

Procedures for Clinical-Track Promotion Decision-Making at The University of Iowa

With additions specific to THE COLLEGE OF LIBERAL ARTS AND SCIENCES

February 2008

Overview of Process.....	1
I. Department-level Procedures	8
II. College-level Procedures	22
III. University-level Procedures	26
Appendices.....	28

Overview of Process

1. GENERAL PRINCIPLES

The Procedures for Clinical-Track Promotion Decision-Making establish a uniform system of procedures to be used in all academic units of the University.

The University has allowed the College of Liberal Arts and Sciences to establish additional procedures governing its clinical-track promotion decision-making, to guide its departments on points where the University's procedures require or permit flexibility or variation.

These are procedures only. For University policies regarding *criteria* for promotion of clinical-track faculty, refer to section III-10.9 of the *Operations Manual*. For College of Liberal Arts and Sciences criteria for clinical faculty rank, consult the “For Faculty” page of the College’s website (<http://www.liberalarts.uiowa.edu/academic/criteria/>). Departments may also establish their own criteria for clinical faculty rank, consistent with the University and College criteria. The substantive standards contained in the various criteria documents must be satisfied and are not affected by these procedures.

These Procedures rely upon several principles:

- (1) Decisions granting or denying 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.
- (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.
- (6) Each faculty member participating in clinical-track promotion decision-making 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.

2. DEFINITIONS

The term “professional productivity” refers to professional works and activities as described in section I.B.(3) of these Procedures and in the CLAS Policy on Clinical Faculty Appointments (posted on the CLAS website at http://www.cfas.cornell.edu/crr/clinical_faculty_appointments/)

A “candidate” is any salaried clinical-track faculty member who has indicated his or her interest in being reviewed for promotion in a written request submitted to the DEO by April 1 of the calendar year in which the review is to take place.

The “dossier” is the set of primary materials assembled by the candidate as described in section I.B.(3). The dossier contains appendices all or part of which may be transmitted with the dossier to successive participants in the process as described in section I.B.(4).

The “Promotion Record” is the dossier plus all of the materials that are added to it and transmitted to successive participants in the evaluation process.

The “Departmental Consulting Group” (DCG) for clinical-track promotion decisions consists of all tenured, tenure-track, and clinical-track faculty at or above the rank being sought by the candidate, excluding the collegiate Dean, the Provost and other Provost-level faculty administrators, faculty with unsalaried joint appointments (0%) in the department, faculty with collegiate or provostial administrative appointments of 50% or greater, and any faculty member with a disqualifying conflict of interest. If there are fewer than four eligible faculty and/or if there are no eligible clinical-track faculty to serve on the DCG, the Dean, in consultation with the eligible faculty, will identify additional faculty outside the department so that the DCG consists of a minimum of four faculty and has clinical-track faculty representation.

The “Collegiate Consulting Group” (CCG) consists of faculty selected according to each college’s written Procedures governing promotion decision making. These Procedures establish guidelines for the membership of the Group and how it will function within the boundaries of these Procedures in section II.B. In the College of Liberal Arts and Sciences, this group is called the Collegiate Committee on Faculty Promotion and Tenure, and is appointed by the Dean pursuant to section 33 of the *CLAS Manual of Procedure*.

The term "Departmental Executive Officer" or “DEO” throughout the Procedures refers to the person or entity who has been expressly designated by the college to perform one or more of the functions assigned by these Procedures to the DEO.

“Participate” means to have input into a promotion decision, including but not limited to such activities as preparing a written report or review of the candidate’s work, participating in a formal discussion of the candidate’s qualifications, voting on a

recommendation for or against promotion, or providing consultation except as provided for elsewhere in these procedures.

3. CLAS TIMETABLE FOR CLINICAL-TRACK PROMOTION REVIEWS

Departments are expected to make all reasonable efforts to meet these deadlines, though the College and University recognize that minor variations may occur for a range of reasons. (**Note:** Departments may establish earlier deadlines in their procedures for clinical-track promotion decision-making.)

By April 1 — A clinical-track faculty member seeking promotion requests review, in a letter to the DEO.

By April 15 — DEO forwards to the Dean's Office names of any faculty member seeking promotion review in next academic year, with a copy of the CV.

By April 15 — DEO informs candidates for promotion review of the materials to be submitted for the promotion dossier and the deadline for submission.

By September 1 — DEO begins process of selecting external evaluators and soliciting external evaluations of professional productivity and clinical and other service (departments may establish earlier deadlines). After consultation with the departmental promotion committee and candidate, the DEO sends a list of proposed evaluators to the Dean, with a one-paragraph biosketch of each, **before** inviting any of these individuals to submit an evaluation. (**Note:** DEOs should use the template at [jwr u4lcu0kqy c0f wlkpulecullrcwv/ lgz vtpcmtgxky gtua cr r tqxcrt f h'q'lwdo kv](#) names for the Dean's approval. The Dean asks that the list contain twice as o cp{ names as the department is required to use.)

By September 1 — Candidate submits promotion dossier to DEO.

By September 30 — DEO concludes process of soliciting external evaluations.

By first working day in November — The Departmental Promotion Committee submits to the DEO its reports evaluating the candidate's teaching, professional productivity, and clinical and other service.

Within 5 working days of the submission of the reports, the DEO places the reports in the Promotion Record and transmits a copy of each to the candidate.

Within 5 working days of the DEO's transmittal of the reports to the candidate, the candidate may write to correct factual errors in the committee's reports.

In November — The Departmental Consulting Group members access the Promotion Record, meet to discuss the Record and vote on the decision, and are consulted on the summary report of the discussion and vote. The candidate receives a copy of the meeting summary and has five days to respond to factual errors in the DCG meeting summary.

Early December (*specific deadlines are established annually for tenure decisions and for promotion of tenured faculty and announced in April so that departments can plan the schedule of review meetings*) — the DEO submits the Promotion Record to the Dean's Office, with the record of the Departmental Consulting Group discussion and vote and with DEO's letter of recommendation.

If the DEO's recommendation is negative, the candidate receives a copy of the DEO letter. The candidate then has three working days to request redacted documents from the Promotion Record and, within five working days of receiving the materials, may submit a written response and additional information to the Dean.

In early to mid-February — The Dean submits the Promotion Record to the Provost, including the Dean's letter of recommendation for or against tenure and/or promotion to the Provost and the vote of the Collegiate Committee on Faculty Promotion and Tenure on each promotion decision.

If the Collegiate Committee's recommendation is negative and contrary to that of the DCG or DEO, the candidate receives a summary of the Collegiate Committee's discussion. The candidate has three working days to request redacted documents from the Promotion Record and, within five working days, may submit a written response before the Dean's recommendation is submitted to the Provost. If the Dean's recommendation is negative, the candidate receives a copy of the Dean's letter. The candidate then has three working days to request redacted documents from the Promotion Record and, within five working days, may submit a written response to the Provost.

In March — The Provost notifies the Dean of decisions. The Dean notifies candidates and DEOs. If the Provost's decision is negative, the candidate is informed of appeal procedures.

4. BASIS FOR EVALUATION : THE PROMOTION RECORD

The qualifications of a candidate for promotion will be determined on the basis of the Promotion Record, which, when it reaches the Office of the Provost, will consist of the following material, in this order:

- (i) the "Recommendation for Faculty Promotion" cover sheet (see Appendix B);
- (ii) the collegiate Dean's letter making a recommendation to the Provost;
- (iii) the recommendation and vote (and report, if any) of the Collegiate Committee on Faculty Promotion and Tenure;
- (iv) the Departmental Executive Officer's letter making a recommendation to the Dean;
- (v) the recommendation, vote, and report of the Departmental Consulting Group;
- (vi) any letters submitted by the candidate at specified stages of the process to correct errors in the internal peer evaluations of the candidate's teaching, professional productivity, and service or in the Departmental Consulting Group's report; or to respond to a letter or report of the Departmental Executive Officer, the Dean, or the Collegiate Committee on Faculty Promotion and Tenure;
- (vii) the candidate's CV in the college's standard format which documents the candidate's educational and professional history;
- (viii) a section on the candidate's teaching, including
 - (a) the candidate's personal statement on teaching,
 - (b) documentation of peer evaluation of the candidate's teaching, and

- (c) other materials related to the candidate's teaching [ref. I.B.(3).(d)];
- (ix) a section on the candidate's professional productivity, including
 - (a) the candidate's personal statement on professional productivity,
 - (b) documentation of internal and external peer evaluation of the candidate's professional productivity, and
 - (c) other materials related to the candidate's professional productivity [ref. I.B.(3).(e)];
- (x) a section on the candidate's clinical and other service, including
 - (a) the candidate's personal statement on service,
 - (b) documentation of internal and external peer evaluation of the candidate's service, and
 - (c) other materials related to the candidate's service [ref. I.B.(3).(f)];
- (xi) the following materials from the candidate's most recent review for contract renewal: the DEO's letter, the Dean's letter, and the candidate's response(s) to the DEO's and/or Dean's letter;
- (xii) supplementary material to be added to the Promotion Record as expressly provided in these procedures or departmental procedures, entered in the appropriate section of the Record. Materials added to the original dossier or materials in the original dossier that are amended should be labeled as such, including the date when added or amended and with amendments clearly marked.

5. SPECIAL CASES UNDER THESE PROCEDURES IN THE COLLEGE OF LIBERAL ARTS AND SCIENCES

If the department does not have at least four faculty members eligible and available to vote on the promotion decision or if it has no clinical faculty eligible to participate in the decision, the DEO in consultation with the Dean invites appropriate eligible faculty from outside the department to deliberate and vote with the department on the decision.

If the DEO is ineligible to participate in a promotion decision, the Dean in consultation with the eligible faculty designates an eligible faculty member to perform the duties assigned to the DEO during the review.

For reviews of jointly appointed faculty, see Appendix E of this document.

6. TIMING OF REVIEWS IN THE COLLEGE OF LIBERAL ARTS AND SCIENCES

A clinical-track faculty member who wishes to be reviewed for promotion must request the review by April 1 of the calendar year in which the review will be initiated. The College deems it inappropriate for a faculty member who has been denied promotion to be reviewed again until the promotion record has changed substantially. Therefore, a faculty member must ordinarily wait at least a year after being denied promotion before requesting another review.

In those cases of review for promotion in which an important aspect of the record of professional productivity and/or clinical or other service is the publication of a textbook or other book, the candidate is normally ready to be considered for promotion only if the book is in print. The dossier should also include any published reviews of the book (see I.B.3.e).

Notification to the Dean's Office: By April 15, the DEO forwards to the Executive Associate Dean a list of all departmental faculty undergoing review for promotion and/or tenure in the upcoming academic year. The DEO includes the CV of a clinical faculty member requesting review.

7. OTHER CONSIDERATIONS

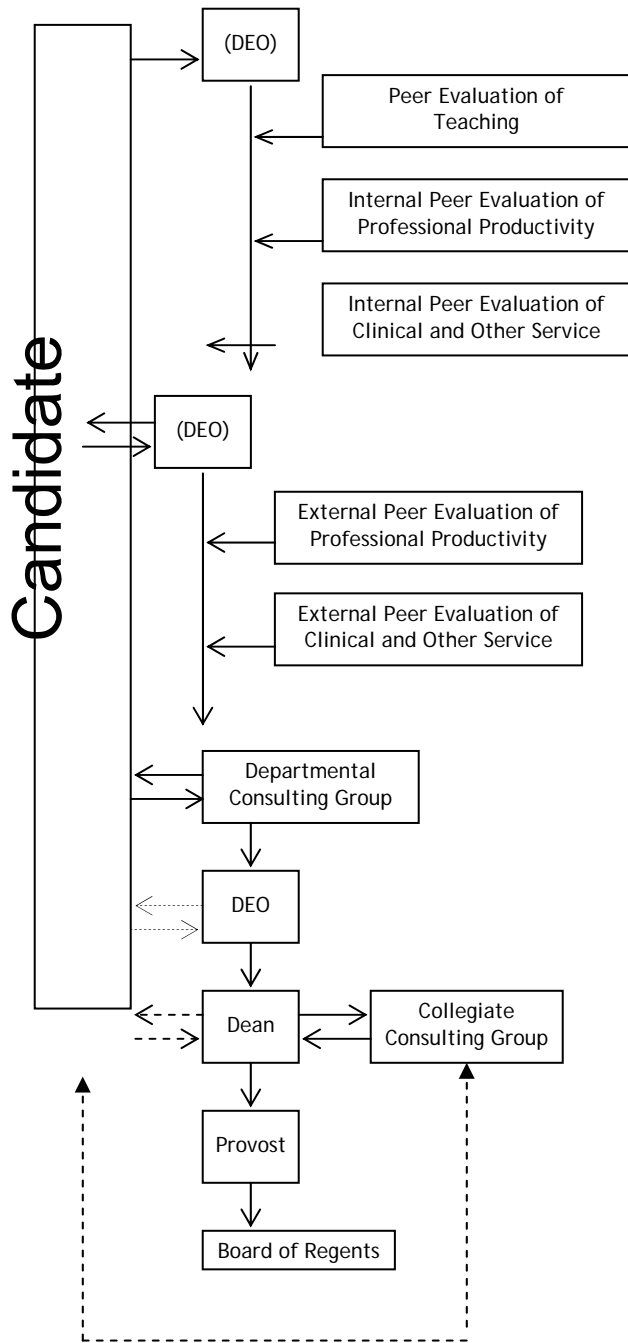
Although annual and contract-renewal reviews of clinical-track faculty are not ordinarily a part of the Promotion Record, they shall be added by the added by the Departmental Consulting Group, DEO, Collegiate Committee on Faculty Promotion and Tenure, or Dean if they are used to support a recommendation for or against promotion.

A candidate has the right to withdraw his or her dossier from further consideration at any point before the Provost has made his/her final decision regarding promotion. If a candidate withdraws his or her dossier from further consideration, the original dossier, including appendices and any supplemental materials added by the candidate, shall be returned to the candidate. All other materials in the Promotion Record at the time of withdrawal shall be returned to the candidate's department, which shall retain them following the normal departmental or collegiate schedule for retention of promotion materials. The candidate shall not have access to these materials.

A college or department with the concurrence of its college, may apply in individual cases to the Provost for an exemption from any of these Procedures for a legitimate and valid reason. The college or department has the burden of convincing the Provost that the exemption adds value, fairness, and weight to the evaluation.

These Procedures apply to clinical-track faculty only.

Overview of Clinical-track Promotion Decision-making Procedures



- Sequential Development of Promotion Record through Decision-Makers:**
-
1. Candidate and DEO compile dossier
 2. Peer evaluation of teaching
 3. Internal peer evaluation of professional productivity
 4. Internal peer evaluation of clinical and other service
 5. Candidate's opportunity to respond
 6. External peer evaluation of professional productivity
 7. External peer evaluation of clinical and other service
 8. Departmental Consulting Group's vote and report
 9. Candidate's opportunity to respond
 10. DEO's letter to Dean
 11. Candidate's opportunity to respond, if DEO's recommendation is negative
 12. Collegiate Consulting Group's vote and summary report, if any*
 13. Candidate's opportunity to respond*
 14. Dean's letter to Provost
 15. Candidate's opportunity to respond, if Dean's recommendation is negative
 16. Provost's recommendation to the Board of Regents
- *If recommendation is negative and contrary to DEO or DCG recommendation

I. Department-level Procedures

A. INFORMING THE CANDIDATE OF THE MATERIALS TO BE SUBMITTED.

The Departmental Executive Officer must inform the candidate in writing at several points in time of the material that the candidate must compile and submit for the promotion dossier. The notice must also inform the clinical faculty member that the promotion dossier is due by September 1 of the review year (or an earlier date established by the department). These times of required notification by the DEO are

- at the time of appointment to a clinical track position,
- in the year of any contract renewal, and
- by April 15 of the year in which the promotion decision will be made.

B. THE CANDIDATE'S DOSSIER.

(1) **September 1 submission deadline.** It is the candidate's responsibility, with the advice of the Departmental Executive Officer, to compile and submit substantive material for inclusion in the promotion dossier (the core of the Promotion Record) by September 1 of the academic year in which the promotion decision is to be made or by an earlier date established by the department.

(2) It is the responsibility of the Departmental Executive Officer to advise the candidate in compiling material for the dossier, to complete the compilation of the dossier (and subsequently to complete compilation of the Promotion Record by adding materials to it throughout the departmental decision-making process), and to ensure to the greatest extent possible that the Promotion Record serves as a fair and accurate evaluation of the candidate's strengths and weaknesses, and is not purely a record of advocacy for the candidate. The responsibility to advise the candidate in compiling the dossier material is not limited to the immediate period of the promotion review, but rather is an ongoing responsibility that begins when the faculty member is appointed to the department.

(3) **Materials to be included in the candidate's dossier.**

By September 1, or an earlier date specified in the departmental procedures, the candidate submits to the DEO the materials described below. If the department requires additional documents, these must be described in the departmental procedures for clinical-track promotion decision-making.

The dossier will contain the following, in the order listed, except that information on a CV that follows the College's model CV need not be repeated elsewhere.

(For the model CV, see the College's forms page at <http://www.clas.uiowa.edu/forms/index.shtml>.)

- (a) the "Recommendation for Faculty Promotion" **cover sheet**, with the section to be filled out by the candidate completed (see Appendix B);
- (b) the position description (basic functions and specific duties) developed at the time of the appointment or in effect at the time of the previous successful promotion review, with any subsequent revisions;

- (c) **[on the model CV]** a record of the candidate's **educational and professional history**, including:
- (i) a list of institutions of higher education attended, preferably from most to least recent, indicating for each one the name of the institution, dates attended, field of study, degree obtained, and date the degree was awarded;
 - (ii) a list of professional and academic positions held, preferably from most to least recent, indicating for each one the title of the position, the dates of service, and the location or institution at which the position was held; and
 - (iii) a list of honors, awards, recognitions, and outstanding achievements, preferably from most to least recent.
- (d) a record of the candidate's **teaching** at The University of Iowa, including:
- (i) the candidate's personal statement on teaching consisting of a summary and explanation—normally not to exceed three pages—of the candidate's accomplishments and future plans concerning teaching, comments on these accomplishments and plans, and comments on other items included in the dossier related to teaching;
 - (ii) **[on the CV]** a list of the candidate's clinical teaching, as it occurs in the context of the delivery of professional services to individuals, patients, or clients, preferably from most to least recent;
 - (iii) **[on the CV]** a list of the candidate's teaching assignments on a semester-by-semester basis, preferably from most to least recent;
 - (iv) **[on the CV]** a list of graduate students, fellows, or other postdoctoral students supervised, if any, including each student's name, degree objective, and outcomes;
 - (v) **[on the CV]** a list of residents for whom the faculty member has provided substantial and prolonged supervision throughout all or most of their training, including each student's name and post-residency position;
 - (vi) a list of other contributions to instructional programs;
 - (vii) copies of course materials, including syllabi, instructional Web pages, computer laboratory materials, and so forth (see I.B.4);
 - (viii) and, as an appendix to the dossier, copies of teaching evaluations by students (the candidate will include all student teaching evaluations in her or his custody for each course taught);
- (e) a record of the candidate's **professional productivity**, including:
- (i) the candidate's personal statement on professional productivity consisting of a summary and explanation—normally not to exceed three pages—of the candidate's accomplishments and future plans concerning professional productivity, comments on these accomplishments and plans, and comments on other items included in the dossier related to professional productivity;
 - (ii) **[on the CV]** a list of lectures and conference presentations, with invited lectures or presentations listed separately;

- (iii) **[on the CV]** a list of symposia, workshops, and so forth organized by the candidate (e.g., in conjunction with conferences or other professional meetings);
- (iv) **[on the CV]** a list of journals for which the candidate has been a member of the editorial board or served as editor;
- (v) **[on the CV]** a list, preferably from most to least recent, of the candidate's publications, multi-media materials, or other productions with, for each multi-authored work or coherent series of multi-authored works, a brief statement of the candidate's contribution to the work or series of works; peer-reviewed and non-peer-reviewed publications and productions must be listed separately;
- (vi) for any book in the dossier, a copy of the College's checklist (see Appendix F), to show where the book is in the production process;
- (vii) for any books that are not yet in print, the letter from the publisher making the final commitment to publish the book, with a copy of the final contract (see also "Timing of Reviews," pp. 5-6)
- (viii) **[on the CV]** a list of attained support including grants and contracts received by the candidate;
- (ix) **[on the CV]** a description of any other products and activities demonstrating professional productivity as defined by the department's written policy on promotion decision-making or by the CLAS Policy on Clinical Faculty Appointments ~~at the University of Iowa~~ http://www.cfas.uiowa.edu/policies/clinical_faculty_appointments.htm;
- (x) **[on the CV]** a list of pending decisions regarding the candidate's professional productivity that might affect the promotion deliberations; and,
- (xi) as an appendix to the dossier, copies of materials documenting the candidate's professional productivity.

Research or creative scholarship is not required for promotion on the clinical track; however, publications, grants, and other types of research and creative activity may provide evidence of professional productivity.

- (f) a record of the candidate's **clinical and other service** to the department, college, university, profession, community, and State of Iowa, including:
 - (i) the candidate's personal statement on service including both his/her clinical service and other types of service (consisting of a summary and explanation—normally not to exceed three pages—of the candidate's accomplishments and future plans concerning service, and comments on these accomplishments and plans and on other items included in the dossier related to clinical and other service);
 - (ii) **[on the CV]** a list, preferably from most to least recent, of clinical service activities in each of the years since the last promotion;
 - (iii) **[on the CV]** a list, preferably from most to least recent, of other departmental, collegiate, or university service positions;

- (iv) **[on the CV]** a list, preferably from most to least recent, of relevant community involvement and service to the State of Iowa;
 - (v) **[on the CV]** a list, preferably from most to least recent, of offices held in professional organizations;
 - (vi) **[on the CV]** a list, preferably from most to least recent, of service on review panels; and
 - (vii) **[on the CV]** a list, preferably from most to least recent, of any service contributions not listed elsewhere.
- (g) the following materials from the candidate's most recent review for contract renewal: the DEO's letter, the Dean's letter, and the candidate's response(s) to the DEO's and/or Dean's letter;
- (h) within the appropriate section(s) of the dossier as listed above, other information relevant to the candidate's record in teaching, professional productivity, or clinical and other service that is deemed to be important in the candidate's judgment and relevant to the candidate's position description (e.g., contributions to curriculum and program development, contributions to faculty research programs, professional consultations, service on state or regional licensing/certification boards) and other material required by the department's written policy on promotion decision-making or by the CLAS Policy on Clinical Faculty Appointments ([http://www.uiowa.edu/~clafaculty/cfwhcwm/whcwm/cr r qkpw gpw/tgxlgy /](#) [http://www.uiowa.edu/~clafaculty/cfwhcwm/whcwm/cr r qkpw gpw/](#)).
- (4) Where the volume of material of a particular kind which is required to be included in the dossier is large and potentially unmanageable, a candidate, in consultation with the Departmental Executive Officer, may select and identify representative portions of the required material for special attention. Only the material selected as representative will become part of the Promotion Record and will be transmitted to successive participants in the promotion decision-making process.
- Required materials segregated from the representative material will be available for review and will be located in a readily accessible location under the Departmental Executive Officer's custody. If any participant in the promotion decision-making process relies upon initially segregated material in preparing a written evaluation of the candidate's qualifications, that material should be added to the Promotion Record, the fact of that addition should be noted in the written evaluation, and the candidate should be notified in writing of the addition at the time it is made.
- (5) The candidate's work in progress that is not completed by the specified date but that is anticipated to be completed in the fall—early enough for full and deliberate evaluation, as determined by the Departmental Executive Officer—may be identified at the time the dossier is submitted and added to the dossier if and when it is completed.
- (6) Other materials (including updated CVs and personal statements) that could not have been available by the specified date but which are completed early enough for full and deliberate evaluation may be added to the promotion dossier by the candidate through the Departmental Executive Officer. Materials added to the

original dossier or materials in the original dossier that are amended, should be labeled as such, including the date when added or amended and with any amendments clearly marked.

C. PEER EVALUATIONS BY DEPARTMENTAL PROMOTION AND TENURE COMMITTEE.

It is the candidate's responsibility to cooperate in obtaining peer evaluations of the candidate's teaching, professional productivity, and clinical and other service as described in the following sections, D, E, and F.

In the College of Liberal Arts and Sciences, the DEO appoints a promotion committee for each clinical-track candidate, consisting of at least four faculty members, including both tenure-track and clinical-track faculty eligible to vote on the decision. Where necessary, eligible individuals may be appointed from outside the departmental faculty. The DEO also appoints a chair for each promotion committee from among its members. The DEO may not be a member of the promotion and tenure committee.

(Departmental procedures may establish additional requirements for the formation and composition of the departmental promotion committee.)

This committee performs the peer evaluation of the candidate's teaching, professional productivity, and clinical and other service, following the procedures described below (I.D, E, and F). These peer evaluations will be contained in one or more reports that analyze the relevant materials in the Promotion Record as detailed in the respective sections that follow, and shall be signed by each member of the departmental promotion committee. These reports are intended to go beyond a mere *description* of what the candidate has included in the dossier and provide a thorough *evaluation* of the quantity and quality of the candidate's teaching, professional productivity, and clinical and other service from a departmental perspective.

By the first working day of November, the promotion committee submits their evaluations in light of the University's, the College's, and the department's criteria for clinical faculty rank.

Within 5 working days of the submission of these evaluations, the DEO places the reports in the Promotion Record and transmits a copy of the report to the candidate, who may submit a letter within another 5 working days correcting any factual errors in the evaluations.

D. EVALUATION OF THE CANDIDATE'S TEACHING

It is the candidate's responsibility to cooperate in obtaining peer evaluation of the candidate's teaching by participating in the following process.

- (1) The departmental promotion committee performs the peer evaluation of teaching according to the procedures described below. The evaluation must incorporate various types of evidence—including at a minimum review of syllabi and other teaching materials, peer observation of classroom teaching, peer evaluation of clinical teaching to the extent practicable, confidential evaluations solicited from faculty members with whom the candidate has team-taught courses and who are

The method chosen for peer evaluation of clinical teaching must, where necessary, address teaching that occurs in a privileged setting.

The peer evaluation of teaching draws on materials and raw data considered in annual reviews and reappointment reviews since the clinical faculty appointment began or since the previous successful promotion review. The promotion committee may use only the materials and data considered in those earlier reviews, not the review report itself. For example, the peer evaluation of teaching in a review for promotion to clinical associate professor will draw on the student evaluations of teaching from each class and the record of each classroom observation conducted for annual reviews since the appointment as clinical assistant professor.

- (2) At a minimum, one teaching occasion (e.g., classroom teaching, supervision of clinical practice) must be observed as part of every peer evaluation of a clinical faculty member's teaching—that is, in each annual review, each reappointment review, and each review for promotion. Departmental procedures may require more frequent observations of teaching occasions, and must insure that a sufficient number of observations is required to cover the range of teaching performed by clinical faculty in the department. In each peer evaluation, a written record of the observation must be submitted. Under Regents' rules, the evaluation of teaching must explicitly consider the oral communication competence of the candidate.

The observation must be undertaken by one or more members of the departmental promotion review committee—or appropriate designee(s) of the committee, with approval of the DEO—and the written record of the observation must be included in the report referred to in part I.D.6, below. In circumstances where the observation cannot be made entirely by faculty peers, the candidate must receive written approval for the selection of non-faculty peer reviewers and they can constitute only a minority of the evaluators specified by Collegiate policy. The request for approval must be justified by and contained in a written request from the Dean to the Provost.

Departments may conduct teaching observations for the promotion review in the spring and/or the fall semester of the calendar year in which the review takes place. These must be specifically designated as observations for the promotion review and may not be the same observations that are conducted for an annual review or a reappointment review.

- (3) In the College of Liberal Arts and Sciences, the members of the promotion committee designated to perform the teaching observation(s) will discuss with the candidate possible dates for the observation(s), in order to avoid inopportune times. Observations must produce as little disruption as possible.
- (4) If expressly agreed to by both the candidate and the departmental promotion committee, video observation may be substituted for actual observation of teaching.

- (5) In the College of Liberal Arts and Sciences, the departmental promotion committee solicits confidential evaluations of teaching from faculty members with whom the candidate has team-taught courses and who are at or above the rank (tenured, tenure-track, or clinical-track) to which the candidate seeks promotion. The Departmental Executive Officer adds these solicited evaluations as an appendix of the Promotion Record.

The departmental promotion committee solicits confidential evaluations of teaching from faculty members with whom the candidate has team-taught courses and who are at or above the rank (tenured, tenure-track, or clinical-track) to which the candidate seeks promotion. The Departmental Executive Officer adds these solicited evaluations as an appendix of the Promotion Record.

No unsolicited letters evaluating the candidate's teaching, whether signed or anonymous, will be entered into the Promotion Record.

- (6) The internal peer evaluation of the candidate's teaching will be contained in a report that analyzes and evaluates the relevant materials in the Promotion Record, and will include:
 - (a) a comparative analysis of the quality of the candidate's teaching in the context of the candidate's department or unit;
 - (b) a summary analysis of the student teaching evaluation data contained in the Promotion Record, including departmental average comparison data where possible;
 - (c) a description, where appropriate, of the balance between the candidate's undergraduate, graduate, and clinical teaching;
 - (d) a description and assessment of the candidate's academic advising responsibilities, if any; and
 - (e) a consideration of any special circumstances concerning the faculty member's teaching performance.

In the College of Liberal Arts and Sciences, the report is due the first working day of November. The report must include a summary of the student evaluations obtained in each course taught by the candidate. The appendices containing the student evaluations are not submitted to the Dean's Office with the promotion record but are available to the Dean and the College's Committee on Faculty Promotion and Tenure upon request.

- (7) The departmental promotion committee will enter their peer evaluation of the candidate's teaching, as described in (6) above, into the section of the Promotion Record that is dedicated to the history and evaluation of the candidate's teaching.

E. INTERNAL PEER EVALUATION OF CANDIDATE'S PROFESSIONAL PRODUCTIVITY

It is the candidate's responsibility to cooperate in obtaining peer evaluation of the candidate's professional productivity by participating in the following process:

- (1) In the College of Liberal Arts and Sciences, the internal peer evaluation of the candidate's professional productivity will be carried out by the departmental promotion committee.

- (2) The peer evaluation of the candidate's professional productivity will be contained in a report that analyzes and evaluates the relevant materials in the Promotion Record, and will include a statement concerning the norms for professional productivity in the relevant field, a brief description of the quality of conference, institutions, journals, or other fora in which the candidate's work has appeared or been presented, and statements concerning any other activities representing professional productivity that would be helpful in understanding the nature and quality of these activities.

If the dossier contains published reviews of the candidate's professional work, the College asks that the written internal peer evaluation refer to the assessments contained in these reviews.

- (3) The departmental promotion committee will enter their evaluation of the candidate's professional productivity into the section of the Promotion Record that is dedicated to the history and evaluation of the candidate's professional productivity.
- (4) Section I.G of these procedures (below) specifies how the review of professional productivity carried out within the candidate's department will be supplemented by reviewers external to the department, college, and/or university.

F. PEER EVALUATION OF THE CANDIDATE'S CLINICAL AND OTHER SERVICE

It is the candidate's responsibility to cooperate in obtaining peer evaluation of the candidate's clinical and other service by participating in the following process:

- (1) In the College of Liberal Arts and Sciences, the internal peer evaluation of the candidate's clinical and other service will be carried out by the departmental promotion committee.
- (2) The peer evaluation of the candidate's service will be contained in a report that analyzes and evaluates the relevant materials in the Promotion Record, and will include a comparative analysis of the quality of the candidate's clinical and other service in the context of the expected service contributions in the department and the profession.
- (3) The Departmental Promotion Committee will enter their peer evaluation of the candidate's clinical and other service into the section of the Promotion Record that is dedicated to the history and evaluation of the candidate's service.
- (4) In soliciting external evaluations, as described under part I.G, below, the department may solicit evaluations of service outside the department. See especially part I.G.3.
- (5) No unsolicited letters evaluating the candidate's clinical and other service, whether signed or anonymous, will be entered into the promotion record.

G. EXTERNAL PEER EVALUATION OF CANDIDATE'S PROFESSIONAL PRODUCTIVITY AND/OR CLINICAL AND OTHER SERVICE

It is the candidate's responsibility to cooperate in obtaining external peer evaluation of the candidate's professional productivity and/or clinical and other service by participating in the following process:

- (1) In the College of Liberal Arts and Sciences, the process of selection of external evaluators of professional productivity will begin no later than September 1 of the academic year in which the promotion decision will be made and must be completed by September 30. Departments may establish an earlier timeline, beginning as early as the preceding January.
- (2) In the College of Liberal Arts and Sciences, departments must obtain for the promotion record no fewer than 4 and no more than 8 external evaluations for each candidate. Each department must specify a number within this range that the department will work to obtain. Every evaluation solicited and obtained must be included in the promotion record. No unsolicited letters, whether signed or anonymous, may be entered into the promotion record.
- (3) The DEO will solicit from the candidate a list of appropriate external reviewers from peer institutions (e.g. AAU, Big Ten, major public, Carnegie Research I) or institutions, organizations or professional bodies in which the corresponding department or individual evaluator is of peer quality.
- (4) The DEO will add suggestions to the list and give it to the departmental promotion committee, who will add other potential external reviewers to the list, and return the completed list to the DEO.
- (5) The DEO will share the completed list of potential external reviewers with the candidate. The candidate shall identify any potential external reviewers with whom s/he has worked in any capacity and describe the nature of the relationship. If the candidate feels that any potential external reviewer on the list might be unfairly biased, the candidate may prepare a written objection and give it to the DEO, who will take the objections into consideration when selecting the external reviewers.
- (6) In identifying potential external reviewers, all participants in the selection process will take into account the standing of the prospective reviewer in the discipline, the likely knowledge of the reviewer of the material to be reviewed, the apparent impartiality of the reviewer, and the contribution of the reviewer to achieving an overall "balanced" review among the reviewers on any criterion for which there might be a range of perspectives. To the extent that it is possible, it is critical to avoid any situation in which a personal and/or professional relationship between the candidate and a prospective reviewer is such that it could undermine the reviewer's apparent impartiality.
- (7) The College expects that the potential external evaluators will not include any individual who served as a reference at the time the candidate was appointed nor any individual who served as an evaluator in an earlier review for promotion.

If the DEO feels there are extraordinary circumstances that make it desirable to extend an invitation to such an individual, the DEO must write to the Executive

Associate Dean to formally request a waiver of this guideline and to explain the circumstances.

- (8) The DEO will determine, in accordance with these procedures, which of the potential external reviewers will be asked to provide a letter of evaluation.

The DEO will then submit the proposed names, along with a one-paragraph biographical sketch of each, to the Dean and Executive Associate Dean. No letter of invitation may be sent until the DEO has received approval from the Dean's Office.

- (9) The DEO, using a form letter that substantially conforms to the sample letter contained in Appendix E, will ask the reviewers approved by the Dean to provide an assessment of the quality and quantity of the candidate's professional productivity and/or clinical and other service.
- (10) After, or in anticipation of, an invitation to an external reviewer to evaluate the candidate's work, neither the candidate nor any other faculty member other than the DEO will communicate with the reviewer concerning the subject of the review or the review process.
- (11) The DEO will keep a record of:
- (a) the list of suggested reviewers,
 - (b) the names of persons invited to review,
 - (c) the names of the actual reviewers,
 - (d) comments submitted by the candidate, the DEO, and the internal faculty reviewers, and
 - (e) correspondence and other communications between the DEO and invited reviewers and actual reviewers.
- (12) All letters received from external reviewers will be entered by the DEO into the Promotion Record in the sections dedicated to the history and evaluation of the candidate's professional productivity or clinical and other service, along with
- (a) a list of invited reviewers—indicating whether the reviewer was suggested by the candidate, the DEO, or the internal faculty reviewers—and a brief explanation of why any invited reviewer declined;
 - (b) the candidate's written objection to any potential external reviewer on the basis of unfair bias, if a letter was solicited from that reviewer over the candidate's written objection;
 - (c) a copy of the letter or letters of solicitation to external reviewers;
 - (d) a brief description of each external reviewer's qualifications;
 - (e) a statement of how the reviewer knows the candidate's work, if it is not obvious from the reviewer's letter;
 - (f) a statement that identifies and addresses circumstances that might call into question the impartiality of the reviewer; and
 - (g) an explanation of why the choice of a reviewer was made, if the reviewer is not from a peer institution but from an institution, organization or professional body where the corresponding department of individual evaluator is of peer quality.
- (13) In the College of Liberal Arts and Sciences, some evaluators may be asked to address only professional productivity or only service, or some may be asked to

make assessments in both categories. For promotion to Clinical Professor, at least half of the letters must be obtained from individuals external to the institution; other letters may be from individuals within the institution but external to the department. For promotion to Clinical Associate Professor, departmental procedures must specify whether any of the evaluators will be external to the institution; all must be external to the department.

- (14) In the College of Liberal Arts and Sciences, the candidate in consultation with the DEO and the departmental promotion committee determines what materials related to his or her professional productivity and/or clinical and other service are to be sent to each of the external evaluators. The external evaluator also receives the position description (basic functions and specific duties) from the promotion dossier, the candidate's current curriculum vitae, and the candidate's statement regarding his or her accomplishments and future plans in professional work and/or clinical and other service (as appropriate to the evaluation the evaluator is being asked to make).

The promotion record forwarded to the Dean contains the same sample(s) of work. The candidate in consultation with the DEO and the departmental promotion committee determines whether any work not part of the sample should be placed in an appendix which is forwarded to the Dean.

H. CANDIDATE'S RIGHT TO RESPOND TO THE REPORTS OF THE DEPARTMENTAL PROMOTION COMMITTEE

The candidate will be given an opportunity to respond to the internal peer evaluations as follows:

- (1) Within 5 working days of the submission of the internal peer evaluations of the candidate's teaching, scholarship, and service, the Departmental Executive Officer will send the candidate a copy of the internal peer evaluations of the candidate's teaching, professional productivity, and clinical and other service that have been entered into the appropriate sections of the Promotion Record.
- (2) The candidate will have 5 working days from the date of receipt of the internal peer evaluations of his/her teaching, scholarship or creative work, and service to submit in writing any corrections to factual errors in the internal peer evaluations.
- (3) If the candidate submits a letter correcting errors in the internal peer evaluations of the candidate's teaching, professional productivity, and clinical and other service, the Departmental Executive Officer will enter it into the Promotion Record before the Departmental Consulting Group makes its recommendation.

I. THE DEPARTMENTAL CONSULTING GROUP

The Departmental Consulting Group (see definition on page 2, above) will participate in the promotion decision-making process as follows:

- (1) Following the principle that each individual participating in the promotion decision-making process may vote for or against the granting of promotion to a candidate only once, Departmental Consulting Group members who are also members of the Collegiate Committee on Faculty Promotion and Tenure will

participate in the promotion decision for a candidate from their department at the departmental level and may not participate in the deliberations or voting of the Collegiate Committee in regard to that candidate.

- (2) In the College of Liberal Arts and Sciences, the Departmental Executive Officer attends the meetings of the Departmental Consulting Group and ensures procedural correctness. The DEO may not vote, participate in the discussion other than to provide factual information, or contribute to the written report summarizing the discussion of the Departmental Consulting Group.
- (3) The Promotion Record available to the Departmental Consulting Group will consist of the candidate's dossier with appendices (materials documenting professional productivity and student teaching evaluations, including those student teaching evaluations added to the Promotion Record by the Departmental Executive Officer); confidential evaluations from those faculty members with whom the candidate has team-taught courses and who are at or above the rank (tenured, tenure track, or clinical track) to which the candidate seeks promotion; solicited evaluations of the candidate's professional productivity and service, as specified in section I.G above; the internal and external peer evaluations of professional productivity, teaching, and service, entered into the appropriate sections of the Record; and the candidate's letter correcting errors in the internal peer evaluations, if any.

The promotion record must be available only to the DEO and to those faculty eligible to participate in the discussion, all of whom must have made a careful study of the promotion record. All those eligible to participate in the decision have an ethical duty to participate unless disqualified by a conflict of interest or unless prevented from studying the promotion record and participating in the discussion of the record (e.g., by an off-campus developmental assignment).

- (4) The DCG will meet to discuss the candidate's qualifications, to vote by secret ballot for or against the granting of promotion.

In the College of Liberal Arts and Sciences, the chair of the departmental promotion committee is responsible for leading the discussion of the DCG, preparing a summary report of the discussion, documenting the final vote, and entering that information into the Promotion Record.

The chair of the promotion committee will see that those attending meetings of the Departmental Consulting Group sign in, so that there is a record of who were present for the discussion and therefore voted. The summary report of the meeting must list those eligible faculty who were not present for the discussion and therefore did not vote, with the reason for the absence.

The chair of the promotion committee is responsible for submitting the report summarizing the discussion of the Departmental Consulting Group. The report must record the number voting to grant promotion and the number voting to deny it. The summary report will contain a recommendation for or against the granting of promotion based on the criterion that a 60% majority of those present for the DCG discussion defines a positive recommendation for promotion.

The summary report shall not reiterate the details of the internal and external peer reviews or restate other material already in the dossier; rather, it shall identify those specific aspects of the dossier that formed the basis of the DCG recommendation. The report must reflect the range of opinions expressed in the meeting and must analyze the external evaluations of the candidate's professional productivity and clinical and other service. The report must be written in a way that does not violate the expectation of confidentiality on the part of members of the Departmental Consulting Group, students who submitted letters of evaluation, or others who wrote in expectation of confidentiality.

A draft version of the summary report must be made available to the members of the Departmental Consulting Group. Individual faculty members will forward any comments and requested changes to the chair of the departmental promotion committee, who will then prepare a final version of the report and make that version available to members of the DCG. Any faculty member eligible to participate in the promotion decision may submit a further confidential evaluation that will be appended to the report. (These evaluations may be made available to the candidate after redaction, under the conditions specified in section K, below.) The College publishes an optional form for the confidential evaluation on its website (https://clas.uiowa.edu/files/clas/faculty/dcg_evaluation.pdf).

The results of the Departmental Consulting Group's vote and the summary report of its discussion (with any appended confidential evaluations from individual faculty) will be transmitted to the Departmental Executive Officer as part of the candidate's Promotion Record. A copy of the DCG vote and summary report is also provided to the candidate. In the College of Liberal Arts & Sciences, the candidate does not receive a redacted version of the summary report, but a duplicate of the report submitted for the Promotion Record. The report must therefore be prepared in a way that protects the confidentiality of any individual contributions, whether from external reviewers or University of Iowa faculty members. The DCG report must not attribute comments to identifiable members of the faculty or external evaluators.

- (6) The candidate will be allowed five working days after receiving the DCG's report to submit to the DEO a letter correcting factual errors about the candidate's record in the DCG's summary report of its discussion.
- (7) If the candidate submits a letter correcting factual errors about the candidate's record in the DCG's summary report, the DEO will enter it into the Promotion Record **before** making a recommendation to the Dean.

J. DEO'S LETTER AND RECOMMENDATION TO THE DEAN

The DEO will participate in the promotion decision making process as follows:

- (1) Should the Departmental Executive Officer receive any correspondence concerning a candidate for promotion from individual members of the Departmental Consulting Group, that correspondence will be entered into the section of the Promotion Record that contains the Departmental Consulting Group's vote and report.

- (2) Based on the Promotion Record, including the candidate's response, if any, to the report of the DCG, the DEO will recommend that promotion be granted or denied in a separate letter to the collegiate Dean for each candidate.
- (3) As with the DCG report, the DEO's letter to the Dean should not reiterate the details of material that already is in the dossier. Rather, it will explain her or his reasons for recommending for or against promotion, stating how the candidate has or has not met the relevant criteria for promotion. When the recommendation of the DCG is not followed, the DEO's letter will explain why a contrary recommendation is being made and will address any disagreement between the DEO's evaluation and the evaluation of the DCG as reflected in the summary report of the DCG's discussion.

In the College of Liberal Arts and Sciences, the DEO's letter must be prepared in a way that protects the confidentiality of external reviewers and University of Iowa faculty members. The DEO's letter must not attribute comments to identifiable members of the faculty or external evaluators.

- (4) Even if the Departmental Executive Officer recommends that the candidate be promoted, the Departmental Executive Officer's letter to the Dean will address any negative aspects of the Promotion Record.
- (5) The Departmental Executive Officer's letter will be transmitted to the Dean as part of the candidate's Promotion Record.

The department must complete its review process and transmit the promotion record to the Dean's Office by deadlines in early December established annually by the Dean's Office. The College announces these deadlines in April so that departments can plan the schedule of review meetings.

K. CANDIDATE'S RIGHT TO RESPOND TO THE RECOMMENDATIONS OF THE DEO.

The candidate will be given the opportunity to respond to a recommendation against promotion by the DEO as follows:

- (1) At the same time that the Promotion Record is submitted to the Dean, if the DEO's recommendation is negative, the DEO will provide the candidate with a copy of the letter of recommendation to the Dean.
- (2) If the DEO's recommendation is negative, the candidate will, upon request, have access to the promotion record. In the College of Liberal Arts and Sciences, the candidate will be allowed 3 working days after receiving the DEO's letter to submit a request to the Dean for access to the Promotion Record. The following provisions apply:
 - (a) the external reviews of the candidate's professional productivity and/or clinical and other service must be redacted as appropriate to protect the confidentiality of reviewers; and
 - (b) any comments in the Promotion Record referring to external reviews of the candidate's professional productivity and/or clinical and other service must be redacted as appropriate to protect the confidentiality of reviewers.

- (3) In the College of Liberal Arts and Sciences, the candidate will be allowed 5 working days after receiving access to the Promotion Record to submit to the Dean
 - (a) a written response to the DEO's negative recommendation and
 - (b) additional information to be included in the Promotion Record.
- (4) If the candidate submits a written response to the Dean for inclusion in the Promotion Record, the candidate also shall give the DEO a copy of the response.

II. College-level Procedures

A. ADDITIONS TO PROMOTION RECORD

- (1) If the candidate submits a letter of response to the DEO's letter to the Dean, the Dean will place the candidate's letter in the Promotion Record.
- (2) No unsolicited correspondence evaluating the candidate's record, whether signed or anonymous, will be entered into the Promotion Record at the Collegiate level.

B. COLLEGIATE COMMITTEE ON FACULTY PROMOTION AND TENURE

The Collegiate Consulting Group shall participate in the promotion decision-making process as follows:

- (1) Each year the Dean of the College of Liberal Arts and Sciences, in consultation with the College's elected Executive Committee, appoints a Collegiate Committee on Faculty Promotion and Tenure, which serves as the collegiate consulting group. The Committee consists of six tenured full professors who represent the various disciplines of the College; members are appointed for one year and can serve no more than 3 years consecutively. A member of the Collegiate Committee participates in the promotion decision for a candidate from his/her department at the departmental level and may not participate in the Collegiate Committee's deliberations or voting in regard to that candidate.

In years when there are clinical-track promotion decisions to be made, the Dean in consultation with the Executive Committee will appoint as a seventh member of the Committee an eligible faculty member holding the rank of clinical professor to serve on the Collegiate Committee on a limited basis. During the consideration of each clinical-track candidate being considered for promotion, the clinical professor will participate as a voting member of the Collegiate Committee. The Dean may appoint to the Collegiate Committee a clinical professor whose faculty appointment is in another college of the University.

- (2) The Dean and the Associate Deans participate in the meetings of the Collegiate Committee on Faculty Promotion and Tenure. Neither the Dean nor the Associate Deans vote with the Collegiate Committee on Faculty Promotion and Tenure nor do they contribute to the written report summarizing the Collegiate Committee's discussion.

The Dean of the College and those associate deans with appointments of 50% or greater in the Dean's Office cannot participate in the Departmental Consulting

Group in the departments in which they hold faculty appointments. (See the definition of Departmental Consulting Group, page 2 of these procedures.)

- (3) The Promotion Record available to the Collegiate Committee on Faculty Promotion and Tenure will consist of the Promotion Record available to the DEO, with the same sample of work related to the candidate's professional productivity and clinical or other service that was sent to the external evaluators. The Promotion Record available to the Collegiate Committee will also include the DEO's letter and the candidate's letter of response (if any) following receipt of the DCG's recorded vote and summary report with recommendation and the letter of recommendation of the DEO to the Dean. For information on student evaluations of teaching that is sent forward to the Dean's Office, see I.D.6, above.
- (4) If the Collegiate Committee on Faculty Promotion and Tenure finds it necessary for clarification or supplementation of the Promotion Record, the Collegiate Committee may submit to the DCG and/or the DEO a written request for additional information. The Collegiate Committee will enter any information thus obtained into the Promotion Record.
- (5) The Collegiate Committee on Faculty Promotion and Tenure (with the membership described in section II.B.1, above) meets with discusses the candidate's promotion record in a meeting with the Dean and the Associate Deans
 - (a) to discuss the candidate's qualifications,
 - (b) to vote and make a recommendation for or against the granting of promotion, with a 60% majority of those present for the discussion defining a positive recommendation for promotion, and
 - (c) to assign one or more of its members
 - i. to prepare a summary report of the discussion, if its recommendation to the Dean is contrary to that of the DCG or DEO;
 - ii. to document the final vote, and
 - iii. to enter that information into the Promotion Record.
- (6) The Collegiate Committee's vote and recommendation, and the summary report of its discussion, if any, will be transmitted to the Dean. The Dean adds the Collegiate Committee's letter to the candidate's Promotion Record before transmitting the Promotion Record to the Provost.

C. CANDIDATE'S RIGHT TO RESPOND TO THE COLLEGIATE COMMITTEE'S RECOMMENDATION

The candidate will be given the opportunity to respond to the Collegiate Committee's recommendation under the following conditions:

- (1) If the Collegiate Committee's recommendation is negative and contrary to that of the DCG or DEO, the candidate shall be provided with a copy of the Collegiate Committee's vote and summary report and, will have **3 days to request** access to the Promotion Record, with the following provisions:
 - (a) the external reviews of the candidate's professional productivity and/or clinical and other service must be redacted as appropriate to protect the confidentiality of reviewers; and

- (b) any comments in the Promotion Record referring to external reviews of the candidate's scholarship must be redacted as appropriate to protect the confidentiality of reviewers.
- (2) The candidate **will have 5 working days after receiving access to the Promotion Record** to submit a written response to the Collegiate Committee's negative recommendation.

D. DEAN'S RECOMMENDATION

In making the promotion recommendation, the Dean may, at the Dean's discretion, consult with the College's Associate Deans. The dean shall participate in the promotion decision-making process as follows:

- (1) If the candidate submits a written response to the Collegiate Committee's negative recommendation, the Dean will place the response in the Promotion Record.
- (2) When any materials which were not available at the time of the departmental action are forwarded by the Departmental Executive Officer to the Dean, the Dean will make a determination whether it is likely that the new material would have substantially altered the departmental evaluation of the candidate's record by the Departmental Consulting Group and/or the Departmental Executive Officer. If, in the Dean's judgment, a substantial change in the departmental evaluation is likely, the Dean will return the case to the Departmental Executive Officer for any appropriate supplementary action so that the Dean will be able to act in the light of an accurate indication of departmental judgment.

If the Dean does not return the case to the Department, the Dean will annotate the new material when it is entered into the Promotion Record, for the Provost's information, stating that it was not reviewed by the Departmental Consulting Group or the DEO.

- (3) Based on the Promotion Record, the collegiate Dean will recommend that promotion be granted or denied in a separate letter to the Provost for each candidate.
- (4) The Dean's letter to the Provost will explain the Dean's reasons for recommending for or against promotion stating how the candidate has or has not met the relevant criteria for promotion. As with previous steps in this process, the Dean's letter to the Provost shall not reiterate the details of material that already is in the dossier; rather, it shall identify those aspects of the dossier that formed the basis of the Dean's recommendation.
- (5) When the Dean's recommendation is contrary to the recommendation of the Departmental Consulting Group, the recommendation of the Departmental Executive Officer, and/or the vote of the Collegiate Committee on Faculty Promotion and Tenure, the Dean's letter will explain why the contrary recommendation is being made.
- (6) The Dean's letter will be transmitted to the Provost as part of the candidate's Promotion Record.

- (7) At the same time that the Dean's letter is submitted to the Provost, the Dean will inform the Departmental Executive Officer of the recommendation that has been forwarded to the Provost. The DEO, in turn, will inform the members of the DCG of the Dean's recommendation and also will inform the candidate if the Dean's recommendation is positive.
- (8) The Dean will transmit to the Provost one copy of the Promotion Record for each candidate in the college, and a single copy of these collegiate procedures governing promotion decision-making.

E. CANDIDATE'S RIGHT TO RESPOND TO VOTE OF COLLEGIATE COMMITTEE AND RECOMMENDATION OF DEAN

- (1) At the same time that the Promotion Record is submitted to the Provost, the Dean will provide the candidate with a copy of the Dean's letter to the Provost and the recorded vote of the Collegiate Committee on Faculty Promotion and Tenure.
- (2) In the College of Liberal Arts and Sciences, the candidate will be allowed 3 working days after receiving the Dean's letter containing a negative promotion decision to submit a request to the Provost for access to the Promotion Record, with the following provisions:
 - (a) the external reviews of the candidate's professional productivity and/or clinical and other service must be redacted as appropriate to protect the confidentiality of reviewers;
 - (b) any comments in the Promotion Record referring to external reviews of the candidate's professional productivity and/or clinical and other service must be redacted as appropriate to protect the confidentiality of reviewers, and
 - (c) any comments in the Promotion Record referring to the external reviewers or to any other identifiable individual must be redacted as appropriate to protect confidentiality.
- (3) In the College of Liberal Arts and Sciences, the candidate will be allowed 5 working days after having received access to the Promotion Record to submit
 - (a) a written response to the Dean's negative recommendation and
 - (b) additional information to be included in the Promotion Record.
- (4) If the candidate submits a letter of response to the Provost for inclusion in the Promotion Record, the candidate shall also give the Dean a copy of the response.

III. University-level Procedures

A. PROMOTION RECORD SUBMITTED TO THE PROVOST

The Provost shall participate in the promotion decision-making process as follows:

- (1) The Promotion Record available to the Provost will consist of the Promotion Record available to the Dean, the Dean's letter, and the candidate's letter of response (if any) following receipt of the recorded vote (and summary report, if any) of the Collegiate Committee on Faculty Promotion and Tenure and/or the recommendation of the Dean. Although the appendices to the Promotion Record (consisting of student teaching evaluations and publications) are part of the

Promotion Record, they normally will not be moved physically to the Provost's custody unless the Provost requests them.

- (2) When any materials that were not available at the time of the departmental or collegiate action are forwarded to the Provost, the Provost will make a determination whether it is likely that the new material would have altered substantially the evaluation of the candidate's record. If, in the Provost's judgement, a substantial change in the departmental or collegiate evaluation is likely, the Provost will return the case to the department or college for any appropriate supplementary action, so that the Provost will be able to act in the light of an accurate indication of departmental and collegiate judgment.
- (3) On the basis of the Promotion Record available to the Provost, the Provost will make a decision that promotion should be granted or denied, and will recommend that the Board of Regents grant promotion to those candidates determined to be deserving.
- (4) In making the promotion decision, the Provost may, at the Provost's discretion, consult with others, including but not limited to the associate provosts and the collegiate deans.

B. THE PROVOST'S RECOMMENDATION TO THE REGENTS

- (1) The Provost will inform the Dean in writing of the Provost's recommendation to the Board of Regents.
- (2) The Dean will inform the candidate in writing of the Provost's recommendation to the Board of Regents and, in the case of a recommendation against promotion will inform the candidate of the availability of the official Faculty Dispute Procedures in the University *Operations Manual*, section III-29, subsections 1-5, and will enclose a copy via certified mail.
- (3) The collegiate Dean will inform the Departmental Executive Officer of the Provost's recommendation, and the DEO in turn will inform the members of the DCG.

APPENDIX A: POINTS TO BE DETERMINED BY COLLEGIATE PROCEDURES

The following points must be covered by the Collegiate Procedures (as approved by the Provost) to satisfy a requirement of or to provide a variation from a provision of these Procedures:

- General Principles: the composition of the DCG with regards to additional clinical-track faculty members from outside the department;
- General Principles: who will perform the functions assigned in these Procedures to the DEO, if they will not be performed by an individual who holds that title;
- General Principles: in nondepartmentalized colleges, what the role of department-like units and their administrative officers, if any, will be;
- General Principles: how and when a candidate will notify the department and/or college of his or her interest in being reviewed for promotion;
- I.B.(1) the date that substantive material for the promotion dossier will be due from the candidate, if before September 1;
- I.B.(3)(f) any supplementary material to be included in the dossier in addition to the required minimum described in these Procedures;
- I.C. who shall perform the internal peer evaluations of teaching, professional productivity, and clinical and other service;
- I.D.(1) - (4) details about the process of peer observation of teaching;
- I.E.(1) details about the process of peer evaluation of the candidate's professional productivity (including who will perform the evaluation);
- I.E.(4) how the internal peer reviews of professional productivity will be supplemented by reviewers external to the department, college, and/or University
- I.F.(1) details about the process of peer evaluation of the candidate's clinical and other service (including who will perform the evaluation);
- I.F.(4) how the internal peer reviews of clinical and other service will be supplemented by reviewers external to the department, college, and/or University;
- I.G.(1) a when the process of selection of external reviewers will begin;
- I.G.(2) how many external reviewers will be asked to provide assessments of the candidate's professional productivity and/or clinical and other service, and what materials each will review;
- I.G.(7) the process by which the DEO will select the final list of external reviewers;
- I.H.(2) the period of time allowed the candidate to review the internal peer evaluations of teaching, professional productivity, and service for factual errors (normally five to ten working days) and submit a letter correcting factual errors;

- I.I.(4) details of the DCG's voting procedure, and how the DCG determines which of its members will prepare the summary report of its discussion, document the final vote, and enter that information into the Promotion Record;
- I.I.(4) the criterion vote (e.g., simple majority, two-third majority) that defines a positive recommendation if not otherwise specified in departmental written policy;
- I.I.(6) the period of time allowed the candidate to submit a letter correcting any faculty errors regarding the candidate's record in the DCG report;
- I.K.(3) the period of time allowed the candidate to access the Promotion Record and to submit to the Dean a written response to the DEO's recommendation against promotion and other additional material to be included in the Promotion Record (normally five to ten working days);
- II.B.(1) how the CCG is formed and performs its functions;
- II.B.(3) whether and when the appendices to the Promotion Record are physically transmitted to the Dean;
- II.B.(5) the procedure according to which the CCG will vote and make a recommendation for or against the granting of promotion, whether a summary report of the CCG's discussion is required (when it is not otherwise required by these Procedures), and how the CCG will determine which of its members will prepare the summary report of its discussion (if any), document the final vote and recommendation, and enter that information into the Promotion Record;
- II.C. (2) the period of time allowed the candidate to access the Promotion Record and to submit to the Provost a written response to the CCG's negative recommendation (normally five to ten working days); and
- II.E. (3) the period of time allowed the candidate to access the Promotion Record and to submit to the Provost a written response to the Dean's recommendation against promotion (normally five to ten working days).

The comments on the Procedures (Appendix C) suggest additional matters that might be covered in Collegiate Procedures.

APPENDIX B: RECOMMENDATION FOR FACULTY PROMOTION COVER SHEET

Note: Change SSN to Employee ID number. Fill out form on-line.

**The University of Iowa
Recommendation for Faculty Promotion Cover Sheet**

Distribution Payroll Provost's Office Dean Department
--

To be completed by the candidate:

Name: _____ Social Security Number: _____

Primary Appointment: _____
College Department

Secondary Appointment: _____
College Department

Date of Initial Appointment (Assistant Professor or above at The University of Iowa): _____

Present Rank: _____ With Tenure Without Tenure Date attained: _____

To be completed by the Departmental Executive Officer:

Proposed Rank: _____ With Tenure Without Tenure Date effective: _____

If proposed rank is without tenure, indicate term of appointment.

This is a _____ year appointment beginning _____ and ending _____
(mo. day yr.) (mo. day yr.)

Vote of Departmental Consulting Group:

Primary Appointment: For promotion: _____ Against promotion: _____ Abstained: _____

Secondary Appointment: For promotion: _____ Against promotion: _____ Abstained: _____

To be completed by the Dean:

Is there a summary report from the Collegiate Consulting Group? Yes No

Vote of Collegiate Consulting Group:

Primary Appointment: For promotion: _____ Against promotion: _____ Abstained: _____

Secondary Appointment: For promotion: _____ Against promotion: _____ Abstained: _____

Recommendations:

Primary Department:

Recommend Recommend
 Do not recommend _____ Executive Officer Do not recommend _____ Dean

Secondary Department:

Recommend Recommend
 Do not recommend _____ Executive Officer Do not recommend _____ Dean

Provost:

Recommend Do not recommend _____ Provost _____ Provost Date

APPENDIX C: SAMPLE LETTER FROM DEPARTMENTAL EXECUTIVE OFFICER (DEO) TO EXTERNAL REVIEWER OF A CLINICAL-TRACK FACULTY PROMOTION

A DEO's letter to solicit an external evaluation must:

- be neutral in tone;
- indicate the rank for which the candidate is being considered;
- explicitly state what portion of the candidate's work the reviewer is being asked to assess;
- request that the reviewer not communicate with the candidate or with faculty other than DEO;
- state that the reviewer's response will be protected as confidential, available only to those participating in the decision-making process, and to the candidate only under certain circumstances and after redaction to protect confidentiality; and
- request a brief biographical sketch if one has not been obtained through another source.

The following is a sample letter:

Dear _____:

As I mentioned to you [on the telephone / by e-mail] on [date], _____ will be considered for [tenure and] promotion to [proposed rank] in the Department of _____ during this academic year. I am grateful to you for agreeing to serve as an external evaluator.

Enclosed with this letter are Professor _____'s curriculum vitae and copies of the publications [or creative works] you have agreed to review: [list works].

Please begin with a statement of how you know the candidate and his or her work. In this context, please address any circumstances that might raise issues of impartiality as they related to your assessment of the candidate. We would like you to critique the quality of this work and, if possible, to assess its quantity and quality in comparison to the work of others in this discipline at comparable stages in their careers. We would particularly appreciate your evaluation of the contribution that the candidate's work has made to the field, viewing each published [or creative] work separately or in combination as seems appropriate. We would be interested in your judgment of the quality of the journals [or exhibits] and the importance of the conferences through which Professor _____ has communicated this work. We also would be interested, of course, in any other insights you might have about Professor _____'s scholarly accomplishments.

If you have any questions about Professor _____'s materials or experience, please contact me directly. In accordance with our governing procedures, we must ask you not to communicate with either the candidate whose work you are reviewing or other members of the department or college concerning your evaluation or the review process.

Your letter will be available to the tenured faculty in this department as well as to the Dean, the Collegiate Consulting Group (Promotion Advisory Committee), and the Provost's Office. Beyond that, we will regard your letter as a confidential document. Your evaluation will be made available to the candidate only upon his/her explicit request following a negative recommendation at various stages of the review process, and then only after your name and other identifying information have been removed.

[Only if it is not possible otherwise to obtain a short statement of the reviewer's qualifications, add the following paragraph:] Would you please send me a brief biographical statement when you send your letter? Although our departmental faculty know you and your work well, the Dean and the Collegiate Consulting Group would find your biographical sketch helpful when considering your letter.

Again, thank you for your willingness to help us with this important review process.

[Signature of DEO]

APPENDIX D: COMMENTS ON THE PROCEDURES

I. B. (2). The candidate and the DEO should work together to ensure that a candidate's teaching, professional productivity, and clinical and other service, including those activities of an interdisciplinary or multidisciplinary nature, are accurately portrayed in the promotion dossier.

I.B. (3)(d) It is assumed that all faculty members obtain regular student evaluations of their teaching in accordance with collegiate and University policy and that, under the college's policy, there are adequate provisions for consistent practice to ensure the integrity of the evaluation process and ordinarily to preserve the anonymity of the student evaluators. A college is permitted to include evaluations by students who are identified but whose identity is treated as confidential vis-à-vis the candidate. When such a practice is employed, it is imperative that the college's written Procedures governing promotion decision making specify its details and that it be applied evenhandedly. The candidate's dossier is not expected to include teaching "evaluations" used for experimental, mentoring, or other non-evaluative purposes.

I.B.(3)(g) The college may want to require additional items in the dossier such as teaching materials; refereed conference papers; invited papers, lectures, or presentations; unfunded grant proposals; and so forth. The college's written Procedures governing promotion decision making should specify the items required and apply the requirement evenhandedly to all candidates.

I.B.(6) Examples of "materials that could not have been available by the specified date" include decisions on submitted manuscripts or grant proposals after the specified date, published book reviews of which the candidate had no previous knowledge, or teaching evaluations of classes being taught in the fall semester.

I.D. The minimal procedures specified here for evaluation of teaching are not assumed to be adequate for purposes of mentoring and teaching improvement, and are not intended to discourage other and different methods for satisfying those purposes.

It should be stressed that "teaching" is described here in traditional terms and that appropriate extrapolations must be made for teaching in fields such as the creative or performance arts, the health sciences or other professional fields.

I.D.(2) This provision in no way privileges or elevates "observation" over such written materials as course syllabi or teaching materials created by the candidate. These written materials will be a part of the candidate's dossier and will be subject to evaluations as part of the total record on the basis of which the candidate is evaluated. Nor should this provision be taken to devalue still other aspects of the teaching process, such as supervising in a clinical setting, supervising dissertation work, advising graduate students, or overseeing the work of teaching assistants; although those teaching activities are not easily reduced to writing nor are they ordinarily subject to observation, these activities are important and nothing in these Procedures prevents a college that is able to evaluate these other teaching activities from doing so as part of the promotion decision-making process. In this connection, as elsewhere, the critical requirement is that a

college inform candidates in its written Procedures governing promotion decision making that this evaluation will occur and how it will be carried out, as well as that the college apply its policy consistently to all candidates.

I.G.(10)(d) and (3) Although the records related to external reviewers that are required to be kept under these subsections do not become a part of the Promotion Record concerning each candidate, they would be available for consideration should a question subsequently arise concerning the denial of promotion to that candidate or another candidate for promotion in the department.

I.I. The integrity of academic decision making requires that all participants base their evaluation on a careful study of the relevant materials, and standards of ethical academic behavior require nothing less. The integrity of particular academic decisions also requires that 1) all faculty members honor their duty to participate fully in the assessment of their colleagues, and 2) the evaluation of the candidate's qualifications not be compromised by the participation of anyone having a disqualifying conflict of interest. This requirement entails that any faculty member or administrator who would otherwise participate in the recommendation to grant or deny a promotion should be disqualified if that person has a relationship or interest which would give the appearance of biasing that person either in favor of or against the candidate. Conflicts of interest exist not because actual bias is assumed, but because of the appearance of a lack of sufficient impartiality. Whether a disqualifying conflict of interest does exist often presents the difficult question of degree, and it depends upon a determination by a participant in the process to identify the conflict and to disqualify herself or himself when appropriate. In lieu of disqualification, in some cases it can be sufficient that the circumstances giving rise to an apparent conflict of interest be fully disclosed. When disqualification is required, that can be effected by a decision of a member of the DCG not to vote or otherwise to participate in the evaluation process; at a stage of the process involving a single decision maker, such as the DEO or the collegiate Dean, more burdensome arrangements for a substitute decision maker would have to be made. Although treatment of conflicts of interest in the college's written Procedures governing promotion decision making would be appropriate, these Procedures have not attempted to address the specific situations that might create conflicts of interest nor to provide procedures for avoiding them. (For the Conflict of Interest Policy, refer to sections [II-18](#) and [III-8](#) of the [University's Operations Manual](#).)

The integrity of the promotion decision-making process also requires that all documentary material be available only to those entitled to participate in the process and that every participant treat as confidential all information obtained from reading documents in the Promotion Record or from participating in any discussion concerning the qualifications of a candidate for promotion.

I.I.(2) In non-departmentalized colleges, the Dean attends the meeting of the DCG in the same manner as the DEO unless otherwise specified in the college's written Procedures on promotion decision-making and approved by the Provost.

I.I.(5) Because the Promotion Record may be redacted to protect reviewers' confidentiality where appropriate, it will be especially important that the DCG's report and the DEO's letter be written in sufficient detail to enable the candidate to submit a written response should the candidate choose to do so.

I.J.(4) This is the first point in the decision process at which there is a specific reference to transmitting the Promotion Record. Prior to this stage of the process, it is assumed that the Promotion Record is compiled within the department under the joint management and custody of the DCG and the DEO. If the location of the Promotion Record would not otherwise be clear, the college's written Procedures governing promotion decision making should provide some means of informing decision-makers of the location of various materials comprising the Promotion Record from time to time as the decision process moves from the candidate to the DCG to the DEO.

APPENDIX E: REVIEW PROCEDURES FOR CLINICAL-TRACK FACULTY WITH JOINT APPOINTMENTS

- A. In the case of a non-0% joint-appointment candidacy for promotion, the departments shall form (a) joint internal review committee(s) (see Section I. C. below), roughly proportional in its (their) makeup to the percentage of faculty effort in each department and with at least one committee member from each department. The DEO(s) or the candidate may seek approval of the dean(s) for an alternative structure in exceptional circumstances, including cases of marked discrepancy between percentage effort and percentage salary support across the two units, or in the case of a joint but non-interdisciplinary appointment, such that joint review is inappropriate. When standard review procedures differ between units (e.g., delegation of review of teaching, research and service to separate subcommittees vs. using a single internal review committee for all three areas), a joint decision shall be made establishing procedures that are mutually acceptable to the faculty member and the units in advance of deliberations of the review committee[s]. The joint internal review committee shall report, both in writing and at (a) meeting(s) with at least one internal review committee member from each department present, to each DCG.
- B. The departments involved must determine, together with the affected faculty member, whether the DCGs will meet jointly or separately and, if jointly, whether the DCGs will have joint or separate votes and reports. If separately, (a) if a faculty member holds a 50-50 joint appointment, each DCG will make an independent and primary decision using its college's written policy governing promotion decision making; (b) if a faculty member holds a 1% to 49% joint appointment in a department, the departments involved must determine, together with the affected faculty member, whether each DCG will make an independent decision or whether the DCG in which the faculty member holds the smaller percentage appointment will be limited as described in section C below. These determinations should be made by mutual agreement of the faculty member, both DEOs, and the Dean(s) early in the joint appointment and set forth in a letter of agreement, copied to the Provost.
- C. If a faculty member holds a 1% to 49% appointment in a department, and a determination is made that that department shall not make an independent decision, then that department shall participate in the following manner (see sections II.(G) and II.(H) for additional detail).
- (1) The DCG shall:
- (a) receive the candidate's dossier including the letters of the external reviewers;
 - (b) review and discuss the candidate's qualifications;
 - (c) make a recommendation for or against the granting of promotion based on a secret-ballot vote;
 - (d) write a brief report of its discussion, including its vote and recommendation for or against the granting of promotion. If a majority of the DCG requests, it may delegate writing this report to the DEO.
- (2) The DEO shall:
- (a) write a letter
 - (i) reporting the DCG discussion, including its vote and recommendation for or against the granting of promotion, if requested by a majority of the DCG to do so, and

- (ii) making an independent recommendation that promotion be granted or denied;
- (b) add the DCG report, if any, and this letter to the Promotion Record, and
- (c) submit the Promotion Record to the primary department in time for consideration by the DCG of that department.

Similarly,

- (3) the Collegiate Consulting Group of the college in which a faculty member has a 1% to 49% appointment shall:
 - (a) receive the candidate's Promotion Record from the DEO of the primary department;
 - (b) review and discuss the candidate's qualifications, and
 - (c) make a recommendation for or against the granting of promotion based on a secret-ballot vote, with a brief report of its discussion if the recommendation is negative. If a majority of the CCG requests, it may delegate writing this report to the Dean.
- (4) The Dean shall:
 - (a) write a letter
 - (i) reporting the CCG discussion, including its vote and recommendation for or against the granting of promotion, if requested by a majority of the CCG to do so, and
 - (ii) making an independent recommendation that promotion be granted or denied;
 - (b) add the CCG report, if any, and this letter to the Promotion Record;
 - (c) submit the Promotion Record to the primary college in time for consideration by its CCG.

D. If a faculty member holds a 0% joint appointment in a department, that department may be limited to a subordinate consultative role in the tenure and promotion process and the affected departments may decide how this role shall be carried out. These determinations should be made by mutual agreement of the faculty member, both DEOs, and the Dean(s) at the beginning of the joint appointment and set forth in a letter of agreement, copied to the Provost.

APPENDIX F

CLAS CHECKLIST: PROGRESS TOWARD PUBLICATION OF BOOK IN THE DOSSIER

For the information of the review committee, departmental consulting group, and collegiate consulting group, the candidate completes this checklist for each book-length publication and inserts it in the appropriate section of the dossier (see the CLAS/University Procedures for Promotion and Tenure Decision-making, I.B.3.d.ix-x). **Please mark the boxes for all steps in the publication process that have been completed.**

Books in the dossier will be assessed by the department, external evaluators, and the College on the basis of the quality and importance of the work, its venue, its potential impact on the field, and any discipline-specific expectations.

Note: Please see the CLAS/University Procedures for Promotion and Tenure Decision-making, section 6, "Timing of Reviews in the College," for expectations in cases in which an important aspect of the scholarly record is the publication of a book.

Title of Book/Manuscript _____

Name(s) of Author(s) or Editor(s) (in the case of an edited collection, critical edition, etc.) _____

1. Review for publication:

- The manuscript was submitted for review to [name of press] _____
- The manuscript was recommended for publication by the press's external referees (please attach referees' reports).
- The editor has recommended the book to the editorial board.
- The editorial board has approved the recommendation to publish the book.

2. Acceptance by the press:

- The publisher has written to the author(s) making the final commitment to publish the book (if the printed book is not in the dossier, please attach a copy of the letter).
- The publication contract has been signed by all parties (if the printed book is not in the dossier, please attach a copy of the contract).

3. In production:

- The author has revised the manuscript and responded to any editorial questions.
- The author has supplied the final manuscript, including the text and (as agreed upon with the publisher) tables, appendices, notes, bibliography, illustrations, captions, etc.
- The author has supplied any written permissions necessary to reproduce text or illustrations.
- The author has corrected the copy-edited text and returned it to the publisher.
- The author has corrected the page proofs and returned them to the publisher.
- The author has received a pre-publication copy, which is included in the dossier.

4. In print:

- The publisher has issued the book and a copy is included in the dossier.
- Reviews have appeared and are included in the dossier.

Candidate's comments:
