

## Chapter 10 – Faculty (edited Policy Manual ver. 11/20/2024)

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This revised III-10 faculty policy will be reviewed by the Faculty Senate in consultation with the Provost and General Counsel five years after its initial implementation. This review will assess the effectiveness and impact of the policy on all faculty tracks.

### 10.1 Purpose

This policy addresses the rights and responsibilities of faculty at the University of Iowa. The sections below explain the role of faculty and the principles of academic vitality that are the foundation of a thriving intellectual community, describe the different types of faculty appointments, and detail University policies and procedures governing faculty appointments and reviews. All collegiate policies governing faculty appointments must be consistent with relevant provisions of III-10. In non-departmentalized colleges the term DEO refers to the dean.

### 10.2 The Role of Faculty

Faculty enable the University to fulfill its institutional mission through their performance in three sometimes overlapping domains: teaching, scholarship, and service ([see I.2.1 University of Iowa Purpose and Mission](#)). The subsections below provide guidance and examples that colleges can

draw upon to recognize and categorize faculty work commonly associated with each domain. Although the efforts of each faculty member are not distributed evenly or identically among these various roles, all faculty contribute to the shared goal of maintaining the University's status as a top tier comprehensive public institution of higher education.

- a. **Teaching:** Teaching is work performed by faculty to inform, assist, and inspire students in their learning. Teaching includes the preparation and updating of course materials, syllabi, lectures, discussion topics, assignments, and examinations, and may occur in the classroom and laboratory, in clinical settings, or online. Faculty also meet with their students outside of class or clinic, evaluate and provide feedback on student work, write and submit letters of recommendation, mentor undergraduate, graduate and/or professional students, serve on masters and doctoral level comprehensive examination and thesis committees, train and supervise teaching assistants, and participate in diverse initiatives to improve instruction.
- b. **Scholarship:** Scholarship is work performed by faculty that contributes to the expansion of knowledge and/or creative achievements in their disciplines. Inclusive of artistic as well as analytic and research-intensive endeavors, scholarship encompasses activities that can take place in various settings, such as laboratories, libraries, studios, offices, and in the field. Faculty work both independently and with collaborators, including undergraduate, graduate, and professional students. Faculty also prepare and submit proposals to obtain support for their projects, and they share the results in venues ranging from professional meetings, scholarly journals, and academic books to concert halls, podcasts, and novels.
- c. **Service:** Service is work performed by faculty outside the domains of teaching and scholarship to support the University and to contribute, as representatives of the institution possessed of relevant expertise, to the surrounding community, their disciplines, and the broader society. Faculty provide administrative work for their programs, departments, colleges, and the University, for instance by serving on collegiate committees and in important departmental administrative positions such as Director of Undergraduate or Graduate Studies. In addition, faculty care for patients in health care settings, hold offices in professional organizations and help organize professional meetings, serve as peer reviewers for scholarly journals, offer advice and input to corporate and government funding agencies, and provide educational outreach programs for various constituencies.

### **10.3 Faculty and Academic Vitality**

The University of Iowa aspires to the highest standards of excellence in upholding its core values and recognizes that achieving this goal requires its continuing commitment to three essential principles of academic vitality as the cornerstone of its relationship to faculty: academic freedom, shared governance, and tenure. The subsections below explain each of these principles.

- a. **Academic Freedom:** The principle of academic freedom is codified in two policies adopted by the Iowa Board of Regents. 3.10 (A) stipulates that “University teachers shall be entitled to academic freedom in the classroom in discussing the teachers’ course subject but shall not introduce into the teaching controversial matters than have no relation to the subject.” 3.1 (B) further stipulates that “Universities shall uphold the principle of academic freedom in their research and creative endeavors and support full freedom, within the law, of expressions in research investigation and dissemination of results through presentation, performance, and publication.” The University of Iowa supports academic freedom for all faculty regardless of track or rank.
- b. **Shared Governance:** The principle of shared governance expects the University’s administrative leadership, which has authority over institutional decisions, to collaborate with faculty to ensure that important departmental, collegiate, and university level decisions are reached via a process of dialogue and deliberation that gives respectful consideration to the views of impacted stakeholders. Faculty have the right and responsibility to select the colleagues who represent them on elective shared governance bodies. These representatives advocate not only for educational and academic considerations to be factored into institutional decision-making but also for faculty to play a leading role in developing and implementing the University’s educational, research, and clinical missions by exercising judgment derived from their advanced training and expertise.
- c. **Tenure:** The principle of tenure grew out of the desire to protect the ability of faculty to pursue new ideas, express divergent viewpoints, and make inquiries unbounded by present norms. For this reason, it speaks to the ideal that members of the faculty should be given the opportunity to earn, typically via an extended probationary period, a faculty appointment with indefinite employment and enhanced due process protections, termination from which is possible only for cause or under extraordinary circumstances. The tenure system not only allows faculty to engage in long range externally visible scholarly activity but also enables the University to remain competitive in recruiting and retaining talented faculty who might not otherwise be attainable. While the needs of the institution have changed over time, and not all faculty are appointed to the tenure track, the University remains committed to the goal of employing a substantial percentage of faculty on tenured or tenurable appointments.

#### **10.4 Faculty Appointments**

Regular faculty appointments consist of those on the Tenure Track (see 10.5) and Specialized Tracks (see 10.6). The latter group comprises Clinical, Research, and Instructional Track positions. Regular faculty have promotion pathways as defined below and have due process protections described in III-29 Faculty Dispute Procedures. These appointments may be full or part time. Each regular faculty track includes the ranks of Assistant Professor, Associate Professor, and Professor. In cases where short-term or limited-term faculty needs arise, Fixed-Term faculty (see 10.7) may be appointed. These include visitors, adjuncts, and instructors. Fixed-term faculty are not considered to be regular faculty and are not covered by III.29 Faculty Dispute Procedures.

## 10.5 Tenure Track Faculty

Tenure Track faculty enable the University to fulfill its academic mission by excelling in teaching and scholarship and providing committed long-term service. They also anchor the broader faculty for multiple reasons. Given that their appointments require them to develop a diversified skillset rather than specialize in one domain, the experience and perspectives Tenure Track faculty derive from shouldering responsibilities in teaching, scholarship, and service equip them to play an indispensable role in shared governance. In addition, their substantial due process protections enable them to defend all faculty against incursions on academic freedom, Specialized Track and Fixed-Term faculty included. Finally, the University's commitment to the long-term careers of Tenure Track faculty enhances the stability of the faculty as a whole and thus also the stability and growth of the institution in ways that promote successful achievement of its strategic goals.

- a. **Probation, Appointment, and Tenure Decision.** Institutional decision points are the initial appointment, the reappointment review, and the tenure decision. At each of these decision points, there must be University-wide review to assure adherence to University-wide standards.
  - (a) Initial probationary appointment. When making an initial probationary appointment, the condition precedent must be a determination that the person being considered is likely to fulfill their employment responsibilities in a fashion that will result in an affirmative tenure decision. Most initial probationary appointments are for 1) three years for colleges having a collegiate norm to make a tenure decision of not more than six years, or 2) four years for any college having a collegiate norm to make a tenure decision of more than six years. With the approval of the DEO, the dean of the college, and the provost, shorter initial appointments can be made for individuals with prior related experience. After the initial appointment begins, probationary faculty shall be reviewed annually until the tenure decision with the results reported by the appropriate collegiate dean to the provost. Initiation of the annual review is the responsibility of the dean and DEO. It is expected that the annual review will be performed in consultation with the individual faculty member.
  - (b) Reappointment review (President 10/85; amended 2/01; 5/07). At the end of the initial probationary period, the candidate may be reappointed following a reappointment review. **See paragraph (c) below.** This reappointment review substitutes for the annual probationary review in the year it takes place.

- (c) Tenure decision. Faculty must be considered for tenure at the beginning of their final probationary year. See **paragraph (x) below**.
- (d) Joint or secondary appointment. If a faculty member has a joint appointment in two colleges with different probationary-period norms, or has a secondary appointment in a college with a different probationary-period norm, the norm for that faculty member will ordinarily be that of the primary college. If the norm of the secondary college is to be used, this must be agreed to by the faculty member, both DEOs, both deans, and the provost; and the length of the probationary period must be stated in writing in either the offer letter or the memorandum of understanding that defines the terms of the joint appointment.
- (e) Extensions.
- (i) Parental Extension: For each minor child (e.g., biological, adopted, stepchild, or by guardianship) added to the family of a probationary faculty member from two years prior to the initial appointment through September 1 of the tenure decision year, and upon relevant notification, the faculty member's probationary period shall be automatically extended twelve months per child (up to two children). Extensions for the addition of more than two children may be considered under the Discretionary Extensions **provisions (e)(ii)**.

It is a faculty member's responsibility to notify their DEO, dean, or provost of the relevant qualifying event that activates the automatic extension of the faculty member's tenure clock. The provost's office shall establish and manage the process. This notification can be submitted at any time, but, if the faculty member expects an automatic extension to be granted in what would otherwise have been the tenure decision year, notification must be submitted no later than the department or college deadline for dossier submission and in no case later than September 1. Upon receipt of the notice, the associate provost for faculty shall issue a written acknowledgment to the dean, with a copy to the probationary faculty member, confirming the extension and resetting the relevant tenure decision dates (e.g., for reappointment, tenure review). A faculty member with an extended tenure clock may request voluntary review (i.e., the option granted to all faculty members to request review before their official tenure year) without declining the automatic extension.

- (ii) Discretionary Extension: The probationary period may be extended upon the mutual agreement of the probationary faculty member, the DEO (when applicable), the dean, and the provost. This request may be due to a professional or personal impediment, such as the assumption of additional teaching or clinical responsibilities above the normal load at the request of the department or college, the

failure of the University to provide resources in a timely manner if the resources are promised in writing, personal health reasons, the assumption of significant ongoing care responsibilities for a spouse, domestic partner, minor or adult child, or parent with a serious health problem, or because of the death of the faculty member's spouse, domestic partner, or minor or adult child. The faculty member is responsible for describing and documenting the difficult circumstances posed by the impediment in their request.

Requests for Discretionary Extensions shall be submitted by the faculty member to the DEO, who shall advance a recommendation to the dean for review, recommendation, and subsequent routing to the provost for approval. The associate provost for faculty will issue a written decision to the dean, with a copy to the probationary faculty member, and, if approved, the written decision will include the new tenure decision date(s). Generally, no extensions under this paragraph (e)(ii) shall extend the probationary period two years beyond what the period would have been, taking into account the relevant collegiate norm and any previously issued automatic or discretionary extensions.

- (iii) When the probationary period of a faculty member is extended by one or more years, the faculty member's reappointment and tenure review dates are postponed by the same number of years (e.g., a probationary faculty member who receives a one-year extension in their second year would have their "third-year" review postponed one year to allow for a full three years of preparation; their tenure decision date would also be postponed by one year). Tenure expectations remain the same for probationary faculty members who have received an extension. No probationary period extension shall result in any increase in the quantity or quality of the probationary faculty member's expected scholarship from what would have been expected had that faculty member been considered for promotion or tenure in the final year of probationary service as defined by the collegiate norms.
- (f) Establishment of standards. The establishment of standards permits a thorough faculty evaluation and provides career development guidance for the faculty member. Each academic unit is expected to develop and distribute to all departmental faculty members a written statement of expectations to guide departmental deliberations concerning the granting of tenure — the statement to serve as a guide to the department in its deliberations and to the faculty member whose tenure status is being considered. [see III-10.5b and III-29.5f\(2\)](#)
- (g) Annual and Reappointment Reviews of Probationary Faculty. Probationary faculty members shall be reviewed annually in accordance with [section XX](#) below. A comprehensive departmental-collegiate review shall be performed

during the reappointment review. Reappointment reviews shall evaluate the faculty member's teaching effectiveness, scholarly productivity, and ongoing development and provide feedback with respect to the departmental expectations for promotion.

- (h) The tenure decision (President 10/85; amended 2/01; 4/06; 5/07). A candidate for tenure shall be evaluated in accordance with [III-10.5b](#) below. (See also [III-29.5f\(2\)](#)). The tenure decision is derived from an evaluation of teaching, scholarship, and service. Teaching and scholarship are the most important elements to be considered and will, in the context of a tenure decision, usually demonstrate clear evidence of interconnection.

The University is committed to the proposition that neither teaching nor research standing alone justifies the granting of tenure. The first step in a tenure decision should be an evaluation of teaching effectiveness. Once the effectiveness of teaching is determined, then consideration shall be given to an evaluation of scholarly competence. If both teaching and scholarship are determined to meet the standards, an affirmative tenure decision is justifiable.

Throughout the process of making a tenure decision, all concerned must recognize that an affirmative tenure decision is a prediction of future performance. Unless those making the decision have a record of excellence before them, the prediction about the future is too uncertain to justify an affirmative decision.

The process of making a tenure recommendation to the Board of Regents shall follow University and collegiate [Procedures for Tenure and Promotion Decision Making at The University of Iowa](#). The process starts with a review of the faculty member's performance by the tenured members of the department involved, the review to be initiated by the DEO. An affirmative peer group recommendation is typically essential to the granting of tenure. At the institutional level, the record and recommendations are examined carefully to assure that applicable standards have been met.

Normally faculty are evaluated for tenure by the standards in place at the time of the deliberation. If there were changes to faculty standards during the probationary period, the faculty member may choose to be evaluated under the standards previously in place. This determination must be made in writing prior to submission of the tenure dossier.

In the event of a negative tenure decision after review at all appropriate levels, the faculty member will receive notice of a terminal year. The faculty member may choose to grieve the decision per the Faculty Dispute Procedures (III.29xx).

- b. (will be moved to 10.5g after post-tenure review) Termination of tenured faculty.
- (1) General rule. The appointment of a tenured member of the faculty may be terminated only for good cause and in accordance with the principles of academic freedom and due process under III.29 faculty dispute procedures.
  - (2) The appointment of a tenured faculty member may, under appropriate circumstances, be terminated for:
    - (i) Violations of University policies. Examples of such policies include the Community Policies in Part II of the Policy Manual.
    - (b) Demonstrated unacceptable performance of duty pursuant to III-29.8.
    - (c) Financial exigency that is demonstrable and bona fide, defined as a financial crisis which exists or is imminent and which, if not corrected, threatens the survival of the University as a whole, but only if the crisis cannot be corrected by less drastic means than termination of tenured faculty.
    - (d) Programmatic change or discontinuance for academic reasons (when approved by the President of the University and the Board of Regents) which cannot reasonably be accomplished without terminating the tenure of faculty in the particular program. No faculty member may be terminated because of programmatic change or discontinuance unless, following the good faith efforts of the University and the faculty member, the faculty member cannot be transferred to another college or department where the professional services of the faculty member can be used effectively.

(section 10.5b Qualifications for ranks below will move up here)

### **10.5c Criteria for Annual Review, Reappointment, and Promotion**

(President 10/85; amended 2/01)

The criteria for annual review, reappointment and promotion include teaching, scholarship, and service. Since teaching and scholarship are the central functions of tenure track faculty, other professional contributions are considered subsidiary to these fundamental tasks. The length of service, whether long or short, does not constitute, in itself, a qualification for promotion or the sole justification for the denial of same. It is also the policy of the University that promotions shall not be dependent upon offers of positions from other institutions. A candidate for review and promotion shall be evaluated in accordance with the provisions of III-10.5b. (III-29.5d(4)(b))

- a. Teaching. The prime requisites for an effective teacher are intellectual competence, integrity, and independence; a willingness to consider suggestions and to cooperate in teaching activities; a spirit of scholarly inquiry which leads to the regular updating of course content and improved methods of delivery; a vital interest in teaching and advising students and the ability to stimulate students' intellectual interest. This review should include



evidence drawn from such sources as the official student course evaluations, and the perceptions of colleagues who have observed classes or been closely associated with the person's teaching as supervisor or in some other capacity. Academic counseling or advising of students should be recognized as an important component of the teaching process.

- b. **Scholarship.** The successful candidate will demonstrate that they have pursued a definite, continuing program of studies, investigations, or creative undertakings. In most fields of study, publications in high quality peer-reviewed media and/or presentations and performances in high quality venues are expected as evidence of scholarly interests pursued independently of supervision or direction. Quality of production is considered more important than mere quantity. Significant evidence of scholarly merit may be found either in a single work of considerable importance or a series of works constituting a general program of worthwhile scholarship
- c. **Service.** Faculty members contribute major professional services to the University or to society in general. Such contributions should be evaluated in terms of the commitment and effectiveness with which the service is performed, its relation to the general welfare of the University, and its impact on the professional development of the individual.

#### **10.5b Qualifications for Appointments at Specific Ranks**

(Amended 6/99; 10/00; 7/01; 1/1/24)

Each academic unit is expected to develop detailed appointment criteria consistent with the following qualifications. If the pattern and practice in some units deviates markedly from these norms, such units must seek approval of the [provost](#) for alternate criteria.

- a. **Assistant Professor.**
  - (1) Promise of ability as a teacher.
  - (2) Holder of the doctorate or its equivalent.
  - (3) Promise of scholarly productivity, supported by publications or the equivalent.
  - (4) Initial term of appointment is typically three years, although it may be for a shorter period of time if recommended by the departmental executive officer and the dean of the college.
  - (5) Appointments at the rank of assistant professor ordinarily shall not exceed the collegiate norm, unless there have been tenure extensions provided (see section above).
- b. **Associate Professor.**
  - (1) Convincing evidence that the candidate is an effective teacher of, as appropriate, undergraduate, graduate and/or professional students and post-doctoral scholars.
  - (2) Demonstration of scholarly achievement supported by substantial publications or equivalent artistic creations or performances, of high quality, as appropriate to the discipline(s).

- (3) Departmental, collegiate, and/or University service and, if appropriate, professional service will be expected at an appropriate level.
- (4) The quality and quantity of teaching, scholarly accomplishment, and service should give reasonable likelihood of promotion to full professor.
- (5) At this level, an initial appointment without tenure shall typically not exceed three years.
- (6) Appointments with tenure require provost approval.

c. Professor.

- (1) Consistent record of high-quality teaching at all appropriate instructional levels, including successful guidance of doctoral graduate students to the completion of their degree programs, where applicable.
- (2) Continued scholarly achievement of high quality, accompanied by unmistakable evidence that the candidate is a nationally and, where applicable, internationally recognized scholar in the chosen field.
- (3) The candidate should have a record of significant and effective service to the department, college, and/or the University and, if appropriate, to the profession.
- (4) At this level, an initial appointment without tenure shall typically not exceed three years.
- (5) Appointments with tenure require provost approval.

### **10.5d Review and Promotion Procedures**

(President 10/85; amended 2/01; 7/01; 5/07)

- a. The question of promotion of faculty may be brought up at any time deemed appropriate, but, if not considered earlier, it should be brought up for formal consideration between the dean and the DEO no later than as follows: assistant professors during the final year of the probationary period as defined by the college and associate professors no later than the seventh year after promotion to that rank. Promotion may take place earlier if the qualifications and promise of the individual concerned warrant such action. Individual faculty members may request review for promotion, tenure, or both, at any time, and shall be afforded such review by the applicable department or non-departmentalized college.
- b. Typically, faculty are evaluated for reappointment, promotion or tenure by the standards in place at the time of the deliberation. If faculty standards changed during the time of the probationary period, or during the time currently in rank for associate professors, the faculty member may choose to be evaluated under the standards previously in place during their time in rank. This determination must be made prior to submission of the tenure dossier. However, for assistant professors, no standards may be applied if they were superseded more years ago than the time specified as normal time at rank (adjusted to account for any extension, family leave, or illness granted to the faculty member).

### **10.5e Post-Tenure Effort Allocation**

(Board of Regents 5/22/97)

- a. Faculty profiles can be expected to look most alike at the time of the tenure decision. After tenure, faculty careers will begin to diverge as individuals develop different strengths and assume different responsibilities. A faculty portfolio allows for variations in the combination of teaching, scholarship, clinical work, and service through which faculty can make their maximum contribution to the University's mission. Faculty portfolios should have a positive impact on the quality of faculty teaching and scholarship in the unit.

The individualized faculty portfolio reflects the notion that tenured faculty members may negotiate with their DEOs patterns of work that differ from the expected distribution of efforts for a typical faculty portfolio (unit norms) of their college, department, or unit. These portfolios should support the overall mission of their units and the University consistent with appropriate strategic plans.

- b. In determining differential allocation of post-tenure effort, the following rules and principles apply:
  - (1) Each unit is obligated to contribute fully to the accomplishment of the overall mission and values of the University, consistent with the strategic plan of the University and the unit.
  - (2) The tenured faculty member is expected to contribute to the University's core value of learning by efforts expended primarily in teaching, scholarship and service. In some units, the common use of the terms "service" or "clinical work" includes efforts that may properly be viewed as teaching or research.
  - (3) Changes in unit norms must be approved by the faculty of the unit, the dean in which the unit is located, and by the provost.
  - (4) Either the faculty member or the DEO/dean may initiate discussions for an individualized portfolio. Agreements concerning individualized portfolios shall be formalized in a document to be included in the faculty member's personnel file. Such agreements should reflect a clear understanding of the efforts to be made by the faculty member. The DEO, dean, and provost shall review and approve individualized portfolios annually.
  - (5) A faculty member can only be assigned an individualized portfolio as an outcome of a failed development plan resulting from the post tenure review process (see 10.5f below).
  - (6) The DEO shall discuss all proposed individualized portfolios with the dean and provost, who will approve them before they are implemented during the subsequent

academic year. The approval process must occur in sufficient time to permit appropriate planning of the unit's teaching, scholarship, and service mission.

- (7) The use of individualized portfolios within a unit will not alter the standards required for a tenured faculty member to obtain promotion. Therefore, individualized faculty portfolios that would interfere with a tenured faculty member's opportunity to be promoted in a timely manner are inadvisable.
- (8) Regardless of how a faculty member's responsibilities are distributed among teaching, scholarship, and service, the faculty member is expected to perform those responsibilities to a high standard of excellence. For purposes of annual merit pay adjustments and peer review evaluations, all faculty will be evaluated relative to how well they perform pursuant to their individualized portfolio, or, if none, consistent with unit norms, and without regard to whether those efforts involve teaching, scholarship, or service.
- (9) Any decision of a DEO and/or any other group authorized to evaluate and reward faculty that fails to take into account individualized faculty portfolios may be appealed to the dean of the college in which the unit is located or, in non-departmentalized colleges, to the provost.

#### **10.5f Review of Tenured Faculty Members**

(Faculty Senate 3/29/11; amended Faculty Council 8/11)

a. Introduction.

- (1) Post-tenure review is a process that has been developed to assess a tenured faculty member's performance. A tenured faculty member has the responsibility of strengthening their university citizenship through their work in teaching, scholarship, and service. The process includes annual review or evaluation conducted by the faculty member's unit head and a five-year review conducted by the faculty member's peers.
  - (a) An annual review should, in the main, be evaluative, but may also be formative and developmental.
  - (b) A peer review should, in the main, be formative and developmental, and should facilitate and encourage professional vitality.
- (2) Academic freedom. All proceedings under this section shall respect the principles of academic freedom and tenure which commits the University to the principle that free inquiry and expression are essential to the maintenance of excellence.

Annual review of tenured faculty. The DEO conducts an annual performance review of all tenured faculty members, using a process and standards developed in consultation with the faculty of the department, or in nondepartmental units with the faculty of the college, and approved by the dean and provost. Review of tenured faculty shall include an evaluation of scholarship, teaching, and service and be based on approved departmental standards. As part of this review, each faculty member must make available to the DEO materials specified in the statement of the department's review process (e.g., vitae, teaching evaluations, etc.).

The annual review will consider, as appropriate, issues of long-term research, instructional development, or service that cannot be adequately represented on a strictly annual basis. Faculty members being reviewed by their department for the special purpose of promotion may be exempted from this annual faculty review requirement.

When, as a result of an annual review, the DEO concludes that there are significant deficiencies related to teaching, scholarship, or service, the DEO shall provide written notifications of these conclusions to the faculty member being reviewed, and the faculty member will be given an opportunity to respond in writing. The final report and the faculty member's response will be sent to the dean and will become part of the faculty member's personnel record.

b. Five-year peer review of tenured faculty.

(1) Overview. The faculty play an indispensable role in appointment, reappointment, promotion, tenure, and dismissal of faculty members. One of the ways that faculty exercise this responsibility is through the formal process of peer review. Post-tenure peer review is intended to acknowledge achievements and to provide an appropriate mechanism to encourage constructive responses to normal changes that are likely to occur over the course of an academic career. The developmental nature of post-tenure review mandates that a faculty member being reviewed should be accorded adequate time to respond to the review and to improve performance where necessary, prior to initiation of any proceedings which may be viewed as adversarial or punitive.

(2) Procedure. All tenured faculty members will undergo a peer review once every five years subsequent to their most recent tenure or promotion review. Faculty members are exempted from their scheduled five-year peer review if:

- (a) they are being reviewed for promotion to a higher rank during the year of the scheduled review,
- (b) they are within one year of announced retirement, are on phased retirement, or are on unpaid leave, or
- (c) they serve as DEO, associate dean, or dean.

The five-year peer review will include a comprehensive review by a committee composed of tenured faculty peers in the same college as the faculty member undergoing review and at the same or higher academic rank. The committee is

appointed by the DEO or dean in consultation with the faculty member who is to be reviewed. DEOs and other academic administrators may not serve on peer review committees. The outcome of this peer review is confidential and confined to the faculty member being reviewed, the review committee, the DEO, the dean, others directed by the faculty member, and the provost.

(3) Plan. Each college must develop and implement a plan for the five-year peer review of tenured faculty members that includes:

- (a) selection of the five-year peer review committee;
- (b) committee procedures and timelines;
- (c) materials to be reviewed;
- (d) distribution and use of the committee's written report; and
- (e) mechanisms for the faculty member to respond.

Faculty members of the college will approve the plan by vote. The dean and provost will approve each plan and ensure consistency with review processes across the departments and colleges.

c. If, after receiving the results of the five-year peer review, the dean, in consultation with the DEO, concludes, on the basis of the peer review's findings, that the faculty member's performance has fallen for a significant period of time below the expected standard of performance for the faculty member's unit, then the dean may initiate discussions with the faculty member concerning the development of a plan to address problems uncovered in the review. The plan will be put in writing, contain a justification for its implementation, include a specific timetable for evaluation of acceptable progress, and provide a description of possible consequences for not meeting expectations. The DEO and/or dean shall monitor progress through the annual review and give feedback to the faculty member.

If the plan prepared by the DEO and the dean is not agreed to by the faculty member, then the faculty member will provide a written justification for not agreeing to the plan. The plan and the faculty member's response will be submitted to the provost, who will make the final determination as to whether the plan should be implemented. A faculty member who believes that they have been treated unfairly at any point during the five-year peer review process may seek redress of their grievance within the scope and framework of [III-29.6](#) Faculty Dispute Procedures.

In deciding whether or not to implement such a plan, it is important that the dean and DEO respect the importance of tenure and the academic freedom it is designed to protect. With respect to scholarship, there is a critical distinction between a faculty member who has ambitious scholarly programs that they are actively pursuing and faculty members who have no such plans and who have had no work in progress for a substantial period of time. It is expected that if plans envisioned focus on scholarly productivity, they would typically be appropriate only for the latter group.

If the plan is implemented, then the dean (or dean's designee) and the DEO will oversee the

faculty member's progress under the plan. If after the agreed-to time period the dean and the DEO find no acceptable progress, then the DEO, the dean, and the provost will meet to decide which of the consequences described in the plan will go into effect. The consequences will be implemented by the dean, in consultation with the DEO, and monitored by the provost.

Use of the review procedures described above does not preclude deans from utilizing existing alternative procedures for addressing problems of unacceptable performance of duty (III-29.7, III-29.8). On those rare occasions where a faculty member has proved unwilling or unable to benefit from developmental assistance to improve their performance, the administration may feel compelled to proceed against the faculty member in a disciplinary or unfitness proceeding, where the burden of proof is on the administration to show that the proposed sanction is justified. However, deans are strongly encouraged to proceed with formative and developmental plans before resorting to such measures.

d. **Out of cycle peer review**

A faculty member who has undergone at least one five-year post-tenure peer review may receive two sequential DEO annual reviews that identify ongoing and significant performance concerns that have not been remediated. If a DEO facing this situation seeks to implement a development plan, they must start by convening an out of cycle peer review committee. Its members will be selected following the processes outlined above to create regular five-year peer review committees. If the faculty member objects to the composition of the committee, they can submit an appeal to the dean stating the reasons for the objections in writing prior to the beginning of the review. If the issue is not resolved, the faculty member can submit their appeal to the provost, who will make the final determination on committee composition and provide the faculty member with a written explanation for their decision.

After the committee is formed, the DEO will provide the faculty member and committee members with copies of all annual reviews (including any faculty responses) that were conducted after the most recent peer review. The faculty member must in turn submit all materials normally included in a regular five-year peer review and may also submit any additional materials relevant to their recent teaching, scholarship, and/or service that the faculty member believes will aid the committee in its deliberations. The peer review process shall otherwise be consistent with the regularly scheduled five-year peer review process, as determined by the college.

The peer review committee will provide both evaluative and developmental analysis and recommendations designed to facilitate and encourage professional vitality. Upon receipt of the peer review committee's assessment and report, the DEO and dean will determine if a formal development plan to improve the faculty member's performance in areas of teaching, scholarship, and/or service, as applicable, is appropriate. If so, the DEO will use the recommendations of the peer review assessment and work with the faculty member to formulate a development plan to address issues identified in the prior reviews. The DEO will be further tasked with monitoring the faculty member's progress in meeting the plan's goals.

An initial faculty development plan will not entail effort allocation changes unless they are specifically requested by the faculty member and supported by the DEO and dean. Changes in effort allocation may be a potential defined outcome if the faculty member fails to make significant progress in meeting the plan's milestones. Any parts of the developmental plan, including plan timelines and outcomes, that are not agreed to by the faculty member may be appealed in writing to the dean, and if still not agreed to, the provost, who will make the final determination as to whether the plan should be implemented or modified. The dean and provost determinations will include a clear written explanation of the rationale for the decision and advise the faculty member of their due process rights to grieve an adverse decision under the III-29 Faculty Dispute Procedures.

## **10.6 Specialized-Track Faculty**

(Regents enacted 2/15/95; amended 7/00; 1/02; 4/05; 9/13; 1/1/24; 7/1/24)

Specialized Track (ST) faculty enable the University to fulfill its academic mission by excelling primarily in one of the three domains of teaching, scholarship, or clinical service. Instructional Track (IT) faculty are employed for their expertise in teaching in their disciplinary area and interest in advancing the academic curriculum. Research Track (RT) faculty are employed for their expertise in developing and growing independent research programs that are primarily supported with external grant funding. Clinical Track (CT) faculty are employed for their expertise in clinical service within their professional disciplines in varied settings. Like Tenure Track faculty, Specialized Track faculty possess diversified skillsets and may support other institutional priorities beyond their primary focus. Specialized Track faculty make it possible for the University to meet the wide-ranging needs of its many constituents, including the broader public as well as students. The University is committed to ensuring that Specialized Track faculty have pathways to build long-term and engaged academic careers at Iowa.

### **10.6(1) Clinical-Track Faculty**

Preamble. Consistent with the university's need to retain the flexibility to adjust its programs to meet the changing needs of students and society, non-tenure-track clinical faculty may be appointed and promoted as provided below. This policy sets parameters within which individual colleges can, but are not required to, develop policies and procedures that permit the hiring of clinical faculty. Operationally it is similar to the tenure policy, in that collegiate policy would amplify university policy and would be approved by the provost.

- a. Definitions. Clinical faculty hold service positions through which they contribute to the service, teaching, and/or outreach missions of the university, and hold faculty rank



at assistant professor, associate professor, or professor. Clinical faculty are not eligible for tenure. They participate in the faculty governance process as described below and as defined by individual colleges and the [Faculty Senate](#).

- b. Role of clinical faculty. All clinical faculty must devote a significant portion of their time to providing or overseeing the delivery of professional services to individual patients or clients. In addition, teaching students, residents, or fellows of the university at the undergraduate, graduate, professional, or postgraduate level is an essential job function for all faculty (whether tenured, tenure track, or clinical). Thus, clinical faculty are expected to integrate the delivery of their professional services with their teaching. While the use of clinical faculty is most easily conceived in the context of health sciences and law where faculty are involved in the delivery of professional services to patients and clients, there are other disciplines in other colleges where the use of clinical faculty for similar purposes may be entirely appropriate. The services provided by clinical faculty outside of the health science colleges should be the professional equivalent of services provided to patients. The use of clinical faculty largely to perform administrative functions with little or no teaching obligations is inconsistent with this policy. Similarly, it is inappropriate to use clinical-track faculty largely to engage in scholarship.
- c. Types of appointments. As used herein, "clinical faculty" can hold one of two types of appointment within the university:
  - (1) Salaried appointments. Clinical faculty may hold salaried positions as employees of the University of Iowa. These faculty participate in faculty governance as defined by the college and Faculty Senate, receive typical faculty benefits, and undergo periodic reviews of their performance. Each college adopting a clinical-track policy shall fix the percentage of its total salaried faculty that may hold clinical-track appointments without limitation. However, any proposal made at any time to increase the percentage of clinical-track appointments (computed in FTEs) within a college (including an initial proposal to create a clinical track) must obtain both the approval of a majority of the tenured/tenure-track faculty within the college and the approval of a majority of the clinical-track faculty within the college by a referendum supervised by the Associate Provost for Faculty. Any such proposal must also be approved by the Provost.
  - (2) Non-salaried appointments. Other clinical faculty may hold non-salaried positions with the university, but they are not considered employees of the university. These clinical faculty contribute in a material way to the university's missions, although their obligations are more limited in scope than salaried faculty. They do not participate in faculty governance and do not receive salary or benefits outside of nominal remunerations. However, recognizing their contributions with a "clinical faculty" designation denotes the importance of their teaching and service functions. There is no limit on the number of such non-salaried clinical faculty who can be appointed within individual colleges.
- d. Terms of appointments.
  - (1) Salaried appointments. Salaried clinical faculty are searched for and appointed through recruitment processes also used to search for tenure-track faculty. (See [III-9 Appointments](#).)

Probationary (initial) appointments for salaried clinical faculty are 1 to 3 years in duration. In the final year of the probationary appointment, a full-scale, departmental-collegiate review will be made. This review should take into account the faculty member's demonstrated effectiveness in fulfilling teaching and service missions. It should also include an evaluation of the departmental, collegiate, and university educational and service goals and the likely role of the faculty member in the future in achieving those goals. To assure unified decision making at this point, full central administration review of the departmental-collegiate recommendation is necessary.

After a positive review, salaried clinical faculty will receive a 1- to 7-year appointment commencing at the beginning of the next academic year. Faculty will be reviewed annually according to written standards of competence and performance defined by their unit. In the final year of the subsequent appointment, a full-scale, departmental-collegiate review will be made as noted above.

- (2) Non-salaried appointments. Non-salaried clinical faculty are appointed pursuant to procedures adopted by individual colleges and approved by the provost.
- e. Qualifications for specific ranks. The ranks of clinical faculty shall be assigned as defined below, and in accordance with collegiate policies.
- (1) Assistant Professor.
    - (a) Evidence of ability in service, to include but not be limited to clinical service.
    - (b) Evidence of ability to contribute to teaching.
  - (2) Associate Professor.
    - (a) Acknowledged record of service and teaching success.
    - (b) Evidence of progress toward a record of professional productivity beyond clinical service, as defined by the college.
  - (3) Professor.
    - (a) Acknowledged record of service and teaching success.
    - (b) An established record of professional productivity beyond clinical service, as defined by the college.
    - (c) Unmistakable evidence of recognition by peers, as defined by the college.
  - (4) Demonstration of artistic or scholarly achievement shall not be a requirement for reappointment or promotion of clinical-track faculty.
- f. Titles. All titles of clinical faculty shall contain the term "clinical" as a modifier. Exact titles must be stipulated in college procedures and approved by the Office of the Executive Vice President and Provost.
- g. Promotion.
- (1) Salaried clinical faculty. The question of promotion of clinical faculty may be brought up during any regular promotions cycle. Promotion of salaried clinical faculty will follow university and collegiate [Procedures for Clinical-Track Promotion Decision Making at the University of Iowa](#). All recommendations for promotion of salaried clinical faculty are submitted to the Board of Regents for approval.
  - (2) Non-salaried clinical faculty. Procedures and criteria for the promotion of non-salaried clinical faculty shall be adopted by individual colleges and approved by the Office of the Executive Vice President and Provost. The provisions of [III-10.5](#) and those regarding salaried clinical faculty described herein do not apply.

- h. Termination and non-renewal.
  - (1) Salaried clinical faculty.
    - (a) Termination of salaried clinical faculty during the term of the appointment must be for failure to meet written standards of competence and performance established by the unit and the university or violation of any applicable university policy.
    - (b) A decision not to renew an appointment of a salaried clinical faculty member may be for failure to meet written standards of competence and performance established by the unit and the university, or for changed economic circumstances or program needs such that the position itself is terminated. Non-renewal for changed economic circumstances or program needs may only occur at the conclusion of an appointment and with the required notice.
    - (c) Notice of non-renewal of appointment, or of intention not to recommend reappointment shall be given by email in accordance with the following standards:
      - (i) During the probationary appointment, salaried clinical faculty shall be given notice of non-renewal no later than two months prior to the end of an academic-year appointment and no later than three months prior to the end of a fiscal-year appointment.
      - (ii) For all other salaried clinical-track faculty appointments, notice of non-renewal shall be given no later than six months prior to the end of the appointment.
  - (2) Non-salaried clinical faculty. Grounds and procedures for the termination or non-renewal of non-salaried clinical faculty shall be adopted by individual colleges and approved by the provost. Decisions to terminate or not renew non-salaried clinical faculty appointments will be reviewed by the dean of the college in which the faculty member was appointed. However, because non-salaried clinical faculty are not considered employees of the university, such decisions are not subject to the provisions of III-29 Faculty Dispute Procedures.
- i. Salaried clinical-track faculty disputes. Salaried clinical-track faculty disputes are governed by III-29.8 Specialized-Faculty Grievances.
- j. Collegiate policies and guidelines.
  - (1) Every college that plans to offer salaried, non-tenured clinical faculty appointments must develop its own written policy statement with respect to such appointments, subject to approval by its own faculty and by the provost.
  - (2) The resulting policy statement will provide detailed guidelines for every relevant item in this section on "clinical faculty." In the development of a policy statement, the following elements should be addressed:
    - (a) Participation in collegiate faculty governance. Policies for the participation of clinical faculty in collegiate faculty governance, including in the hiring of tenure and clinical-track faculty, will be developed by each college using its usual governance procedures, provided that no such governance policy shall permit clinical-track faculty to vote on the reappointment, tenure, or promotion of any tenured or tenure-track faculty member.
    - (b) Procedures for appointment, reappointment, and promotion.
    - (c) Criteria for appointment, reappointment, and promotion.

- (d) Participation in peer review for appointment, reappointment, and promotion of other faculty.
- (e) Teaching. If the college defines "teaching" as training or instruction given to individuals or small groups while service is delivered, then that limited definition will apply to the evaluation of teaching for appointment, reappointment, and promotion purposes.
- (f) Professional productivity beyond clinical service.

## 10.6(2) Research-Track Faculty

Preamble. Consistent with the university's need to retain the flexibility to adjust its programs to meet the changing needs of the modern research university, non-tenured research-track faculty may be appointed and promoted as provided below. This policy sets parameters within which individual colleges can develop policies and procedures that permit the hiring of research-track faculty. Operationally, collegiate policy would amplify this policy.

- a. Definitions. Research-track faculty hold positions through which they contribute primarily to the research mission of the university and hold faculty rank at assistant professor, associate professor, or professor. Research-track faculty are not eligible for tenure. Research-track faculty members can participate in internal college governance by the approval of the tenured/tenure-track faculty but cannot vote on the hiring of tenured/tenure-track or clinical-track faculty. With regard to [Faculty Senate](#) representation, no more than 10 percent of the senators from any college, or one senator, whichever is greater, may be research-track faculty from that college and may be appointed to any committees of the Senate or to university charter committees as a faculty representative. They can qualify for awards and can compete for internal research grants in the same manner as research scientists who are professional and scientific staff.
- b. Role of research-track faculty. Research-track faculty will devote most of their time to performing externally supported research and are expected to submit or assist in the submission of research grant applications. Teaching is an essential function of all faculty, but in the case of the research-track faculty it would occur predominantly in the form of service on doctoral committees (including serving as a co-chair with a tenure-track faculty member) with the approval of the [Graduate College](#). Research-track faculty cannot be assigned to teach courses, but they could provide auxiliary lectures on areas of knowledge relevant to their research or to engage in other teaching as may be required by the terms of their research grant or contract. Research-track faculty cannot be assigned to perform administrative functions with little or no research obligations as that assignment would be inconsistent with this policy.
- c. Collegiate policies and changes; size of research faculty.
  - (1) Every college that plans to offer salaried, non-tenured research-track faculty appointments must develop its own written policy statement with respect to such appointments consistent with all the terms of this policy. Any policy must address each of the following:
    - (a) Participation of research-track faculty in collegiate faculty governance, including the appointment, reappointment, promotion, and peer review of other research faculty. Research-track faculty may not participate in any personnel decisions relating to the appointment, reappointment, promotion, and peer review of tenured/tenure-track or clinical-track faculty.

- (b) Procedures for appointment, reappointment, and promotion of research-track faculty.
  - (c) Criteria for appointment, reappointment, and promotion for research-track faculty.
  - (d) Description of the role of salary support in the decision to renew or terminate appointments, including a statement regarding whether limited bridge funding may be available, but not guaranteed, from the department or college from funds other than general education funds.
  - (e) Research-track faculty members may apply for open positions in the tenure track, but they may be appointed to the tenure track only one time during their career at the University of Iowa. Colleges may further define their own policies related to track switching.
- (2) Each college adopting a research-track policy shall fix the size of its total salaried faculty that may hold research-track appointments. The limit on the number of research faculty in any college shall be the greater of eight faculty members or ten percent of the tenured/tenure-track faculty (computed in FTEs) of that college.
  - (3) Support for research-track faculty, including all start-up costs, shall be funded exclusively by grants, contracts, clinical income, and private donations, and not with general education funds.
  - (4) The initial policy to create a research track in a college and any proposal made at any time to change that policy within a college must obtain both the approval of a majority of the tenured/tenure-track and the research-track faculty within the college by a vote supervised by the Associate Provost for Faculty. Any proposal to adopt or to change a college's research track policy must be approved by the University of Iowa Faculty Senate, the Provost, and the President. Any collegiate policy must be wholly consistent with this policy.
- d. Terms of appointments. Research-track faculty are sought and appointed through recruitment processes used to appoint regular faculty.

Probationary (initial) appointments for research-track faculty are 1 to 3 years in duration. After 3 years or prior to that if a promotion is contemplated, a full-scale, departmental-collegiate review will be made. This review should take into account the research-track faculty member's effectiveness in fulfilling the research mission and the ability of the research-track faculty member to obtain and sustain extramural salary support. It also should include an evaluation of the departmental, collegiate, and university research goals and the likely role of the research-track faculty member in the future in achieving those goals. To assure adherence to standard procedures, a full central administration review of the departmental-collegiate recommendation is necessary.

After approval of the departmental-collegiate review, research-track faculty will receive terms of appointment consistent with established procedures for non-tenure-track university employees; however, appointments cannot be for a period longer than current external support for that faculty member.

Research-track faculty will be reviewed annually, according to written standards of competence and performance defined by their college and departments. Reappointments are to be made only if the research faculty member has a demonstrated record of

successfully obtaining external support to fund the research-track faculty member's research.

- e. Qualifications for specific ranks. The ranks of research-track faculty shall be assigned as defined below, and in accordance with collegiate policies. Candidates for promotion shall be evaluated primarily upon the quality of their research (see paragraph g).
  - (1) Assistant professor.
    - (a) Terminal degree (or its equivalent) appropriate to the field.
    - (b) Evidence of productive scholarship.
    - (c) Evidence of ability to fulfill relevant responsibilities in the research enterprise.
  - (2) Associate professor.
    - (a) Terminal degree (or its equivalent) appropriate to the field.
    - (b) Record of productive scholarship in high-quality venues such as peer-reviewed journals, conference proceedings, or books appropriate to the discipline.
    - (c) Evidence of extramural research funding and sustained salary support from extramural grants and/or contracts on which the faculty member is listed as key personnel.
    - (d) Fulfillment of important responsibilities in the research enterprise.
    - (e) Clear evidence of regional recognition by peers.
  - (3) Professor.
    - (a) Terminal degree (or its equivalent) appropriate to the field.
    - (b) Established record of productive scholarship in high-quality venues such as peer-reviewed journals, conference proceedings, or books appropriate to the discipline.
    - (c) Established record of sustained research funding with substantial salary support from extramural grants and/or contracts on which the faculty member is listed as key personnel.
    - (d) Sustained fulfillment of important responsibilities to the research enterprise.
    - (e) Clear evidence of national or international recognition by peers.
- f. Titles. All titles of research-track faculty shall contain the term "research" as a modifier. Exact titles must be stipulated in college procedures and approved by the provost.
- g. Promotion. The question of promotion of research-track faculty may be brought up during any regular promotions cycle. Candidates for promotion shall be evaluated primarily upon the quality of their research. Incidental teaching and service activities may also be given some consideration as permitted by collegiate and department guidelines. Promotion of research-track faculty will follow university and collegiate [Procedures for Research-Track Promotion Decision Making at the University of Iowa](#). All recommendations for promotion of research faculty are submitted to the Board of Regents for approval.
- h. Termination and non-renewal.
  - (1) Termination during the term of the appointment due to end of funding. In cases where a research-track faculty member's funding ends before the end of the appointment, the faculty member shall receive three months' written notice prior to termination.
  - (2) Termination during the term of the appointment for reasons other than end of funding. Termination of a research-track faculty member during the term of their appointment may also occur for failure to meet written standards of competence

and performance established by the university or the unit or violation of any applicable university policy.

- (3) Non-renewal of appointment. Notice of non-renewal or the intention not to renew an appointment shall be given by email according to the following standards:
  - (a) During a probationary appointment on the research track, notice of non-renewal shall be given no later than 3 months prior to the end of the appointment.
  - (b) During a second or subsequent appointment on the research track, notice of non-renewal shall be given no later than 6 months prior to the end of the appointment.
- (4) A decision for termination or non-renewal of research-track faculty is subject to the provisions of [III-29](#) Faculty Dispute Procedures.
- i. Research-track faculty disputes. Research-track faculty disputes are governed by [III-29.8](#) Specialized-Faculty Grievances.

### **10.6(3) Instructional Faculty**

Preamble. Consistent with the university's need to fulfill its important public educational mission, instructional-track faculty may be appointed and promoted as provided below. This policy sets parameters within which individual colleges can develop specific policies and procedures that permit the hiring of instructional-track faculty (see paragraph i below). Operationally, any collegiate policy will be consistent with this policy and subject to approval by the provost.

- a. Definitions. Instructional faculty contribute predominantly to the teaching mission of the university and may also do some service. Instructional faculty typically occupy full-time positions, but must be 0.5 FTE or greater. They participate in the faculty governance process as described below and as defined by individual colleges and the [Faculty Senate](#). They are not eligible for tenure.

Instructional faculty shall hold rank at Assistant Professor of Instruction, Assistant Professor of Practice, Associate Professor of Instruction, Associate Professor of Practice, Professor of Instruction, or Professor of Practice as defined below in III-

**10.11d** Qualifications for Specific Ranks.

- b. Role of instructional faculty. Instructional faculty may be hired to teach courses or to educate and prepare students for their professional roles. Instructional faculty shall devote a substantial amount of their time to providing or overseeing the delivery of instruction to students in the classroom or in other settings appropriate to the discipline. Instructional faculty may also perform administrative and/or service functions; however, instructional faculty shall not be assigned primarily to perform service or administrative functions with few or no educational obligations. Similarly, research, scholarship, or artistic creation shall not be a requirement for appointment, reappointment, or promotion of instructional faculty, but may be considered as evidence of professional productivity if provided for by collegiate policy.
- c. Hiring and terms of appointments. Salaried instructional faculty are searched for and appointed through university-wide recruitment processes. (See [III-9](#) Hiring and Appointments.)

- (1) Assistant professors shall receive a probationary (initial) 1- to 3-year appointment. If an applicant is hired as an associate or full professor, the college may choose to provide a probationary 1- to 3-year appointment.
- (2) Terms of appointments subsequent to a probationary period vary, based on rank:
  - (a) Assistant Professor of Instruction or Assistant Professor of Practice: Upon meeting the qualifications prescribed below, and upon mutual agreement of an applicant and the department and/or college, an applicant may be appointed as an instructional faculty member at the rank of Assistant Professor. Following the initial probationary appointment, Assistant Professors, if renewed, shall receive one- to three-year appointments.
  - (b) Associate Professor of Instruction or Associate Professor of Practice: Upon meeting the qualifications prescribed in III-10.11d, and upon mutual agreement of the faculty member and the department and/or college, an instructional faculty member may be hired or promoted into the Associate Professor of Instruction or Associate Professor of Practice rank. Following the probationary appointment, Associate Professors, if renewed, shall receive 3- to 5-year appointments.
  - (c) Professor of Instruction or Professor of Practice: Upon meeting the qualifications prescribed below, and upon mutual agreement of the faculty member and the department and/or college, an instructional faculty member may be hired or promoted into the Professor of Instruction or Professor of Practice rank. Following the probationary appointment, Professors, if renewed, shall receive 3- to 7-year appointments.
  - (d) A decision to terminate, not to renew, or not to promote an instructional faculty member may occur only as described below.
- d. Qualifications for specific ranks. The ranks of instructional faculty shall be assigned according to the qualifications below, and in accordance with collegiate policies.
  - (1) Assistant Professor of Instruction:
    - (a) Terminal degree or other educational qualifications appropriate to the position;
    - (b) Evidence of potential in teaching, which can be demonstrated through experience in classroom teaching (including as a teaching assistant), pedagogically related advising or mentoring, curriculum development, or other means; and
    - (c) Evidence of potential to contribute to departmental and collegiate service and/or professional productivity, if the appointment will require service and/or professional productivity.
  - (2) Assistant Professor of Practice:
    - (a) Terminal degree or other educational qualifications appropriate to the position;
    - (b) Experience in a profession relevant to the position;
    - (c) Evidence of potential in teaching, which can be demonstrated through experience in classroom teaching (including as a teaching assistant), pedagogically related advising or mentoring, curriculum development, or other means; and



- (d) Evidence of potential to contribute to departmental and collegiate service and/or professional productivity, if the appointment will require service and/or professional productivity.
- (3) Associate Professor of Instruction:
  - (a) Terminal degree or other educational qualifications appropriate to the position;
  - (b) Established record of excellence in teaching; and
  - (c) Established record of excellence beyond teaching in professional productivity and/or service, if required and as defined by the college.
- (4) Associate Professor of Practice:
  - (a) Terminal degree or other educational qualifications appropriate to the position;
  - (b) Experience and achievement in a profession relevant to the position;
  - (c) Established record of excellence in teaching, advising students, developing curricula, or other pedagogical activities related to expertise, or an established record of success in professional endeavors indicating the potential for such excellence; and
  - (d) Established record of excellence in professional productivity and/or service, if required and as defined by the college.
- (5) Professor of Instruction:
  - (a) Terminal degree or other educational qualifications appropriate to the position;
  - (b) Sustained record of excellence across a range of teaching endeavors as recognized by faculty and students within the department, college, and/or university community; and
  - (c) Sustained record of excellence beyond teaching in professional productivity and/or service, if required and as defined by the college.
- (6) Professor of Practice:
  - (a) Terminal degree or other educational qualifications appropriate to the position;
  - (b) Substantial experience and outstanding achievement in a profession relevant to the position;
  - (c) Sustained record of excellence in teaching, advising students, developing curricula, or other pedagogical activities related to expertise, or a sustained record of success in professional endeavors indicating the potential for such excellence; and
  - (d) Sustained record of excellence in professional productivity and/or service, if required and as defined by the college.
- e. Titles. Colleges shall use the title Assistant Professor of Instruction or Assistant Professor of Practice for the first rank of instructional faculty. Colleges may choose the Associate Professor/Professor of Instruction titles or Associate Professor/Professor of Practice titles, or both, for subsequent ranks. Colleges may use these titles in conjunction with particular subject matters, if desired (e.g., Professor of Practice in Marketing; Professor of Instruction in Legal Analysis, Writing, and Research). Exact titles shall be stipulated in college procedures and approved by the provost.
- f. Review and promotion. All reviews of instructional faculty shall be conducted annually according to written standards of competence and performance defined by the relevant units and in compliance with applicable university policies. Promotion of instructional

faculty shall occur during the regular faculty promotion cycle and shall follow both collegiate procedures and [Procedures for Instructional Faculty Promotion Decision Making at the University of Iowa](#). Given that promotion decisions within instructional faculty ranks do not carry the same “up or out” decision associated with tenure, a negative recommendation on a promotion request need not translate into termination of employment.

- g. Decisions to terminate or not to renew.
  - (1) Termination. Termination of instructional faculty during the term of the appointment shall be for failure to meet written standards of competence and performance established by the unit or violation of any applicable university policy.
  - (2) Non-renewal.
    - (a) A decision not to renew an appointment during the probationary period is within the discretion of the dean or designee.
    - (b) A decision not to renew any other instructional faculty appointment shall be for failure to meet written standards of competence and performance established by the unit, violation of any applicable university policy, changed economic circumstances, or program or curricular needs.
  - (3) Notice. Notice of non-renewal of appointment, or of intention to recommend non-renewal shall be given by email in accordance with the following standards.
    - (a) Instructional-track faculty in the probationary period shall be given notice of non-renewal no later than 2 months prior to the end of an academic-year appointment and no later than 3 months prior to the end of a fiscal-year appointment.
    - (b) For all other instructional-track faculty appointments, notice of non-renewal shall be given no later than 6 months prior to the end of the appointment.
- h. Instructional faculty disputes. Instructional-track faculty disputes are governed by the III-29.8 Specialized-Faculty Grievances .
- i. Collegiate policies and guidelines.
  - (1) Every college that offers salaried, non-tenure-track instructional faculty appointments shall develop its own written policy statement with respect to such appointments consistent with all the terms of this policy. Each policy shall address all of the following items:
    - (a) Justification for hiring instructional faculty. Each college shall provide a statement describing the justification for hiring instructional faculty, rather than tenure-track or tenured faculty, to fulfill the college’s teaching mission.
    - (b) Participation of instructional faculty in faculty governance. Colleges are encouraged to integrate instructional faculty into relevant matters of collegiate and departmental governance, as appropriate. Specifically, colleges and departments are encouraged to allow instructional faculty to participate in the review of other instructional faculty. In addition, collegiate or departmental policy shall not permit instructional-track faculty to vote on the reappointment, tenure, or promotion of any tenured or tenure-track faculty member, but colleges and departments have discretion to decide whether instructional faculty may participate in the review of other faculty tracks.

- (c) Evaluation of instructional faculty. Every instructional faculty member shall be evaluated annually, but not every annual evaluation must be equally extensive. Colleges shall define appropriate evaluations, including intervals for extensive and less extensive evaluations. Colleges shall specify the criteria used to evaluate instructional faculty, and those criteria shall be consistent with the instructional faculty member's workload allocation. See paragraph i(1)(g) below.
  - (d) Procedures for appointment, reappointment, and promotion of instructional faculty, including distinction between Instruction and Practice ranks, if appropriate.
  - (e) Criteria for appointment, reappointment, and promotion for instructional faculty, including which degree(s) or educational qualifications are required under paragraph d above.
  - (f) Service and/or professional productivity. The collegiate policy shall define what type of service and/or professional productivity, if any, is expected of instructional faculty, and this definition shall be applied to the evaluation criteria for appointment, reappointment, and promotion purposes. Research, scholarship, or artistic creation shall not be a requirement for appointment, reappointment, or promotion, but, if present, may be considered as evidence of professional productivity.
  - (g) Workload. Colleges shall specify the standard expectation for calculation of teaching and service load for its instructional faculty, including for part-time instructional faculty. Additionally, the colleges' individual employment contracts shall specify expectations for workload allocation (e.g., the percentage of time the faculty member shall devote to teaching, service, administration, or other functions) for each instructional faculty member.
  - (h) Eligibility to apply for tenure-track positions. Instructional faculty members may apply for open positions on the tenure track, but they may be appointed to the tenure track only one time during their career at the University of Iowa. Similarly, tenure-track faculty may apply for open instructional faculty positions, but an instructional faculty appointment shall not be used as an automatic default appointment for accomplished teachers who made an unsuccessful tenure bid. Colleges may further define their own policies related to switching of tracks.
- (2) Each college adopting an instructional faculty policy shall monitor the percentage of its total salaried faculty (computed in FTEs) that hold salaried instructional faculty appointments.
  - (3) Each collegiate instructional faculty policy, and any subsequent proposals to change the policy, shall obtain the approval of a majority of the voting faculty within the college by a referendum supervised by the Associate Provost for Faculty. Any proposal to adopt or to change a college's instructional faculty policy shall also be approved by the provost or designee.
- j. Participation by instructional faculty in the university mission. Consistent with the role of instructional faculty and with institutional needs, instructional faculty shall be full participants in the educational mission and intellectual life of the university. The university,

as well as individual colleges and departments, shall strive to integrate instructional faculty into faculty governance, to stimulate innovation and collaboration in their teaching and other endeavors, and to protect their academic freedom.

- k. Representation in Faculty Senate. Instructional faculty are eligible to vote in Faculty Senate elections and to hold Senate positions; however, no more than 20 percent of the senators from any college, or one senator, whichever is greater, may be instructional-track faculty from that college. Instructional faculty may be appointed to any committees of the Senate or to university committees as a faculty representative.

#### **10.10 (Reserved for future use)**

#### **10.11 (Reserved for future use)**

#### **10.12 Fixed-Term Faculty Appointments**

(President and Faculty Senate 4/13; amended 5/18; 1/1/24)

Effective January 1, 2024, this policy has been revised. For individual changes, see the [redlined version](#).

There are occasions when it is appropriate and necessary to hire fixed-term faculty to provide instruction and, in some cases, to participate in research and service. Fixed-term faculty appointments include visitors, adjuncts, and instructors. Fixed-term faculty appointments are made for a specific term length designated at the time of hire and subject to nonrenewal at the end of that term. Reappointment is possible for all fixed-term positions, subject to positive performance evaluations and educational need. Visitor positions are only allowed for a maximum of three years. The percentage of time, length of appointment, assigned duties, and benefits eligibility vary (see [III-9.6 Affirmative Action Employment Guidelines](#) for hiring requirements and [University Benefits](#) for benefits eligibility guidelines). The requirements for the recruitment, hiring, and promotion of fixed-term faculty are detailed on the Office of the Provost's website under Fixed-Term Appointments (<https://provost.uiowa.edu/fixed-term-appointments>).

#### **10.13 Exceptions to Employment Regulations**

Contracts of employment made by the University with the members of its instructional staff are subject to the following exceptions and general regulations:

- a. The employment of members of the Departments of Aerospace Military Studies and Military Science, and coaches of the University athletic teams in the Department of Intercollegiate Athletics, whose tenures are fixed by the United States Air Force or Army, or by the [Presidential Committee on Athletics](#) respectively, are not governed by these regulations.
- b. Deans, directors, chairpersons, or heads of departments have such academic rank as may be given them. The duties and titles of administrative officers are separate from their academic ranks. The dismissal or resignation of officers from an administrative position does not impair their rights in their academic rank.

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