Committee will prepare a final report, which will be shown to the candidate at least one week before the Departmental vote takes place, and if he/she so wishes, he/she may file a response to the Chair. This report and any response from the candidate go in the candidate's file in the Department.

## 5. Department Decision

a. The ad hoc Review Committee will present its Report at the regular March Department meeting. All Department faculty, including the candidate and those with a conflict of interest, may be present at the meeting's start. At an appropriate time, and before the discussion by the voting constituency, non-voting members and those with a conflict of interest will be excused. In preliminary reviews the voting constituency consists of the tenured faculty, excepting anyone with a conflict of interest. Members of the voting constituency may only vote once on an individual case (advice and/or recommendation concerning contract renewal is the equivalent of a vote). The Chair is allowed to remain to solicit information for his/her evaluation, but he/she cannot participate in the voting constituency's discussion and will leave the room before the vote. Remote participation—including discussion and a vote—is permitted for eligible, absent Department members.

b. The Department must make one of four recommendations. The Department Report with any necessary recommendations will be forwarded to the College.

i. Reappointment with no reservation

ii. Reappointment with no strong reservation, but with specific issues that need to be addressed

iii. Reappointment with reservation and specific steps to be taken (may entail a one- or two-year renewal with an additional review scheduled before the mandatory tenure review)

iv. Non-reappointment with specific reasons

## 6. Report to the College

The Department's voting constituency will revise the ad hoc Review Committee's report to reflect the discussion at the department meeting and to record the final vote. Only one report will be forwarded by members of the voting constituency to the College. The FRAC reports the Department's recommendation to the Department Chair in writing, including all formal votes.

## 7. Department Chair

The Chair writes a separate letter of recommendation and will inform the ad hoc Review Committee of his/her recommendation. He/she will forward his/her recommendation to the College along with the Department recommendation and report by the deadline established by the College. The candidate does not have access to the Chair's written report unless a formal appeal is filed.

## 8. Report to the Candidate

The Chair will inform the candidate in writing about the recommendations that will be forwarded to the College before they are submitted. In cases in which either the Department or Chair does not recommend renewal, faculty members shall be informed in writing of the reasons in a constructive manner.

## 9. The Dean's Decision

After hearing the Dean's decision, the Chair will write a letter to the faculty member containing the outcome of the preliminary review and clearly stating the reasons for that decision. In cases of renewal, the letter will make constructive suggestions in preparation for the later promotion-and-tenure review. A new letter of intent for the second term of the probationary period will be attached to this letter. In cases of non-renewal, the Chair's letter will clearly communicate that the remaining year on the active contract will be the candidate's final year of employment at ISU.

## 10. Appeals

Any appeal must be made in writing to the Chair in accordance with University procedures, and candidates may appeal a final decision through the faculty senate or to the Provost, following guidelines set out in the *ISU Faculty Handbook*.

# XI. Promotion and Tenure

## A. Eligibility

Candidates eligible for consideration for promotion and tenure shall be those nominated by the Chair, the FRAC, other members of the Department, or the candidates themselves. A member may nominate himself/herself no more than once every three years. All tenure track faculty must be evaluated for promotion and tenure by the end of their sixth year, unless they received credit for prior work at the time of appointment (set out formally in the letter of intent), or they choose to resign or successfully apply to have their tenure clock continued according to the procedures specified in the *ISU Faculty Handbook*.

Probationary faculty members may request an extension of the probationary period but only for legitimate reasons that are clearly stated in the sections of the *ISU Faculty Handbook* on extension of the probationary period.

## B. Areas of Evaluation

### 1. Scholarship

a. Scholarship involves publication in the areas of research and teaching. The History Department's norm for promotion and/or tenure is the publication of a refereed research monograph. In addition to refereed research monographs, research publications include published articles in refereed journals, chapters and essays in scholarly books, textbooks, edited volumes, trade publications (excluding textbooks), and editions of primary material. Publications regarding teaching include textbooks, articles about pedagogy, and videos used in other educational institutions. The distinction between research and teaching publications is, of course, not absolute, as indicated, for example, by a book written for a general audience that also reconceptualizes the field for specialists. It is expected that publications will be received seriously by the profession, as shown, for example, by book reviews, reports from readers, and citations in publications by other historians.

b. In addition, the Department expects its members to achieve professional recognition through such activities as presenting papers, chairing sessions, and commenting at professional meetings; publishing book reviews and review essays; serving on boards of journals and of scholarly and public associations; editing journals; winning awards and prizes; obtaining grants and fellowships. Research merges with teaching in advising graduate students as they write master's theses and doctoral dissertations, and such work with graduate students is expected from faculty members as required.

### 2. Teaching

Faculty must meet their responsibilities as spelled out in their PRS. The Department expects that they will take their teaching duties seriously and discharge them in the various teaching contexts of the Department effectively, conscientiously, and in ways that recognize the indivisibility of teaching and research. Evaluation of teaching shall apply to survey classes, advanced undergraduate courses, and graduate seminars. Performance in teaching will be determined mainly

by student and peer evaluations. Teaching evaluations must be provided for both undergraduate and graduate seminars in forms approved by the Department that will protect the anonymity of students.

### 3. Institutional Service

A smoothly functioning department requires members to serve on committees with a general spirit of cooperation. Every member is thus expected to serve on committees as required. Occasional service to the College and University is also expected. Service includes informal contributions to the operation of the Department, the College, and the University consistent with being a member of the University faculty. Service may take the form of public outreach when that is complementary to the purposes of the Department. A candidate for promotion and/or tenure should be evaluated primarily on objective evaluations of his/her research, teaching, and service. It is understood in this context that scholarly disagreements among original thinkers are par for the course.

### 4. Sustaining Professional Contributions

As already explained under Scholarship and Institutional Service, Department members are expected to make continuing contributions in various ways to their field or profession and to the University.

## C. Levels of Evaluation

### 1. Associate Professor with Tenure

The Department norm is that tenure and an associate professorship are linked. Ranks below associate professor are not given tenure. Normally, those appointed as associate (or full) professors are appointed with tenure.

a. Scholarship: An Associate Professor should have the potential for national and/or international distinction in scholarship as evident in his/her significant contributions to the field or profession. Promotion with tenure in the History Department requires the publication of a research historical monograph. Promotion for publication in teaching normally requires a significant number of publications in scholarly journals and edited volumes, which together should be considered scholarly contributions equivalent to the publication of a research monograph.

b. Teaching: The candidate must demonstrate effective teaching within the parameters of his/her PRS. He/she should have a strong record in classroom teaching as assessed by students and peers. The Department expects creativity in the crafting of courses, lectures, and assignments along with excellence in the delivery of the material.

c. Institutional Service: The Department expects a satisfactory amount of institutional service plus a demonstrated ability to work with Department, College, and University colleagues in a respectful

and constructive manner. Service may take the form of public outreach when that is complementary to the purposes of the Department.

d. Sustaining Professional Contributions: The candidate should have a satisfactory record of conference presentations and the publishing of book reviews. The candidate will demonstrate a high likelihood of sustained contributions to the field or profession and to the University.

## 2. Professor

a. Scholarship: A Professor should have national and/or international distinction in scholarship as evident in his/her wide recognition and outstanding contributions to the field or profession. Promotion to professor in the History Department requires the publication of a second research historical monograph (i.e. beyond that which earned promotion to associate professor). Promotion for publication in teaching normally requires a significant number of publications in scholarly journals and edited volumes, which together should be considered scholarly contributions equivalent to the publication of a second research monograph.

b. Teaching: The candidate must demonstrate effective teaching within the parameters of his/her PRS. He/she should have sustained a strong record in teaching as assessed by students and peers. The Department expects continuing creativity in the crafting of courses, lectures, and assignments.

c. Institutional Service: The Department expects a significant amount of institutional service plus a demonstrated ability to work with Department, College, and University colleagues in a respectful and constructive manner. Service may take the form of public outreach when that is complementary to the purposes of the Department.

d. Sustaining Professional Contributions: The candidate should have a significant record of participation in the areas of conference presentation (including papers, commentaries, and chair responsibilities) at national and international (if applicable) conferences in his/her field. Other professional activities include, but are not limited to, serving on editorial boards, on planning committees of professional meetings, and as a manuscript referee for scholarly presses and academic journals. The candidate will demonstrate the ability to sustain contributions to the field or profession and to the University.

## D. Procedures

### 1. Documentation

For purposes of review of departmental and department chair recommendations, the current College P&T Review Template, which is available on the College web site or by request, must be used in constructing promotion and tenure dossiers. Use of this template will ensure that critical information is included and that the dossier conforms to College and University expectations.

### 2. External Reviewers

a. External reviewers are chosen on the basis of their qualifications within the profession. All reviewers of History Department candidates for promotion must meet the research expectations of scholars in History departments at Research I institutions such as Iowa State University. If a candidate does work that is interdisciplinary in nature, the History Department may choose evaluators in History and related fields.

b. Candidates for promotion and tenure in the History Department produce a list of possible promotion and tenure external reviewers in the Spring of the year before the department considers their case. From that list, the department chair selects three reviewers. The department chair then compiles her or his own list of potential promotion and tenure reviewers in the correct subspecialty from appropriate institutions, and begins contacting them. The chair contacts scholars using the University template until six agree to write reviews.

### 3. Joint Appointments Between Departments

Evaluation of a faculty member holding rank in more than one department should be initiated and conducted by the primary department, with advice from the secondary department. The member's Letter of Intent (for new faculty) and the PRS will specify the primary department. Prior to the review, the two chairs should decide on the role to be played by the secondary department, including the preparation of the documentation from the secondary department and the process for including that documentation in the review. In cases with an equal division of responsibilities, the departments may agree to conduct separate reviews.

### 4. Joint Appointments with Cross-Disciplinary Studies Programs

The Program and Department will jointly appoint a review committee and prepare a written review of the candidate's performance in teaching, scholarship, extension, professional practice, and institutional service. The Program and Department will agree to equitable representation of each unit on the review committee. The review committee's recommendation will be submitted to the Department and to the Program to be used in accordance with the established procedures of each. The final recommendation must be signed by the Department Chair and the Program Director. The Department Chair will consult with the Program Director in determining the list of external reviewers. The list must include experts in the candidate's interdisciplinary research area. The Department Chair and the Program Director will have access to all external letters associated with the Promotion and Tenure Review.

## XII. Post-Tenure Review

### A. Rationale and Timing

Post-tenure review is designed to provide tenured faculty with peer assessment of their performance in the areas of teaching, research/creative activities, extension and/or professional practice, and institutional service, consistent with the faculty member's PRS. Each member of the

tenured faculty will be reviewed at least once every seven years, and no more than once every five years, unless required by unsatisfactory annual reviews. A post-tenure review must occur in the year following two consecutive annual reviews indicating unsatisfactory performance.

## B. Procedures

1. The FRAC will appoint, in consultation with the Chair, an ad hoc Review Committee for each faculty member undergoing Post-Tenure review. This committee should be formed no later than the October department meeting. For the purpose of teaching evaluation, each committee member will attend at least one of the candidate's classes.
2. The ad hoc Review Committee will solicit documentation from the tenured faculty member under review. He/she will submit his/her dossier to the Committee by the middle of November of the review year. The dossier should include a copy of the faculty member's most recent PRS. The portfolio of a faculty member undergoing post-tenure review need only document teaching since the last review and must include teaching evaluations for both undergraduate courses and graduate seminars in forms approved by the Department that will protect the anonymity of students. The faculty member will outline future teaching plans. His/her dossier must also contain a full record of scholarship produced since the last review, including copies of published work. The faculty member will also provide a plan of future research. A full record of institutional service performed since the last review must also be included in the dossier.
3. At the conclusion of the review, the ad hoc Review Committee will provide the faculty member with a written report at least two weeks before the Departmental meeting at which the case will be voted upon (normally the February meeting) that evaluates his/her professional performance and makes suggestions for enhancing performance and future development. The faculty member will have a right to review the factual information contained in the report and can inform the committee if he/she believes any of it to be incomplete or inaccurate. Factual information in this case is defined as anything that cannot be construed as an interpretation; that is, information about the details of scholarship, teaching, and service.
4. After the departmental vote, the final report shall include an assessment of the faculty member in each of the three major areas of performance (teaching, research, institutional service) as either "meeting expectations" or "below expectations," and an overall assessment of the faculty member's performance ("meeting expectations" or "below expectations"), and result in acknowledgement of contributions and suggestions for future development of the faculty member. A faculty member may receive a below expectations review if their performance in any aspect of PRS is below expectations.
5. The ad hoc Review Committee will present its report to the Chair and to full professors not serving on the Review Committee, and not bound by a conflict of interest to recuse themselves from the discussion, at the February department meeting. The Department will meet to consider the report. The Chair is permitted to attend this meeting to solicit information for his/her evaluation, but he/she cannot participate in the voting constituency's discussion and will leave the

room before the vote. Other eligible members of the Department who are absent and wish to be part of the discussion will participate remotely. Members of the voting constituency may only vote once on an individual case (advice and/or recommendation concerning a P&T Review decision is the equivalent of a vote).

### C. Outcomes

1. Based on the outcomes of the post-tenure review, the following actions will be taken:
  - a. If a “meeting expectations” post-tenure review recommendation includes a determination of “below expectations” in any PRS area, then the faculty member will work with the department chair and the chair of the Promotion and Tenure committee to develop a detailed action plan for performance improvement in that area. The action plan will be signed by all three parties.
  - b. If agreement on the proposed action plan cannot be reached, the action plan will be negotiated following the procedures outlined for PRS mediation.
  - c. A "below expectations" post-tenure review recommendation will include specific recommendations for achieving an acceptable performance evaluation.
2. The faculty member will work with department chair and the FRAC to develop a detailed action plan for performance improvement in areas deemed below expectations. The action plan will 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. Failure to have the performance improvement 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 in the ISU *Faculty Handbook*.
3. If an action plan is necessary, it must include a justification for the plan, a specific deadline for evaluation of acceptable progress on the plan, and a description of possible consequences for not meeting expectations by the deadline.

## XIII. Emeritus/Emerita Appointments

### A. Right and Responsibilities

1. The emeritus/a designation recognizes meritorious service to the Department of History and to Iowa State University.
2. The privileges enjoyed by emeritus/a faculty include the following:
  - a. being listed by title in the online University Catalog
  - b. being included on institutional communications to faculty

- c. being afforded the same status as regular faculty with respect to all events, activities, and services sponsored or provided by the university
  - d. being provided office space when such space is available.
3. The responsibilities of emeritus/a faculty include the following:
- a. abiding by all university policies as articulated in the *ISU Faculty Handbook* and in the *ISU Policy Library*.
  - b. Emeritus/a faculty are subject to the same Faculty Conduct Policy as current faculty. Violation of policy is grounds for removal of the emeritus/a designation

## B. Eligibility

The following faculty are eligible for the emeritus/a designation:

- 1. A tenured faculty member who has attained the rank of professor and who retires immediately following ten or more continuous years of employment by Iowa State University automatically will be given emeritus/a designation at the rank of professor.
- 2. A tenured faculty member who has retired at the rank of assistant or associate professor and who has distinguished him/herself through meritorious service to the university and the profession also may be given, through process of nomination, the emeritus/a designation at the last rank held.
- 3. A term faculty member who has retired at any rank and who has distinguished him/herself through meritorious service to the university and the profession also may be given, through process of nomination, the emeritus/a designation at the last rank held.
- 4. Persons retiring from administrative duties, at the discretion of the president, may retain their administrative title with emeritus/a designation added (e.g., dean emeritus/a). A president, upon retirement, may be given the title "president emeritus/a" by the Board of Regents, State of Iowa.

## C. Nomination Process

- 1. Tenured faculty who retire at the rank of professor with ten or more years of continuous employment at the university are automatically granted emeritus/a designation upon retirement.
- 2. A nomination and approval process is in place in the case of:
  - a. tenured faculty who retire at the rank of professor without ten or more years of continuous employment at Iowa State University;

- b. tenured faculty who retire at the rank of assistant or associate professor;
  - c. Term Faculty.
3. Faculty ineligible for automatic emeritus/a status may be nominated for emeritus/a designation at the last rank held through the following process:
- a. Nominations must be initiated by the faculty of the History Department and supported by the faculty. The department's nomination statement and any supporting documentation will be forwarded to the dean's office by the department chair.
  - b. The dean will review the nomination, soliciting as appropriate the input of the dean's cabinet. The dean will forward his/her recommendation, together with the department nomination, to the Office of the Senior Vice President and Provost within 30 days of receipt of the department's nomination.
  - c. The Senior Vice President and Provost will review the documentation received and render a decision within 30 days of receipt of the dean's recommendation.
  - d. The faculty member nominated, the department chair, and the dean will be notified of the final decision by the Senior Vice President and Provost.

## XIV. Department Records

### A. Location

The records of all important Department activities are kept in the Department office, in files supervised by the office staff. The personnel files of the Department faculty are kept in the Chair's office and, with the exception of Curriculum Vitae, are confidential.

### B. Chair's Correspondence

The Chair's correspondence, including memoranda addressed to members of the University, is kept in the Chair's office and is confidential.

### C. Confidentiality

The confidentiality of all Department documents, including personnel files pertaining to Department business, is ultimately determined by the laws of the State of Iowa.

## XV. Changing the Governance Document

### A. Faculty Vote

After the Governance Document has been accepted by the Department, changes to it can be made only by a two-thirds vote of the faculty (Term and Tenure Eligible) who are present in the room at the time of the vote.

## B. Proposed Changes

A change in the Governance Document must be proposed, in writing, to the Chair in time for the meeting agenda containing such a proposed change to be announced at least one week before the meeting.