

Faculty Promotion, Review, and Assessment

Approved by the Biology Faculty: February 27, 2012

Approved by the College of Liberal Arts and Sciences: August 30, 2012

This document includes the Biology Department's Criteria for Faculty Rank, which are applied in all appointment, promotion, and tenure decision making along with University Qualifications for Rank and CLAS Criteria for Rank [see <http://clas.uiowa.edu/faculty/faculty-appointments-review-criteria-faculty-rank>]. It also contains the Department's Standards for Tenured Faculty Review which are applied, along with the CLAS standards, in all annual reviews of tenured faculty [see <https://clas.uiowa.edu/faculty/annual-review-tenured-faculty>] and in all five-year peer reviews of tenured faculty [see <http://clas.uiowa.edu/faculty/faculty-appointments-review-tenured-faculty-review>]. In addition, this document presents guidelines for faculty productivity at each rank and explanations of the types of evidence used in faculty reviews. These sections do not have the force of policy, as the first two sections do, but are intended to inform faculty as they prepare for reviews. Finally, this document contains statements on joint and affiliate appointments in the Department, faculty resignations, and faculty retirements.

This document has been approved by the faculty. Amendments to this document can be proposed by any faculty member. All proposed amendment(s) must be submitted to the DEO for consideration by the Executive Committee and voted on by the full faculty. Voting procedure and majority required for approval of amendment(s) will follow the guidelines established for voting on issues in faculty meetings. Amendments to this manual are subject to approval by the Dean following approval by the faculty, and [in the case of promotion/tenure criteria and tenured faculty review standards] are subject to approval by the Office of the Provost.

Table of Contents

- I. Criteria for Appointment to Faculty Rank (Assistant, Associate, and Full Professor)**
 - A. Assistant Professor**
 - B. Associate Professor**
 - C. Professor**

- II. Standards for Tenured Faculty Review (Annual and Five-year Peer Reviews)**
 - A. Teaching**
 - B. Research**
 - C. Service**

- III. Benchmarks of Productivity at Each Faculty Rank**
 - A. Assistant Professor**
 - B. Associate Professor**
 - C. Professor**

- IV. Evidence to be Used in Assessments of Faculty Performance**
 - A. Teaching**
 - B. Research**
 - C. Service**

- V. Joint and Affiliate Appointments**
 - A. Unsalaries Secondary Appointments (Zero-time)**
 - B. Salaried Joint Appointments**

- VI. Faculty Resignations and Retirements**

I. Criteria for Appointment to Faculty Rank (Assistant, Associate, and Full Professor)

The department criteria below are consistent with the [CLAS' Criteria for Tenure-track Faculty Rank](#) and the University's Qualifications for Faculty Rank (*Operations Manual*, [III-10.4](#))

A. Assistant Professor

Faculty members appointed to the rank of Assistant Professor must have completed their formal training and demonstrated their potential to become independent investigators. They should be able to contribute to the academic environment of the institution, most importantly by carrying out the teaching, research, and service missions of the department. Most faculty members in the College serve a probationary period of six years.

Faculty members appointed to the rank of assistant professor are ordinarily expected to:

1. Hold the doctorate or other terminal degree in the discipline or to present equivalent training and experience as appropriate to the particular appointment;
2. Show promise in teaching and be able to demonstrate a strong commitment to graduate and undergraduate education;
3. Have begun a promising program of independent research, scholarship, or creative professional work consistent with eventual promotion to associate professor, including development of regional, national, and international recognition; and
4. Be able to demonstrate their research program is sustainable through acquisition of external funding.

B. Associate Professor

Faculty members appointed or promoted to the rank of Associate Professor have achieved independence in investigative and scholarly activities. They will have demonstrated contributions to the academic environment, including the teaching, research, and service activities of the department. Faculty at the rank of Associate Professor will have achieved peer recognition for their scholarship. Such recognition might include independent grant funding, membership in scholarly societies, or editorial work for scholarly journals. Instead of evaluating the quantity of manuscripts, the focus should be placed on their quality, significance or impact, and importance.

Faculty seeking promotion to or tenure at the rank of Associate Professor are expected to have established a record in the areas of teaching, of research, scholarship or creative work, and of service that meets the criteria below and shows unmistakable promise of promotion to full professor.

Faculty promoted or appointed to the rank of associate professor are ordinarily expected to:

1. Hold the doctorate or other terminal degree of the discipline or to have equivalent training and experience as appropriate to the particular appointment;
2. Have an acknowledged, clearly documented record of success in undergraduate and graduate teaching, including successful direction of doctoral and/or master's candidates, as applicable;
3. Have national recognition for a productive, sustainable program of research, scholarship or creative work, supported by substantial, significant publication of high quality, and demonstrated peer recognition;
4. Have participated in the professional activities of the discipline, in ways other than teaching and research; and
5. Have established an appropriate record of departmental service.

C. Professor

Faculty appointed or promoted to the rank of Full Professor will have demonstrated a leadership role in contributing to the environment at the University of Iowa. They must have achieved national and international recognition for their scholarly activities and they must have developed a focused program of scholarly investigation.

Faculty at the rank of Full Professor are expected to have established a record since promotion to associate professor that demonstrates a pattern of sustained development and substantial growth in achievement and productivity in the areas of teaching, research/scholarship, and service.

Faculty promoted or appointed to the rank of professor are ordinarily expected to:

1. Hold the doctorate or other terminal degree of the discipline or to have equivalent training and experience appropriate to the particular appointment;
2. Have an acknowledged, clearly documented record of continued success in undergraduate and graduate teaching, including continued successful direction of doctoral candidates to the completion of their degree programs;
3. Have sustained unmistakable national and international recognition for a productive, sustainable program of excellence in research, scholarship or creative work of high quality; and
4. Have a substantial and sustained record of effective service to the department, the institution, and the profession.

II. Standards for Tenured Faculty Review (Annual and Five-year Reviews)

The primary mission of the Department of Biology is to achieve excellence in research, graduate training, and undergraduate education. Under the CLAS Standards for Tenured Faculty Review (available here: <http://clas.uiowa.edu/faculty/faculty-appointments-review-tenured-faculty-review#classtndrds>), a faculty member is expected, throughout his or her career, to continue to teach, advise, and mentor students at the undergraduate and graduate levels; to produce and disseminate scholarly or creative work; and to contribute service to the department, the College, the University and the profession.

The following standards are to be used, along with the Collegiate Standards, in annual reviews of tenured faculty and in five-year post-tenure reviews in the Department of Biology.

A. Standards for Teaching

Tenured faculty members must demonstrate evidence of high-quality teaching.

A large portion of faculty teaching effort occurs in scheduled classes, including lectures, seminars, and teaching laboratories. Faculty members are expected to engage in these activities, and show genuine commitment and success in educating undergraduates as well as graduate students in these settings.

Moreover, teaching at a major research university such as the University of Iowa also includes training and mentoring of undergraduate and graduate students outside of the traditional classroom setting. This is important because one of the overall missions of a research university is the development of a future generation of scholars and researchers. We strive to provide an environment that prepares students for a wide variety of science-related careers in academia and industry, as well as evidence-based medical practice. Teaching the necessary skills to be successful in these endeavors includes:

- Supervising undergraduate honors theses and encouraging undergraduates to participate in active faculty research programs.
- At the graduate level, supervising PhD theses and dissertations, supporting students' efforts to publish their research, and providing guidance on the importance of and strategies for obtaining pre-doctoral and post-doctoral extramural and intramural research support are all aspects of effective teaching.

B. Standards for Research

The College's Standards for Tenured Faculty Review state the expectation that "tenured faculty members' records of scholarly and creative works show continued development and growth and increasing visibility." The evaluation of research excellence involves an evaluation of the productivity of the tenured faculty member, the ability to obtain and sustain external funding, examination of the quality of the research, its impact on the research activities of others in the field, the continuity of the research program, and the intellectual independence of the research program.

- **Productivity Assessment**

In assessments of productivity, primary emphasis will be given to publications in refereed journals. Authored books, edited books, and book chapters will be considered positively in the context of a sustained record of refereed publications, especially if such work conveys evidence of national and international recognition. Textbooks can contribute to the scholarship of a field when they make a significant and demonstrable intellectual contribution. Presentations at other institutions or at meetings are also expected as a way of testing ideas and presenting data in public forums and indicating active involvement and visibility in the field.

- **Funding Record Assessment**

It is expected that the tenured faculty members will demonstrate a continuous record of external funding and of applications for external funding. External funding helps to demonstrate program continuity, impact of the research, and intellectual independence of the candidate.

- **Research Program Assessment**

Quality – The quality of a candidate's research is an important component of the assessment of scholarly contribution. In addition, the quality of the journals, as indicated by reputation, impact and rejection rates, may be considered in judgments of quality.

Impact – Candidates must be able to demonstrate that their research has an impact on their field of inquiry. Citation analyses must be done in the context of the citation expectations for top scholars in the candidate's area of research. When thinking about where to submit their research for publication, faculty should consider both the quality and visibility of the journal. Publication in widely read and respected journals will generally lead to greater impact.

Tenured faculty members are expected to demonstrate continued growth in intellectual leadership and impact on the research of the field at the national and international level. Major intellectual contributions that influence the research programs of other research scholars are expected.

Continuity – It is expected that tenured faculty members continue to demonstrate the programmatic nature of their research. Of course, this does not mean that candidates are discouraged from moving into new areas. It simply means that progress usually develops out of continuous efforts to solve problems.

Intellectual Independence – Tenured faculty are expected to demonstrate intellectual independence in the program of research and significant contributions in their published papers. Traditional ways of demonstrating such contributions include sole authored or senior authored papers, as well as publications within a candidate's research programs with his or her own students. If issues arise regarding responsibility for collaborative work, candidates will be asked to provide evidence regarding their contributions, as is requested by leading journals.

C. Standards for Service

The College's Standards for Tenured Faculty Review state the expectations that tenured faculty will contribute "increasing leadership and service to the department, the institution, and the profession consistent with each tenured faculty rank." In addition, under the College's Standards "tenured faculty are expected to engage in professional service that reflects the visibility of their own scholarship/creative work and teaching."

The department expects faculty to share in the governance and necessary service activities of the department, including conscientious fulfillment of committee assignments. Participation in similar college and/or university level activities is also expected.

Service to professional organizations is a component of service excellence and can include such activities as holding offices in state, national, or international societies, service on editorial boards, editorial board memberships, and membership on grant review panels. These forms of professional service and leadership are often also evidence of the tenured faculty member's scholarly visibility.

III. Benchmarks for Faculty Productivity at Each Rank

A. Assistant Professor

Benchmarks for Assistant Professors are:

Research

- Applications submitted on entry or immediately after for one or more research grants (new faculty may apply to both NSF and NIH for the same proposal).
- Developing preliminary data consistent with the first grant application.
- Beginning to develop a proposal and data for a second grant application.
- Primary data publications and reviews (mini, maxi, or symposium) consistent with an active and dynamic research program. This varies with the field, but two publications per year is recommended.

Teaching

- At the time of appointment Assistant Professors will be assigned a teaching load consistent with the expectations of initiating an extramurally-funded research program.
- As such a program reaches fruition, teaching loads will be adjusted to accommodate the needs of the department and the demands of the growing program.
- University policy requires that all instructors must demonstrate competence in oral communication. In the context of this policy, oral communication competence is the ability to communicate appropriately in the language of instruction. Each faculty member must be evaluated for oral communication competence by the end of each academic year in which he or she has had sufficient direct contact with students to allow a meaningful evaluation. For more information regarding oral communication competence visit the [CLAS website](#).

Service

- Departmental service will include service on one committee with a minimum of other responsibilities until an active program of funded research is established. The Graduate Recruiting and Admissions Committee is a particularly appropriate assignment for a young faculty member.

B. Associate Professor

Benchmarks for Associate Professors are:

Research

- One or more active grants (this expectation will be adjusted to reflect funding success rates).
- If one active grant exists, then one additional application should be in preparation or pending.
- If no active grant exists, then two applications should be in preparation or pending.
- Primary data publications and reviews (mini, maxi or symposium) consistent with an active and dynamic research program. This varies with the field, but two publications per year is recommended.

Teaching

- If more than two grants exist, then part of one undergraduate course or one upper division/graduate course per academic year will be assigned.
- If two grants exist, then part of one undergraduate course and one upper division/graduate course per year will be assigned.
- If one grant exists, then one undergraduate course and one upper division/graduate course per year will be assigned.
- If there is no active grant, but applications are pending or in preparation, then up to three courses per year will be assigned (past record of research productivity and the length of the hiatus will determine the exact load).
- If there is no active grant and no applications are pending or in preparation, then up to four or more courses, at least two of which are undergraduate major or service courses, per year will be assigned. (The number of courses will also be dependent on continued research productivity and service.)
- University policy requires that all instructors must demonstrate competence in oral communication. In the context of this policy, oral communication competence is the ability to communicate appropriately in the language of instruction. Each faculty member must be evaluated for oral communication competence by the end of each academic year in which he or she has had sufficient direct contact with students to allow a meaningful evaluation. For more information regarding oral communication competence visit the [CLAS website](#).

Service

- The College and Department expect increasing leadership and service to the department through chairing and serving on departmental committees. Service to the college and institution are also expectations. Tenured faculty are also expected to engage in professional service that reflects the visibility of their own scholarship and teaching.

C. Professor

Benchmarks for Full Professors are:

Research

- One or more active grants (this expectation will be adjusted to reflect funding success rates)
- If one active grant exists, then at least one additional application should be in preparation or pending.
- If no active grant exists, then two or more applications should be in preparation or pending.
- Primary data publications and reviews (mini, maxi or symposium) consistent with an active and dynamic research program. This varies with the field but two publications per year is recommended.

Teaching

- If more than two grants exist, then part of one undergraduate course and one upper division/graduate course per year will be assigned.
- If two grants exist, then part of one undergraduate course and one upper division/graduate course per year will be assigned.
- If one grant exists, then one undergraduate course and one upper division/graduate course per year will be assigned.
- If there is no active grant, but applications are pending or in preparation, then up to three courses per year will be assigned (past record of research productivity and the length of the hiatus will determine the exact load).
- If there is no active grant and no applications are pending or in preparation, then up to four or more courses, at least two of which are undergraduate major or service courses, per year will be assigned. (The number of courses will also be dependent on continued research productivity and service.)

- University policy requires that all instructors must demonstrate competence in oral communication. In the context of this policy, oral communication competence is the ability to communicate appropriately in the language of instruction. Each faculty member must be evaluated on oral communication competence by the end of each academic year in which he or she has had sufficient direct contact with students to allow a meaningful evaluation. For more information regarding oral communication competence visit the [CLAS website](#).

Service

- The College and the Department expect increasing leadership and service to the department (see below), the institution, and the profession consistent with the rank of tenured professor, including service on the Department's standing and ad hoc committees.
- There are several core responsibilities that are expectations of Full Professors: Promotion and Tenure Committee, Executive Committee, and Graduate Affairs Committee.

IV. Evidence to be Used in Assessment of Faculty Performance

A. Teaching

1. Evidence of commitment and success in undergraduate teaching, including:

- Development, maintenance, and periodic updating of undergraduate courses (as assessed by peer evaluations, ACE forms, and teaching awards);
 - Production and delivery of high-quality lectures or alternative (e.g. peer-to-peer) classroom experiences.
 - Production and revision of relevant ancillary course materials (lab manuals, lecture packets, problem sets, etc.)
 - Establishment and maintenance of a course website that enhances student learning.
 - Active incorporation of technology into instruction of one's courses.
 - Production and grading of rigorous and high-quality course examinations.
 - Provision of positive outside-of-class educational support for students, through keeping office hours and other means (email responses, review sessions, etc.)
 - Ongoing supervision and coordination of multi-section courses.
 - Training of TAs in teaching their lab or discussion sections.
- Effective supervision of undergraduate research especially in the Departmental Honors Program.
- Seeking external funds to initiate or revise undergraduate courses, especially equipment- and labor-intensive laboratory and field courses.
- Effective undergraduate academic advising.

2. Evidence of commitment and success in graduate teaching, including:

- Effective teaching of graduate (or mixed graduate/undergraduate) courses and seminars;
 - Actively keeping up with scientific progress in the area of one's graduate courses, so that course content can be maintained close to the current intellectual cutting-edge.
 - Encouraging active participation of students in classes, by asking them to give presentations and participate in discussion.
- Service on graduate committees (comps, thesis committees).
- Supervision and mentoring of individual graduate students.

3. Evidence of involvement in support of teaching at all levels, including:

- Cooperation and coordination with colleagues when co-teaching courses, including especially helping younger colleagues gain confidence and experience.
- Guest presentations in other courses.

4. Evidence of course and curricular development and evaluation, including:

- Participation in development of new course materials and curricula;
 - Within the institution.
 - For use by faculty at other educational institutions across the state and nation.
- Committee activities related to teaching;
 - Within the department, college, or university
 - Regionally or nationally.
- Active interaction and cooperation with campus and off-campus educators.
- Regular contribution to University and national workshops and programs that support teaching and learning.
- Scholarly publications that relate to teaching and learning.

B. Research

Evidence of leading a directed, sustainable, cohesive research program (i.e. evidence that could be reported in a *curriculum vitae*). This includes:

1. Productivity Assessment

- Regular publications of refereed articles in high quality journals (manuscripts submitted, but not yet accepted, will also be considered).
- Publication of review articles and research-based books and monographs.
- Publication of technical reports or abstracts.
- Invited presentations at other institutions or at national or international research symposia.
- Other contributions (including posters) to national and international research symposia.

2. Funding Record Assessment

- Contributions to the development of peer-reviewed external grant applications, either as the lead PI or as a significant co-I (even if the application is pending or unfunded).
- Funding from a peer reviewed national granting agency as the lead PI or co-I.
- Additional funding from non-peer reviewed sources.

3. Research Program Assessment

- Recognition of one's research by external news media or research highlights (e.g. Faculty of 1000).
- Evidence indicating current research collaboration such as co-PI on grant proposals, co-authors on publications, joint appointments, etc.
- Clear evidence of effective supervision of graduate students, with their participation in oral presentations, abstracts, and referred journal articles.
- Evidence to indicate the ongoing successes of one's research group (including successful subsequent employment of graduate students and post-docs).
- Evidence of marketable innovation in research through acquisition of or application for patents.
- Development of an active, stable research program that may include technical staff, post-docs, graduate students, and undergraduates, supported in part from outside funds.
- Development of laboratory infrastructure needed to support an active research program.

C. Service

1. Service to one's profession, including:

- Review of scientific articles and grant proposals.
- Service on editorial boards of journals.
- Leadership role for a conference, workshop, or interdisciplinary course.
- Involvement in governance of professional societies and national research agencies.
- Service on grant review panels, study sections, or research or teaching review teams.

2. Departmental service, including:

- Fulfillment of normal departmental committee assignments.
- Mentoring of new departmental faculty.
- Service as an Associate Chair (Graduate or Undergraduate Director).
- Director of the Departmental Honors Program or Committee Chair.
- Contributor to development of peers through reviews of their teaching (including reviews of syllabi, quizzes, exams, etc.).
- Involvement in other departmental governance activities.

3. Collegiate or university-wide service, including:

- Service on a collegiate or university committee, especially one that has significant impact.
- Service on Faculty Senate, Faculty Assembly, ad hoc committees or task forces.
- Involvement in other collegiate or university governance activities.
- Service as reviewer of Collegiate and University-wide manuscripts, proposals, and/or programs.
- Advising of an academically-oriented student organization recognized by the University of Iowa.

4. Community-wide service, including:

- Making substantive and positive contributions to the community in a role that requires a high level of faculty expertise.

V. Joint and Affiliate Appointments

A. Unsalaries Secondary Appointments (Zero-time)

Such appointees will already hold an appointment at the rank of Professor, Associate Professor, or Assistant Professor. The rank of the appointee will be the same as that in the primary department.

A group of two or more Biology faculty may sponsor a faculty member from another department for the unsalaried secondary (zero-time) appointment. Appointment will require a two-thirds vote of the tenured and tenure-track faculty.

The appointee will be a non-voting member of the faculty.

- The sponsoring faculty should provide a written rationale for the appointment, indicating how the appointee will contribute to the department's mission in teaching, research, and service.
- The prospective appointee should provide a complete CV, including record of publications, list of funded grants, and a description of research goals and accomplishments.
- The prospective appointee will be invited for a seminar and for individual meetings with various members of the faculty.

Responsibilities and expectations of the joint appointee must be stated in a written agreement signed by the DEOs and faculty members of the units involved.

Additional guidelines are provided on the [College of Liberal Arts and Sciences website](#).

B. Salaried Joint Appointments

For faculty appointed on the budget of more than one unit, the Executive Associate Dean meets with the faculty member and DEOs of the appointing units to clarify each unit's expectations and the faculty member's responsibilities. A written agreement is then drawn up and signed by the DEOs and faculty member involved.

Refer to the [College of Liberal Arts and Sciences website](#) for specific guidelines regarding joint appointments.

VI. Faculty Resignations and Retirements

It is the responsibility of the DEO to inform the Office of the Dean of resignations or retirements as soon as the information is available. The faculty member must provide a signed letter of resignation indicating the date of termination or retirement. The Dean's Office then notifies the Office of the Provost that the appointment has been terminated. For additional information regarding faculty resignations and retirements, refer to the [College of Liberal Arts and Sciences website](#).