

**Contact: Marcia Brunson
Diana Gonzalez**

ANNUAL GOVERNANCE REPORT ON FACULTY TENURE

Actions Requested: (1) Consider approval of tenure and promotion recommendations for the 2011-2012 academic year; and (2) Receive the annual governance report on faculty tenure for 2010-2011.

Executive Summary: The Board of Regents Policy Manual §4.07 requires that recommendations for promotion and tenure be approved by the Board and §6.17 requires that an annual report on tenure status be presented to the Board.

Approval of Promotion and Tenure Recommendations

The Board is asked to consider approval of 206 recommendations for tenure and promotion for the 2011-2012 academic year.

	2007-08	2008-09	2009-10	2010-11	2011-12
Total actions	205	185	209	178	206
Percent of actions to males	60%	65%	67%	62%	63%
Percent of actions to females	40%	35%	33%	38%	37%

The University of Iowa has a total of 99 promotion and tenure actions for the 2011-2012 academic year as compared to 94 actions in 2010-2011.

	FEMALE	MALE	TOTALS
Promotion with tenure	17	37	54
Promotion (already had tenure)	2	15	17
Promotion without tenure	13	14	27
Tenure without promotion	0	1	1
Totals	32	67	99

Iowa State University has a total of 72 promotion and tenure actions for the 2011-2012 academic year as compared to 61 in 2010-2011.

	FEMALE	MALE	TOTALS
Promotion with tenure	17	23	40
Promotion (already had tenure)	10	19	29
Promotion without tenure	1	0	1
Tenure without promotion	0	2	2
Totals	28	44	72

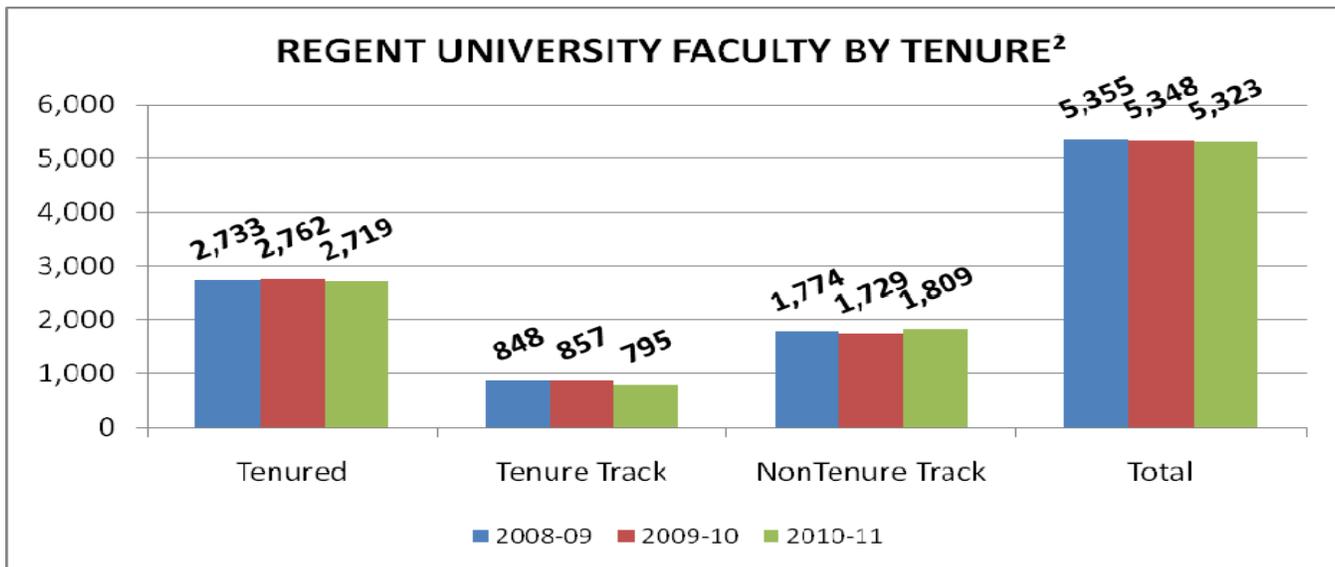
The University of Northern Iowa has a total of 35 promotion and tenure actions for the 2011-2012 academic year as compared to 23 in 2010-2011.

	FEMALE	MALE	TOTALS
Promotion with tenure	8	12	20
Promotion (already had tenure)	6	6	12
Promotion without tenure	0	0	0
Tenure without promotion	2	1	3
Totals	16	19	35

Annual Report on Faculty Tenure – 2010-2011

Total faculty. In 2010-2011, the total number of faculty members at the Regent universities was 5,323², a decrease of 25 (-0.5%) from the prior year.

- ### The number of tenured faculty was 2,719, a decrease of 43 (-1.6%) from the prior year.
- ### The number of tenure-track faculty was 795, a decrease of 62 (-7.2%) from the prior year.
- ### The number of non-tenure-track faculty was 1,809, an increase of 80 (+4.6%) from the prior year.



**TABLE 1
TOTAL FACULTY AT THE REGENT UNIVERSITIES BY TENURE
2008-2009 to 2010-2011**

	TENURED	TENURE-TRACK	NON-TEN.-TRK.	TOTAL
2008-2009				
SUI	1,283 (46.2%)	389 (14.0%)	1,104 (39.8%)	2,776
ISU	987 (57.3%)	327 (19.0%)	409 (23.7%)	1,723
UNI	463 (54.1%)	132 (15.4%)	261 (30.5%)	856
TOTAL	2,733 (51.1%)	848 (15.8%)	1,774 (33.1%)	5,355
2009-2010				
SUI	1,277 (45.7%)	402 (14.4%)	1,115 (39.9%)	2,794
ISU	1,018 (58.4%)	328 (18.8%)	398 (22.8%)	1,744
UNI	467 (57.6%)	127 (15.7%)	216 (26.7%)	810
TOTAL	2,762 (51.7%)	857 (16.0%)	1,729 (32.3%)	5,348
2010-2011				
SUI	1,248 (45.2%)	373 (13.5%)	1,143 (41.3%)	2,764
ISU	1,008 (58.1%)	300 (17.3%)	427 (24.6%)	1,735
UNI	463 (56.2%)	122 (14.8%)	239 (29.0%)	824
TOTAL	2,719 (51.1%)	795 (14.9%)	1,809 (34.0%)	5,323

² In 2010-2011, the total number of faculty at the three universities was 7,584 and included 2,261 clinical or adjunct faculty members at SUI who did not receive a salary.

Tenure-eligible faculty. In 2010-2011, the number of tenure-eligible faculty (includes tenured and tenure-track faculty) was 3,514, a decrease of 105 (-2.9%) from the prior year. More than 77% of the tenure-eligible faculty at the Regent universities is tenured.

TABLE 2
TOTAL TENURE-ELIGIBLE FACULTY BY TENURE
2008-2009 to 2010-2011

	TENURED	TENURE-TRACK	TOTAL
2008-2009			
SUI	1,283 (76.7%)	389 (23.3%)	1,672
ISU	987 (75.1%)	327 (24.9%)	1,314
UNI	463 (77.8%)	132 (22.2%)	595
TOTAL	2,733 (76.3%)	848 (23.7%)	3,582
2009-2010			
SUI	1,277 (76.1%)	402 (23.9%)	1,679
ISU	1,018 (75.6%)	328 (24.4%)	1,346
UNI	467 (78.6%)	127 (21.4%)	594
TOTAL	2,762 (76.3%)	857 (23.7%)	3,619
2010-2011			
SUI	1,248 (77.0%)	373 (23.0%)	1,621
ISU	1,008 (77.1%)	300 (22.9%)	1,308
UNI	463 (79.1%)	122 (20.9%)	585
TOTAL	2,719 (77.4%)	795 (22.6%)	3,514

Tenure levels. There are no national standards regarding the appropriate levels of tenure. However, comprehensive analyses of tenure at the national level have concluded that an institution should provide close oversight when more than one-half to two-thirds of its faculty is on tenure appointments.

☛ A conclusion by the *Commission on Academic Tenure* was based on the assumption that “a larger proportion of tenured faculty is likely to curtail opportunities for the appointment and retention of younger faculty, with undesirable effects on institutional vitality...and to diminish opportunities for the recruitment and promotion of an increased number of women and members of minority groups.”

☛ In 2010-2011, there were a significant number of departments at the Regent institutions with 70% or more of their tenure-eligible faculty that were tenured.

◇ At SUI, at least 70% of the tenure-eligible faculty is tenured in 70 out of 101 (69.3%) departments and in nine of 12 Colleges - Business, Dentistry, Education, Engineering, Law, Liberal Arts and Sciences, Medicine, Pharmacy, and Public Health.

◇ At ISU, at least 70% of the tenure-eligible faculty is tenured in 49 out of 63 (77.8%) departments and in six of seven Colleges - Agriculture and Life Sciences, Design, Engineering, Human Sciences, Liberal Arts and Sciences, Veterinary Medicine, as well as the Library.

◇ At UNI, at least 70% of the tenure-eligible faculty is tenured in 33 out of 39 (84.6%) departments and in all of the Colleges - Business Administration, Education, Humanities and Fine Arts, Natural Sciences, Social and Behavioral Sciences, as well as the Library.

Comparison to peer institutions. The data from the 2009-2010 AAUP Faculty Compensation Survey³ for full-time faculty on a 9-10 month contract indicate that:

- ### At SUI, the tenure rate⁴ is 65.2%. At its peer institutions, the tenure rate range is 55.7% - 77.1%; the median is 65.3%.
- ### At ISU, the tenure rate is 61.8%. At its peer institutions, the tenure rate range is 60.1% - 74.2%; the median is 64.6%.
- ### At UNI, the tenure rate is 77.7%. At its peer institutions, the tenure rate range is 58.7% - 71.7%; the median is 67.8%.

Tenure trends.

- ### The number of grand total faculty has increased every year for the past nine years.
- ### During the past ten years, the average number of tenured faculty was 2,744 with a low of 2,728 (2004-2005 & 2006-2007) and a high of 2,813 (2001-2002). After three years of increases, there was a decrease in 2010-2011.
- ### During the past ten years, the average number of tenure-track faculty was 870 with a low of 795 (2010-2011) and a high of 939 (2003-2004). This is the lowest number of tenure-track faculty during the past 12 years.
- ### The number of tenure-eligible minority faculty members is at an all-time high (632) with yearly increases since 2002-03.
- ### After two years of increases in the number of tenure-eligible female faculty members, there was a decrease of 22 (-1.9%) in 2010-2011.
- ### The largest percentage of total faculty by tenure status and gender continues to be tenured male faculty members.
- ### The number of departments with 70% or more of tenure-eligible faculty who are tenured (152) increased from the prior year; this represents approximately 75% of the total number of departments at the Regent universities.
- ### The total number of non-tenure track faculty increased again this year for the 11th straight year; it is the highest number (4,070)⁵ during the past 20 years. The number of non-tenure-track faculty members represents more than 50% of the total faculty. The total number of non-tenure-track faculty includes 2,261 clinical or adjunct faculty at SUI who do not receive a salary.
- ### The majority of tenured and tenure-track faculty is employed on a full-time basis, while the majority of non-tenure-track faculty is employed on a part-time basis.

Board of Regents Strategic Plan. The Faculty Tenure Report addresses the Board of Regents Strategic Plan priority of “educational excellence and impact.”

Background:

Definition of tenure.

- ### Tenure is a contractual employment status under which faculty appointments are continued indefinitely. At most institutions, tenured faculty members are subject to dismissal only for cause or financial exigency.

³ The data do not include medical school faculty or librarians.

⁴ The tenure rate is the proportion of tenured faculty members to all full-time faculty included in the base.

⁵ Includes both paid and unpaid faculty.

- ☛ Tenure is typically awarded to a faculty member in a tenure-track position who serves a probationary period that lasts approximately seven years. After a series of annual retention proceedings, the awarding of tenure requires an affirmative recommendation based on an extensive evaluation process that typically involves reviews by peers in the field and reviews at the departmental, college, and university levels.
- ☛ Each year, the Board of Regents formally confers tenure upon individual faculty at the recommendation of the universities.

Tenure by gender. In 2010-2011, the total number of female faculty members at the Regent universities was 2,050, an increase of 24 (+1.2%) from the prior year. The total number of male faculty members at the Regent universities was 3,273, a decrease of 49 (-1.5%) from the prior year.

- ☛ The number of tenured female faculty members was 791, an increase of 1 (+0.1%); the number of tenure-track female faculty members was 342, a decrease of 23 (-6.3%); and the number of non-tenure-track female faculty members was 917, an increase of 46 (+5.3%) from the prior year.
- ☛ The number of tenured male faculty members was 1,928, a decrease of 44 (-2.2%); the number of tenure-track male faculty members was 453, a decrease of 39 (-7.9%); and the number of non-tenure-track male faculty members was 892, an increase of 34 (+4.0%) from the prior year.

**TABLE 3
TOTAL FACULTY AT THE REGENT UNIVERSITIES BY TENURE AND GENDER
2010-2011**

	TENURED		TENURE-TRACK		NON-TEN-TRK		TOTAL		GRAND TOTAL
	Male	Female	Male	Female	Male	Female	Male	Female	
SUI	901 (32.6%)	347 (12.6%)	215 (7.8%)	158 (5.7%)	606 (21.9%)	537 (19.4%)	1,722 (62.3%)	1,042 (37.7%)	2,764
ISU	748 (43.1%)	260 (15.0%)	177 (10.2%)	123 (7.1%)	190 (11.0%)	237 (13.6%)	1,115 (64.3%)	620 (35.7%)	1,735
UNI	279 (33.8%)	184 (22.3%)	61 (7.4%)	61 (7.4%)	96 (11.7%)	143 (17.4%)	436 (52.9%)	388 (47.1%)	824
TOTAL	1,928 (36.2%)	791 (14.9%)	453 (8.5%)	342 (6.4%)	892 (16.8%)	917 (17.2%)	3,273 (61.5%)	2,050 (38.5%)	5,323

- ☛ The number of tenure-eligible male faculty members was 2,381, a decrease of 83 (-3.7%) and the number of tenure-eligible female faculty members was 1,133, a decrease of 22 (-1.9%) from the prior year. Tenured female faculty members represent 22.5% of the tenure-eligible faculty at the Regent universities.

**TABLE 4
TOTAL TENURE-ELIGIBLE FACULTY BY TENURE AND GENDER
2010-2011**

	TENURED		TENURE-TRACK		TOTAL		GRAND TOTAL
	Male	Female	Male	Female	Male	Female	
SUI	901 (55.6%)	347 (21.4%)	215 (13.3%)	158 (9.7%)	1,116 (68.8%)	505 (31.2%)	1,621
ISU	748 (57.2%)	260 (19.9%)	177 (13.5%)	123 (9.4%)	925 (70.7%)	383 (29.3%)	1,308
UNI	279 (47.7%)	184 (31.5%)	61 (10.4%)	61 (10.4%)	340 (58.1%)	245 (41.9%)	585
TOTAL	1,928 (54.9%)	791 (22.5%)	453 (12.9%)	342 (9.7%)	2,381 (67.8%)	1,133 (32.2%)	3,514

Tenure by race/ethnicity. In 2010-2011, the total number of minority faculty members at the Regent universities was 865, an increase of 64 (+8.0%) from the prior year. The total number of non-minority faculty members at the Regent universities was 4,458, a decrease of 89 (-2.0%) from the prior year.

☛ The number of tenured minority faculty members was 414, an increase of 17 (+4.3%); the number of tenure-track minority faculty members was 216, a decrease of 1 (-0.5%); and the number of non-tenure-track minority faculty members was 235, an increase of 48 (+25.7%) from the prior year.

☛ The number of tenured non-minority faculty members was 2,305, a decrease of 60 (-2.5%); the number of tenure-track non-minority faculty members was 579, a decrease of 61 (-9.5%); and the number of non-tenure-track non-minority faculty members was 1,574, an increase of 32 (+2.1%) from the prior year.

**TABLE 5
TOTAL FACULTY AT THE REGENT UNIVERSITIES BY TENURE AND RACE/ETHNICITY
2010-2011**

	TENURED		TENURE-TRACK		NON-TEN.-TRK		TOTAL		GRAND TOTAL
	NonMin	Min	NonMin	Min	NonMin	Min	NonMin	Min	
SUI	1,072 (38.7%)	176 (6.4%)	261 (9.4%)	112 (4.1%)	984 (35.6%)	159 (5.8%)	2,317 (83.8%)	447 (16.2%)	2,764
ISU	824 (47.5%)	184 (10.6%)	220 (12.7%)	80 (4.6%)	372 (21.4%)	55 (3.2%)	1,416 (81.6%)	319 (18.4%)	1,735
UNI	409 (49.6%)	54 (6.6%)	98 (11.9%)	24 (2.9%)	218 (26.5%)	21 (2.5%)	725 (88.0%)	99 (12.0%)	824
TOTAL	2,305 (43.3%)	414 (7.8%)	579 (10.9%)	216 (4.1%)	1,574 (29.5%)	235 (4.4%)	4,458 (83.7%)	865 (16.3%)	5,323

☛ The number of tenure-eligible minority faculty members was 630, an increase of 16 (+2.6%) and the number of tenure-eligible non-minority faculty members was 2,884, a decrease of 121 (-4.0%) from the prior year. Tenured minority faculty members represent 11.8% of the tenure-eligible faculty at the Regent universities.

TABLE 6
TOTAL TENURE-ELIGIBLE FACULTY BY TENURE AND RACE/ETHNICITY
2010-2011

	TENURED		TENURE-TRACK		TOTAL		GRAND TOTAL
	Non-Min	Min	Non-Min	Min	Non-Min	Min	
SUI	1,072 (66.1%)	176 (10.9%)	261 (16.1%)	112 (6.9%)	1,333 (82.2%)	288 (17.7%)	1,621
ISU	824 (63.0%)	184 (14.1%)	220 (16.8%)	80 (6.1%)	1,044 (79.8%)	264 (20.2%)	1,308
UNI	409 (69.9%)	54 (9.2%)	98 (16.8%)	24 (4.1%)	507 (86.7%)	78 (13.3%)	585
TOTAL	2,305 (65.6%)	414 (11.8%)	579 (16.5%)	216 (6.1%)	2,884 (82.1%)	630 (17.9%)	3,514

Availability of tenure.

- ### The availability of tenure and its application through a well-designed and effective system of academic peer review plays a critical role in a university's competitive ability to attract and retain talented, productive teachers-scholars.
- ### Most colleges and universities in the U.S. offer some form of tenured employment for faculty. The Regent universities' tenure policies, which have been approved by the Board, guide the awarding of tenure.
- ### Tenure is frequently invoked as an essential protection of academic freedom. Academic freedom is a fundamental principle of higher education that is intended to ensure the integrity of research and the curriculum.

Post-tenure review and faculty vitality.

- ### Teaching is fundamental to the mission of the Regent universities and the evaluation of teaching effectiveness is crucial to a tenure decision. Student and faculty peer evaluations are significant components of determining teaching effectiveness.
- ### The institutions offer a variety of programs, including professional development assignments, travel support for participation in academic conferences, teaching support centers, summer research grants, and technology enhancement opportunities to maintain and enhance faculty vitality.
- ### The three Regent universities have implemented post-tenure review policies. Some of the results of the reviews have included recommendations for professional development assignments, revised portfolios that increase a faculty member's effort in an area of strength, new position responsibility statements which provide greater alignment of faculty members' efforts with department goals, and plans for phased retirement.

Attachments A-C include summaries of institutional policies and issues on tenure and post-tenure review. The changes in the post-tenure review policies developed by Iowa State University and the University of Iowa will be presented in Agenda Item #25.

UNIVERSITY OF IOWA

Policies and Procedures Relating to Tenure

The "Procedures for Tenure and Promotion Decision-Making" establish a uniform system of procedures to be used in all academic units of the University. University policy also states that each college of the University should establish its own written procedures governing its tenure and promotion decision-making to guide academic units where circumstances require or permit flexibility or variation. University procedures rely on the following principles: (1) Decision granting or denying tenure or promotion should be based on a written record of achievement; (2) The content of the record that will be relied upon should be known by the candidate and the decision-makers, except as otherwise provided for in the procedures; (3) Except for variation related to the nature of the candidate's academic activity, the content of the record should be the same for all candidates in the same academic unit; (4) The governing procedures should be the same for all candidates across the University, except where conditions or academic cultures justify variation among colleges or among departments within a college; (5) University and Collegiate Procedures should be applied consistently to all candidates; and (6) Each faculty member participating in the tenure and promotion decision-making process may do so at only one level of the process: departmental, collegiate, or provostial. Faculty with collegiate or provostial administrative appointments of 50% or greater shall participate in their administrative office, except in rare and special circumstances at the discretion of the provost.

Evaluation of Instructional Performance

Evaluation of teaching effectiveness is a critical part of the tenure decision because teaching is fundamental to the mission of the University. University policy specifies that only after teaching effectiveness has been ascertained should a faculty member's scholarly and professional contributions be evaluated.

Methods used to evaluate teaching include assessments by both students and faculty peers. There is a variety of methods used to assess student opinions about teaching. Many academic units use a standard questionnaire that is compiled and scored by the University Evaluation and Examination Service (EES), although many departments and colleges develop and score their own instruments. During the 2009-2010 fall and spring semesters, EES processed 167,307 student opinion forms administered in 7,504 classes. Students are also given the opportunity to write comments on the EES forms. Faculty members use the results of their students' evaluations to improve their teaching. The identity of students is kept confidential.

The Procedural Guidelines for Tenure and Promotion Decision-Making require colleges to develop processes for peer review of faculty teaching. Colleges require peer evaluation of classroom teaching by senior faculty members and a thorough review of course materials. College guidelines for peer review of teaching are tailored to the different types of teaching in the college, including large classroom, small seminar or laboratory teaching, and clinical teaching. The student and peer evaluations provide substantial information to help faculty members improve their teaching and help senior faculty members and administrators to make promotion and tenure decisions. An important resource for faculty seeking to improve their teaching is the Center for Teaching which offers group workshops, individual assessments and assistance, and other learning opportunities for faculty members, graduate teaching assistants, and others on campus. Faculty members under consideration for tenure are also evaluated extensively and systematically regarding their scholarship and service contributions.

Faculty Vitality

The Office of the Provost supports faculty excellence and vitality through its faculty development programs and resources. Recent changes in staffing have led to a thorough five-year review. The results will be used to determine future planning and programming. In AY10-11, programming was maintained through continued partnerships with other campus offices to maximize the use of limited resources and identify unmet needs. Programming included faculty advancement; faculty development programs and workshops; and faculty development awards program.

The University of Iowa was notified that it had received exemplar standing in Harvard University's Collaborative on Academic Careers in Higher Education (COACHE) initiative that measures pre-tenure faculty job satisfaction. The University was rated exceptional in five out of the eight categories deemed essential for faculty success – more than any of the other 113 participating universities and colleges. The COACHE survey focuses on specific dimensions of the work experiences of early-career faculty – tenure practices; clarity of institutional expectations for tenure; nature of faculty work overall, in research and teaching; work and home balance and supports; climate, culture, and collegiality; and global satisfaction. Between 2006 and 2009, 32 institutions were named an exemplar in at least one benchmark dimension; however, the University of Iowa was the only institution rated by the faculty as exceptional in five out of eight categories.

☞ Faculty advancement.

- ◇ The Academic and Professional Record (APR) project is a joint initiative of the Office of the Associate Provost for Faculty and University colleges to capture and tell the story of faculty excellence on campus. The APR serves as an online portfolio of individual faculty members' academic and professional activities, including up-to-date records of teaching, research, and service to their professions and the public. The University has contracted with an external vendor, Digital Measures, to implement this faculty activities database campus-wide. Currently seven of the eleven colleges have begun the process of bringing their faculty data into the system. The goal is to have all colleges participating by December 2012.
- ◇ The Office has collaborated with University Human Resources in the initiative to bring all regular University employees' personnel records into an online, accessible ePersonnel File. The ePersonnel File system was implemented for Professional and Scientific and Merit staff in Summer 2010 and will be operational for faculty records in April 2011. The ePersonnel Files will provide easier online access to essential personnel data to individual faculty members, their supervisors, and collegiate administration.

☞ Faculty development programs and workshops.

- ◇ The Office of the Provost coordinates and distributes a comprehensive faculty development calendar of campus-wide programs available to faculty. The calendar includes workshops offered by the Office of the Provost, Office of the Vice President for Research, Center for Teaching, ITS-Instructional Services, University Human Resources, International Programs, and others.

- ◇ The Office of the Provost coordinates an annual New Faculty Orientation in collaboration with the 11 colleges, University Human Resources, and University Benefits. New faculty members participate in a resource fair and receive a resource booklet that includes the “Getting Off to a Good Start at the University of Iowa” guide. The Office will also continue its collaboration with University Human Resources to ensure campus-wide “onboarding” efforts directed at new employees and their supervisors are relevant and useful to faculty members.
- ◇ The Office has continued its “Write-on-Site” faculty writing groups. Currently, two groups meet weekly to support junior faculty in maintaining productive writing habits. In AY11-12, the office will work with the University Obermann Center for Advanced Studies to expand programming to associate professors.
- ◇ The Center for Teaching provides learning opportunities that enhance faculty vitality and promote faculty leadership. AY10-11 programs included: *Ideas for New Teachers; Service Learning at Iowa and Beyond, with a focus on pedagogy and scholarship; Learning Portfolios in the Digital Age; New Technology, New Teaching; Teaching with Writing; Facilitating Classroom Discussion of “Hot” Topics; Outcomes Assessment; Teaching Inter-Culturally.*
- ◇ The Office of the Provost worked with the Office of University Relations to renew its commitment to the University of Iowa Faculty Engagement Corps. The Corps is a “listening tour” that gives selected faculty members and administrators the opportunity to spend several days immersed in one region of Iowa. During the trip, the group visits with constituencies of the University, including community members, alumni, current and prospective students, representatives of education agencies, health care professionals, area legislators, and members of the business community. The 2010 Faculty Engagement Corps, included 16 participants and traveled to Fort Madison, Burlington, and Columbus Junction. Two significant projects resulted from this trip: second-year Master’s degree students from the School of Urban and Regional Planning are applying their talents and knowledge to help Downtown Partners, Inc. in Burlington; and Speech and Pathology faculty participants won a grant to establish an early literacy program at Roundy Elementary School in Columbus Junction. The 2011 Faculty Engagement Corps will take approximately 25 faculty members to Marshalltown, Webster City, Goodell, and Des Moines in May 2011.
- ◇ Five faculty leaders participated in the CIC⁶-Academic Leadership Program (CIC-ALP) and five department executive officers (DEOs) participated in the CIC-DEO program. The CIC-ALP, established in 1989, is noted by the CIC as one of its most successful leadership initiatives. This intensive professional development experience is designed to develop the leadership and managerial skills of faculty members who have demonstrated exceptional ability and academic promise. Many of the program’s nearly 1,000 Fellows eventually became college presidents, provosts, and deans. The CIC-DEO program is a three-day event that attracts approximately 50 department heads and chairs from CIC universities each year.

⁶ Committee on Institutional Cooperation.

- ◇ The Office of the Provost co-sponsors an “Annual Symposium on Promotion and Tenure to Associate Professor” with the Faculty Senate and University Chapter of the AAUP.⁷ In 2010-11, the Office also initiated workshops for administrative staff to increase competency and ensure consistent application of faculty-related policies and procedures across departments.

††† Faculty development awards program.

- ◇ The University of Iowa Faculty Development Awards Program provides opportunities for faculty members to pursue programs of research, improvement-of-instruction projects and other activities related to professional development. In 2009-10, 87 faculty members were on professional development assignment which resulted in 1,166 “products or outcomes,” including 417 journal articles or chapters; 98 books or monographs; 104 grant applications; 153 course materials; and 292 presentations, performances, and exhibits.
- ◇ During 2010-11, 52 faculty members were or are on professional development assignments. A number of faculty members were able to extend their assignments by obtaining external support. Proposals for 79 new professional development assignments were received for 2011-12. In December 2010, the Board of Regents approved the University’s request for 58 professional development assignments which included seven continuing Faculty Scholar Awards.
- ◇ Beginning in 1997, all new academic year probationary faculty members are guaranteed an Old Gold Summer Fellowship upon presentation of a satisfactory written proposal to their collegiate dean. During Summer 2010, 40 faculty pursued research and instructional development efforts through this program. These fellowships increase the intellectual vitality of the faculty and enhance the teaching and research programs of the University.
- ◇ The Office of the Provost used supplemental funding received in Spring 2010 to provide summer faculty development support for innovative research and teaching projects. Presidential Faculty Fellowship recipients received June summer compensation for projects to enhance teaching, research, or Iowa-based civic engagement. Faculty Support Fund recipients received compensation for research-related or instruction-related expenses, including equipment, supplies, travel, and student assistance. More than \$300,000 was awarded. More than 300 proposals were submitted and 55 were funded. A faculty committee reviewed the proposals and the Provost approved the committee’s recommendations.

Post-Tenure Review Implementation

The Faculty Senate conducted a review of the post-tenure review policy in 2010 and decided to clarify and improve the policy to help faculty members benefit from the review process and ensure that the policy is administered in a timely and consistent fashion. A new policy has been proposed by the Faculty Senate and will be submitted to the Board of Regents for their approval.

⁷ American Association of University Professors.

The new policy has two major sections. The first section deals with the requirements for a mandatory annual review of all tenured faculty members. The annual review is conducted by the unit head, and is normally formative. When, as a result of the annual review, the unit head concludes that there are significant deficiencies related to teaching, research, or service, the unit head shall provide written notifications of these conclusions to the faculty member being reviewed, and the faculty member will be given an opportunity to respond in writing. The final report and the faculty member's response will be sent to the Dean and kept on file in the department.

The second section describes a formal process for a periodic peer review (normally every five years) that is required of all tenured faculty members. The post-tenure peer review is intended to acknowledge achievements and provide an appropriate mechanism to encourage constructive responses to normal changes that are likely to occur during the course of a successful academic career. If the Dean concludes, on the basis of the peer review's findings, that the faculty member's performance has fallen for a significant period of time below the expected standard of performance for the faculty member's unit, the Dean may initiate discussions with the faculty member concerning the development of a plan to address problems uncovered in the review. The plan and faculty member's response (if one exists) will be submitted to the Provost, who will make the final determination about whether the plan should be implemented. If after an agreed-to time period, a peer review committee and the Dean find no acceptable progress, then the Dean, Provost, and peer review committee will meet to decide which of the consequences described in the plan will go into effect. The consequences will be monitored by the Provost. On those rare occasions where a faculty member has proved unwilling or unable to benefit from developmental assistance to improve his or her performance, the administration may feel compelled to proceed against the faculty member in a disciplinary or unfitness proceeding.

This policy represents an expansion and improvement of the existing policy. The new policy requires that each tenured faculty member undergo both an annual review by the unit head and a periodic review by the faculty member's peers. The policy now describes in detail the procedures for dealing with the situation where a faculty member's performance drops below expectations. Data on the implementation and outcomes of the new policy will be included in the tenure report beginning next year. Under the previous policy, 85% of the eligible tenured faculty had been reviewed within the designated time period.

Non-Tenure Track Faculty Positions

There are eight types of non-tenure-track faculty at the University of Iowa. The qualifications and types of responsibilities of each type are listed below.

Clinical Track. These are primarily full-time on-campus faculty members with renewable contracts; they devote a significant portion of their time to providing or overseeing the delivery of professional services to individual patients or clients. Clinical faculty members also teach students, residents, and fellows and integrate the delivery of their professional services with their teaching. They may serve on graduate-student thesis and dissertation committees with the permission of the Graduate College. A record of professional productivity in addition to clinical service is required for promotion beyond the assistant professor level.

Research Track. These faculty members devote almost all of their time to performing externally supported research and are expected to submit or assist in the submission of research grants. They are also expected to disseminate their research and be active in professional activities. Their teaching activities are very limited and consist predominantly of service on doctoral committees with the approval of the Graduate College.

Adjunct. Adjunct faculty members hold another position as their primary employment, which may be a University staff position or in the surrounding community. They possess areas of expertise that are insufficiently represented on the faculty and which enrich the education of students in their field of practice. They typically hold the terminal degree in the field. Responsibilities may involve teaching, teaching support, research, patient care, or clinical/practicum supervision. The appointment must be less than 50% and may or may not be compensated.

Adjunct Clinical. These faculty members are similar to adjunct faculty in that they also typically hold another position as their primary appointment, which is often in a clinical or professional practice setting either within the University or at a satellite facility. These positions are customarily 0% appointments and are not compensated. The majority serve as preceptors for professional student practica or externships.

Visiting. These faculty members hold primary appointments at other academic institutions and are visiting the University of Iowa for a specific period of time for a particular purpose, such as collaborating with SUI faculty or as part of a departmental faculty exchange program. They may be on developmental assignment or sabbatical from their home institution. Their functions vary depending on the individual's areas of expertise, and usually include teaching and research. Appointments are generally limited to three years.

Lecturer. These faculty members hold teaching appointments, which may be full- or part-time, and also may provide programmatic support. A full-time lecturer typically will teach at a 50% greater load than regular faculty members who also conduct research and are involved in service and outreach activities.

Associate. These faculty members hold appointments primarily in the College of Medicine to fulfill specific teaching, research, or patient care service needs. Appointments are generally limited to three years, after which time these faculty members may apply for positions on the tenure- or clinical-track, or take positions at other institutions or in private practice.

Assistant in Instruction. These faculty members hold a baccalaureate degree or equivalent and are appointed for a specific teaching, research, or patient care service. For example, a native-speaker of a foreign language may assist in language instruction. Few faculty members are appointed in this category.

IOWA STATE UNIVERSITY

Policies and Procedures Relating to Tenure

The system of academic tenure at Iowa State University emphasizes (1) recruitment of the most highly qualified candidates available, (2) creation of an opportunity for scholarly performance in teaching, research/creative activity, and extension/professional practice, (3) continuing evaluation of performance on the basis of areas of responsibility, and (4) positive evaluation of performance resulting in the award of tenure. The awarding of tenure requires an affirmative decision, based upon an explicit judgment of qualifications resulting from continuous evaluation of the faculty member during the probationary period in light of the applicable criteria. After the award of tenure, faculty members undergo annual performance reviews and post-tenure review. When appropriate, an individual may undergo a review for promotion in rank to full professor.

The criteria by which probationary faculty members in a department are evaluated annually and for tenure are stated in writing as part of the department's promotion and tenure document. A central component of each review is a written Position Responsibility Statement (PRS) for each candidate. Evaluation criteria are consistent with a commitment to excellence in scholarship and apply to the position responsibilities of probationary faculty.

ISU's promotion and tenure policy describes performance criteria and evaluative processes for faculty evaluation. It emphasizes the interrelationships among teaching, research/creative activities, and extension/professional practice as mutually supportive endeavors. Faculty members must show excellence in scholarship (including scholarly contributions to teaching, research/creative activity, and/or extension/professional practice), must perform effectively in all categories of responsibility, and must show institutional service at a level commensurate with their rank.

Annual Evaluation of Faculty

Evaluation of faculty is based on the PRS, a statement of expected duties and outcomes for each faculty member. The use of the PRS allows for variations in assigned work responsibilities and periodic adjustments that align with the changing career paths of individual faculty members and departmental priorities.

Faculty members are reviewed annually with respect to their responsibilities and at the same time goals for the coming year are determined. These annual performance evaluations include evidence of teaching performance as well as evidence of productivity in research/creative activities, extension/professional practice, and institutional service, as appropriate. Evidence concerning teaching performance must include student evaluations (both formal and informal) as well as evidence of peer evaluation.

Faculty Vitality

Iowa State University offers tenured and tenure-eligible faculty members a number of opportunities to ensure productive engagement in all areas of faculty work. The Center for Excellence in Learning and Teaching (CELT) provides workshops and seminars in addition to resources that support innovation or improvement in teaching. The Center also offers advice and a forum for discussions as well as scholarly support for continued learning. Faculty

members are encouraged to use instructional development facilities and other special programs to improve and modernize their teaching.

Faculty development initiatives for 2010-11 included the following:

- An Effective Teaching Workshop for new faculty, both tenure-eligible and non-tenure-eligible, was offered in August 2010 to assist with the transition to ISU.
- A day-long New Faculty Orientation was held in Mid-August 2010 to provide new tenure-eligible faculty with an introduction to university programs and resources.
- Strengthening of centralized mentoring program through appointment of college-peer mentors in addition to individual mentors.
- Review and reframing of Center for Excellence in Arts and Humanities for direct support of faculty efforts in external grant writing. Grants coordinator appointed and multiple federal agency workshops offered.
- Grant-writing workshop offered by the university to facilitate successful grantsmanship.
- Individual academic colleges offered promotion and tenure workshops for junior and mid-career faculty.
- ADVANCE⁸ workshop offered on the pathway of advancement to full professor.
- ADVANCE workshops for chairs and deans on recruiting and retaining excellent faculty through policies that support flexible faculty careers.

Initiatives such as the Faculty Mentoring Program, the Miller Faculty Development Grant Program, and the Faculty Professional Development Assignment (FPDA) Program offer mentorship and professional growth and development opportunities for both junior and senior faculty. In particular, the FPDA program encourages new research and scholarship and new or specialized training.

Post-Tenure Review

Academic colleges and departments address the issue of faculty vitality by conducting evaluations of senior faculty as described in the Post-Tenure Review Policy. The current Post-Tenure Review Policy was approved by the Board of Regents in June 1999. It ensures that all faculty who are tenured undergo a post-tenure review at least once every seven years. Exceptions to this policy may be granted. For instance, if a faculty member has taken a leave of absence, or if, as part of the annual review process, there is a less-than-satisfactory evaluation, the post-tenure review period may be shortened. During 2009-2010, 792 tenured faculty members were reviewed per this policy; this represents 7.8% of all tenured faculty. During 2010-2011, 112 additional reviews will be concluded.

The post-tenure review process is useful for tenured faculty overall, but many department chairs reported a desire to develop a more meaningful way to reward quality performance, and to sanction less-acceptable performance. In April 2011, the Faculty Senate proposed a revision to the post-tenure review policy. The proposed policy provides clearer guidelines for the review process, ensures that it is a peer review process, builds in administrative approval, and suggests incentives for superior performance. The current budget situation has allowed faculty

⁸ Advance women in academic science and engineering careers.

and administrators to agree that a stronger post-tenure review policy is an effective way to manage scarce resources.

Non-Tenure-Eligible Faculty Policy

In December 2001, the Faculty Senate approved a policy on non-tenure-eligible appointments and amended it in Spring 2003 to broaden the range of non-tenure-eligible faculty titles. The policy is guided by the University's commitment to the tenure-track system and an understanding that the tenure system is one of the University's best ways of ensuring that it pursues its missions in discovery, engagement, and learning at the highest levels of excellence. The policy was designed to encourage the responsible use of non-tenure-eligible faculty.

Under this policy, non-tenure-eligible faculty members, with the approval of appropriate tenured and tenure-eligible faculty, are appointed for varying terms with the option of renewal, depending on departmental needs. The Provost's Office annually monitors the percentage of teaching done by non-tenure-eligible faculty. The Faculty Senate, following the recommendation of an appointed task force, approved a new policy which became effective in AY 2010 for setting limits on the percentage of non-tenure-eligible faculty who teach for individual departments and colleges. Although the University follows AAUP guidelines which recommend that no more than 15% of total instruction be provided by non-tenure-eligible faculty, the new policy will provide greater flexibility among departments.

Following Board approval in 2008, ISU implemented the new titles of research professor, research associate professor, and research assistant professor. The new non-tenure-eligible designations are likely to offer more flexibility in hiring and allow the University to compete with peer institutions in the recruitment, retention, and partner accommodation of high-quality research faculty. The policy outlines general guidelines for appointment, funding criteria, and review of such term faculty members. Funding for these positions is external to the University and is not part of the University base budget. The policy stipulates that such non-tenure-eligible appointments will be limited to no more than 10% of total FTE tenured and tenure-track faculty in the University and to no more than 20% of total FTE tenured and tenure-track faculty in any given department.

In Fall 2010, there were 334 faculty members classified as lecturer, clinician, senior lecturer, or senior clinician, compared to 322 in Fall 2009. In addition to teaching, these term faculty members also plan and coordinate other educational programs, advise undergraduates, supervise practica and internships, and participate in outreach activities. The ability to hire quality faculty on a full- or part-time basis to contribute to the teaching mission of the University has helped departments by providing flexibility in staffing, especially during difficult budget times.

Several lecturers and clinicians have served multiple terms and have been evaluated for advancement to senior lecturer and senior clinician. To date, 90 faculty members have been advanced to the senior status and have been offered the longevity that the revised non-tenure-eligible system was designed to provide.

UNIVERSITY OF NORTHERN IOWA

Policies and Procedures Relating to Tenure

The University of Northern Iowa faculty are unionized and represented by UNI-United Faculty. General evaluation procedures are defined in Article Three of the 2009-2011 Master Agreement and tenure policies and procedures are specified in Appendix F of the Master Agreement. The criteria for promotion to associate professor are identical to the criteria for tenure. The standard for promotion and tenure is a documented record of accomplishment in teaching, scholarship and/or creative achievement, and professional service. While the degree of accomplishment in each of these areas may vary, documented teaching effectiveness is essential and primary. A tenure candidate's scholarship and service will only be considered after a positive judgment is made about teaching.

Because academic disciplines vary widely in determining the specifics of accomplishment in teaching, scholarship, and service, each academic department is expected to develop its own specific criteria for tenure and promotion evaluations. In 2008, the former Interim Provost convened a committee to review the departmental criteria to judge scholarly and creative work in the tenure process. The committee included a faculty member from each college, a department head, dean, and member of United Faculty. The Committee issued two reports; one on the tenure and promotion criteria for scholarly/creative work and one on the tenure and promotion criteria for service. The committee recommended that each department review and revise the criteria used to evaluate teaching, scholarship/creative activities, and service. This work is currently underway. The expected outcome will be clearer, more consistent criteria across all departments and colleges.

Evaluation of Instructional Performance

Article Three of the Master Agreement provides specific procedures for evaluation of teaching. Probationary faculty members are evaluated annually by a departmental Professional Assessment Committee (PAC) and their department head. The college dean and the Provost review the files and the evaluations of the PAC and department head in making their own judgments about faculty performance. Departmental PACs develop their own procedures for evaluating teaching but generally include review of teaching materials, classroom observation, and review of student assessments of teaching. Tenured faculty members who apply for promotion in rank are also evaluated by the PAC.

Student assessments of teaching for probationary, term, and full-time temporary faculty members are conducted in all courses during each spring semester. Tenured faculty members are required to conduct student assessments of teaching every three years during the spring semester. For the 2010-2011 academic year, the academic deans implemented policies in their respective colleges requiring course assessment to be conducted in all courses for both fall and spring semesters to be considered for merit pay.

Dissatisfaction with the current assessment instrument which measures student satisfaction with a faculty member's instruction and an evaluation of a faculty member's effectiveness led to the formation of a labor-management-student committee as specified in Article Three of the Master Agreement. After a review of the student course assessments and instruments used by peers and other higher education institutions, the committee recommended adoption of the Student Assessment of Learning Gains (SALG) instrument which was developed by the University of Wisconsin-Madison. Performance dimensions were developed based on research identifying characteristics of effective collegiate instruction. UNI conducted a pilot study in Spring 2011 whereby volunteer faculty member used SALG to conduct their course evaluations. A final decision regarding adoption of SALG will be made after the results of the pilot study are reviewed during the summer.

In addition to annual and tenure and promotion reviews for probationary faculty, each faculty member's teaching performance is evaluated annually for purposes of awarding merit pay. All faculty members must administer student course assessments in all courses during the academic year to be eligible for merit pay consideration.

Faculty Vitality

An engaged, active, and renewed faculty is essential to effective teaching and productive scholarship and service. Faculty members have a variety of opportunities available that help maintain vitality, including Professional Development Assignments (PDAs), summer research fellowships, support for travel to professional conferences, and faculty development activities. This year, 17 faculty members received professional development assignments for a semester or academic year to pursue scholarly and creative projects. Under the terms of the Master Agreement, at least 27 eight-week summer research fellowships will be funded. At least \$352,287 will be expended to support faculty participation in professional conferences. A professional development effort devoted to enhancing the pedagogical skills of faculty members in the area of teaching with technology, which was started in 2009-2010 using ARRA funds, has been continued by Continuing Education and Special Programs. The initiative engages faculty members with the *Quality Matters* program, which builds skills for quality online instruction and obligates them to develop and teach an online course. During the 2010-2011 academic year, 89 faculty members participated in the *Quality Matters* workshop; 69 developed or are developing fully online courses and 20 are working on blended courses. In May 2011, two sessions of the "Building Your Blended Course" will serve 20 faculty members each.

The provost's office has undertaken several faculty development initiatives for Summer 2011 using one-time funds. These include course development workshops and initiatives related to integration of service learning and sustainability into the curriculum. A major initiative involves the development of a pilot Cornerstone course as part of a strategic initiative on the first-year experience for students. The course will integrate the written and oral communication requirements of the liberal arts core and first-year experience course content. Faculty will be engaged in a month-long development workshop which will focus on content and skill development. The provost is also awarding approximately 20 summer fellowships to support scholarly, research, and/or creative work. The awards are reserved for pre-tenure (tenure-track) faculty. Faculty awardees will be required to share their work at a fall symposium.

The University has become an affiliate of the National Coalition Building Institute which provides a “train-the-trainer” model for prejudice reduction and diversity initiatives. Two faculty members were chosen in a competitive process to become Diversity Fellows. The fellows, working with the associate provost, are managing a program of diversity and prejudice reduction workshops. Nineteen faculty members have attended the “train-the-trainer” program and are now certified to conduct training programs on campus.

In Fall 2010, the University held its first fall workshop for faculty. The daylong meeting focused on the liberal arts core review and revision effort. The Fall 2011 workshop will focus on pedagogical development.

Although budgetary limitations have prevented the revival of the Center for Teaching and Learning, college-level faculty development efforts include mentoring programs, reading groups, and research symposia. A recently hired Administrative Fellow in the Provost’s office will focus on organizing more faculty development activities.

Post-Tenure Review

Under the evaluation provisions of Article Three of the Master Agreement, there are three mechanisms for post-tenure review of faculty members. First, a tenured assistant or associate professor may apply for a promotion review to either associate or full professor. Second, every tenured faculty member is evaluated by his/her department head each year for assignment of merit pay. Merit pay is awarded on the basis of performance in the areas of teaching, research, and service, weighted according to the faculty member’s work load. Department heads distribute evaluation standards each fall and in the spring faculty members receive evaluation letters explaining how they were evaluated using the departmental standards. Third, department heads may conduct other evaluations, including collection and review of student assessment data for any and all semesters and an assessment by the departmental PAC. This spring, the Provost and Associate Provost for Faculty Affairs met with the college deans to begin development of a procedure for utilizing the “other evaluations” provision of the Master Agreement for a systematic and comprehensive post-tenure review. Procedures will be finalized by early summer and the colleges expect to begin a systematic post-tenure review process in Fall 2011.

Definition of Non-Tenure-Track

The Master Agreement with UNI-United Faculty recognizes three types of non-tenure-track appointments, including:

- Temporary appointments for one year or less. Temporary appointments automatically terminate at the end of the stipulated term with no expectation of renewal. Faculty members with these appointments are commonly referred to as adjunct professors and are only expected to teach assigned courses.

- ☛ Term appointments are full time for a minimum of two and a maximum of four years. These appointments expire automatically at the end of the specified term and a search must be conducted if the position is to be refilled after expiration. Faculty members on term appointments primarily engage in teaching activities, although many departments also have service expectations. Some term faculty also voluntarily engage in scholarly/creative activities as a means of enhancing their future prospects in the academic market.

- ☛ Renewable term appointments, which carry an initial term of two years, are a new category of faculty appointment added to the 2009-2011 Master Agreement. These appointments are only made at the instructor rank. Faculty members on renewable term appointments are expected to both teach and contribute to the service mission of the University. Their performance is assessed by a departmental PAC, department head, dean, and the Provost, using the full evaluation procedures of Article Three of the Master Agreement during the second year of their initial appointment. Subsequent appointments are for one year but assuming the individual is appropriately evaluated each year, renewal contracts can be issued indefinitely.

- ☛ Clinical appointments. In addition to the above, the 2009-2011 Master Agreement created a new category of non-tenure-eligible faculty. Faculty members on clinical appointments contribute to the teaching, service, and/or outreach missions of the University through clinical teaching, supervision or direction. Clinical faculty may be part-time, term or renewable term appointments and may only be appointed in Communication Sciences and Disorders; Health, Physical Education and Leisure Services; Curriculum and Instruction; and Social Work. Clinical faculty appointments cannot be made in cases where the individual faculty member is expected to be engaged primarily in traditional classroom instruction.