FACULTY HANDBOOK

Effective July 1, 2024 - June 30, 2025

TABLE OF CONTENTS

INTRODUCTION 1

VISION, MISSION, AND STRATEGIC PLAN 2023-2028 2

CHAPTER ONE: FACULTY GOVERNANCE 3

CHAPTER TWO: FACULTY APPOINTMENTS 4

SECTION 2.0 APPOINTMENTS 4
Subdivision 2.0a Non-Discrimination 4
Subdivision 2.0b Qualifications 4
Subdivision 2.0c Terminal Degree 4
SECTION 2.1 TERMINATION 4
SECTION 2.2 TEMPORARY (ADJUNCT) APPOINTMENTS 4
Subdivision 2.2a 5
Subdivision 2.2b 5
Subdivision 2.2c 5
SECTION 2.3 PROBATIONARY APPOINTMENTS 5
Subdivision 2.3a 5
Subdivision 2.3b 5
Subdivision 2.3c 5
Subdivision 2.3d 5
Subdivision 2.3e 5
Subdivision 2.3f 5
SECTION 2.4 TERM (1-4) AND RENEWABLE TERM APPOINTMENTS 6
Subdivision 2.4a Titles and Ranks for Term (1-4) and Renewable Term Faculty 6
Subdivision 2.4b Term (1-4) Appointments 6
Subdivision 2.4c Renewable Term Appointments 6
SECTION 2.5 TENURED APPOINTMENTS 7
SECTION 2.6 EMERITUS STATUS 7

CHAPTER THREE: EVALUATION PROCEDURES 8

SECTION 3.0 PURPOSE 8
SECTION 3.1 GENERAL GUIDING PRINCIPLES FOR EVALUATION 8
Subdivision 3.1a Dimensions of Evaluation 8
Subdivision 3.1b Teaching or Librarianship 8
Subdivision 3.1c Scholarship 8
Subdivision 3.1d Service 9
Subdivision 3.1e Weighting of Teaching, Scholarship, and Service 9
Subdivision 3.1f Departmental Standards and Criteria Document 9
Subdivision 3.1g Professional Assessment Committee Procedures Document 10
Table 3.1h Evaluation and Process Schedule by Faculty Rank: Summary 11
SECTION 3.2 ROLES 14
Subdivision 3.2a Faculty Member Being Evaluated 14
Subdivision 3.2b Professional Assessment Committee (PAC) 14
Subdivision 3.2c Department Head Responsibilities 15
Subdivision 3.2d College Review Committee (CRC) 15

Subdivision 3.2e Deans ... *15*
Subdivision 3.2f Provost ... *16*
Subdivision 3.2g Board of Regents ... *16*
SECTION 3.3 CONFLICTS OF INTEREST ... 16
SECTION 3.4 FACULTY EVALUATION FILES ... 16
Subdivision 3.4a Faculty Evaluation File Access ... *16*
Subdivision 3.4b Faculty Evaluation File (including portfolios) Contents ... *17*
Subdivision 3.4c Faculty Evaluation File Material Removal ... *18*
Subdivision 3.4d Response to File Material ... *18*
Subdivision 3.4e Faculty Member Review of Faculty Evaluation File ... *18*
Subdivision 3.4f Professional Assessment Committee Access ... *18*
Subdivision 3.4g Materials Removal upon the End of Employment at UNI ... *18*
Subdivision 3.4h Maintaining Copies ... *18*
SECTION 3.5 MATERIALS AND METHODS FOR MEASURING FACULTY PERFORMANCE IN TEACHING ... 18
Subdivision 3.5a Required versus Optional Teaching Components ... *18*
Subdivision 3.5b Required Component: Annual Goals and Reflection ... *19*
Subdivision 3.5c Required Component: Observations for Probationary, Term (1-4) and Renewable Term Faculty, and Action Cases ... *19*
Subdivision 3.5d Required Component: Student Assessments ... *20*
Subdivision 3.5e Required Component: Teaching Philosophy ... *20*
Subdivision 3.5f Required Component: Syllabi ... *20*
Subdivision 3.5g Optional Component: Professional Development ... *21*
Subdivision 3.5h Optional Component: Other Evidence ... *21*
SECTION 3.6 MATERIALS AND METHODS FOR MEASURING FACULTY PERFORMANCE IN LIBRARIANSHIP ... 21
SECTION 3.7 MATERIALS AND METHODS FOR MEASURING FACULTY PERFORMANCE IN SCHOLARSHIP ... 21
Subdivision 3.7a Required Components: Portfolio, u-FAR and Vitae ... *21*
Subdivision 3.7b Required Component: Annual Goals and Reflection ... *21*
Subdivision 3.7c Definition of Traditional Peer Review ... *21*
Subdivision 3.7d Additional Forms of Peer Review for Tenured Faculty ... *21*
Subdivision 3.7e Additional Methods ... *22*
Subdivision 3.7f Peer Review of Scholarship Portfolios for Action Cases ... *22*
SECTION 3.8 MATERIALS AND METHODS FOR MEASURING FACULTY PERFORMANCE IN SERVICE ... 22
Subdivision 3.8a Required Components: Portfolio, u-FAR and Vitae ... *22*
Subdivision 3.8b Required Component: Annual Goals and Reflection ... *23*
Subdivision 3.8c Additional Methods ... *23*
SECTION 3.9 ORAL COMMUNICATION ... 23
SECTION 3.10 FACULTY NARRATIVE FOR PROMOTION/TENURE CASES OR THIRD-YEAR REVIEWS ... 23
SECTION 3.11 UNIVERSITY GUIDING STANDARDS FOR TEACHING, LIBRARIANSHIP, SCHOLARSHIP, AND SERVICE ... 23
Table 3.11a University Guiding Standards: Teaching ... *24*
Table 3.11b University Guiding Standards: Scholarship (also see Section 4.3, 4.4, 4.5, and Departmental Standards & Criteria) ... *26*
Table 3.11c University Guiding Standards: Service ... *27*
Table 3.11d University Guiding Standards: Librarianship (for Library Faculty) ... *28*
SECTION 3.12 CALENDAR ... 30
SECTION 3.13 ANNUAL REVIEW FOR FACULTY BY DEPARTMENT HEAD ... 32
Subdivision 3.13a Purpose ... *32*
Subdivision 3.13b Eligibility for Annual Reviews ... *32*

Subdivision 3.13c Conflicts of Interest ... *32*
Subdivision 3.13d Timeline and Process Schedule for Annual Review by Faculty Rank: Summary ... *32*
Subdivision 3.13e Standards and Criteria for Annual Review ... *33*
Subdivision 3.13f Annual Goals Meeting with Department Head ... *33*
Subdivision 3.13g Outcomes of Annual Review for All Faculty ... *33*
Subdivision 3.13h Outcomes for Retention/Continuance of Probationary and Renewable Term Faculty ... *33*
Subdivision 3.13i Third-Year Review for Probationary Faculty ... *33*
Subdivision 3.13j Outcomes for Promotion and/or Tenure ... *33*
Subdivision 3.13k Outcomes for Review of Tenured Faculty ... *33*
Subdivision 3.13l Evaluation Letters ... *34*
Subdivision 3.13m Awarding of Annual Merit ... *34*
SECTION 3.14 REVIEW BY PAC ... 35
Subdivision 3.14a Purpose ... *35*
Subdivision 3.14b Schedule for Review of Probationary, Term (1-4), Renewable Term and Adjunct Faculty Members ... *35*
Subdivision 3.14c Schedule for Review of Tenured Faculty ... *36*
Subdivision 3.14d Procedures for Evaluation of Faculty by the Professional Assessment Committee ... *36*
Subdivision 3.14e Standards and Criteria for Review ... *36*
Subdivision 3.14f Yearly Review by PAC for Faculty ... *36*
Subdivision 3.14g Outcomes for Retention/Continuance of Probationary and Renewable Term Faculty ... *37*
Subdivision 3.14h Third-Year Review for Probationary and Renewable Term Faculty ... *37*
Subdivision 3.14i Outcomes for Promotion and/or Tenure Cases ... *37*
Subdivision 3.14j Outcomes for Comprehensive Review of Tenured Faculty (Post-Tenure Review) ... *37*
Subdivision 3.14k PAC Reports ... *37*
Subdivision 3.14l Meetings with the PAC ... *38*
SECTION 3.15 PROMOTION AND/OR TENURE OF PROBATIONARY AND TENURED FACULTY ... 38
Subdivision 3.15a Eligibility for Promotion and/or Tenure ... *38*
Subdivision 3.15b Materials Submission ... *39*
Subdivision 3.15c Timeline ... *39*
Subdivision 3.15d Standards and Criteria for Review ... *39*
Subdivision 3.15e Promotion Salaries ... *40*
SECTION 3.16 REVIEW OF TENURED FACULTY (POST-TENURE REVIEW) ... 40
Subdivision 3.16a Purpose ... *40*
Subdivision 3.16b Relationship of Post-Tenure Review to Promotion to Professor ... *40*
Subdivision 3.16c Post-Tenure Review Types ... *40*
Subdivision 3.16d Post-Tenure Review Process ... *40*
Subdivision 3.16e Summary Review ... *41*
Subdivision 3.16f Comprehensive Review ... *41*
Subdivision 3.16g Requesting a Comprehensive Review ... *43*
Subdivision 3.16h Reviews for Other Levels of Performance ... *43*
Subdivision 3.16i Special Circumstances ... *43*
Subdivision 3.16j Outstanding Performance Rewards ... *43*
SECTION 3.17 REVIEW AND PROMOTION OF ADJUNCT, TERM (1-4) AND RENEWABLE TERM FACULTY ... 43
Subdivision 3.17a Purpose ... *43*
Subdivision 3.17b Appointment Types ... *43*
Subdivision 3.17c Review of Adjunct, Term (1-4) and Renewable Term Faculty ... *43*
Subdivision 3.17d Promotion ... *44*
SECTION 3.18 FACULTY/ADMINISTRATORS ELIGIBLE FOR TENURE UPON HIRE ... 45

SECTION 3.19 APPEALS 45
SECTION 3.20 REPORTING OF RESULTS OF ANNUAL AND MID-YEAR EVALUATIONS 45

CHAPTER FOUR: FACULTY PORTFOLIOS **46**

SECTION 4.0 PURPOSE 46
SECTION 4.1 DEFINITION OF TEACHING 46
Subdivision 4.1a Non-Standard Teaching Activities *46*
Subdivision 4.1b Teaching Overload *48*
Subdivision 4.1c Student/Office Hours *49*
SECTION 4.2 DEFINITION OF LIBRARIANSHIP 49
SECTION 4.3 DEFINITION OF SCHOLARSHIP 49
Subdivision 4.3a Discovery *49*
Subdivision 4.3b Integration *49*
Subdivision 4.3c Application *49*
Subdivision 4.3d Inclusion of External Grants *49*
SECTION 4.4 SCHOLARSHIP FOR PROBATIONARY FACULTY 50
SECTION 4.5 SCHOLARSHIP FOR TENURED FACULTY 50
SECTION 4.6 DEFINITION OF SERVICE 50
Subdivision 4.6a Probationary Faculty Service *50*
SECTION 4.7 FACULTY PORTFOLIO 50
Subdivision 4.7a Faculty Portfolio Summary Table *51*
SECTION 4.8 STANDARD PORTFOLIO FOR PROBATIONARY AND TENURED FACULTY 52
Subdivision 4.8a Portfolio Flexibility Options *52*
SECTION 4.9 EXTENDED TEACHING[20] PORTFOLIOS FOR TENURED FACULTY 53
Subdivision 4.9a Tenured Instructors *53*
Subdivision 4.9b Eligibility *53*
Subdivision 4.9c Extended Teaching Portfolio Application Process *53*
Subdivision 4.9d Maintaining Competence in Scholarship *53*
SECTION 4.10 RENEWABLE TERM AND TERM (1-4) FACULTY PORTFOLIOS 53
SECTION 4.11 ADJUNCT FACULTY (TEMPORARY) PORTFOLIOS 53
SECTION 4.12 OVERLOAD FOR SPECIAL PROJECTS/COURSE REASSIGNMENTS 53
SECTION 4.13 CONTINUING EDUCATION AND SPECIAL PROGRAMS 54
SECTION 4.14 MODIFIED DUTIES ASSIGNMENT 54
Subdivision 4.14a Definition *54*
Subdivision 4.14b Compensation *54*
Subdivision 4.14c Eligibility *54*
Subdivision 4.14d Procedure *54*
Subdivision 4.14e Return Obligation *54*
SECTION 4.15 PROFESSIONAL DEVELOPMENT ASSIGNMENT 54
Subdivision 4.15a Definition *54*
Subdivision 4.15b Compensation *55*
Subdivision 4.15c Eligibility *55*
Subdivision 4.15d Service or Financial Obligation *55*
Subdivision 4.15e Procedure *55*
SECTION 4.16 SUMMER RESEARCH FELLOWSHIPS 55

CHAPTER FIVE: PERSONNEL FILES **57**

SECTION 5.0 PERSONNEL FILES 57

SECTION 5.1 RIGHT TO REVIEW 57
SECTION 5.2 RIGHT TO RESPOND 57
SECTION 5.3 FILE MATERIAL REMOVAL 57
SECTION 5.4 NOTICE OF COMPLAINT 57
SECTION 5.5 RIGHT TO COPIES 57

CHAPTER SIX: STAFF REDUCTION **58**

SECTION 6.0 ATTRITION 58
SECTION 6.1 NOTICE 58
SECTION 6.2 DEFINITION 58
SECTION 6.3 ORDER OF REDUCTION 58
Subdivision 6.3a Tenured Faculty *58*
Subdivision 6.3b Probationary Faculty *58*
Subdivision 6.3c Criteria for Reduction - Nontenured *58*
Subdivision 6.3d Tenured Faculty – Order of Layoff *59*
Subdivision 6.3e Tenured Faculty – Transfer *59*
SECTION 6.4 RECALL 59
Subdivision 6.4a Probationary Faculty *59*
Subdivision 6.4b Tenured Faculty *59*
Subdivision 6.4c Recall Order *59*
Subdivision 6.4d Hiring Restrictions *59*
Subdivision 6.4e Notification *59*
Subdivision 6.4f Current Address *59*
SECTION 6.5 VACANCIES 59
Subdivision 6.5a Recall Notice *59*
Subdivision 6.5b Failure to Report *59*
Subdivision 6.5c Failure to Respond *59*
SECTION 6.6 PROCEDURES FOR RECALL 60
Subdivision 6.6a Vacancy Notice *60*
Subdivision 6.6b Failure to Accept *60*
Subdivision 6.6c Failure to Report *60*
SECTION 6.7 TEMPORARY REPLACEMENTS 60
SECTION 6.8 DAYS DEFINED 60

CHAPTER SEVEN: SUMMER / WINTER EMPLOYMENT **61**

SECTION 7.0 COMPENSATION 61
Subdivision 7.0a Low-Enrolled Summer or Winter Term Courses Compensation *61*
SECTION 7.1 ASSIGNMENT 61
SECTION 7.2 NOTICE OF APPOINTMENT 61
SECTION 7.3 STUDY ABROAD TRAVEL EXPENSES AND COMPENSATION 61

CHAPTER EIGHT: LEAVES **62**

SECTION 8.0 PAID SICK TIME 62
Subdivision 8.0a Definition *62*
Subdivision 8.0b Record *62*
Subdivision 8.0c Accrual *62*
Subdivision 8.0d Deductions *62*
Subdivision 8.0e Time Off Request *62*

Subdivision 8.0f Eligibility *63*
Subdivision 8.0g Lay Off – Recall *63*
Subdivision 8.0h Compensation *63*
Subdivision 8.0i Sick Time Payout *63*
SECTION 8.1 OTHER LEAVES 63
Subdivision 8.1a *63*
Subdivision 8.1b Short-term Leaves *63*
Subdivision 8.1c Long-term Leaves *63*
Subdivision 8.1d Public Office Leave *63*
Subdivision 8.1f Professional or Personal Leaves *64*
Subdivision 8.1g Family Caregiving Leave *64*
Subdivision 8.1h Retraining Leave *64*
Subdivision 8.1i Faculty Leadership Leave *64*
SECTION 8.2 ABSENCE REQUEST FORM 64
Subdivision 8.2a Approval *64*
Subdivision 8.2b Reimbursements *64*
SECTION 8.3 TRAVEL AND RELATED EXPENSES 64
SECTION 8.4 FRINGE BENEFITS DURING LEAVES 64

CHAPTER NINE: SALARIES **65**

SECTION 9.0 SALARIES 65
SECTION 9.1 SALARY PAYMENTS 65
SECTION 9.2 PROMOTIONS 65
SECTION 9.3 POST-TENURE REWARDS 65
Subdivision 9.3a Eligibility and Awards *65*

CHAPTER TEN: INSURANCE **66**

SECTION 10.0 DESCRIPTION OF BENEFITS 66
SECTION 10.1 GROUP LIFE INSURANCE 66
Subdivision 10.1a Life Insurance *66*
Subdivision 10.1b Cost of Insurance *66*
Subdivision 10.1c Benefits Eligibility *66*
SECTION 10.2 LONG TERM DISABILITY 66
Subdivision 10.2a Long Term Disability Insurance *66*
Subdivision 10.2b Cost of Insurance *66*
Subdivision 10.2c Eligibility *66*
SECTION 10.3 HEALTH INSURANCE 66
Subdivision 10.3a Coverage of Insurance *66*
Subdivision 10.3b Cost of Insurance *66*
Subdivision 10.3c Eligibility *66*
SECTION 10.4 DENTAL INSURANCE 67
Subdivision 10.4a Coverage of Insurance *67*
Subdivision 10.4b Cost of Insurance *67*
Subdivision 10.4c Eligibility *67*
SECTION 10.5 PRE-TAX BENEFITS 67
Subdivision 10.5a Payroll Reduction Plan for Insurance *67*
Subdivision 10.5b Payroll Reduction Plan for Dependent Care *67*
Subdivision 10.5c Payroll Reduction Plan for Medical Expenses *67*

Subdivision 10.5d Available Benefits *67*
SECTION 10.6 OPEN ENROLLMENT PERIOD - HEALTH AND DENTAL 67
SECTION 10.7 ELIGIBILITY OF SURVIVING SPOUSE/DOMESTIC PARTNER 67
SECTION 10.8 DOMESTIC PARTNER 67
SECTION 10.9 FACULTY CONSULTATION 68

CHAPTER ELEVEN: DUE PROCESS & REVIEW OF FACULTY MISCONDUCT CASES **69**

SECTION 11.0 PREAMBLE 69
SECTION 11.1 INTRODUCTION AND SCOPE 69
Subdivision 11.1a *69*
Subdivision 11.1b *69*
Subdivision 11.1c *69*
Subdivision 11.1d *69*
Subdivision 11.1e *69*
Subdivision 11.1f *69*
Subdivision 11.1g *69*
Subdivision 11.1h *69*
SECTION 11.2 GUIDING PRINCIPLES 70
Subdivision 11.2a *70*
Subdivision 11.2b *70*
Subdivision 11.2c *70*
Subdivision 11.2d *70*
SECTION 11.3 SANCTIONS 70
Subdivision 11.3a Major Sanctions *70*
Subdivision 11.3b Minor Sanctions *70*
SECTION 11.4 ADDRESSING CLAIMS OF FACULTY MISCONDUCT 70
Subdivision 11.4a *70*
Subdivision 11.4b *71*
Subdivision 11.4c *72*
Subdivision 11.4d *72*
SECTION 11.5 INTERIM ACTION 72
Subdivision 11.5a *72*
Subdivision 11.5b *72*
Subdivision 11.5c *73*
SECTION 11.6 VOLUNTARY MEDIATION CONFERENCE PRIOR TO FACULTY HEARING BOARD REVIEW 73
Subdivision 11.6a *73*
Subdivision 11.6b *73*
Subdivision 11.6c *73*
Subdivision 11.6d *73*
SECTION 11.7 FACULTY HEARING PROCESS 73
Subdivision 11.7a Composition of the Faculty Hearing Board *73*
Subdivision 11.7b Pre-hearing Submission of Evidence *74*
Subdivision 11.7c Hearing Procedures *74*
SECTION 11.8 DECISION OF THE PRESIDENT 76
Subdivision 11.8a *76*
Subdivision 11.8b *76*
Subdivision 11.8c *76*
Subdivision 11.8d *76*

Subdivision 11.8e *76*
SECTION 11.9 FURTHER APPEAL 76
Subdivision 11.9a *76*
Subdivision 11.9b *76*
Subdivision 11.9c *76*
Subdivision 11.9d *76*

CHAPTER TWELVE: FACULTY PETITIONS **77**

SECTION 12.0 POLICY STATEMENT 77
SECTION 12.1 SCOPE 77
SECTION 12.2 INFORMAL RESOLUTION OF FACULTY PETITIONS 77
SECTION 12.3 PROCEDURES FOR FORMAL RESOLUTION OF FACULTY PETITIONS 77
Subdivision 12.3a Faculty Petition Committee *77*
Subdivision 12.3b Timeliness of Faculty Petitions *77*
Subdivision 12.3c Form of Faculty Petitions *78*
Subdivision 12.3d Meetings of the FPC *78*
Subdivision 12.3e Informal Resolution by FPC *78*
Subdivision 12.3f Recommendation or Referral by the FPC *78*
Subdivision 12.3g Briefing on FPC Recommendation or Referral *78*
Subdivision 12.3h Decision by Provost *78*
SECTION 12.4 ARBITRATION OF FACULTY PETITIONS 78
Subdivision 12.4a Nature of Appeal and Time Limits *78*
Subdivision 12.4b Cost of Arbitration *78*
Subdivision 12.4c Selection of Arbitrator *79*
Subdivision 12.4d Hearing Proceedings *79*
Subdivision 12.4e Standard of Review *79*
SECTION 12.5 DISPOSITION OF THE ARBITRATOR'S REPORT 79
Subdivision 12.5a President's Review *79*
Subdivision 12.5b Acceptance by President *79*
Subdivision 12.5c Rejection by President *79*
SECTION 12.6 OTHER PROVISIONS 79
Subdivision 12.6a Days Defined *79*
Subdivision 12.6b Representation *79*
Subdivision 12.6c Application of Time Limits *80*
Subdivision 12.6d Election of Forum *80*

CHAPTER THIRTEEN: GRIEVANCE/APPEAL PROCEDURES **81**

SECTION 13.0 SCOPE 81
Subdivision 13.0a On Tenure *81*
Subdivision 13.0b On Promotion *81*
Subdivision 13.0c On Non-Renewal *81*
Subdivision 13.0d On Termination of a Term Appointment *81*
Subdivision 13.0e On Termination of a Tenured Faculty Member *81*
Subdivision 13.0f Immediate Discharge of a Probationary Faculty Member *81*
Subdivision 13.0g Involuntary Transfer of a Probationary or Tenured Faculty Member *81*
Subdivision 13.0h Discipline Other Than Discharge of a Probationary or Tenured Faculty Member *81*
SECTION 13.1 AVAILABILITY OF REVIEW 81
SECTION 13.2 GROUNDS FOR COMPLAINT 81

Subdivision 13.2a Discrimination *81*
Subdivision 13.2b Academic Freedom *82*
Subdivision 13.2c Established Procedures *82*
Subdivision 13.2d Reasons and Facts *82*
Subdivision 13.2e Expectations *82*
SECTION 13.3 APPEAL CONFERENCE 82
Subdivision 13.3a Filing of an Appeal *82*
Subdivision 13.3b Request for Faculty Hearing Board Review *82*
Subdivision 13.3c Conference *82*
Subdivision 13.3d Disposition of Appeal *82*
SECTION 13.4 ARBITRATION 82
Subdivision 13.4a Nature of Appeal and Time Limits *82*
Subdivision 13.4b Selection of Arbitrator *83*
Subdivision 13.4c Hearing Proceedings *83*
Subdivision 13.4d Standard of Review *83*
SECTION 13.5 DISMISSAL OF TENURED FACULTY 83
SECTION 13.6 DISPOSITION OF THE ARBITRATOR'S REPORT 83
Subdivision 13.6a President's Review *83*
Subdivision 13.6b Acceptance by President *83*
Subdivision 13.6c Rejection by President *83*
Subdivision 13.6d Appeal to the Board *83*
SECTION 13.7 OTHER PROVISIONS 83
Subdivision 13.7a Representation *83*
Subdivision 13.7b Application of Time Limits *84*
Subdivision 13.7c Costs *84*
Subdivision 13.7d Election of Forum *84*
Subdivision 13.7e Days Defined *84*
Subdivision 13.7f Arbitration Hearings *84*

CHAPTER FOURTEEN: HEALTH AND SAFETY **85**

SECTION 14.0 PROVISION FOR HEALTH AND SAFETY 85
SECTION 14.1 FACILITIES AND EQUIPMENT 85

CHAPTER FIFTEEN: TRANSFER **86**

SECTION 15.0 DEFINITION 86
SECTION 15.1 NOTICE 86
SECTION 15.2 MEETING PRIOR TO TRANSFER 86
SECTION 15.3 INVOLUNTARY TRANSFER 86
Subdivision 15.3a *86*
Subdivision 15.3b *86*
Subdivision 15.3c *86*

APPENDIX A: DEPARTMENTAL STANDARDS AND CRITERIA DOCUMENT TEMPLATE **87**

APPENDIX B: PROFESSIONAL ASSESSMENT COMMITTEE PROCEDURES TEMPLATE **98**

APPENDIX C: SYLLABI **100**

APPENDIX D: LEGACY STATUS AND NEW DEPARTMENT STANDARDS PLAN FOR PROBATIONARY FACULTY; POST-TENURE REVIEW AND PROMOTION FOR ADJUNCT (50% OR MORE APPOINTMENTS) AND RENEWABLE TERM FACULTY 101

APPENDIX E: DOCUMENTED COVID DEVIATIONS (APPROVED BY PROVOST) 103

INTRODUCTION

The Faculty Handbook is the official statement of University of Northern Iowa (University or UNI) policy governing the rights and responsibilities of faculty. The Office of the Provost and Executive Vice President for Academic Affairs (Provost) is responsible for maintaining the Faculty Handbook and posting the Handbook on its website.

This Handbook is updated annually by the Provost's Office following consultation with the Faculty Handbook Committee (FHC). The FHC is a standing, joint committee of six administrators and six faculty. The six administrators include the Associate Provost for Faculty and five others appointed by the Provost. The six faculty include the Chair of the Faculty, the Chair of the Faculty Senate, the President of United Faculty, and three additional faculty appointed by Faculty Leadership. Membership on the subcommittees should be composed of an equal number of administrative and faculty representatives. The FHC shall be chaired by the Associate Provost for Faculty. Administrative representatives (excluding the chair) and faculty representatives (excluding faculty leadership) will serve rotating, three-year terms. Terms may be renewed. Appointments by the Provost and Faculty Leadership should take place by May 15 of each year to take effect July 1.

The FHC will convene on a regular basis to discuss issues that are of mutual interest to faculty and administrators. Faculty or administrators wishing to propose changes to the Faculty Handbook may submit proposed changes, in writing, to the FHC. The FHC will typically consider proposed changes to the Faculty Handbook in the academic year in which such changes are proposed. If a majority of the entire FHC votes to adopt a proposed change to the Handbook, the FHC will consult with the Faculty Senate and Faculty Leadership before presenting to the Provost any recommended changes to the Handbook. The FHC's recommendations will include the vote of the committee and may include dissenting opinion(s). The Provost shall either accept or reject the recommendations of the FHC. If the Provost rejects the recommendations, the Provost will provide to the FHC written reasons for the rejection. Subject to limited exceptions, any changes to the Faculty Handbook will not take effect until the beginning of the following academic year.

In certain circumstances, such as adverse or unexpected budget conditions, it may be necessary for the university to make a temporary exception to certain provisions of the Faculty Handbook. In those circumstances, the Provost will consult with Faculty Leadership and the FHC as practicable before making any temporary deviation from the Handbook. A final decision about any such temporary deviation will be reported to Faculty Leadership, the FHC, and any affected Faculty. In addition, the Provost may update the Handbook. Before making any substantive changes, the Provost will consult with the FHC.

This Handbook supersedes all prior UNI handbooks that are inconsistent with its current provisions. This Handbook does not create a contract of employment between UNI and its employees. To the extent that any provision of this Handbook conflicts with University or Board of Regents, State of Iowa ("Board") policy, any applicable collective bargaining agreement, or applicable state or federal law, such provision shall be void.

The Faculty Handbook supports the University of Northern Iowa Vision, Mission, and Values (see page 2).

VISION, MISSION, and STRATEGIC PLAN 2023-2028

Create. Empower. Innovate.

Vision: We serve the public good through equitable and inclusive excellence in teaching and learning, scholarship, and service.

Mission: The University of Northern Iowa creates, empowers, and innovates to enrich Iowa and beyond.

Our Values

Academic Freedom: The freedom of inquiry and expression in teaching and learning, scholarship, and service.

Access: An inclusive educational environment that is supportive, equitable, and affordable.

Integrity: A commitment to accountability, responsibility, and the highest ethical standards are integrated into all university practices.

Collaboration: A commitment to work together to achieve our shared vision, mission and goals, and to develop and improve institutional policies, programs, and processes.

Community: A caring, safe, and diverse community characterized by appreciation, respect, and a sense of belonging.

Equity: The cultivation and nurturing of a diverse, just, and inclusive community, culture, and environment.

Empowerment: Active engagement in transformative, innovative and lifelong learning in service to the public good.

Excellence: A commitment to pursuing the highest levels of achievement in teaching and learning, scholarship and service.

Sustainability: A resilient community and campus that balances innovation and stewardship, is economically sound, environmentally responsible, and socially just.

CHAPTER ONE: FACULTY GOVERNANCE

The Faculty at the University of Northern Iowa are represented by three governing agents: the Faculty Senate, the Faculty Chair, and United Faculty. All three represent the faculty as a whole and play a central role in the shared governance of the university. All three share responsibility for the protection of academic freedom, the fair and equitable application of policy, the advancement of the university's mission, and the promotion of faculty success.

University Faculty Senate

"The principal representative agency of the University faculty shall be the University Faculty Senate, which shall have the power to act for the faculty on all matters within its jurisdiction." Constitution of the Faculty, Article V, 3.0. The Senate is primarily responsible for issues of educational policy and curriculum. The province of the Faculty Senate is outlined in the Senate By-Laws: https://senate.uni.edu/uni-faculty-senate-bylaws.

Faculty Chair

The Chair acts as spokesperson for the established policies and positions of the faculty to officers of the administration, to the press, to student leadership representatives, and consistent with Board policies and regulations to the Board of Regents. Details are found in the Faculty Constitution, Article II: https://senate.uni.edu/constitution-faculty.

United Faculty

United Faculty is the certified, exclusive, and sole collective bargaining representative for the faculty pursuant to the relevant Public Employee Relations Board ("PERB") orders. It is primarily responsible for issues of salaries, working conditions, and other labor relations matters. Details of the current collective bargaining agreement and other faculty resources are available at: https://ufaculty.uni.edu/.

Faculty Leadership

For purposes of this Handbook, "Faculty Leadership" shall refer to the Faculty Senate Chairperson, the Chair of the Faculty, and the President of United Faculty.

CHAPTER TWO: FACULTY APPOINTMENTS

Section 2.0 Appointments

General terms and conditions of appointments shall be stated in writing. In addition to the letter of offer, all appointments are governed by University policies.

Subdivision 2.0a Non-Discrimination

Evaluation of an individual with respect to appointment to the faculty is made without reference to age, national origin, race, color, religion, creed, political affiliation, veteran/military status, disability, pregnancy, gender or gender identity, sexual orientation, or any other status protected by applicable federal or state law.

Subdivision 2.0b Qualifications

For all appointments to the faculty, the primary standard is that the candidate to be appointed is the candidate best qualified for the position among those available for it.

Subdivision 2.0c Terminal Degree

It is expected that faculty members will have, at the time of appointment or within a reasonable period thereafter, the terminal degree appropriate to their disciplines and positions, except as noted below in Paragraph 2.0c.3. Specifically:

Paragraph 2.0c.1

For initial appointment at the rank of Assistant Professor, candidates will normally possess the appropriate terminal degree and will show experience of or strong potential for excellence in teaching, productive research/scholarship/creative achievement, and professional service.

Paragraph 2.0c.2

For initial appointment at the rank of Associate Professor or Professor, candidates will have the appropriate terminal degree and will have substantial experience demonstrating excellent teaching, productive research/scholarship/ creative achievement, and professional service. Initial appointments at the senior ranks are based on the same criteria as promotion to those ranks.

Paragraph 2.0c.3

Although in most academic disciplines and for most faculty positions the appropriate terminal degree is the doctorate, the University recognizes that in some disciplines and for some positions other degrees are customarily regarded as the highest normally appropriate to scholars in those areas. The University also recognizes that in exceptional instances there can be experience and/or training other than formal degree work that qualify a faculty member or candidate as teacher and scholar as effectively as a formal degree program as long as such experience and/or training satisfies the requirements of the Higher Learning Commission. Such instances will be based on a considerable record of achievement, such as a substantial record of published research in professional journals. For those disciplines or positions where the appropriate terminal degree is normally not the doctorate, the degree requirement, if any, will be stated in established policies initiated by the department affected and agreed to by the college dean and the Provost. In the absence of any established policy to the contrary, the terminal degree for all disciplines and positions is the doctorate.

Section 2.1 Termination

Temporary, term (1-4), renewable term, clinical, probationary, and tenured faculty members may be terminated, only during an applicable term, for just cause.

Section 2.2 Temporary (Adjunct) Appointments

A temporary (adjunct) appointment runs for a precisely stipulated short term, usually one year or less. It terminates automatically at the expiration of the stipulated term. It carries no implications of renewal or continuation beyond the stipulated term. Adjuncts hold the rank of Assistant Adjunct Professor, Associate Adjunct Professor, or Senior Adjunct Professor.

Subdivision 2.2a
When allocating courses within a department among adjunct faculty members, seniority (defined as years of service to the University) shall be considered. In addition, reasonable efforts shall be made to maintain half-time or greater status for adjunct faculty members who have already taught continuously for six consecutive semesters or more at half-time or greater status.

Subdivision 2.2b
An adjunct faculty member's course allocation shall be subject to performance evaluations and other extenuating circumstances including, but not limited to, budget and enrollment, when courses are allocated within a department.

Subdivision 2.2c
An adjunct faculty member may file a faculty petition relating to this section pursuant to Chapter 12 of this Faculty Handbook. However, the decision of the Provost pursuant to Chapter 12 shall be final.

Section 2.3 Probationary Appointments

Subdivision 2.3a
A probationary appointment, like a temporary appointment, runs for a stipulated short term, usually one year. Unlike a temporary appointment, however, it carries the implication that, if the appointee's services are judged by the University to be satisfactory, the appointment will be renewed year after year until, normally, a total of six years of probationary service shall have been accumulated; however, the University may offer reappointment for a seventh probationary year. The tenure standards for the seventh year will be the same as during the sixth year.

Subdivision 2.3b
A probationary appointment may be terminated at the end of any term, provided that written notice of the intention to terminate has been given by the University to the probationer in good time. Specifically: if the appointment is to be terminated at the end of the first year, notice shall be given by March 1; if at the end of the second year, by December 15; if at the end of any later probationary year, twelve months in advance.

Subdivision 2.3c
The probationary period provides the opportunity to meet the requirements for tenure.

Subdivision 2.3d
By March 1 of every year, every faculty member on a probationary appointment shall receive official written evaluation of their work to date.

Subdivision 2.3e
Continuance of a probationary appointment is made upon a recommendation of the Professional Assessment Committee (PAC), department head, and dean. In the event the recommendation of the department head in a continuance of a probationary faculty member is different from that of the PAC, the department head shall provide the PAC with the department head's written rationale and recommendation at the same time the department head's rationale and recommendation is forwarded to the dean. In the event the recommendation of the dean in a continuance of a faculty member is different from that of a PAC, the dean shall provide the department head and PAC with the dean's written rationale and recommendation at the same time as the dean's recommendation is forwarded to the Provost. In the event that the Provost's decision regarding continuance is different from that of the PAC, the Provost will provide the dean, department head, and PAC with a written rationale for that decision by March 1 as provided in Subdivision 2.3d. Nothing herein shall diminish the confidentiality of the faculty member's file. The final responsibility for a decision rests with the appropriate academic officers. The deans and Provost have a responsibility to ensure that recommendations for continuance or termination of probationary faculty reflect high University standards, while acknowledging the diversity of missions and tasks within the various colleges and programs of the University.

Subdivision 2.3f
If a faculty member's appointment begins after the first day of classes, the six year probationary

period will begin the following fall semester.

Section 2.4 Term (1-4) and Renewable Term Appointments

Subdivision 2.4a Titles and Ranks for Term (1-4) and Renewable Term Faculty

Paragraph 2.4a.1 Instructional Faculty

Instructional faculty contribute predominantly to the teaching mission of the University and also complete service (or service and scholarship). They are distinguished individuals whose disciplinary education, expertise, and experience qualifies them to teach, advise students, contribute to the development of curricula, or engage in other pedagogical activities related to their expertise. Instructional faculty hold the rank of Assistant Professor of Instruction, Associate Professor of Instruction, or Professor of Instruction.

Paragraph 2.4a.2 Clinical Faculty

Clinical faculty contribute to the service, and/or teaching, and/or outreach missions of the University. The clinical faculty designation is used for positions that require clinical teaching and/or clinical supervision and/or clinical direction. Clinical faculty hold the rank of Clinical Assistant Professor, Clinical Associate Professor, or Clinical Professor.

Paragraph 2.4a.3 Practitioner Faculty

Practitioner Faculty are highly experienced individuals in a relevant field of professional practice who can provide effective, practice-oriented instruction and contribute to the teaching, service, and outreach missions of the University. Practitioner Faculty hold the rank of Assistant Professor of Practice, Associate Professor of Practice, and Professor of Practice.

Subdivision 2.4b Term (1-4) Appointments

A term (1-4) appointment is a multiple-year temporary appointment, i.e., one, two, three, or four years, which expires as specified by the letter of appointment. After expiration of the contracted term, a position may be renewed for a new term (1-4 years) through a recommendation from the department head and approval by the dean and Provost. Should continuance be warranted, as budget allows, faculty shall be notified in writing of the length of any new term (1-4) appointment in an offer letter issued by March 1 of the final year of the contracted appointment. There is no guarantee of continuance and any term (1-4) appointment may end according to the contracted agreement. Term (1-4) faculty are not eligible for Tenure.

Subdivision 2.4c Renewable Term Appointments

Renewable term faculty hold faculty positions through which they contribute to the service or teaching missions of the University.

Paragraph 2.4c.1 Terms of Appointment of Renewable Term Faculty

Subparagraph 2.4c.1a

Candidate must have earned a terminal degree in the field or be recognized as having expertise by the search committee.

Subparagraph 2.4c.1b

Initial appointment is for a minimum of two years. The initial appointment will be made on the basis of a department/school search process consistent with searches for tenure track positions. The first two years of service are considered “probationary.” Thereafter, reappointment will be for one year at a time, following assessment and evaluation procedures outlined in Chapter 3 of this Faculty Handbook, that conclude with a satisfactory performance evaluation.

Paragraph 2.4c.2 Transfers

Any individual wishing to move from a tenure-track faculty line or a P&S staff line to a renewable term faculty position must apply for a vacant position for which recruitment has

been authorized. A renewable faculty member wishing to move to a tenure-track faculty or P&S line must apply for a vacant position for which recruitment has been authorized.

Paragraph 2.4c.3 Responsibilities and Rights of Renewable Term Faculty

The standard expectation for a renewable term faculty is that teaching is the predominant activity. The position does not have a research component or expectation of research accomplishment, although those activities may be present in some cases.

Paragraph 2.4c.4 Notice of Non-Reappointment

A renewable term appointment can be terminated at the end of any term, provided that written notice has been given by the University by March 1 of that year. In the event that a renewable term faculty member has been employed for more than two years in such appointment, upon notice of non-renewal the faculty member shall be entitled to remain employed for one additional academic year.

Paragraph 2.4c.5 Limitation

No more than 8% of the FTE faculty in any one college can be renewable term unless an exception is made by mutual agreement between faculty members of the Faculty Petition Committee and the Provost. The Provost will report the number of faculty hired pursuant to this section, the percentage those faculty represent of the total FTE faculty by college and will verify the use of an appropriate search process as specified in Paragraph 2.5a.2 to the Faculty Petition Committee and the appropriate college faculty senate(s) twice per year.

Section 2.5 Tenured Appointments

Tenured faculty hold faculty positions through which they contribute to the teaching, scholarship[1], and service missions of the University and hold the rank of Assistant, Associate, or Full Professor, with a small number of faculty who were previously granted tenure with the rank of Instructor (i.e., those who previously taught at Price Laboratory School). Having successfully earned tenure grants faculty an appointment that can be terminated only for just cause or extraordinary circumstances such as financial exigency or program closure. Tenured faculty are evaluated annually under Section 3.16 and may seek promotion under Section 3.15. Tenure safeguards academic freedom and serves the public interest for free inquiry, free expression, open dissent, and the advancement of knowledge.

Section 2.6 Emeritus Status

See university Policies and Procedures, Policy 4.21 Emeritus Status.

[1] Hereafter “Scholarship” refers to research, creative activity, and other forms of academic scholarly activity.

CHAPTER THREE: EVALUATION PROCEDURES

Section 3.0 Purpose

The purpose of this Chapter is to delineate a process and guiding principles for evaluating faculty members. UNI's Comprehensive Faculty Evaluation System is designed to recognize and reward faculty excellence throughout the evolution of one's career, while protecting academic freedom, due process, tenure, and shared governance, according to the foundational 1940 Statement of Principles on Academic Freedom and Tenure.[2] Faculty evaluation also creates a process and standards for supporting ongoing faculty development and improvement. Department heads, in consultation with Professional Assessment Committees (PACs), have primary responsibility for evaluating faculty performance in terms of teaching or librarianship, research, scholarship, creative activity, and service. This Chapter establishes university level guiding principles and standards, as well as processes to evaluate faculty members across their careers. Specific departmental standards and criteria (see Subdivision 3.1f Departmental Standards and Criteria Document) and procedures for reviewing faculty (see Subdivision 3.1g Professional Assessment Committee Procedures Document) must be compatible with those provisions in this Chapter.

Section 3.1 General Guiding Principles for Evaluation

Subdivision 3.1a Dimensions of Evaluation

Faculty are evaluated along three dimensions: teaching or librarianship[3], scholarship[4], and service. Specific definitions of teaching, scholarship, and service are included in Chapter 4: Faculty Portfolios. Scholarship includes research and creative activities. Evaluators should acknowledge that faculty work may be relevant to more than one area (e.g., it could be evaluated as multiple areas of teaching, scholarship, and service).

Subdivision 3.1b Teaching or Librarianship

Faculty members' primary role is to provide high quality instruction to students. Excellence in teaching is evaluated first and foremost. Faculty members whose primary role is librarianship are principally involved in the creation and provision of information, resources, and services that advance critical thinking, scholarly research, and learning in an evolving information landscape. Only after an affirmative judgment as to documented teaching or librarianship effectiveness has been made can serious consideration be given to an evaluation of scholarship and service.

UNI expects faculty to foster critical thinking and knowledge in the content area of study, as well as to tailor course content or librarianship to the course level, curricular needs, and program learning goals and outcomes for the disciplines pursued by UNI's student body. Faculty teaching should evolve over time as faculty members continue to refine and develop their teaching skills or librarianship across their careers and to update and refine their curriculum. UNI encourages faculty to consider new pedagogical or librarianship approaches when appropriate for their discipline. Teaching should be informed by the scholarship of teaching and learning or discipline-based pedagogy.

Subdivision 3.1c Scholarship[4]

UNI faculty engage in the collective endeavor of creating knowledge or art, enhancing civic life, and influencing communities through research, creative activities, and other forms of scholarship, as assigned in their Portfolio. Scholarship is a valuable and meaningful part of faculty life. Scholarship is assessed through peer-review, which attests to the quality and meaningful impact, significance and relevance of the work. UNI recognizes the Scholarship of Discovery, the Scholarship of Integration, and the Scholarship of Application (see Section 4.3 for definitions) as legitimate and important forms of scholarship. UNI recognizes all forms of peer review for tenured faculty. In addition to traditional peer review (see Subdivision 3.7c), departments may include other forms of peer review (see Subdivision 3.7d) in their Departmental Standards and Criteria Document.

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[2] https://www.aaup.org/report/1940-statement-principles-academic-freedom-and-tenure
[3] Hereafter, "teaching" includes "teaching or librarianship" as appropriate.
[4] Hereafter "Scholarship" refers to research, creative activity, and other forms of academic scholarly activity.

Subdivision 3.1d Service

Service is recognized as an essential component of UNI's overall Portfolio for all tenured, probationary, term (1-4), and renewable term faculty[5] members. Service obligations are to be shared and fulfilled equitably by faculty members according to their assigned Portfolios. Faculty members contribute to shared governance and civic life through service to their department, college, university, profession, and community. Faculty are expected to actively and productively participate in service and make substantial and constructive contributions to service. Service to the community should make use of faculty member's professional or disciplinary expertise.

Subdivision 3.1e Weighting of Teaching, Scholarship, and Service

The specific weighting of teaching, scholarship, and service shall be according to the faculty member's most recently assigned Portfolio by the department head and dean. It is recognized that faculty may have varied degrees of accomplishment in the three areas.

Subdivision 3.1f Departmental Standards and Criteria Document

All probationary and tenured faculty, PACs, and department heads are expected to collaborate together to create clear, consistent departmental standards and criteria for the purposes of evaluation, promotion, and tenure. Departments should consult with adjuncts, term (1-4), and renewable term faculty regarding standards for their performance. Meetings shall be co-chaired by the department head and PAC chair. All criteria are to be reviewed annually in the spring semester by all departmental faculty members and department heads.

If substantive changes are made to the Departmental Standards & Criteria Document, a probationary faculty member affected by such changes may request the creation of an MOU, via email, indicating how and when those changes will be applied in their case. The faculty member's choice between adhering to current or previous standards should be explicitly documented denoting the specific and applicable provisions. The MOU must be approved by the PAC Chair, Department Head, and Dean, signed by the faculty member, and placed in the faculty member's Faculty Evaluation File.

Following the applicable deadline (see Section 3.12 Calendar), departments will complete a draft version of the Departmental Standards and Criteria document for discussion at the Spring College Review Committee (CRC) meeting.

Following the CRC meeting, departments will complete final revisions and title the document Departmental Standards and Criteria Document.

Upon approval of the documents, title pages are signed by all parties (PAC Chair, department head and dean [in consultation with the CRC]). If there are changes from the previous year's document, a second copy with all changes highlighted must accompany the final signed copy. Copies of this document, whether revised or not, should be sent by the dean's office to the Provost's Office by the appropriate deadline (see Section 3.12 Calendar). Following approval from the Provost's Office, the Departmental Standards and Criteria Document shall be distributed by the department head to the faculty of each department before implementation occurs on July 1.

Paragraph 3.1f.1 Document Components

The Departmental Standards and Criteria Document includes the specific operationalization of criteria for evaluating faculty performance. Departments shall specify criteria for (a) "Meets Expectations", (b) "Exceeds Expectations", and (c) "Needs Improvement" for annual review and continuation, promotion, tenure, and Post-Tenure Reviews by rank and portfolio. All criteria must be consistent with the University Guiding Standards (Section 3.11). The document shall also specify any materials required to demonstrate teaching effectiveness in addition to the required components in scholarship and service. Finally, the document must specify discovery scholarship expectations for probationary faculty and which, if any, integration or application scholarship is to be recognized for promotion and tenure. (Tenured faculty may pursue any of these three forms of scholarship. See Chapter 4.)

[5] Some temporary faculty may have service obligations, as specified in their letter of offer.

Paragraph 3.1f.2 Template
A template for departments to use in developing their own Departmental Standards and Criteria Document is located in Appendix A.

Paragraph 3.1f.3 Facilitating Departmental Collaboration
Departments, including department heads and all full-time faculty members, that need assistance in facilitating departmental collaboration to develop departmental standards and criteria for evaluation should seek assistance from their dean, the Associate Provost for Faculty, their CRC, or the Faculty Handbook Committee.

Paragraph 3.1f.4 Failure to Approve Departmental Standards and Criteria
If the dean, Provost, or designee rejects the department's document, they shall provide clear direction and feedback for revising the document to meet the University Guiding Standards and other general university policies and procedures**.**

Paragraph 3.1f.5 Failure to Develop Departmental Standards and Criteria Document
When departments fail to create an approved Departmental Standards and Criteria Document, the dean shall call a meeting of the CRC to assist in resolving the issue.

If resolution cannot be achieved, representatives of the department, the CRC, and the dean shall meet to develop an action plan to assist the department in finalizing an acceptable Departmental Standards and Criteria Document. In the meantime, the University Guiding Standards shall serve as the Department's standards and criteria.

Subdivision 3.1g Professional Assessment Committee Procedures Document
PACs must create a PAC procedures document to be reviewed and approved annually, titled Professional Assessment Committee Procedures, that specifies additional procedures to those documented in this Handbook. These procedures must be consistent with this Handbook and shall define how the PAC organizes, functions, schedules and completes its work. PACs shall utilize their individual department's Departmental Standards and Criteria Document as their guiding resource for faculty evaluation.

Following the applicable deadline (see Section 3.12 Calendar), PACs will complete a draft version of the Professional Assessment Committee Procedures document for discussion at the Spring College Review Committee (CRC) meeting, before implementation on July 1. Following the CRC meeting, PACs will complete final revisions. Upon approval of the documents, title pages are signed by all parties (PAC Chair, department head and dean [in consultation with the CRC]). If there are changes from the previous year's document, a second copy with all changes highlighted must accompany the final signed copy. Copies of this document, whether revised or not, should be sent by the dean's office to the Provost's Office by the appropriate deadline (see Section 3.12 Calendar). Following approval from the Provost's Office, the Professional Assessment Committee Procedures Document shall be distributed by the department head to the faculty of each department before implementation occurs on July 1.

Paragraph 3.1g.1 Template
A template for PACs to utilize in developing their own Professional Assessment Committee Procedures is located in Appendix B.

Paragraph 3.1g.2 Failure to Develop Professional Assessment Committee Procedures
When a PAC fails to create an approved Professional Assessment Committee Procedures document, or if such PAC procedures contradict this Handbook, university policy or procedure, or law, the PAC shall follow the same process outlined in Paragraph 3.1f.5.

Table 3.1h Evaluation and Process Schedule by Faculty Rank: Summary

	BY STUDENTS	BY DEPARTMENT HEAD			BY PAC		
RANK	**Student Assessments**	**Annual Review**	**Review for Promotion or Tenure, as applicable**	**Post-Tenure Review**	**Yearly Review**	**Review for Promotion or Tenure, as applicable**	**Post-Tenure Review**
Assistant Adjunct Professor **(below 50% appointment)**	Every class, every semester/term	If the department head chooses, or by request of the adjunct	NA	NA	If the PAC chooses to conduct a yearly review, or by request of the adjunct	NA	NA
Assistant Adjunct Professor **(50% or more appointment)**	Every class, every semester/term	During 1st year, 6th semester, 12th semester; or sooner if adjunct requests it or "Needs Improvement"	Yes, if applying in the 12th cumulative semester or beyond (50% or more appt.)	NA	If the PAC chooses to conduct a yearly review, or by request of the adjunct	Yes, if applying in the 12th cumulative semester or beyond (50% or more appt.)	NA
Associate Adjunct Professor **(12 cumulative semesters of 50% or more appt.)**	Every class, every semester/term	6th semester, 12th semester after pro-motion, or sooner if adjunct requests it or "Needs Improvement"	Yes, if applying in the 12th cumulative semester since promotion or beyond (50% or more appt.)	NA	If the PAC chooses to conduct a yearly review, or by request of the adjunct	Yes, if applying in the 12th cumulative semester after promotion (50% or more appt.)	NA
Senior Adjunct Professor **(12 additional semesters of 50% or more appt., after the last promotion)**	Every class, every semester/term	Every 6 semesters, or sooner if adjunct requests it or "Needs Improvement"	NA	NA	If the PAC chooses to conduct a yearly review, or by request of the adjunct	NA	NA

	BY STUDENTS	BY DEPARTMENT HEAD			BY PAC		
RANK	**Student Assessments**	**Yearly Retention and Continuance Review (Fall)** **Annual Review (Spring)**	**Review for Promotion or Tenure, as applicable**	**Post-Tenure Review**	**Yearly Retention and Continuance Review**	**Review for Promotion or Tenure, as applicable**	**Post-Tenure Review**
Term (1-4) Faculty (in first two years[6])	Every class, every semester/term	Spring	NA	NA	Yes; yearly in years 1-2[6]	NA	NA
Term (1-4) Faculty (after first two years[6])	Every class, every semester/term	Spring	Yes	NA	Yes, if the PAC chooses to conduct a yearly review, by request of the faculty member; or in the year following a "Needs Improvement" rating in any area	Yes, in year 6 or beyond if applying for promotion	NA
Renewable Term Faculty (in first two years[6])	Every class, every semester/term	Fall and Spring	NA	NA	Yes; yearly in years 1-2[6]	NA	NA
Renewable Term Faculty (after first two years[6])	Every class, every semester/term	Fall and Spring	Yes	NA	Yes, if the PAC chooses to conduct a yearly review, by request of the faculty member; or in the year following a "Needs Improvement" rating in any area	Yes, in year 6 or beyond if applying for promotion	NA

[6] Of initial term

	BY STUDENTS	BY DEPARTMENT HEAD			BY PAC		
RANK	**Student Assessments**	**Probationary Review (Fall)** **Annual Review (Spring)**	**Review for Promotion or Tenure, as applicable**	**Post-Tenure Review**	**Yearly Retention and Continuance Review**	**Review for Promotion or Tenure, as applicable**	**Post-Tenure Review**
Probationary Faculty of any rank **(tenure track)**	Every class, every semester/term	Fall, extensive in year 3, and Spring	Yes	NA	Yes; extensive in year 3	Yes	NA
Tenured Faculty of any rank	Every class, every semester/term	Spring	Yes	Summary review in year 6; Comprehensive review if 3 “Needs Improvement” designations during annual reviews or 2 consecutive “Needs Improvement” designations in teaching.	No, or by request of the faculty member	Yes	Yes, Comprehensive Review if requested by faculty member, if 3 “Needs Improvement” designations during annual reviews, or 2 consecutive “Needs Improvement” designations in teaching

Section 3.2 Roles

Subdivision 3.2a Faculty Member Being Evaluated

The faculty member being assessed shall adhere to the procedures, guidelines, and timetable contained in this handbook, and any pertinent Professional Assessment Committee Procedures. When seeking promotion and/or tenure, the faculty member shall notify the department head and PAC chair by April 30, prior to the fall evaluation when teaching, scholarship, and service contributions or portfolios will be reviewed. The faculty member is responsible for submitting evidence and supporting materials to document excellence in teaching, scholarship, and service (see Sections 3.4 - 3.8). These materials should reflect the assigned Portfolio.

Paragraph 3.2a.1 Assembling Faculty Evaluation File Materials to Forward for Review

In preparing for promotion, tenure, or comprehensive review for Post-Tenure Review, faculty members collaborate with the department head and secretary to update their Faculty Evaluation File. Faculty Evaluation Files should be well organized.

Subdivision 3.2b Professional Assessment Committee (PAC)

Each academic department shall have a Professional Assessment Committee (PAC) for the assessment and evaluation of term (1-4), renewable term, probationary, and tenured faculty as described in Table 3.1h. The PAC is charged with conducting an independent review of faculty performance in the areas of teaching, scholarship, and service using the Departmental Standards and Criteria Document. The PAC review serves as a recommendation to the department head.

Paragraph 3.2b.1 PAC Membership

The PAC shall consist of all tenured members of the department. All tenured faculty members are expected to serve on the PAC, unless released by the department head in consultation with the PAC chair (including pursuant to Section 3.3 Conflicts of Interest). The department head or administrators (such as director) shall not be a member of the PAC. Any faculty member who is a candidate for promotion/Post-Tenure Review shall be excluded from committee deliberation of their candidacy. A PAC must include a minimum of three committee members. If membership drops below three department faculty members, the PAC shall seek outside membership from tenured faculty members from another academic department. They may consult with the department head or dean and must inform them of the final membership. PACs may choose to invite faculty members from another department to serve on the PAC to review a specific case when additional expertise is necessary or if the PAC lacks the necessary membership to make an informed decision. Faculty on phased retirement may choose to serve on the department PAC and continue to fulfill PAC membership and/or chair responsibilities.

Subparagraph 3.2b.1a Term (1-4) and Renewable Term Associate Instructors and Senior Instructors

Term (1-4) and renewable term faculty who have been promoted to Associate Instructors or Senior Instructors may serve on the PAC for the purposes of reviewing faculty of a lower rank in their faculty employment classification (see Paragraph 3.17d.2 Other Responsibilities).

Paragraph 3.2b.2 PAC Chair

The position of the PAC chair is a rotating term position of one or two years among members of the PAC committee. The PAC chair position may be renewed once consecutively. Some departments may choose to use a system of co-chairs who are elected and serve on alternating terms. The PAC Chair and co-chairs, if applicable, for the coming academic year should be selected by the appropriate deadline (see Section 3.12 Calendar). The department's PAC procedures must detail the leadership requirements of PAC chair(s) and associated duties. The PAC chair/co-chair ensures that the department has developed the "Departmental Standards and Criteria Document" and "Professional Assessment Committee Procedures Document" that are compatible with the University Guiding Standards, the Faculty Handbook, and university policies and procedures. The PAC chair/co-chair shall not be a faculty member who is being assessed for promotion by PAC in that year.

Paragraph 3.2b.3 PAC Chair Responsibilities
The duties of the chair shall be to preside at PAC meetings and to be the official spokesperson for the PAC in performing its designated responsibilities in an orderly and timely fashion to meet deadlines as described in Section 3.12 Calendar. PAC chairs also serve as members of the College Review Committee (see Subdivision 3.2d). PAC chairs shall provide a copy of PAC procedures to the department head and dean for review.

Paragraph 3.2b.4 PAC Responsibilities
PACs shall review faculty as described in Table 3.1h. Section 3.14 Review by PAC provides specific procedures for conducting PAC reviews.

Subdivision 3.2c Department Head Responsibilities
In collaboration with the PAC chair, the department head ensures that the department has developed the **"**Departmental Standards and Criteria Document" that is compatible with University Guiding Standards, the Faculty Handbook, and university policies and procedures. The department head conducts an Annual Review (see Section 3.13) of all probationary, tenured, term (1-4), and renewable term faculty. Heads review adjunct faculty with appointments of 50% or more during their first year, every sixth semester, and when seeking promotion. Heads may choose to review adjunct faculty with appointments below 50%. See Table 3.1h and Section 3.12 Calendar for a timeline of activities related to the department head's review of faculty.

For promotion and tenure cases, the department head provides a recommendation to the dean. The department head will provide specific written rationale to the PAC and dean when an evaluative decision is contrary to the PAC's recommendation.

The department head ensures that an electronic copy of all official documents utilized in the evaluation process is accessible to all faculty members. These documents include the "Faculty Handbook," "Departmental Standards and Criteria Document" and "Professional Assessment Committee Procedures Document". In the spring semester, the department head will distribute a communication requesting nominations or self-nominations for promotion and/or tenure to be received by April 30 for the next academic year. The department head is responsible for assuring that the materials in the Faculty Evaluation File are made available to the PAC during regular business hours and that all materials remain in the office or alternative assigned location.

Subdivision 3.2d College Review Committee (CRC)
The department head and one PAC chair from each department shall serve on a College Review Committee (CRC), chaired by the dean. The CRC is responsible for facilitating collaboration across faculty and administration regarding evaluation processes and standards around the college. The CRC ensures quality, consistency, equity, and compatibility of the Departmental Standards and Criteria Document and PAC procedures with the University Guiding Standards, the Faculty Handbook, university policies and procedures, and applicable accreditation requirements. The CRC does not review individual faculty materials for the purposes of tenure and promotion. The CRC is to meet a minimum of one time per year, preferably in spring, to review all official documents utilized in the evaluation process, including any changes proposed by department faculty members, PACs or administrators.

Subdivision 3.2e Deans
Each dean will conduct an independent review of probationary faculty, term (1-4) – (promotion only), renewable term faculty, and faculty seeking promotion and/or tenure, by examining the Faculty Evaluation File. Each dean provides a recommendation to the Provost.

Typically, the dean provides a final decision for 1st, 2nd, 4th, or 5th year probationary, term (1-4) - (promotion only), renewable term, and adjunct faculty review, unless there is an action case for termination. In cases where the decision of the dean varies from the recommendation of the department head or PAC's, the dean will consult with the Provost and provide a written rationale to the department head and PAC.

Subdivision 3.2f Provost

The Provost, in consultation with the deans and associate provosts, conducts an independent review of probationary faculty (third-year or promotion/tenure); term (1-4) and renewable term faculty (promotion only); and faculty recommended for termination. The following materials will be utilized by the deans, associate provosts, and Provost to review:

- Probationary Summary Cover Sheet (original)
- Letter of Offer
- Current Curriculum Vitae
- Faculty Narrative (for Promotion and Tenure and 3rd-Year Review)
- Statement of Teaching/Librarianship Philosophy
- PAC Letter (minority report, if applicable)
- Department Head Letter
- External Letters if available or required

The Provost may review additional materials as needed within the Faculty Evaluation File.

Typically, the Provost does not participate in 1st, 2nd, 4th, or 5th year probationary faculty reviews, unless the dean has recommended termination. The Provost does not participate in evaluations of term (1-4), renewable term, or adjunct faculty members, except in the case of a term (1-4) or renewable term faculty seeking promotion. The Provost will provide specific written rationale to the dean, department head and PAC when an evaluative decision for promotion or tenure is contrary to the dean's recommendation.

Subdivision 3.2g Board of Regents

The Board of Regents/State of Iowa is responsible for the final approval for tenure and/or promotion decisions for probationary and tenured faculty members.

Section 3.3 Conflicts of Interest

Faculty members shall be treated and evaluated on individual merit, and such evaluation shall be free of conflicts of interest that compromise these principles by the real or perceived possibility of preferential treatment based on family or personal relationships. While it is not possible to define all potential conflicts of interests, examples include individuals connected to the evaluatee by blood or adoption, by a current or former marriage or domestic partnership, by a romantic, sexual or other consensual relationship that may give the appearance of favoritism, or where the faculty members were adverse parties in an internal complaint, grievance, or legal action. Where a potential conflict of interest may exist, the evaluating faculty member must notify their dean of the potential conflict and may choose to recuse themselves from the PAC review. If the faculty member chooses not to recuse themselves from the evaluation, their dean, in consultation with the Associate Provost for Faculty, will determine whether a conflict of interest exists. If it is determined that a conflict of interest exists, the evaluating faculty member will not be permitted to evaluate the other faculty member.

Section 3.4 Faculty Evaluation Files[7]

An electronic Faculty Evaluation File (including boxes or binders for action cases) shall be maintained for each tenured, probationary, term (1-4), renewable term, and adjunct (temporary) faculty member. The Faculty Evaluation File serves to annually and cumulatively document a faculty member's productivity in the areas of teaching, scholarship, and service as applicable and according to an individual's Portfolio. The departmental Professional Assessment Committee (PAC) will use the Faculty Evaluation File to conduct its assessment of faculty. No separate or duplicated evaluation (or "PAC") file will be created or maintained for the purposes of evaluation.

Subdivision 3.4a Faculty Evaluation File Access

The Faculty Evaluation File shall be located and secured in the assigned departmental office or in a protected electronic faculty portal with controlled access. Faculty may add materials to their Faculty Evaluation File with the approval of the department head. Bulky materials, which are still

[7] There are no separate "PAC Files."

considered part of the Faculty Evaluation File, may be located physically outside the file proper, provided a record of the material is included within the file. Department or University offices have the option of maintaining select documentation by providing protected and proper storage or databases for approved access for reviews in electronic format. PAC members may have access to the Faculty Evaluation Files only during evaluation time periods.

Subdivision 3.4b Faculty Evaluation File (including portfolios) Contents

The following materials shall be included in all departmental Faculty Evaluation Files. Additional categories of materials may be created as needed in specific departments, as applicable, upon agreement of the PAC and department head, and documented in the Professional Assessment Committee Procedures Document.

Paragraph 3.4b.1 Formal Letters and Documents

A. Summary Cover Sheet (Probationary or Promotion)
B. Letter of Offer
C. Position Description (or job requisition)
D. Updated Annual Curriculum Vitae
E. Faculty Narrative Document (see Section 3.10) / Post-Tenure Review Summary (See Paragraph 3.16e.1 and 3.16f.1)
F. Annual Goals and Reflection; Annual Faculty Activity Reports (previous)
G. MOUs Related to Course Reassignments and Differentiated Portfolios
H. Approval Notification(s) Documented on Cover Sheet that the **Faculty Request to Suspend the Probationary Tenure/Promotion Clock** or **Faculty Request to Extend the Probationary Period for a Seventh Year**. (See Forms Repository) These files shall not include confidential information.
I. Department Head Evaluation Letters
J. PAC Evaluation Letters, including PAC Minority Reports
K. External Letters (if available or required)
L. Dean and Provost Evaluation Letters
M. Professional Development Assignment Letters
N. Post-Tenure Review Reports (See Paragraph 3.16e.2 and 3.16f.2)

Paragraph 3.4b.2 Evidence of Teaching or Librarianship

A. Statement of Teaching or Librarianship Philosophy
B. Syllabi (see Subdivision 3.5f)
C. Teaching or Librarianship Artifacts
D. Student Assessment Results (see Subdivision 3.5d)
E. Teaching or Librarianship Awards or Nominations Received
F. Other Evidence of Teaching or Librarianship Effectiveness

Paragraph 3.4b.3 Evidence of Scholarship

A. Research Agenda (may be optional or required as per Departmental Standards and Criteria Document)
B. Peer-Reviewed Publications/Products
C. Documentation Related to Peer Review
D. Papers/Products under Review
E. Papers/Products in Progress
F. Creative Activities, Including But Not Limited to Performances, Compositions, Exhibits, and Installations
G. Scholarly Awards or Nominations Received
H. Other Evidence of Scholarship

Paragraph 3.4b.4 Evidence of Service

A. Documentation of Service Activity: Departmental, College, University
B. Documentation of Service to the Profession
C. Documentation of Community Service
D. Service Awards or Nominations Received
E. Other Evidence of Service Activity

Paragraph 3.4b.5 Supplemental and Other Materials

A. Supplemental Files
B. Miscellaneous
C. Outdated Files (e.g. old CVs, old drafts, etc.)

Subdivision 3.4c Faculty Evaluation File Material Removal

A faculty member may request in writing removal of any item in the file. The written request shall also contain a rationale for the requested removal. If the dean and the Provost or designee agree, the item shall be removed from the Faculty Evaluation File. If the dean and the Provost deny the request for removal, they will notify the faculty member in writing within thirty (30) days from the date of the written request including reasons for the denial. For purposes of this section, days shall mean class days during the regular academic year.

Subdivision 3.4d Response to File Material

Faculty members may write responses to materials in the Faculty Evaluation File, which shall be included in the same folder as the related report and become part of the file.

Subdivision 3.4e Faculty Member Review of Faculty Evaluation File

Each faculty member shall have the right to review the contents of their Faculty Evaluation File (including former boxes/binders, if applicable) during regular business hours, or at such other time as mutually agreed upon with the department head. The faculty member may scan (at no charge) or copy (at their expense) their file upon request.

Subdivision 3.4f Professional Assessment Committee Access

When a faculty member is assessed by a departmental Professional Assessment Committee (PAC), members of the committee or subcommittee shall have the right to review the contents of the faculty member's Faculty Evaluation File on request to the department head. Reviews shall occur during regular business hours in the departmental office or in a location specified, or at such other time as mutually agreed upon with the department head. The PAC chair is permitted to take former paper files, as applicable, to a regularly scheduled PAC meeting. Files removed from the departmental office shall be signed out and back in and returned by the end of the normal business day.

Subdivision 3.4g Materials Removal upon the End of Employment at UNI

Faculty may request the return of their original materials, such as books, upon the end of their employment by making a written request to the department head within 30 days of the conclusion of their employment. Removal of original materials from the Faculty Evaluation File must be documented by the department and summarized in writing to the faculty member and memorialized in the file.

Subdivision 3.4h Maintaining Copies

Faculty should maintain copies of their Faculty Evaluation File materials for their own records.

Section 3.5 Materials and Methods for Measuring Faculty Performance in Teaching

Teaching effectiveness will be evaluated and documented through multiple methods in order to provide a comprehensive representation of a faculty member's teaching performance. Faculty members shall document their teaching performance through required and optional artifacts placed in their Faculty Evaluation File, as specified below, and documented as part of the annual university-Faculty Activity Reporting (u-FAR) materials. Artifacts include, but are not limited to, syllabi, sample assignments, sample lectures, in-class activities, sample exams, or sample projects. Documents shall be succinct and well organized with each component clearly identified.

Subdivision 3.5a Required versus Optional Teaching Components

The Departmental Standards and Criteria Document must include all of the required components, as delineated in Subdivision 3.5b through Subdivision 3.5f, for the evaluation of teaching. Optional components may also be included. Departments shall consider any additional optional components that a faculty member chooses to include in the teaching portfolio, that is part of the Faculty Evaluation File, as evidence of teaching performance.

Subdivision 3.5b Required Component: Annual Goals and Reflection

All faculty shall develop annual goals, in consultation with the department head, for teaching (see Subdivision 3.7b for annual goals pertaining to scholarship, and Subdivision 3.8b for goals about service). Annual goals should be succinct and substantive. The annual goals are discussed between the faculty member and the department head each fall for the purposes of discussing the faculty member's portfolio and professional development, as well as allocation of resources (see Subdivision 3.13f Annual Meeting with Department Head). The faculty member may request the PAC chair to participate in the meeting. Faculty should reflect annually on achieving these goals, feedback from teaching observations (see Subdivision 3.5c), student assessments (see Subdivision 3.5d), and faculty development efforts (if pursued). Faculty members should respond to accomplishments or concerns outlined in annual reviews and student assessments.

Faculty shall provide annually a reflection on student assessments and their teaching, scholarship, and service in their Annual Goals and Reflection. This reflection shall connect student assessments to the faculty member's statement of teaching philosophy or specific aspects of teaching, and it shall document specific actions taken to improve teaching in response to feedback from assessments. Faculty reflection may also contextualize student assessments, for example, by connecting them to the level of the course (e.g., lower- versus upper-division/level), curricular needs being met by the course (e.g., general education students versus majors only), rigor of the course, and other relevant factors. Faculty may also reflect on other aspects of their teaching in this part of annual u-FAR.

For third-year probationary and all promotion, tenure, or Post-Tenure Review cases, faculty will reflect cumulatively on all years since their last review by preparing a Faculty Narrative (see Section 3.10).

Subdivision 3.5c Required Component: Observations for Probationary, Term (1-4) and Renewable Term Faculty, and Action Cases

Department heads and PACs (according to their PAC Procedures) shall conduct annual teaching observations of probationary, term (1-4) and renewable term faculty, and for action cases (e.g., when faculty members are applying for tenure and/or promotion or undergoing comprehensive Post-Tenure Review). Results must be summarized in department head reviews and the PAC reviews.

PACs may opt to conduct some peer teaching observations in the spring semester in advance of their reviews of faculty for the following fall semester, according to PAC procedures and for cases in which certain courses are only taught by faculty in the spring semester. Department heads, deans, Provost, or Provost's Designee may observe any faculty throughout the academic year.

Paragraph 3.5c.1 Observation Training

It is recommended that individuals engaging in peer observation be trained in conducting and reporting effective peer observation by PAC members or through the Center for Excellence in Teaching and Learning (CETL) before observing any classes.

Paragraph 3.5c.2 Observations by Pedagogy Experts

Additional trained observers with expertise in a variety of pedagogies are available through CETL to assess pedagogy and facilitate faculty development in teaching. Faculty members may optionally solicit observations by a CETL expert in pedagogy for a summary report to be included in their Faculty Evaluation File or for informational purposes only. Pedagogy observers cannot review disciplinary content or knowledge. Observations by pedagogy experts shall not be used in place of observations by faculty with disciplinary expertise.

Paragraph 3.5c.3 Observations of Online, Hybrid, or Distance Education Courses

Online, Hybrid, or Distance Education courses shall be observed by department heads and PAC members through becoming a guest in the class or reviewing available course organizational and delivery practices, as well as instructional materials. Department heads or PACs may also request copies of documents or recorded lectures utilized in teaching the courses.

Paragraph 3.5c.4 Forms for Peer Observation

Departments may develop forms for documenting peer observation.

Subdivision 3.5d Required Component: Student Assessments

Student assessments are one tool for faculty to use for a self-assessment of their teaching performance, and shall be used formatively to improve teaching and student learning. Student assessments best measure students' perceptions of the clarity of delivery of material and content, classroom logistics and organization (e.g., timeliness of the professor), course organization, effectiveness of communication, professor availability, or the professor's influence on students. Student assessments do not typically measure effectively the appropriateness of course objectives, knowledge of the discipline, or suitability of assessment procedures. Student assessments may not be reliable if the response rate is too low. In keeping with the University Standards and Guidelines, faculty shall reflect on the feedback provided by students and how they can improve their teaching and student learning in their Annual Goals and Reflection as part of annual u-FAR materials.

Paragraph 3.5d.1 Frequency and Access

Student assessments will be administered each semester/term for all faculty. A summary of the results of student assessments of a faculty member shall be transmitted to the faculty member within ten (10) working days after the date grades are required to be submitted each semester. Results are to be placed in the Faculty Evaluation File. Tenured faculty have the choice of whether or not to include Spring assessment results in their Faculty Evaluation File. Before the semester/term ends, a tenured faculty member should inform their department head or designee via email if designating their Spring results for informational purposes only. Otherwise, Spring student assessment results for tenured faculty will automatically be placed in their Faculty Evaluation File.

In the event that certain non-standard teaching assignments are determined by the departmental faculty and department head to be exempt from student assessments, those activities will be specified in the Departmental Standards and Criteria.

Paragraph 3.5d.2 Interpretation

Department heads and PACs should focus their evaluation of student assessments on the faculty member's meaningful and documented use of the assessments for the purpose of improvement in teaching and learning over time. PACs, department heads, and deans shall interpret results of student assessments in the context of the response rate, other data sources (e.g., course artifacts, faculty observations), and the self-reflection documentation which must demonstrate the way in which teaching and student learning has been improved as a result of the feedback from the assessments. The faculty member has the opportunity to consider and analyze the student assessments in their Annual Goals and Reflection as part of annual u-FAR materials.

Paragraph 3.5d.3 Bias

Student comments regarding a faculty member's status in a protected class shall not be used to evaluate faculty.

Subdivision 3.5e Required Component: Teaching Philosophy

All faculty members shall develop a succinct statement of their teaching philosophy, not to exceed two pages single spaced in a minimum of 11-point font. The teaching philosophy, located within the Faculty Evaluation File, should be updated periodically if the faculty member's philosophy changes across time.

Subdivision 3.5f Required Component: Syllabi

Faculty shall submit syllabi with learning outcomes for all classes they are teaching at the beginning of each semester to their department head or designee. Learning outcomes should be connected to the learning goals of the program (e.g., General Education, Major, etc.). Learning outcomes for multiple sections of the same course should be consistent and included in each syllabus; additional outcomes for a particular section can be added. Learning outcomes for undergraduate courses shall differ from the graduate outcomes, which include a higher level of learning (e.g., Bloom's Taxonomy) or a more advanced engagement with the content. The syllabi should state the faculty member's student/office hours. See Appendix C Syllabi.

Subdivision 3.5g Optional Component: Professional Development

Faculty are encouraged to participate in professional development activities (e.g., CETL Faculty Teaching Certificate Program, CETL Small Group Instructional Diagnosis (SGID), Teaching Mentorship, Discipline-based Training/Conferences, etc.) to enhance their teaching and curriculum development. Professional development activities are to be documented as part of annual u-FAR materials.

Subdivision 3.5h Optional Component: Other Evidence

Departments may wish to develop additional forms of evidence to document teaching evaluation or additional methods of evaluating teaching performance. These additional forms of evidence should be described in the Departmental Standards and Criteria document. Departments shall consider any additional optional components that a faculty member chooses to document as part of annual u-FAR materials or Faculty Evaluation File as evidence of teaching performance.

Section 3.6 Materials and Methods for Measuring Faculty Performance in Librarianship

Librarianship effectiveness will be evaluated and documented through multiple methods in order to provide a comprehensive representation of a library faculty member's overall performance. Library faculty shall document their librarianship accomplishments in their Faculty Evaluation File, consisting of required and optional artifacts. Librarianship portfolios shall be succinct and well organized with each component clearly identified.

Section 3.7 Materials and Methods for Measuring Faculty Performance in Scholarship

Scholarship is reviewed for its quality and meaningful impact. Peer review is the process for validating the quality and meaningful impact of scholarship by disciplinary peers. Scholarship effectiveness will be evaluated and documented through multiple methods in order to provide a comprehensive representation of a faculty member's overall performance.

Subdivision 3.7a Required Components: Portfolio, u-FAR and Vitae

Faculty shall document their scholarship accomplishments through required and optional artifacts placed in their Faculty Evaluation File and submission of annual u-FAR materials, including the Vitae. Artifacts include but are not limited to creative works, published articles or books, scholarly projects in progress or in press, recordings, videos, compositions, or other projects. Departments may choose to evaluate additional dimensions of scholarship. Those criteria shall be documented in the Departmental Standards and Criteria Document for faculty evaluation. Artifacts are succinct and well organized with each component clearly identified.

Probationary faculty contribute to scholarship (see expectations related to scholarship and specific to types of review in the University Guiding Standards in Table 3.11b). Some renewable term and term (1-4) faculty may have scholarship included in their portfolio when described in their letter of offer or through assignment by the department head. Scholarship portfolios shall be succinct and well organized with each component clearly identified or labeled.

Subdivision 3.7b Required Component: Annual Goals and Reflection

Faculty shall develop annual goals, in consultation with their department head, for scholarship. Annual goals should be succinct and substantive, and documented as part of annual u-FAR materials. The annual goals are discussed between the faculty member and the department head each fall. Faculty should reflect annually on achieving these goals. Faculty members should respond to accomplishments or concerns outlined in yearly reviews.

Subdivision 3.7c Definition of Traditional Peer Review

Traditional peer review of scholarship involves the review of specific works, articles, grants (funded or non-funded), or projects by colleagues, often anonymous, with expertise in the utilized methodologies and/or content area. In the case of creative work, peer review includes review by jury or equivalent professional organization or disciplinary experts.

Subdivision 3.7d Additional Forms of Peer Review for Tenured Faculty

The university acknowledges that additional forms of peer review of a specific work, article, or project are available for all tenured faculty and for probationary faculty when deemed appropriate by the department as specified in the Departmental Standards and Criteria Document. When peer review by disciplinary experts is intrinsic to the process of disseminating scholarship or receiving

substantial public recognition for scholarly achievement, the university accepts that peer review process as validating the appropriate quality and meaningful impact of the scholarship. Examples include, but are not limited to, receiving a major external grant that underwent peer review, editor-reviewed trade press, being invited by colleagues to present scholarship as an expert at a prestigious professional conference or performance/exhibit, or winning an award for achievement in scholarship from colleagues. Faculty members must document the peer-review process in their Faculty Evaluation File, including external confirmation (e.g., copy of the peer-review process as printed on the organization's website, reviewer comments, or a letter from the editor inviting a contribution to a book because of one's expertise).

Some high-quality and meaningful scholarship within the tenured faculty member's discipline may not have a peer-review process intrinsic to its dissemination or recognition. In order to recognize these additional forms of scholarship for the purposes of annual review, Post-Tenure Review, or promotion, departments shall develop a peer-review process to assess that scholarship is making use of the faculty member's disciplinary expertise, is of acceptable quality, and has a meaningful impact. Additionally, departments may choose to include integration or application scholarship for probationary faculty in their Departmental Standards and Criteria Documents. Such a process must be documented in the Professional Assessment Committee Procedures Document in writing and include all of the following elements:

A. Faculty engaged in scholarship without an intrinsic peer-review process must submit a request for approval to their department head and PAC chair in writing for consideration of their work for evaluation purposes. The request must document the faculty member's contribution to the product, as well as the work's scope, quality, and impact.
B. Faculty members shall provide a list, according to applicable PAC procedures, of disciplinary experts who can assess the scope, quality, and impact of the work.
C. The department head and the PAC chair shall select disciplinary expert(s), according to applicable PAC procedures, to assess the work's scope, quality, and impact.
D. Additionally, departments or faculty members may solicit constituencies outside of the academic discipline to assess the work's scope, quality, or impact. For example, a faculty member may solicit a letter from a community organization attesting to the influence of a curriculum the faculty member developed, or a department head may solicit feedback from a nonprofit director about the benefits of a program review performed by a faculty member.

Subdivision 3.7e Additional Methods

Departments may develop additional methods for assessing the quality or meaningful impact of a particular piece of scholarship. Any such methods must be in the Departmental Standards and Criteria Document. Departments may not create review methods which preference one type of scholarship over another for tenured faculty.

Subdivision 3.7f Peer Review of Scholarship Portfolios for Action Cases

Colleges or departments may require peer review of a faculty member's entire scholarship portfolio for the purposes of tenure or promotion. Specific criteria shall be documented in the Departmental Standards and Criteria Document and specific procedures should be documented in the Professional Assessment Committee Procedures Document.

Section 3.8 Materials and Methods for Measuring Faculty Performance in Service

Service effectiveness will be evaluated and documented through multiple methods in order to provide a comprehensive representation of a faculty member's contributions or accomplishments. The definition of service appears in Chapter 4 of this handbook.

Subdivision 3.8a Required Components: Portfolio, u-FAR and Vitae

Faculty shall document their service accomplishments in their Faculty Evaluation File, and as part of annual u-FAR materials, including the Vitae. This documentation should be according to the faculty member's role (including any leadership role), level of participation, and meaningful contributions. Service activities, including those completed at the university, for the profession, or community, should all be similarly documented.

Probationary, renewable term, and term (1-4) faculty contribute to service at levels appropriate for their appointments (see expectations related to service and specific to the types of review in the

University Guiding Standards). Service portfolios shall be succinct and well organized with each component clearly identified or labeled.

Subdivision 3.8b Required Component: Annual Goals and Reflection

Faculty shall develop annual goals, in consultation with their department head, for service. Annual goals should be succinct and substantive, and documented as part of annual u-FAR materials. The annual goals are discussed between the faculty member and the department head each fall. Faculty should reflect annually on achieving these goals. Faculty members should respond to accomplishments or concerns outlined in yearly reviews.

Subdivision 3.8c Additional Methods

Departments may develop additional methods for assessing the quality or meaningful impact of service activity. Any such methods must be in the Departmental Standards and Criteria Document.

Section 3.9 Oral Communication

Please see the Board of Regents policy 3.21 English Language Proficiency (Oral Communication Competence), as per Iowa Code 262.9(24).

Section 3.10 Faculty Narrative for Promotion/Tenure Cases or Third-Year Reviews

Faculty are required to submit a Faculty Narrative document in their Faculty Evaluation File on or before October 15 when seeking promotion and/or tenure, and during the year three probationary review period. The narrative should be no more than five pages in length, single spaced in no smaller than 11-point font. This is distinct from the Annual Goals and Reflection component of annual u-FAR materials referenced in Section 3.5b. The narrative shall provide an overview of faculty performance during the period under review (for third-year probationary faculty and faculty seeking tenure or promotion to associate professor, this period includes all years since their hiring; for promotion to professor, this period includes all years since their last review), with an eye toward explaining how they have met (or in the case of third-year reviews, how they are making progress toward meeting) cumulative Departmental Standards and Criteria in teaching, scholarship, and service, respectively. Faculty shall address strengths, progress made, and areas in need of improvement in teaching*, scholarship, and service during the period under review. Future directions in all three areas shall be noted as well.

Faculty shall complete their Faculty Reflection as part of annual u-FAR materials (see Subdivision 3.5b) and the Faculty Narrative document (if applicable) in order to Meet Expectations or Exceed Expectations in Teaching.

Section 3.11 University Guiding Standards for Teaching, Librarianship, Scholarship, and Service

University Guiding Standards provide broad, guiding standards to departments for evaluating faculty performance annually and cumulatively for promotion, tenure, or Post-Tenure Review. The Departmental Standards and Criteria Document should specify criteria for faculty performance regarding particular operationalization of the University Guiding Standards, including expected products/contributions/measures of productivity, their extent (e.g., how many), their frequency, and other important dimensions, for annual review, tenure and/or promotion, and Post-Tenure Review. The Departmental Standards and Criteria for Faculty Evaluation must be consistent with the University Guiding Standards and methods for measuring as documented in Chapter 3 of this Handbook.

Tables 3.11a, 3.11b, 3.11c, and 3.11d below document University Guiding Standards which Meet Expectations, Exceed Expectations, and Need Improvement for each area of faculty performance (teaching, scholarship, service, and librarianship) by faculty rank and portfolio. Although there may be disciplinary differences which render some expectations more or less important or moot in a particular circumstance documented in the Departmental Standards and Criteria for Faculty Evaluation, the “Meets Expectations” rows document comprehensive standards, all of which should generally apply to faculty. The “Exceeds Expectations” and “Needs Improvement” rows offer examples and are therefore inclusive but not exhaustive.

Table 3.11a University Guiding Standards: Teaching

Rating	Probationary Faculty Term (1-4) Renewable Term Instructors Assistant Adjunct Professors	Tenured Faculty, Any Rank w/ a Standard Portfolio Associate Professor of Instruction Professor of Instruction Associate Adjunct Professors Senior Adjunct Professors	Tenured Faculty of Any Rank with an Extended Teaching Portfolio
Meets Expect-ations	▪ Teaching reflects rich **content knowledge** of the discipline. ▪ Teaching fosters **critical thinking**. ▪ **Communicates and provides feedback** related to instruction to students in a timely manner. ▪ **Instructional design and delivery** contribute to course and program objectives, goals, and/or outcomes. ▪ Course **syllabi** provide clear and comprehensive information about the course, structure, evaluation methods and course-level student learning outcomes. ▪ Assignments and/or activities used for **assessing student work** (e.g., projects, exams) contribute to course and program learning goals or outcomes. ▪ Active and meaningful participation in **faculty development** regarding teaching or learning (e.g., staying abreast of the literature, conferencing, CETL workshops). ▪ Thoughtful **self-assessment and reflection** on teaching which inform teaching practice (see Paragraph 3.5d.2).	▪ Teaching reflects rich **content knowledge** of the discipline. ▪ Teaching fosters **critical thinking**. ▪ **Communicates and provides feedback** related to instruction to students in a timely manner. ▪ **Instructional design and delivery** contribute to course and program objectives, goals, and/or outcomes. ▪ Course **syllabi** provide clear and comprehensive information about the course, structure, and evaluation methods, and course-level student learning outcomes. ▪ Assignments and/or activities used for **assessing student work** (e.g., projects, exams) contribute to course and program learning goals or outcomes. ▪ Active and meaningful participation in **faculty development** regarding teaching or learning (e.g., staying abreast of the literature, conferencing, CETL workshops). ▪ Thoughtful **self-assessment and reflection** on teaching which inform teaching practice.[2]	▪ Teaching reflects rich **content knowledge** of the discipline. ▪ Teaching fosters **critical thinking**. ▪ **Communicates and provides feedback** related to instruction to students in a timely manner. ▪ **Instructional design and delivery** contribute to course and program objectives, goals, and/or outcomes. ▪ Course **syllabi** provide clear and comprehensive information about the course, structure, and evaluation methods, and course-level student learning outcomes. ▪ Assignments and/or activities used for **assessing student work** (e.g., projects, exams) contribute to course and program learning goals or outcomes. ▪ Active and meaningful participation in **faculty development**, which contributes substantially to teaching practices (e.g., staying abreast of the literature, conferencing, CETL workshops). ▪ Sustained **self-assessment and reflection** on teaching inform teaching practice and improved teaching and learning.[2] ▪ Innovation in course design, curriculum development, teaching or learning. ▪ **Leadership** in curriculum or faculty development around teaching or learning. ▪ Sustained engagement with the **scholarship** of teaching and learning or best practices.
Rating	**Probationary Faculty**	**Tenured Faculty, Any Rank w/ a Standard**	**Tenured Faculty of Any Rank with an Extended**

	Term (1-4) **Renewable Term Instructors** **Assistant Adjunct Professors**	**Portfolio** **Associate Professor of Instruction** **Professor of Instruction** **Associate Adjunct Professors** **Senior Adjunct Professors**	**Teaching Portfolio**
Exceeds Expect-ations	▪ Extensive participation in faculty development, which contributes substantially to teaching practices. ▪ Substantial **innovation** in course design, curriculum development, teaching or learning. ▪ **Substantial leadership** in curriculum or faculty development around teaching or learning. ▪ Contributes to the knowledge or practice of **pedagogy** within the field or university. ▪ Receives substantial student, peer, or disciplinary **recognition** for teaching excellence or contribution to teaching or curriculum. ▪ **Widespread adoption** of teaching curriculum or pedagogy out in the field.	▪ Extensive participation in faculty development, which contributes substantially to teaching practices. ▪ Substantial **innovation** in course design, curriculum development, teaching or learning. ▪ **Substantial leadership** in curriculum or faculty development around teaching or learning. ▪ Contributes to the knowledge or practice of **pedagogy** within the field or university. ▪ Receives substantial student, peer, or disciplinary **recognition** for teaching excellence or contribution to teaching or curriculum. ▪ **Widespread adoption** of teaching curriculum or pedagogy out in the field.	▪ Extensive **leadership** in curriculum or faculty development around teaching or learning. ▪ Receives peer recognition for substantial **innovation** in course design, curriculum development, teaching or learning. ▪ Receives substantial student, peer, or disciplinary **recognition** for teaching excellence or contribution to teaching or curriculum. ▪ **Widespread adoption** of teaching curriculum or pedagogy out in the field.
Needs Improve-ment	▪ Excessive class cancellations or late arrivals. ▪ Instructional design, delivery, or assessment of student work is weak, misaligned with course/program objectives, fails to deliver content knowledge, or fails to foster critical thinking. ▪ No or superficial self-assessment or reflection. ▪ No or inadequate syllabi. ▪ Does not participate in faculty development related to teaching or learning, or fails to use it to inform meaningful pedagogical practices.	▪ Excessive class cancellations or late arrivals. ▪ Instructional design, delivery, or assessment of student work is weak, misaligned with course/program objectives, fails to deliver content knowledge, or fails to foster critical thinking. ▪ No or superficial self-assessment or reflection. ▪ No or inadequate syllabi. ▪ Does not participate in faculty development related to teaching or learning, or fails to use it to inform meaningful pedagogical practices. ▪ Does not participate in faculty development or provide constructive contributions around teaching or learning. ▪ Does not demonstrate any leadership regarding curriculum, teaching, or learning.	▪ Excessive class cancellations or late arrivals. ▪ Instructional design, delivery, or assessment of student work is weak, misaligned with course/program objectives, fails to deliver content knowledge, or fails to foster critical thinking. ▪ No or superficial self-assessment or reflection. ▪ No or inadequate syllabi. ▪ Does not participate in faculty development related to teaching or learning, or fails to use it to inform meaningful pedagogical practices. ▪ Does not demonstrate leadership regarding curriculum, teaching, or learning. ▪ No innovation or experimentation in teaching practices. ▪ Does not engage with the scholarship of teaching and learning or best practices.

Table 3.11b University Guiding Standards: Scholarship (also see Section 4.3, 4.4, 4.5, and Departmental Standards & Criteria)

Rating	Probationary Faculty	Tenured Faculty of Any Rank with Standard Portfolio	Tenured Faculty of Any Rank with an Extended Teaching Portfolio
Meets Expectations	▪ Reflects a rich **knowledge** of one's field. ▪ Demonstrates methodological, intellectual, or creative **rigor**. ▪ Demonstrates intellectual or creative **independence**. ▪ Demonstrates regular and sustained productivity, which has undergone traditional peer review (and/or other forms of peer review as appropriate to the field). ▪ Makes a meaningful **contribution** or impact through discovery (and/or integration or application as appropriate to the field). ▪ Expectations align with workload, including differentiated portfolios (e.g., course reassignments or reduced service expectations for specialization in scholarship).	▪ Reflects a rich **knowledge** of one's field. ▪ Demonstrates methodological, intellectual, or creative **rigor**. ▪ Demonstrates intellectual or creative independence ▪ Demonstrates **regular** or **sustained** productivity, which will lead to peer review as defined in Section 3.7. ▪ Makes a meaningful **contribution** or impact through discovery, integration, or application. ▪ Expectations align with workload, including differentiated portfolios (e.g., course reassignments or reduced service expectations for specialization in scholarship).	▪ **Stays abreast of developments** within one's field. ▪ Uses scholarship by self or others to **inform teaching**. ▪ Engages in some scholarship/creativity activity by: producing scholarship of any type, participating in conferences/productions/ performances, using expertise in service, engaging in scholarship-oriented faculty development, submitting grants, or other activity appropriate to one's field.
Exceeds Expectations	▪ **Substantial collaboration with students**, which results in peer-reviewed products (e.g., articles, conference presentations, exhibits, performances). ▪ Securing a major competitive **grant**. ▪ Publishing or performing in a very highly regarded venue or with major, lasting impact to the field. ▪ Extremely high or extensive scholarly or creative output. ▪ Receives substantial national peer or disciplinary **recognition** for scholarly/creative contribution.	▪ **Substantial collaboration with students**, which results in peer-reviewed products (e.g., articles, conference presentations, exhibits, performances). ▪ Securing a major competitive **grant**. ▪ Publishing or performing in a very highly regarded venue or with major, lasting impact to the field, university, or community. ▪ Extremely high or extensive scholarly or creative output. ▪ Receives substantial national peer, disciplinary, or community **recognition** for scholarly/creative contribution.	▪ Substantial scholarly/creative **collaboration with students**. ▪ Demonstrates **regular** or **sustained** productivity, which has undergone peer review as defined in Section 3.7. ▪ Receives peer, disciplinary, university, or community **recognition** for scholarly/creative contribution. ▪ **Routine or sustained** scholarly or creative output.
Needs Improvement	▪ Peer review does not meet criteria. ▪ Lacks rigor. ▪ No or too few peer-reviewed products. ▪ Found to have engaged in research misconduct. ▪ Does not demonstrate any intellectual or creative independence. ▪ Substandard quality.	▪ Peer review does not meet criteria. ▪ Lacks rigor. ▪ No or too few peer-reviewed products as defined in Section 3.7. ▪ Found to have engaged in research misconduct. ▪ Substandard quality.	▪ Does not stay abreast of developments within one's field. ▪ Found to have engaged in research misconduct. ▪ Teaching is not informed by scholarship. ▪ No engagement with scholarship.

Table 3.11c University Guiding Standards: Service

Rating	Term (1-4) Instructors Renewable Term Instructors Adjunct Professors of Any Rank (as applicable)	Probationary Faculty Associate Professor of Instruction Professor of Instruction	Tenured Faculty of Any Rank
Meets Expect-ations	▪ **Active participation** in service to the department, as specified in offer letter. ▪ **Active participation** in service to the college, university, discipline, or broader community, as specified in offer letter. ▪ **Meaningful contributions** to processes or products of service. ▪ Expectations align with workload, including specially assigned differentiated portfolios (e.g., course reassignments for service).	▪ **Active participation** in service to the department. For term (1-4), renewable term, and adjuncts, as specified in offer letter. ▪ **Active participation** in service to the college, university, discipline, or broader community. For term (1-4), renewable term, and adjuncts, as specified in offer letter. ▪ **Meaningful contributions** to processes or products of service. ▪ **Service growth** over the course of the probationary period for faculty with reduced service expectations at the beginning. ▪ Expectations align with workload, including specially assigned differentiated portfolios (e.g., course reassignments for service).	▪ **Active participation** in service to the department. ▪ **Active participation** in service to the college, university, discipline, or broader community. ▪ **Meaningful contributions** to processes or products of service. ▪ Demonstrates **leadership** in service. ▪ Expectations align with workload, including specially assigned differentiated portfolios (e.g., course reassignments for service).
Exceeds Expect-ations	▪ Contributing service above or beyond that specified in offer letter. ▪ Receives substantial peer, disciplinary, or community **recognition** for service. ▪ Meaningful **participation** in program review and/or student outcome assessment.	▪ Widespread service or **extensive service** in multiple areas (may include discipline or broader community). ▪ Demonstrates substantial **leadership** in service. ▪ **Critical and constructive contributions** to major service projects. ▪ Substantial **mentorship** of students or colleagues. ▪ Receives substantial peer, disciplinary, or community **recognition** for service. ▪ Meaningful **participation** in program review and/or student outcome assessment.	▪ Sustained widespread service or **extensive service** in multiple areas. ▪ Demonstrates substantial, sustained **leadership** in service. ▪ **Critical and constructive contributions** to major service projects. ▪ Substantial **mentorship** of students or colleagues. ▪ Receives substantial peer, disciplinary, or community **recognition** for service. ▪ Meaningful **participation** in program review and/or student outcome assessment.
Needs Improve-ment	▪ Weak or no constructive service as specified in offer letter.	▪ Weak or no constructive participation or contributions in department, college, or university service. ▪ Does not grow in service over time.	▪ Weak or not broadly enough participation in service. ▪ Participation is not active or does not contribute meaningfully. ▪ Never or rarely demonstrates leadership.

Table 3.11d University Guiding Standards: Librarianship (for Library Faculty)

Rating	Probationary Faculty Term (1-4) Renewable Term Instructors Assistant Adjunct Professors	Tenured Faculty of Any Rank with a Standard Portfolio Associate Professor of Instruction Professor of Instruction Associate Adjunct Professors Senior Adjunct Professors	Tenured Faculty of Any Rank with an Extended Librarianship Portfolio
Meets Expect-ations	▪ Librarianship reflects rich **content knowledge** of the area of practice (e.g., reference, cataloging, archiving, etc.). ▪ Librarianship fosters **information literacy, discovery, and/or access**. ▪ **Creation and provision of information, resources, and services** advances critical thinking, scholarly research, and learning in an evolving information landscape. ▪ **Activities** contribute to university and library priorities and goals. ▪ Active and meaningful participation in **faculty professional development** regarding librarianship and specific area of practice (e.g., staying abreast of the literature, conferencing, webinars, CETL workshops). ▪ Thoughtful **self-assessment and reflection** on collections and/or services inform professional practice. ▪ **Collaboration** with library and university colleagues and community partners to advance university and library priorities and goals.	▪ Librarianship reflects rich **content knowledge** of the area of practice (e.g., reference, cataloging, archiving, etc.). ▪ Librarianship fosters **information literacy, discovery, and/or access**. ▪ **Creation and provision of information, resources, and services** advances critical thinking, scholarly research, and learning in an evolving information landscape. ▪ **Activities** contribute to university and library priorities and goals. ▪ Active and meaningful participation in **faculty professional development** regarding librarianship and specific area of practice (e.g., staying abreast of the literature, conferencing, webinars, CETL workshops). ▪ Thoughtful **self-assessment and reflection** on collections and/or services inform professional practice. ▪ **Collaboration** with library and university colleagues and community partners to advance university and library priorities and goals.	▪ Librarianship reflects rich **content knowledge** of the area of practice (e.g., reference, cataloging, archiving, etc.). ▪ Librarianship fosters **information literacy, discovery, and/or access**. ▪ **Creation and provision of information, resources, and services** advances critical thinking, scholarly research, and learning in an evolving information landscape. ▪ **Activities** contribute to university and library priorities and goals. ▪ Active and meaningful participation in **faculty professional development** regarding librarianship and specific area of practice (e.g., assisting others in staying abreast of the literature, conferencing, webinars, CETL workshops). ▪ Thoughtful **self-assessment and reflection** on collections and/or services inform professional practice. ▪ **Collaboration** with library and university colleagues and community partners to advance university and library priorities and goals. ▪ **Innovation** in librarianship. ▪ **Leadership** in librarianship or faculty development within the discipline. ▪ Sustained engagement with the **scholarship** of librarianship.

Rating	Probationary Faculty Term (1-4) Renewable Term Instructors Assistant Adjunct Professors	Tenured Faculty of Any Rank with a Standard Portfolio Associate Professor of Instruction Professor of Instruction Associate Adjunct Professors Senior Adjunct Professors	Tenured Faculty of Any Rank with an Extended Librarianship Portfolio
Exceeds Expect-ations	▪ Extensive participation in faculty professional development, which contributes substantially to the practice of librarianship. ▪ Substantial **innovation** in areas information literacy, discovery, and/or access. ▪ **Substantial leadership** in area of practice. ▪ **Widespread adoption** of librarianship practices out in the field. ▪ Receives substantial student, peer, or disciplinary **recognition** in the practice of librarianship or contribution to the profession.	▪ Extensive participation in faculty professional development, which contributes substantially to the practice of librarianship. ▪ Substantial **innovation** in areas information literacy, discovery, and/or access. ▪ **Substantial leadership** in area of practice. ▪ **Widespread adoption** of librarianship practices out in the field. ▪ Receives substantial student, peer, or disciplinary **recognition** in the practice of librarianship or contribution to the profession.	▪ Extensive **leadership** in area of practice. ▪ Receives substantial student, peer, or disciplinary recognition for substantial **innovation** in areas information literacy, discovery, and/or access. ▪ Receives substantial student, peer, or disciplinary **recognition** for excellence in librarianship. ▪ **Widespread adoption** of librarianship practices out in the field.
Needs Improve-ment	▪ Librarianship is weak. ▪ Limited fostering of information literacy, discovery, and/or access. ▪ Weak contribution to student success, fails to support faculty research, and/or fails to enhance resources and services. ▪ Weak, minimal or no collaboration with library and university colleagues and community partners. ▪ No or superficial self-assessment or reflection. ▪ Minimal or no participation in faculty professional development.	▪ Librarianship is weak. ▪ Limited fostering of information literacy, discovery, and/or access. ▪ Weak contribution to student success, fails to support faculty research, and/or fails to enhance resources and services. ▪ Weak or no collaboration with library and university colleagues and community partners. ▪ No or superficial self-assessment or reflection. ▪ Minimal or no participation in faculty professional development.	▪ Librarianship is weak. ▪ Limited fostering of information literacy, discovery, and/or access. ▪ Minimal or no collaboration with library and university colleagues and community partners. ▪ No or superficial self-assessment or reflection. ▪ Weak or no participation in faculty professional librarianship development. ▪ No faculty development around librarianship. ▪ No leadership around librarianship. ▪ No innovation. ▪ No engagement in the scholarship of librarianship.

Section 3.12 Calendar[8]

FALL SEMESTER

August through September –

Annual Goals Meeting with Department Head
See Subdivision 3.13f

September through November (as determined by department PACs) –

Teaching Observations and Discussions/Voting
See Subdivision 3.5c

September 15 -

1. **Request for Comprehensive Post-Tenure Review**
   See Subdivision 3.16g

2. **PAC Vote on Comprehensive Review**
   PAC notifies faculty member whose Comprehensive Post-Tenure Review was triggered due to 2 "Needs Improvement" designations in teaching, whether the Comprehensive Review will proceed as scheduled (see Subdivision 3.16f)

By September 25 –

Review Departmental Standards and Criteria

1. PAC chair(s) and the department head shall meet with new PAC members, probationary faculty members, and any faculty members who have applied for promotion and/or tenure, or will be participating in Post-Tenure Review to review the Departmental Standards and Criteria Document for faculty appointments, promotions and tenure, and Post-Tenure Review.
2. Deans may convene the College Review Committee (CRC; Subdivision 3.2d), which includes all department heads and PAC chairs, for the purpose of orienting them regarding the Departmental Standards and Criteria Document and Professional Assessment Committee Procedures. The discussion may include reviewing the Faculty Handbook, Departmental Standards and Criteria documents, PAC Procedures, consistency across the college, and other forms of training or discussion.

October 15 –

1. **Deadline for Submission of Assessment Materials**
   Faculty members (renewable term, probationary, candidates for tenure and/or promotion, and candidates for Post-Tenure Review) must submit materials, including the Faculty Narrative (see Section 3.10) or Post-Tenure Review Summary (see Paragraph 3.16e.1 and 3.16f.1), for their Faculty Evaluation File no later than this date. Materials may be submitted earlier, per department procedures. See Subdivision 3.4b Faculty Evaluation File (including portfolios) Contents for a list of all materials.

2. **Deadline for Initial Follow-up Report for Performance Improvement Plan following Comprehensive Post-Tenure Review**
   See Paragraph 3.16f.4 Outcome 2: "Needs Improvement" Comprehensive Review Result.

December 15 –

PAC Reports
See Subdivision 3.14k

[8] For all dates on timeline, if the due date falls on a weekend, it shall be alternately on the first business day thereafter.

SPRING SEMESTER

Mid-January –

Dean's Retreat (optional)
College-level Dean's Retreat with department heads to review all promotion and/or tenure cases within the college.

February 1 –

Department Head's Evaluation of Faculty Members
Department heads distribute their Evaluation letters to probationary faculty, candidates for promotion and tenure, term (1-4) faculty (promotion only), or renewable term faculty by February 1. Department heads submit their reports to the dean by February 1 as well (See Subdivision 3.13l).

After February 1 –

Department Heads Meet with Faculty Members (optional in spring)
See Subdivision 3.13f

Mid-February –

Provost's Retreat
Provost meets with all deans to review all promotion and/or tenure and Post-Tenure Review cases in the university.

February –

Withdrawal from Consideration for Promotion to Professor
See Paragraph 3.15a.4

March 1 –

1. **Provost Letters**
   See Subdivision 3.2f

2. **Deans Letters**
   See Subdivision 3.2e

3. **Departments Complete Draft Version of "*Departmental Standards and Criteria Document*" and "*Professional Assessment Committee Procedures*"**
   See Subdivision 3.1f and Subdivision 3.1g

4. **PAC Chair/co-chairs Selected for Coming Academic Year**
   See Paragraph 3.2b.2

Between March 1-15 –

Convene College Review Committee
Deans convene the College Review Committee (CRC), which includes all department heads and PAC chairs, for the purpose of reviewing the Departmental Standards and Criteria Document and Professional Assessment Committee Procedures Document.

March 15 –

Performance Improvement Planning after Comprehensive Post-Tenure Review
Any Performance Improvement Plans for faculty who have undergone Comprehensive Post-Tenure Review are due. (See Paragraph 3.16f.4 Outcome 2: "Needs Improvement").

April 1 –

1. **Departments Complete Final Revisions of "*Departmental Standards and Criteria Document*" and "*Professional Assessment Committee Procedures*"**
   See Subdivision 3.1f and Subdivision 3.1g

2. **Reminder Notice of Upcoming Post Tenure Review (if applicable)**
   Reminder notice will be sent to faculty from Department Heads reminding them of their upcoming scheduled Post-Tenure Review (see Section 3.16).

April 15 –

1. **Deadline for Submission of Materials for the Annual Review and u-FAR**
   Date by which all faculty members [temporary (adjunct 50% or more), term (1-4), renewable term, probationary, and tenured faculty] submit annual u-FAR materials for their Annual Review.

2. **Department Heads Distribute "*Departmental Standards and Criteria*" and "*Professional Assessment Committee Procedures*" Documents to Faculty**
   See Subdivision 3.1f and Subdivision 3.1g

April 30 –

Request Consideration for Promotion/Promotion & Tenure
See Subdivision 3.15c.

May 1 –

1. **PAC Submit Comprehensive Post-Tenure Review Report**
   See Paragraph 3.16f.2

2. **PAC Report for Term (1-4), as applicable**
   See Subdivision 3.14k and Table 3.1h

June 25 –

Department Head Annual Review Letters

1. Department heads will provide a written annual evaluation of term (1-4), renewable term, probationary, and tenured faculty members based on submission of annual u-FAR materials and for the purposes of merit pay. The letters shall be transmitted concurrently to the dean and the faculty member. (See Subdivision 3.13m Awarding of Annual Merit). Additionally, a Summary or Comprehensive Review Report will be included for faculty members under Post-Tenure Review.
2. Those faculty who will be undergoing Post-Tenure Review will be notified by their department head if a Summary or Comprehensive Review is being scheduled (PAC Chair shall also be notified).

Section 3.13 Annual Review for Faculty by Department Head

Subdivision 3.13a Purpose

The Annual Review provides an annual assessment of faculty performance, feedback for faculty reflection, an opportunity for faculty to access professional development resources, and the allocation of merit pay. Annual Reviews are also used for continuation, promotion, tenure, and Post-Tenure Review purposes.

Subdivision 3.13b Eligibility for Annual Reviews

Department heads shall evaluate annually the teaching, scholarship, and service of all probationary (fall and spring), tenured (spring; or fall and spring for action cases), term (1-4) (spring), and renewable term faculty (fall and spring), according to their designated workload or contract. Department heads shall review adjunct professors with an appointment of 50% or more during the first year and every sixth semester thereafter, or sooner if the faculty member's performance is found to "need improvement." Department heads may review adjunct professors with appointments below 50% at their discretion. Adjunct faculty members may request an Annual Review by the department head at other times.

Subdivision 3.13c Conflicts of Interest

Department heads must follow University Policy 4.03 Conflicts of Interest in Employment (Nepotism).

Subdivision 3.13d Timeline and Process Schedule for Annual Review by Faculty Rank: Summary

The Annual Review process follows the timelines and process schedule in Table 3.1h Evaluation and Process Schedule by Faculty Rank: Summary and Section 3.12 Calendar.

Subdivision 3.13e Standards and Criteria for Annual Review
University Guiding Standards are found in Section 3.11. Specific criteria for the Annual Review are documented in the Departmental Standards and Criteria Document.

Subdivision 3.13f Annual Goals Meeting with Department Head
During the fall semester, the department head shall have individual meetings with all faculty members eligible for Annual Review. Department heads will meet first with faculty (all ranks) seeking promotion by the end of September, and prioritize tenure-track faculty as practicable. The purpose of each meeting is developmental and formative to review progress on the faculty member's previous year's goals and discuss future short-term and long-term goals for the faculty member. Department heads and probationary faculty may also meet a second time during the spring semester.

Subdivision 3.13g Outcomes of Annual Review for All Faculty
Department heads shall assign a rating of (a) "Meets Expectations", (b) "Exceeds Expectations", or (c) "Needs Improvement" for each area of performance (teaching, scholarship, service), according to the criteria by portfolio and rank as specified in the Departmental Standards and Criteria Document. Department heads' ratings shall not be overruled except as a result of a Faculty Petition or Grievance decision as outlined in Faculty Handbook Chapters 12 and 13.

Subdivision 3.13h Outcomes for Retention/Continuance of Probationary and Renewable Term Faculty

Paragraph 3.13h.1 Continued Probation
Department heads shall recommend Continued Probation (probationary faculty) or retention (renewable term faculty) only if the faculty member "Meets Expectations" or "Exceeds Expectations" in each area of job performance (teaching, scholarship, and service) required by portfolio and rank. The department head shall state the strengths of faculty performance and any recommendations for improvement.

Paragraph 3.13h.2 Continued Probation With Difficulties
Department heads shall recommend Continued Probation With Difficulties if the probationary faculty member "Needs Improvement" in one or more of the areas under review. The department head, in consultation with the dean, shall provide specific actions to be taken and outcomes to be completed in the next year to address the deficiencies. The department Head shall meet with the faculty member to create a plan for improving performance. The department head and faculty member will consult the CETL to develop a teaching improvement plan. Mentoring by faculty peers is strongly recommended for teaching, scholarship, and service improvement plans.

Paragraph 3.13h.3 Termination
Seriously deficient performance is sufficient cause for a recommendation to terminate a faculty member's probationary appointment. (See Section 2.1, Subdivision 2.3b & Subdivision 2.3e). In making such a recommendation, department heads must explain why the performance warrants termination. If termination is approved, probationary faculty members shall remain employed by the university for a period of one academic year, performing duties assigned by the department head and dean.

Subdivision 3.13i Third-Year Review for Probationary Faculty
Department heads provide a comprehensive review of probationary faculty member's performance to date in year three in order to assess cumulative accomplishments in teaching, scholarship, and service in relation to Departmental Standards and Criteria.

Subdivision 3.13j Outcomes for Promotion and/or Tenure
For promotion and/or tenure cases, department heads shall recommend (a) Promotion, (b) Promotion Denied, (c) Tenure, (d) Tenure Denied, or (e) Termination, as appropriate for the case. Department heads shall provide a substantive rationale for their decisions in the evaluation letter.

Subdivision 3.13k Outcomes for Review of Tenured Faculty
Department heads shall assign a rating of (a) "Meets Expectations", (b) "Exceeds Expectations", or (c) "Needs Improvement" for each area of performance (teaching, scholarship, and service),

according to the criteria by portfolio and rank as specified in the Departmental Standards and Criteria Document.

Subdivision 3.13l Evaluation Letters

Evaluation letters provide faculty with feedback and decision outcomes. An evaluation letter shall include a summary of the assessment of the faculty member's performance in the areas of teaching, scholarship, and service according to the faculty member's appointment and designated portfolio. Letters should not typically exceed a maximum of three pages, single spaced in minimum 11-pt font. Assessments of teaching shall include a summary of teaching observations and student assessments, as well as a narrative describing the improvements made in teaching and librarianship over time. Assessments of scholarship shall be both qualitative and quantitative but shall not include a narrative describing each scholarly work. Assessments of service activities shall address both the quality and quantity of service. Each letter shall include the relevant outcomes specified in Subdivisions 3.13g (Outcomes of Annual Review for All Faculty), 3.13h (Outcomes for Retention/Continuance of Probationary and Renewable Term Faculty), 3.13j (Outcomes for Promotion and/or Tenure), and 3.13k (Outcomes for Review of Tenured Faculty). Letters shall also specify the annual merit designations for each area of performance, according to Subdivision 3.13m. The letters shall be transmitted concurrently to the dean and faculty member and shall be added to the Faculty Evaluation File.

Subdivision 3.13m Awarding of Annual Merit

First, promotion raises (See Section 9.2 Promotions) shall be dispersed from the merit and promotions pool (see the Collective Bargaining Agreement) to individual faculty members. Second, the remaining merit pool shall be allocated to each college according to the number of merit-eligible faculty FTE (not a percentage of salary) within the college. Third, department heads assign individual faculty member merit ratings in their Annual Review evaluation, based on the Departmental Standards and Criteria Document. Finally, merit awards are dispersed to individual faculty members within the college according to the individual faculty member's Merit Score. There shall be no deviation from the utilization of the university merit formula in each college.

Merit pay is added to the faculty member's base pay. A letter with the following year's salary, designating the increase to base pay and merit award amount (if applicable), shall be distributed to faculty by Human Resource Services.

Paragraph 3.13m.1 Eligibility for Merit

When not specified in the Collective Bargaining Agreement, all tenured, probationary, renewable term, and term (1-4) faculty are eligible for merit pay.

Paragraph 3.13m.2 Merit Formula

The department head shall calculate a total merit score for each faculty member based on their portfolio and performance as measured by the Departmental Standards and Criteria Document. Department heads shall assign full points up to a maximum of 4 points for each area of performance (teaching, scholarship, service). Then, they multiply each designation by the percentage for that area (teaching, scholarship, service) of the faculty member's official portfolio assignment (standard, extended teaching, or approved modified portfolio) as designated in this handbook. The department head will add the score for each area to determine the faculty member's Merit Score.

Merit Calculation Summary:

"Exceeds Expectations" = 4		the percentage
"Meets Expectations" = 1, 2, or 3	x	for each area
"Needs Improvement" = 0		of official portfolio

Faculty member's Merit Score = (Teaching rating x teaching portfolio percentage) + (Scholarship rating x Scholarship portfolio percentage) + (Service rating x Service portfolio percentage)[9] [10]

Only faculty who receive a 1 or above in each area will receive merit pay in a given year. (Faculty members who receive a 0 in any area will receive an overall 0 for their Faculty Member Merit Score and are therefore ineligible for merit.) The total amount allocated for merit pay is divided by the total number of points for all faculty (ranging from 0 to 4 for each faculty member) within each college. For the calculation of the merit pool of available funds, those who will receive no merit (a "0" merit score) are excluded from the total number of faculty in each college merit pool for that year. The quotient is how much each point is worth. For each faculty merit award, multiply each point worth times number of points awarded.

The total merit funds disbursed cannot exceed the amount allotted for merit in a given year.

Section 3.14 Review by PAC

Subdivision 3.14a Purpose

The Professional Assessment Committee (PAC) conducts independent reviews of faculty performance. PAC reviews include recommendations regarding continuation/retention, promotion, tenure, post-tenure (during a Comprehensive Review), and performance improvement plans. The procedures for the evaluation process shall be detailed in the departmental Professional Assessment Committee Procedures Document. Standards and criteria for evaluating faculty performance are documented in the Departmental Standards and Criteria Document and the University Guiding Standards.

Subdivision 3.14b Schedule for Review of Probationary, Term (1-4), Renewable Term and Adjunct Faculty Members

The evaluation schedule is summarized in Table 3.1h. PACs shall provide comprehensive, multi-year reviews for all tenure and/or promotion cases of probationary, adjunct (with 50% or more appointments), term (1-4), or renewable term faculty members.

Additionally, PACs shall evaluate the performance of all probationary faculty yearly. PACs also provide comprehensive, multi-year reviews of probationary faculty in year three.

PACs also shall review adjunct professors of any rank or appointment at the faculty member's request, or at the discretion of the PAC as documented in the Professional Assessment Committee Procedures Document.

PACs also shall evaluate the performance of all term (1-4 and renewable term faculty yearly in their first two years. Thereafter, the PAC will only review the term (1-4) or renewable term faculty member in the year following a "Needs Improvement" rating in any area, or when the faculty member is

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[9] When a faculty member does not have an area as a part of their workload designation, remove it from the equation altogether.
Examples:

- The equation for a faculty member on a standard portfolio with designations at a high level of "Meets Expectations" for teaching and service, and "Exceeds Expectations" for scholarship: (3 x .6) (for teaching) + (4 x .25) (for scholarship) + (3 x .15) (for service) = 3.25
- For a faculty member on a standard portfolio who "Exceeds Expectations" for teaching and "Meets Expectations" at mid-level for scholarship and service: (4 x .6) (for teaching) + (2 x .25) (for scholarship) + (2 x .15) (for service) = 3.2
- For a faculty member who has a course reassignment to do service and performs at a high level of "Meets Expectations": (3 x .40) + (3 x .25) + (3 x .35) = 3.0
- For a term faculty member who "Meets Expectations" at a high level in teaching (80%) and performs service at mid-level of "Meets Expectations" (20% of the time): (3 x . 80) + (2 x .20) = 2.8
- For a faculty member with a standard portfolio but does not fulfill service responsibilities: (2 x .6) (for teaching) + (2 x .25) (for scholarship) + (0 x .15) (for service) = 0

[10] In cases when a faculty member's portfolio differs between semesters within the same academic year, multiply the first semester by half, multiply the second semester by half, and add together.

seeking promotion in year 6 or beyond. Additionally, evaluations may occur at the request of the faculty member or at the discretion of the PAC, as documented in the Professional Assessment Committee Procedures Document.

Subdivision 3.14c Schedule for Review of Tenured Faculty
PACs provide a review of tenured faculty when (a) the faculty member is seeking promotion, (b) the faculty member has requested a comprehensive review by the PAC at any point during the Post-Tenure Review period (see Subdivision 3.16g), or (c) the faculty member has received "Needs Improvement" designations in three of their Annual Reviews within the six-year review period by the department head (see Subdivision 3.16f).

Subdivision 3.14d Procedures for Evaluation of Faculty by the Professional Assessment Committee
The review may be conducted by the full membership of the PAC or by a subcommittee, as specified in the Professional Assessment Committee Procedures Document.

Paragraph 3.14d.1 PAC Deliberations
PAC deliberations are to remain confidential and professional throughout the evaluation process. A PAC member may not disclose any information related to votes or comments about a candidate to the candidate or others. Faculty should report violations to the PAC chair for resolution or to the Faculty Petition Committee in the case of a violation of university policy.

Paragraph 3.14d.2 PAC Statement on Parliamentary Authority
Where possible, the PAC will conduct its business consistent with the motion to consider informally. The parliamentary authority shall be the current edition of Robert's Rules of Order in all cases where they are not inconsistent with this structure of Professional Assessment Committee Procedures Document or other university policies.

Paragraph 3.14d.3 PAC Voting
PACs shall vote on recommendations of retention, tenure, promotion, termination, and Post-Tenure Review. Votes shall be by secret ballot distributed to all PAC members.

Paragraph 3.14d.4 Timeline for Review
The PAC review process follows the timeline and process schedule summarized in Table 3.1h and Section 3.12 Calendar.

Paragraph 3.14d.5 PAC Conflicts of Interest
PAC members shall not review faculty with whom they have a conflict of interest pursuant to Section 3.3 Conflicts of Interest.

Paragraph 3.14d.6 PAC Requesting Outside Members
See Paragraph 3.2b.1 PAC Membership.

Paragraph 3.14d.7 Procedures for Reviewing Files
See Subdivision 3.4g Professional Assessment Committee Review.

Paragraph 3.14d.8 Additional PAC Procedures
PACs shall document any additional procedures according to Subdivision 3.1g Professional Assessment Committee Procedures Document.

Subdivision 3.14e Standards and Criteria for Review
University Guiding Standards are found in Section 3.11. Specific criteria for review are documented in the Departmental Standards and Criteria Document.

Subdivision 3.14f Yearly Review by PAC for Faculty
A yearly PAC evaluation will be based on performance from October 15 of the preceding academic year (when Faculty Evaluation Files were due) to December in the current academic year.

For yearly reviews, as applicable, of probationary, term (1-4) and renewable term faculty, PACs shall assign a rating of (a) "Meets Expectations", (b) "Exceeds Expectations", or (c) "Needs Improvement" for each area of performance (teaching, scholarship, service), according to the

criteria by portfolio and rank as specified in the Departmental Standards and Criteria Document. PACs shall provide a thorough rationale for their decisions in the PAC report.

Subdivision 3.14g Outcomes for Retention/Continuance of Probationary and Renewable Term Faculty

For probationary and renewable term faculty, PACs shall vote on and recommend (a) Continued Probation (probationary faculty) or Retention (renewable term faculty), (b) Continued Probation (probationary faculty) or Retention (renewable term faculty) with Difficulties, or (c) Termination. PACs shall provide a thorough rationale for their decisions in the PAC Report (see Subdivision 3.14k).

Paragraph 3.14g.1 Continued Probation

PACs shall recommend Continued Probation or Retention if the faculty member "Meets Expectations" or "Exceeds Expectations" in each area of job performance (teaching, scholarship, service) required by portfolio and rank. The PAC report shall state perceived strengths and any areas where improvement is needed.

Paragraph 3.14g.2 Continued Probation With Difficulties

PACs shall recommend Continued Probation or Retention with Difficulties if the faculty member "Needs Improvement" in one or more of the areas under review. The PAC shall recommend specific actions to be taken and outcomes to be completed in the next year to address the deficiencies.

Paragraph 3.14g.3 Termination

Seriously deficient performance is sufficient cause for a recommendation to terminate a faculty member's probationary appointment. (See Section 2.1 Subdivision 2.3e). In making such a recommendation, PACs must explain why the performance warrants termination.

Subdivision 3.14h Third-Year Review for Probationary and Renewable Term Faculty

PACs provide a comprehensive review of a probationary faculty member's performance to date in year three. PACs also shall assign a rating of (a) "Meets Expectations", (b) "Exceeds Expectations", or (c) "Needs Improvement" for each area of performance (teaching, scholarship, service), according to the criteria by portfolio and rank as specified in the Departmental Standards and Criteria Document.

Subdivision 3.14i Outcomes for Promotion and/or Tenure Cases

For promotion and/or tenure cases, PACs provide a comprehensive review of performance to date or since the last promotion, as appropriate. PACs shall vote on and recommend (a) Promotion or (b) Promotion Denied, and/or (c) Tenure, or (d) Tenure Denied, as appropriate for the case. PACs shall also assign a rating of (a) "Meets Expectations", (b) "Exceeds Expectations", or (c) "Needs Improvement" for each area of performance (teaching, scholarship, service), according to the cumulative (not annual) criteria by portfolio and rank as specified in the Departmental Standards and Criteria Document. PACs shall provide a thorough rationale for their decisions in the PAC report.

Subdivision 3.14j Outcomes for Comprehensive Review of Tenured Faculty (Post-Tenure Review)

During a Comprehensive Post-Tenure Review, PACs shall vote on and assign a rating of (a) "Meets Expectations", (b) "Exceeds Expectations", or (c) "Needs Improvement" for each area of performance (teaching, scholarship, service), according to the criteria by portfolio and rank as specified in the Departmental Standards and Criteria Document. PACs shall provide a thorough rationale for their decisions in the PAC report.

Subdivision 3.14k PAC Reports

As applicable, based on Table 3.1h, PACs shall submit recommendations through written reports to probationary faculty members, candidates for promotion or tenure, and term (1-4) or renewable term instructors, while concurrently submitting their report(s) to the department head (for inclusion in the Faculty Evaluation File) and dean by the appropriate deadline (see Section 3.12 Calendar). Such reports should reflect the PAC's comprehensive evaluation and collective judgments, as well as a report on the vote totals. Voting totals must be specific in nature (e.g., 6-3-2 [6=in favor, 3=opposed, 2=abstain] rather than using "recommends" or "unanimously recommends") in order to clearly indicate the PAC's distribution of voting within a department. For probationary or renewable

term cases, see Subdivision 3.14f (yearly review) and Subdivision 3.14g (retention/continuance). For promotion and/or tenure cases, see Subdivision 3.14i. For Post-Tenure Review cases, see Subdivision 3.14j.

PAC reports will include a summary of the assessment of the faculty member's performance in the areas of teaching, scholarship, and service according to the faculty member's designated portfolio. Letters should not typically exceed five pages, single space in a minimum of 11-pt font. Assessments of teaching/librarianship shall include a summary of teaching observations and student assessments, as well as a narrative describing the success of improvements made in teaching and learning over time. Assessments of scholarship shall be documented with an overall description in both qualitative and quantitative terms but not describing each scholarly work individually. Assessments of service activities shall address both the quality and quantity of service.

Either the department head or PAC may call a meeting to discuss the majority report.

Paragraph 3.14k.1 Minority Reports
Members of the PAC may also submit minority reports. A minority report must be submitted by December 15 (see Section 3.12 Calendar). PAC procedures should determine whether or not the submitted minority report will be signed by those PAC members creating the report.

Subdivision 3.14l Meetings with the PAC
PACs may choose to meet with probationary faculty members, and/or any additional faculty members scheduled to be promotion and/or tenure cases, to review the Departmental Standards and Criteria Document for faculty appointments, promotions and tenure.

Section 3.15 Promotion and/or Tenure of Probationary and Tenured Faculty

Subdivision 3.15a Eligibility for Promotion and/or Tenure
Probationary faculty are eligible for promotion to the rank of Associate Professor and/or tenure. Tenure and promotion to Associate Professor require that the candidate has a documented record of accomplishment in teaching, scholarship, and service. It is recognized that each candidate will have varied degrees of accomplishment in the three areas. Only after an affirmative judgment as to documented teaching effectiveness has been made can serious consideration be given to an evaluation of scholarship and service. Individuals holding term (1-4), renewable term, temporary, non-academic, or other non-probationary appointments at the University are not eligible to be considered for tenure. Tenured Associate Professors are eligible for promotion to the rank of Professor.

Paragraph 3.15a.1 Time in Rank
Probationary faculty are expected to undergo a review for tenure in year six of their tenure-track appointment, unless specified in their letter of offer. An Assistant Professor must complete at least six years of service in rank, including at least three years at the rank of Assistant Professor at UNI, before promotion to Associate Professor.

An Associate Professor completes at least six years in rank before promotion to Professor, unless specified in their letter of offer.

Under extenuating circumstances, a faculty member may request to: 1) suspend the probationary tenure/promotion clock or 2) extend the probationary period for a 7th year by completing a Request to Suspend the Probationary Tenure/Promotion Clock or Request to Extend the Probationary Period for a Seventh Year, both of which are located in the forms repository.

A clock stoppage means that the faculty member's tenure and promotion clock is stopped, and the year does not count toward tenure. (If stopped in year three, the following academic year will be considered year three, even if it is the faculty member's fourth year.) The faculty member is not evaluated by the PAC or department head in the fall of that academic year. The faculty member does submit annual u-FAR materials and is evaluated for merit in the spring. Any work completed by the faculty member during a clock stoppage year is added to the Faculty Evaluation File.

Paragraph 3.15a.2 Early Promotion or Tenure

Because sufficient time is necessary to demonstrate consistent levels of meeting or exceeding expectations of cumulative performance which are expected across a normal six year evaluation period, the awarding of tenure and promotion one year prior to the sixth year of service is exceptional and rare and reserved for cases of consistent, exceptional performance. Due to the shortened evaluation time period, candidates are expected to surpass the cumulative Departmental Standards & Criteria in the area of teaching, scholarship, and service.

A faculty member may apply for consideration for early tenure and promotion by notifying the department head and PAC Chair in writing no later than April 30 prior to the early tenure and promotion review process beginning in the Fall. Any informal discussions with the PAC or department head are not a guarantee that, after full review, the PAC or department head will recommend early tenure and promotion.

Candidate materials are due October 15 and follow the regular submission and review process by the PAC and department head. The PAC recommendation for candidates applying for early tenure and promotion shall include two separate votes: one for early tenure and promotion and the other for continued probation/continued probation with difficulties/termination. If the PAC and department head do not both recommend early tenure and promotion for the candidate, the case does not move forward. Rather, it reverts to a standard fifth year review.

Paragraph 3.15a.3 Years Credit

Faculty may be awarded years of credit toward tenure and/or promotion upon hire. Years of credit, including specific accomplishments that count toward standards and criteria for tenure or promotion, must be documented in the faculty member's letter of offer or MOU, approved by the Dean and Provost (or designee) and placed in the faculty member's Faculty Evaluation File (See Section 3.4). Probationary faculty retain the choice to use prior years of service or not; however, if they elect to not go up for tenure and/or promotion at the prescribed time using those years of credit, they may not use prior service or accomplishments for those credited years in the future. In that case, only UNI years of service will count for a tenure and promotion bid.

Paragraph 3.15a.4 Withdrawal from Consideration

Faculty who request consideration for promotion to Professor may withdraw their request in a letter to the PAC chair, department head, dean, and Provost before receiving the Provost's decision (see Section 3.12 Calendar).

Paragraph 3.15a.5 Denial of Promotion for Tenured Faculty

Faculty with tenure who are denied promotion continue their employment at their current rank. They are eligible for consideration for promotion the following year or any year thereafter.

Subdivision 3.15b Materials Submission

Faculty submit annual u-FAR materials, including the Faculty Narrative (see Section 3.10), and other evaluation materials for their Faculty Evaluation Files, according to Section 3.4.

Subdivision 3.15c Timeline

Faculty shall submit a written notification to the department head and PAC chair by April 30 for consideration for promotion and/or tenure for the following academic year. Request for consideration may be made earlier, per department procedures. Materials for the Faculty Evaluation Files for individuals seeking promotion and/or tenure are due on October 15. Faculty shall adhere to the timeline and process schedule summarized in Table 3.1h and Section 3.12 Calendar.

Subdivision 3.15d Standards and Criteria for Review

Standards and Criteria for tenure and/or promotion depend on the rank and portfolio of the faculty member. University-level standards are found in Section 3.11. Criteria for individual departments are found in the Departmental Standards and Criteria Document.

Subdivision 3.15e Promotion Salaries

Upon promotion to Associate Professor or Professor, faculty members shall receive salary increases to base pay as documented in Section 9.2.

Section 3.16 Review of Tenured Faculty (Post-Tenure Review)

Subdivision 3.16a Purpose

The source of the intellectual vitality of the University of Northern Iowa is the faculty. Individual faculty members, through the performance of their professional duties, create and nourish this vitality for the benefit of our students and the wider society. Tenured faculty members have an especially important role to play in sustaining and enhancing an academic environment in which free and rigorous inquiry can be pursued. Given their central role in serving our students and the wider community, it is critically important for the tenured faculty to be provided a mechanism for periodic assessment and reflection.

Post-Tenure Review affords the opportunity for the professional performance of each tenured faculty member to be assessed longitudinally every six years. Self-reflection within departmental and university contexts presents the faculty member with a guidepost for further professional growth and re-tuning, for example, to better address current institutional priorities. In addition, these periodic assessments allow UNI to recognize tenured faculty for consistently high-quality work. Finally, for those faculty members who are found to be deficient in one or more areas, there will be an opportunity to design and implement a performance improvement plan.

Ultimately, the goal of Post-Tenure Review is to assist tenured faculty to engage in a process of professional development over the length of their careers. Post-Tenure Review is not a reevaluation of the tenure decision.

Academic freedom is paramount in order for faculty members to be fully effective as teachers and scholars. The Post-Tenure Review process at the University of Northern Iowa is conducted according to this handbook and is guided by the "Minimum Standards for Good Practice if a Formal System of Post-Tenure Review is Established in the 1999 AAUP report *Post-Tenure Review: An AAUP Response"* and UNI's previous evaluation system.

Subdivision 3.16b Relationship of Post-Tenure Review to Promotion to Professor

Post-Tenure Review and promotion to Professor are independent processes; departments document their standards, which may be different, for each in the Departmental Standards and Criteria Document**.** However, consideration for promotion to Professor takes the place of Post-Tenure Review. A successful Post-Tenure Review does not automatically qualify a faculty member for promotion to Professor. At the same time, a successful Post-Tenure Review does not require meeting all the criteria necessary for promotion to Professor (see APPENDIX D: LEGACY STATUS AND NEW DEPARTMENT STANDARDS PLAN FOR PROBATIONARY FACULTY; POST-TENURE REVIEW AND PROMOTION FOR ADJUNCT (50% OR MORE APPOINMENTS) AND RENEWABLE TERM FACULTY).

Subdivision 3.16c Post-Tenure Review Types

There are two types of Post-Tenure Reviews: Summary Review (see Subdivision 3.16e) and Comprehensive Review (see Subdivision 3.16f).

Subdivision 3.16d Post-Tenure Review Process

Faculty typically undergo Summary Reviews every six years. These six years are referred to as the Post-Tenure Review period.

A Comprehensive Review may be scheduled as applicable based on results of Annual Reviews throughout the Post-Tenure Review period.

Annual Reviews are the foundation of Post-Tenure Review. As described in Section 3.13, the department head conducts an Annual Review of the performance of each faculty member in the areas of teaching, scholarship, and service. Performance in each of the three areas will be assessed as (a) "Meets Expectations", (b) "Exceeds Expectations", or (c) "Needs Improvement", according to the faculty member's rank and portfolio. Standards and Criteria are documented in the University Guiding Standards and Departmental Standards and Criteria Document. The results of

the Annual Reviews over the Post-Tenure Review period will determine which type of Post-Tenure Review will be scheduled and when.

Subdivision 3.16e Summary Review

Faculty members shall undergo a Summary Review if they "Meet Expectations" or "Exceed Expectations" in all three areas of teaching, scholarship, and service for three or more years of Annual Reviews. The Summary Review shall be a brief summary evaluation conducted by the department head.

Paragraph 3.16e.1 Materials Required for Summary Review

(i) One- to two-page summary from the faculty member reflecting on accomplishments over the review period and outlining goals for the next review period;
(ii) Annual Review letters from the department head over the review period;
(iii) University Faculty Activity Reporting (u-FAR) materials over the review period;
(iv) Current Curriculum Vitae.

Paragraph 3.16e.2 Department Head's Summary Review Report

The department head shall summarize the results of the Annual Reviews over the Post-Tenure Review period and provide an overall (cumulative) rating of "Meets Expectations" or "Exceeds Expectations" in teaching, scholarship, and service. The head may note areas of strength or make recommendations for performance improvement. The head may also discuss professional development opportunities or workload adjustment per Chapter 4 of this Handbook.

The department head's report shall be submitted to the dean and faculty member, and placed in the faculty member's Faculty Evaluation File. The faculty member may submit a written response to the department head and the dean, which shall also be placed in the Faculty Evaluation File.

Subdivision 3.16f Comprehensive Review

A faculty member shall undergo a Comprehensive Review if one of the following occurs during the Post-Tenure Review period:

a) faculty member receives a "Needs Improvement" designation in one or more review areas (teaching, scholarship, and service, according to one's portfolio) in three Annual Reviews (not necessarily consecutively or in the same review area)
b) faculty member receives two consecutive "Needs Improvement" designations in teaching during Annual Reviews

Faculty members will be notified via their Annual Review letter if a Comprehensive Review is scheduled, which will be separately conducted by the PAC and department head the academic year following this notification.

For faculty whose Comprehensive Review was triggered due to receiving two "Needs Improvement" designations in teaching, the department head and the majority of the PAC (via a vote at the beginning of the following Fall semester) must agree that a Comprehensive Post-Tenure Review is warranted in order for the review to occur. If the department head and PAC do not agree a Comprehensive Review is warranted, the faculty member's Post Tenure Review clock shall continue as normal.

Once Annual Review letters are distributed, department heads shall notify the PAC Chair of any Comprehensive Reviews to be scheduled or voted upon in the subsequent Fall.

Paragraph 3.16f.1 Materials Required for Comprehensive Review

(i) Two- to three- page summary from the faculty member reflecting on performance over the review period and indicating how deficiencies have been or will be addressed. Goals for the next review period should also be discussed;
(ii) Annual Review letters from the department head over the review period;
(iii) University Faculty Activity Reporting (u-FAR) materials over the review period;
(iv) Current Curriculum Vitae;
(iv) Additional materials consistent with departmental review policies, as documented in the Departmental Standards and Criteria Document.

Paragraph 3.16f.2 Department Head and PAC's Comprehensive Review Report
The PAC's report (along with an optional minority report) shall be submitted to the faculty member, department head, and dean; and the report will be placed in the faculty member's Faculty Evaluation File. The department head's report shall be sent to the faculty member and dean, and placed in the Faculty Evaluation File. The faculty member may submit a written response to the PAC or department head and dean, which shall also be placed in the Faculty Evaluation File.

Paragraph 3.16f.3 Outcome 1: "Meets Expectations" or "Exceeds Expectations" Comprehensive Review Result
If the department head and PAC give a rating of "Meets Expectations" or "Exceeds Expectations" in each of the areas of the faculty member's portfolio during a Comprehensive Review, the post-tenure cycle restarts.

Paragraph 3.16f.4 Outcome 2: "Needs Improvement" Comprehensive Review Result
If the department head or PAC gives a rating of "Needs Improvement" for one or more areas of faculty performance during the Comprehensive Review, the department head shall work with the faculty member to develop a Performance Improvement Plan in order to strengthen performance in future Annual Reviews. Faculty members draft the Performance Improvement Plan (PIP) to be discussed with their department head as part of the annual goals meeting in September. Faculty should submit goals for any area of performance not covered by the PIP. The Performance Improvement Plan is finalized by October 15 when submissions to the Faculty Evaluation Files are due. The Performance Improvement Plan shall be approved by the department head and dean and placed in the Faculty Evaluation File. If the faculty member and the department head cannot agree on an acceptable plan, the department head and PAC chair will create one that is approved by the dean. The plan shall be sent to the faculty member for final review before implementation.

The plan shall contain specific actions and measures to address the deficiencies found in the review. The department head and faculty member will consult the CETL for teaching improvement plans. Mentoring by faculty peers is strongly recommended for teaching, scholarship, and service improvement plans. Faculty will report their progress on the Performance Improvement Plan in their annual u-FAR submissions completed by April 15 of the following semester.

During the next two subsequent Annual Reviews, the department head shall use the Performance Improvement Plan and Follow-up Report as a basis for evaluation. Significant progress on all corrective elements of the plan will be expected by the second Annual Review.

Paragraph 3.16f.5 Sanctions
In the event that recurring evaluations reveal a faculty member's continuing and persistent problems in which improvement has not been achieved in one or more areas, additional remedies may include minor sanctions (see Subdivision 11.3a).

When the continuous and persistent problems do not lend themselves to improvement after considerable and documented efforts for a reasonable period of time, and calls into question the faculty member's fundamental ability to function in their position, then major sanctions may be pursued (see Subdivision 11.3b). Any sanctions must be levied in accordance with University Policies and Procedures and the Faculty Handbook, including Sections 2.1, 2.5, and Chapter 11. The standard for dismissal remains that of just cause as defined in Subdivision 11.2d. Successive negative reviews do not diminish the obligation of the institution to show such cause for dismissal. However, evidence gathered in such reviews may constitute evidence of just cause, such as but not limited to the inability to complete duties and lack of progression towards improvement.

In situations involving alleged misconduct, appropriate procedures as detailed in Chapter 11, will be invoked.

Paragraph 3.16f.6 Appeals
Appeal procedures are located in Chapter 12 and Chapter 13 of the Faculty Handbook.

Subdivision 3.16g Requesting a Comprehensive Review
Faculty may request a Comprehensive Review by the PAC by submitting a letter with the request to the PAC chair by September 15.

Subdivision 3.16h Reviews for Other Levels of Performance
If a faculty member's Annual Reviews exhibit deficiencies but not at a level for which a comprehensive review is mandatory, the head may schedule either a Summary Review or a Comprehensive Review for the scheduled Post-Tenure Review, provided that the department head and the majority of the PAC (via a vote at the beginning of the following Fall semester) agree that such a review is warranted.

Subdivision 3.16i Special Circumstances
(i) A faculty member may petition to defer Post-Tenure Review for good cause, including PDA, Fulbright assignments, extended FMLA, or leaves of absence approved by the Provost. The faculty member must submit a written request to the department head as soon as practical. If a deferment is granted, it shall be for a period of one year.
(ii) A faculty member who plans to go up for promotion the following year may delay Post-Tenure Review for a year. In the case that the faculty member does not go up for promotion the following year, the faculty member will undergo Post-Tenure Review that year.
(iii) A faculty member who will retire within one year after a Post-Tenure Review is scheduled to occur may choose to forgo the review by submitting a written retirement letter to Human Resource Services (HRS).
(iv) Faculty members on phased retirement shall not be required to undergo Post-Tenure Review.

Subdivision 3.16j Outstanding Performance Rewards
Full professors who have received outstanding performance reviews during Post-Tenure Review shall receive a monetary award as documented in Section 9.3.

Section 3.17 Review and Promotion of Adjunct, Term (1-4) and Renewable Term Faculty

Subdivision 3.17a Purpose
A central goal of the University of Northern Iowa is that all students be afforded a high-quality learning environment for the development of the knowledge and skills necessary for professional careers and productive citizenship. Thus, in carrying out the responsibilities set forth in their portfolio, adjunct, term (1-4) and renewable term faculty members are expected to meet high professional standards. Further, the university also seeks to provide an equitable and inclusive shared governance structure to ensure appropriate participation in the university's affairs. This governance structure should include non-tenure-track faculty to the fullest level consistent with their workload but without the erosion of the rights and privileges of the tenure system to recognize non-tenure-track faculty who continue to develop strong teaching. Given their important role in the life of the university, a system of ranked positions, similar to those available on the tenure track, exists for adjunct (with 50% or more appointments), term (1-4) and renewable term faculty.

Subdivision 3.17b Appointment Types
Non-tenure track faculty hold one of three appointment types: (i) temporary adjunct, (ii) term (1-4 years), and (iii) renewable term (rolling one-year contract). These appointment types are defined and explained in Sections 2.2, 2.4 and 2.5 of the Faculty Handbook, respectively.

Subdivision 3.17c Review of Adjunct, Term (1-4) and Renewable Term Faculty
The evaluation schedule by department heads and PACs is summarized in Table 3.1h.

Department heads review adjunct professors with an appointment of 50% or more during the first year and every sixth semester the instructor teaches thereafter, or sooner if the faculty member's performance is found to Need Improvement (see Section 3.13 Annual Review for Faculty by Department Head) or when seeking promotion. Department heads may review adjunct professors with appointments below 50% at their discretion.

PACs review adjunct professors of any rank when seeking promotion or more frequently as documented in the Professional Assessment Committee Procedures Document (see Section 3.14 Review by PAC). PACs may review adjunct professors with appointments below 50% at their discretion as documented in the PAC Procedures Document.

Adjunct faculty members may request an Annual Review by the department head or PAC at other times. Although not required by the Faculty Handbook, some PACs and/or adjunct faculty may deem it prudent for PAC reviews to take place on a voluntary basis in advance of the mandated review for promotion in years 6 and 12.

Department heads review term (1-4) and renewable term Instructors of any rank annually.

PACs review term (1-4) and renewable term Instructors yearly in their first two years. Thereafter, the PAC will only review the term (1-4) and renewable term faculty member in the year following a "Needs Improvement" rating in any area, or when the faculty member is seeking promotion in year 6 or beyond. Additionally, evaluations may occur at the request of the faculty member or at the discretion of the PAC, as documented in the Professional Assessment Committee Procedures Document.

Paragraph 3.17c.1 Materials Submission
Adjunct (with 50% or more appointments), term (1-4) and renewable term faculty submit annual u-FAR materials and other evaluation materials according to their assignment, as documented in their Professional Assessment Committee PAC Procedures Document.

Paragraph 3.17c.2 Timeline
Faculty shall adhere to the timeline and process schedule summarized in Table 3.1h and Section 3.12 Calendar. Materials for term (1-4), renewable term, probationary, action case, or Post-Tenure Reviews are due October 15th. Annual u-FAR materials are due April 15.

Paragraph 3.17c.3 Standards and Criteria for Review
Standards and Criteria depend on the rank and portfolio of the faculty member. University Guiding Standards are found in Section 3.11. Criteria for individual departments are found in the Departmental Standards and Criteria Document (Subdivision 3.1f).

Subdivision 3.17d Promotion
Adjunct faculty (on 50% or more appointments each semester) are eligible to apply for promotion after twelve cumulative semesters in rank at or above that FTE appointment. Assistant Adjunct Professors may be promoted to Associate Adjunct Professor and then Senior Adjunct Professor (see APPENDIX D: LEGACY STATUS AND NEW DEPARTMENT STANDARDS PLAN FOR PROBATIONARY FACULTY; POST-TENURE REVIEW AND PROMOTION FOR ADJUNCT (50% OR MORE APPOINMENTS) AND RENEWABLE TERM FACULTY), as applicable).

Term (1-4) and renewable term faculty are eligible for promotion after six years in rank. Term (1-4) and renewable term Instructors may be promoted to Associate Professor of Instruction and then Professor of Instruction (see APPENDIX D: LEGACY STATUS AND NEW DEPARTMENT STANDARDS PLAN FOR PROBATIONARY FACULTY; POST-TENURE REVIEW AND PROMOTION FOR ADJUNCT (50% OR MORE APPOINMENTS) AND RENEWABLE TERM FACULTY), as applicable).

Eligible adjunct, term (1-4) and renewable term faculty members shall be promoted when they "Meet Expectations" or "Exceed Expectations" in all areas of their assigned duties as documented in the University Guiding Standards and Departmental Standards and Criteria Document. Only after an affirmative judgment as to documented teaching effectiveness has been made can serious consideration be given to an evaluation of scholarship and service (if applicable). Faculty must also "Meet Expectations" or "Exceed Expectations" for the cumulative standards and criteria to be eligible for promotion, as documented in the Departmental Standards and Criteria Document.

Applying for promotion is a personal choice of the adjunct, term (1-4) or renewable term instructor. There shall be no penalty for not applying for promotion when eligible.

Paragraph 3.17d.1 Promotion Salaries
Faculty members who are promoted shall receive salary increases as documented in Section 9.2.

Paragraph 3.17d.2 Other Responsibilities

Associate Instructors and Senior Instructors may serve on the PAC for the purposes of review of faculty below their rank (see Paragraph 3.2b.1a).

Section 3.18 Faculty/Administrators Eligible for Tenure Upon Hire

Well-established faculty or faculty-administrators may be eligible for tenure in a department at the time of hire, as documented in an offer letter. Department heads must submit appropriate materials to the dean and PAC of the designated department for consideration. Department Heads and PACs shall follow regular procedures for promotion, including a vote regarding the tenure recommendation.

Section 3.19 Appeals

An attempt should be made first to resolve the complaint informally through meetings between the faculty member, the faculty member's representative (see Subdivisions 12.6a and 13.7a Representation), department head, dean, Associate Provost for Faculty, and/or PAC chair if the PAC was involved in the review. A faculty member may file an appeal, according to Chapter 13 of the Faculty Handbook. A faculty member may file a petition, according to Chapter 12 of the Faculty Handbook.

Section 3.20 Reporting of Results of Annual and Mid-Year Evaluations

On an annual basis, the Provost or their designee will report the following information to Faculty Leadership:

(a) Results of Annual Evaluation – By August 15, as practicable
   a. Frequency of scores (0, 1, 2, 3, 4) by areas (teaching, scholarship, service) broken out by department;
   b. Frequency of scores by rank (assistant, associate, full) broken out by college;

(b) Results of Mid-Year Reviews – By April 15, as practicable
   a. Probationary results (CP, CPD) by PAC, Department Head, Dean, Provost, where applicable – with Years in Rank and Years in Service – broken out by college;
   b. Tenure and promotion results (T, TD, P, PD) by PAC, Department Head, Dean, Provost – with Years in Rank and Years in Service – broken out by college
   c. Term (1-4) and Renewable Term evaluation results by PAC, Department Head, Dean, Provost, where applicable – with Years in Rank and Years in Service – broken out by college

CHAPTER FOUR: FACULTY PORTFOLIOS

Section 4.0 Purpose

The purpose of this Chapter is to define UNI's priorities for faculty members' standard portfolios. Faculty at UNI are teacher- or librarian-scholars, whose work life encompasses teaching or librarianship, scholarship[11], and service. Portfolios reflect the priorities of our faculty and the university, as well as the expectations for evaluating faculty work.

UNI recognizes, values, and prioritizes teaching as a faculty member's primary responsibility. The university also values and rewards scholarship and service when such activities are part of the faculty member's assigned portfolio.

Section 4.1 Definition of Teaching

Teaching is the development, preparation, and delivery of course content, as well as the creation of opportunities for students to develop the skills and attitudes relevant to the discipline and course. Teaching also includes communicating with students in a course in a timely fashion and supervising and evaluating student performance for courses. The standard form of instruction consists of a course offered by an academic department and delivered in a traditional classroom or classroom equivalent setting, such as through distance education.

In general, it is assumed that courses will be taught face-to-face ("in person") unless an alternative approach is approved in advance by the academic department head. Faculty members should discuss their interest in blended or online course delivery with their department head prior to schedule development to ensure the approach is consistent with departmental goals and that students are informed about teaching mode as they register.

All courses scheduled to be taught online are expected to meet university standards, such as Quality Matters (QM) standards, and all courses, regardless of teaching mode, are expected to adhere to the federal definition of the credit hour.

Subdivision 4.1a Non-Standard Teaching Activities

Non-Standard Teaching include activities through which faculty provide instruction and supervise learning experiences outside the traditional classroom. They include but are not limited to: credits such as applied lessons, independent studies, undergraduate research, thesis and dissertation advising, supervision of clinical/field/internship experiences, supervision of labs, and direction of musical ensembles or theatrical productions.

The following requirements must be met for a faculty member to receive credit for a non-standard course:

- Faculty must complete and submit a Non-standard Teaching Application form available on the Forms Repository.
- Faculty must receive approval to teach a non-standard course by their department head and dean before any activity begins.
- Students must be enrolled in a course in order for faculty members to receive appropriate portfolio credit.
- The course must be a requirement for a student's degree program.[12] Exceptions for special programs, career advancement, or elective credits may be granted by the department head and dean.

[11] Hereafter "Scholarship" refers to research, creative activity, and other forms of academic scholarly activity.

[12] Non-standard teaching activities counting toward the faculty portfolio cannot exceed the amount required by the program of study. For example, if the program of study allows students to register for a maximum of 6 credit hours of independent study, the student may only enroll with a faculty member for a maximum of 6 credit hours counting toward non-standard teaching.

Table 4.1a.1 Credit Hour Conversion and Requirements for Non-Standard Teaching
The table below specifies the credit conversion and requirements for typical non-standard teaching assignments.

Type of Teaching	Credit Conversion	Requirements to receive credit
Chairing a doctoral dissertation[13]	.25 of a credit at the time of successful defense of proposal; .25 at the time of completion	Regular, direct advising; project summary & timeline
Chairing a master's thesis or research paper	.33 of a credit at the time of completion	Regular, direct advising; project summary & timeline
Chairing an undergraduate honors thesis	.25 of a credit at the time of completion	Regular, direct advising; project summary & timeline
Supervision of student readings/independent studies/practicums/ student research	.1 to .25 of a credit at the time of completion, based on the credit registered for and scope	Regular, direct advising; syllabus
Additional common non-standard instruction used by departments[14]	Department specific	Approved by department head, dean, and Provost; syllabus

Paragraph 4.1a.2 Documenting Non-Standard Teaching
Faculty shall document non-standard teaching assignments within their annual u-FAR materials.

Paragraph 4.1a.3 Assignment of Non-Standard Teaching Credit
If non-standard teaching is assigned to a faculty member, but does not have a credit conversion documented in Table 4.1a.1 or is inconsistent with the credit conversions in Table 4.1a.1, a faculty member should be directed to complete the Non-Standard Teaching Application Form. The application form shall be submitted to the department with the following documentation: a syllabus or project summary and timeline, the course, name, number and section, number of student(s) expected to enroll, and total number of credits, clock hours per week, and other relevant documents. The application form shall be submitted to the department head with documentation attached and must be approved by the department head and dean before enrolling students. Such agreements shall be documented in a letter of offer or Memorandum of Understanding.

[13] Serving as committee members is valued and considered service in the faculty member's standard, enhanced teaching, or differentiated portfolios. If someone is serving as a committee member beyond regular committee member duties (for example, as the method's specialist with extensive, regular advising), the faculty member may apply for non-standard teaching credit using the process specified in Paragraph 4.1a.3.

[14] When a department regularly uses additional types of non-standard instruction not specified in the Table 4.1a.1 (e.g. applied music, theatre assignments, internships, field experiences, studio or lab classes, etc.) to deliver its curriculum as part of a faculty member's teaching portfolio, the department head or school director shall consult with the faculty and receive approval from dean of the college and Provost to develop non-standard conversions equivalent to credits (or portions thereof) to be counted toward a faculty member's teaching portfolio.

A document identifying the formula for non-standard credit conversions (including contact hours or librarianship/desk coverage, if used) and a description of how the conversions were determined shall be distributed to all probationary and tenured faculty members in the relevant academic department or school no later than the last day of the spring semester for the following academic year. The document must be approved in advance of the distribution by the dean and Provost.

Paragraph 4.1a.4 Awarding Non-Standard Teaching Course Releases
If a non-standard teaching activity is compensated monetarily (e.g., through Continuing Ed.), or via other course release agreement, faculty may not also earn credit for it under this policy.

Faculty must request a course release and be rewarded within one year after accumulating sufficient credit unless approved for an extension by the department head and dean. The faculty member and department head should work together to assure that the departments' course offerings are meeting students' curricular needs. Generally, faculty may be granted one 3 credit hour course release in any academic year.

Subdivision 4.1b Teaching Overload
Teaching overload occurs when faculty members are assigned and agree to teach more credit hours than specified by their designated portfolio (see Sections 4.7 and 4.8). Faculty members and department heads are expected to consult with each other regarding overload assignments in order to meet the needs of the students, department, and individual faculty members.

Paragraph 4.1b.1 Compensation
Overload for the purposes of compensation is determined based on the credits worked and having met the requirements specified below.

Type of Teaching	Credit Conversion	Requirements
Teaching an assigned extra course	Specified credit amount	Teaching overload Request through an approved SPC PAF or Memorandum of Understanding
Non-Standard Teaching assigned above load	According to specific provisions in Table 4.1a.1	Teaching overload Request through an approved SPC PAF or Memorandum of Understanding

Compensation for overload teaching shall come in one of two forms (a) course reduction or (b) overload pay at the adjunct rate based on the number of credits of overload. First, faculty members and their department head may agree to assign a future course reduction in the place of overload pay. Such agreements shall be documented in a Memorandum of Understanding between the faculty member and department head, and approved by the dean and Provost or designee before the work begins. In such cases, the assignment may exceed the designated portfolio's credit-hours in a given semester when an equivalent credit-hour reduction is scheduled.

Alternatively, faculty shall be compensated for overload by the end of the academic year at the adjunct rate specified in the Collective Bargaining Agreement, subject to the provisions of UNI Policy 4.41 Special Compensation and Summer Appointments. Overload compensation is documented in a Memorandum of Understanding and the SPC PAF (Special Compensation Personnel Action Form).

Paragraph 4.1b.2 Assignment of Overload
Teaching an overload is assigned in advance by the department head working with the faculty member with approval by the dean and Provost or designee. A Special Compensation Personnel Action Form (SPC PAF) shall be completed by the department for agreement of the work by the faculty member, and approval by the department head, dean and Provost or designee.

Paragraph 4.1b.3 Documenting Overload Teaching
Faculty shall document overload teaching within their annual u-FAR materials.

Paragraph 4.1b.4. Double Counting Teaching Activities
Faculty shall not double count teaching activities, e.g. research papers assigned in an enrolled semester course as part of a faculty member's regular teaching assignment.

Subdivision 4.1c Student/Office Hours

Faculty members are expected to be reasonably available to students by holding student/office hours (hours when faculty are available for students out of class time) or by providing equivalent availability (e.g., electronic availability, such as email, zoom, google hangout, etc.). Faculty members teaching online courses may use timely electronic communication in lieu of student/office hours. In all cases, students should have timely access to a synchronous appointment, if desired. Syllabi must clearly describe student/office hour options for students.

Section 4.2 Definition of Librarianship

Librarianship is the creation and provision of information, resources, and services that advance critical thinking, scholarly research, and learning in an evolving information landscape. This includes, but is not limited to, the provision of reference services, research consultations, and instruction in support of information literacy; the selection, acquisition, organization, preservation, and administration of library collections and other information resources; and supporting sharing of and access to library collections and other information resources.

Section 4.3 Definition of Scholarship

Scholarship refers to those discipline-specific or professional expertise activities that result in a tangible artifact or outcome. Scholarship makes use of the faculty member's professional expertise, and it must be of appropriate quality and be disseminated. The university recognizes, evaluates, and rewards three types of scholarship (Discovery, Integration, Application), which are defined and illustrated below. The definitions include but are not limited to the examples provided. The Departmental Standards and Criteria Document may provide additional specific examples of products or outcomes in order to demonstrate these forms of scholarship. The Departmental Standards and Criteria Document must be consistent with Sections 4.4 and 4.5 of this Chapter and Chapter 3 of this Handbook.

Subdivision 4.3a Discovery

Discovery is the original production or testing of a theory, principle, knowledge, or artistic creation. Examples include a traditional quantitative and/or qualitative data analysis, as well as an artistic or literary artifact (such as a fiction or non-fiction writing, art exhibition, musical composition, or musical/theatrical performance). The university recognizes the scholarship of teaching and learning, such as the evaluation of curricula or pedagogy, as discovery when it produces original knowledge. All discovery scholarship is evaluated within the faculty member's field of expertise through traditional peer review and is publicly disseminated in traditional outlets, such as journals, books, recordings, performances, or refereed exhibitions.

Subdivision 4.3b Integration

Integration is the use of knowledge found within or across disciplines to create an original understanding or insight that reveals larger intellectual patterns. Examples include the writing of a textbook, curating an artistic exhibition, editing an anthology, or integrative work that summarizes or extends what is known about a topic or process. Being awarded a competitive external grant may be considered Integration scholarship. Integration scholarship is peer reviewed and may appear in a variety of outlets (see "Peer Review" in Chapter 3).

Subdivision 4.3c Application

Application brings discipline-specific knowledge to bear to address a significant issue or problem or to influence a current or future condition. Examples include producing a technical report; performing public policy analysis; creating program, curriculum, or tools that are adopted across the state/nation; evaluating a community-based program; or being awarded a patent. Application scholarship is distinguished from service by the presence of peer review and may appear in a variety of outlets (see "Peer Review" in Chapter 3).

Subdivision 4.3d Inclusion of External Grants

Particularly if funded, and in line with Departmental Standards and Criteria, external grants would provide partial validation of the scholarship productivity depending upon the proposal's quality, the grant's size, and evidence furnished by the faculty. A grant proposal can lead to a discovery, integration, or application of scholarship outcomes as described in Subdivisions 4.3a, 4.3b, and 4.3c.

Section 4.4 Scholarship for Probationary Faculty

Probationary faculty are expected to engage in the scholarship of Discovery, including the scholarship of teaching and learning when it produces original knowledge. Some departments may also evaluate and reward peer-reviewed Integration or Application scholarship when consistent with disciplinary expectations and applicable accreditation requirements. Typically, twenty-five percent of a probationary faculty member's portfolio shall be allocated for scholarly or creative work, unless a different portfolio has been assigned to the faculty member.

See Chapter 3 of this Handbook regarding more specific standards and documentation requirements for the purposes of Annual Review, Post-Tenure Review, and promotion.

Section 4.5 Scholarship for Tenured Faculty

Tenured faculty may engage in Discovery, Integration, or Application research within their field of expertise. Each type of scholarship shall be recognized as legitimate for the purposes of Annual Review, Post-Tenure Review, and promotion to full professor when it has undergone peer review that attests to its acceptable quality and meaningful impact. Faculty members are expected to collaborate with their colleagues and department head to ensure their scholarship is consistent with requirements for scholarship for program accreditation. Typically, twenty-five percent of a tenured faculty member's portfolio shall be allocated for scholarly or creative work, unless a different portfolio has been assigned to the faculty member.

See Chapter 3 regarding more specific standards and documentation requirements for the purposes of the Annual Review, Post-Tenure Review, and promotion.

Section 4.6 Definition of Service

Service is recognized as an essential component of UNI's overall portfolio for all faculty members. Tenured, probationary, renewable term, and term (1-4) faculty are expected to engage in service to the university, the profession, and the broader community. These faculty may fully participate and exercise shared governance in the life of the university community through service work. Service to the university occurs at the department, college, or university level. Service to the profession includes work for the faculty member's discipline or disciplinary organizations at the local, regional, national, or international level. Service to the broader community includes those activities that make use of the faculty member's disciplinary expertise with organizations or communities outside of the university or in one's discipline. Examples of service to the broader community include but are not limited to performing program evaluation for a nonprofit organization, using disciplinary expertise to advise a community organization on an initiative, and volunteering on the board of a community organization related to one's disciplinary expertise. Typically, fifteen percent of a probationary or tenured faculty member's portfolio shall be allocated for service. Service obligations are to be shared and fulfilled equitably by all faculty members according to their assigned portfolios. Major impactful service activities, projects or outcomes that are peer reviewed may qualify as Scholarship of Application (see Subdivision 4.3c).

Subdivision 4.6a Probationary Faculty Service

Whenever possible, the service obligations of probationary faculty shall be reduced in their first two years in order to devote more time to teaching and scholarship. They shall increase service gradually to 15 percent of their portfolio by the time they apply for tenure and promotion.

Section 4.7 Faculty Portfolio

University faculty portfolios are designated according to position type, rank, availability and percentages of effort in teaching, scholarship, and service (see the Faculty Portfolio Summary Table in Subdivision 4.7a and definitions in Sections 4.9 to 4.11). Faculty Portfolios do not designate a prescriptive breakdown of work hours dedicated to each category of responsibility but rather guides faculty and administrative priorities. How faculty members utilize their time varies across the week, semester, year, and career, according to discipline, departmental needs, and individual strengths.

Subdivision 4.7a Faculty Portfolio Summary Table

Appointment Type	Rank	Availability	Workload
Probationary	Assistant Professor Associate Professor (not tenured)	Required	**Standard Portfolio (probationary)**[15] *20% teaching* = 1 3-credit hour course *20% teaching* = 1 3-credit hour course *20% teaching* = 1 3-credit hour course or *60% librarianship* *25% scholarship* (Discovery scholarship/creative activity; departments may allow additional criteria for Integration and Application as appropriate for their discipline) *15% service* = department, college, university, community, and/or discipline with active participation and impact (see Subdivision 4.6a regarding reduced service obligations during the first two years)
Tenured	Instructor	Required	**Instructor Portfolio (tenured)** *20% teaching* = 1 3-credit hour course *20% teaching* = 1 3-credit hour course *20% teaching* = 1 3-credit hour course *20% teaching* = 1 3-credit hour course *20% service* = department, college, university, community, discipline (to be specified in letter of offer; in some instances, this 20% may be split between service and scholarship)
Tenured	Assistant Professor Associate Professor Full Professor	Default	**A. Standard Portfolio (tenured)**[18] *20% teaching* = 1 3-credit hour course *20% teaching* = 1 3-credit hour course *20% teaching* = 1 3-credit hour course or *60% librarianship* *25% scholarship* (choice of Discovery, Integration, or Application) *15% service* = department, college, university, community, and/or discipline, involving leadership and impact
Tenured	Associate Professor Full Professor	Apply	**B. Extended Teaching**[16] **Portfolio (tenured)** *20% teaching* = 1 3-credit hour course *20% teaching* = 1 3-credit hour course *20% teaching* = 1 3-credit hour course *20% teaching* = 1 3-credit hour course *5% scholarship* (maintenance of scholarly competence) *15% service* = department, college, university, community, discipline, involving leadership and impact

[15] Faculty portfolios shall be flexible across time. See Subdivision 4.8a (Portfolio Flexibility Options), Section 4.9 (Extended Teaching Portfolios for Tenured Faculty), and Section 4.12 (Overload for Special Projects/Course Reassignments).
[16] Or Librarianship

Appointment Type	Rank	Availability	Portfolio
Term (1-4 years) Renewable Term	Assistant Professor of Instruction Associate Professor of Instruction Professor of Instruction Clinical Assistant Professor Clinical Associate Professor Clinical Professor Assistant Professor of Practice Associate Professor of Practice Professor of Practice		**Term Portfolio** *20% teaching* = 1 3-credit hour course* *20% teaching* = 1 3-credit hour course* *20% teaching* = 1 3-credit hour course* *20% teaching* = 1 3-credit hour course* *20% service* = department, college, university, community, discipline (to be specified in letter of offer; in some instances, this 20% may be split between service and scholarship)
Adjunct (temporary)	Assistant Adjunct Professor Associate Adjunct Professor Senior Adjunct Professor		**Adjunct Faculty (temporary) Portfolio** *Teaching assignments specified in letter of offer*

Section 4.8 Standard Portfolio for Probationary and Tenured Faculty

The Standard Portfolio of probationary and tenured faculty at UNI reflects the prioritization of teaching. UNI also values scholarship and service. The Standard Portfolio for probationary and tenured faculty is represented by five components spread across teaching, scholarship, and service (see Section 4.7). Faculty on 10, 11, or 12 month contracts are assigned a portfolio equivalent to one to three additional months according to their official assignments.

Subdivision 4.8a Portfolio Flexibility Options

Though specific percentages are allocated for scholarship and service to indicate the university's Standard Portfolio, upon approval of the department head and dean, differentiated weight may be allocated to scholarship or service responsibilities for the purposes of faculty development. Such an approved portfolio will be for one year at a time with the opportunity to renew for up to one additional year. Upon completion, the faculty member's portfolio returns to the Standard Portfolio. Opportunities in applying for differentiated scholarship and service obligations are available to all faculty members, however, neither scholarship nor service assignment obligations shall drop below 5% in contributions per year.

Differentiated portfolios shall be documented in writing by the department head or dean in a Memorandum of Understanding to the faculty member and placed in the Faculty Evaluation File. Faculty members who receive course releases are required to report such assignments annually as part of annual u-FAR materials, including the activities assigned in lieu of teaching. Applications for tenure and promotion should summarily report such assignments as a part of faculty members' overall portfolio. Faculty members are to annually document such portfolios as part of annual u-FAR materials. Each Fall, all differentiated portfolios shall be reported by the department head to the Provost and disseminated in a report to Faculty Leadership, deans and department heads.

Section 4.9 Extended Teaching[20] Portfolios for Tenured Faculty

Tenured Associate and Full Professors are eligible to apply for an Extended Teaching[17] Portfolio with an additional class to teach. Faculty assigned to the Extended Teaching Portfolio are expected to contribute fully to their specified portfolio (see Section 4.7).

Subdivision 4.9a Tenured Instructors

Tenured Instructors will be assigned to an Instructor Portfolio, unless an alternate assignment has been arranged with the department head, in consultation with the dean, and documented in a letter of offer or Memorandum of Understanding.

Subdivision 4.9b Eligibility

Tenured faculty are eligible to apply for an Extended Teaching Portfolio when they achieve the rank of Associate or Full Professor. Faculty must also have an established record of teaching excellence, service impact, and service leadership. The faculty member's request must also align with departmental and university needs and priorities, as determined by the department head and dean, in order to be approved.

Subdivision 4.9c Extended Teaching Portfolio Application Process

Eligible faculty members who wish to be assigned an Extended Teaching[3] Portfolio may apply for an Extended Teaching[3] Portfolio. The faculty member will provide a written request to the department head by the end of the fall semester for the following academic year. The department head, in consultation with the dean, will assess whether or not the eligibility criteria have bene met, as defined in Subdivision 4.9b before deciding whether or not to grant the request. If the request is granted, a Memorandum of Understanding will be developed to outline the expectations while the faculty member remains on this differentiated portfolio. The term for an Extended Teaching[3] Portfolio is typically 3 years and may be renewed through the application process.

Subdivision 4.9d Maintaining Competence in Scholarship

Faculty with an Extended Teaching[3] Portfolio are required to stay abreast of developments within their field and continue to be engaged in their discipline in order to maintain scholarly competence. Faculty may stay engaged in their discipline by producing scholarship, presenting at conferences, reviewing for journals, using their disciplinary expertise in service, engaging in scholarship-oriented faculty development, or submitting grants. This list is not exhaustive. Departments shall develop a list of any additional activities to denote the maintenance of scholarly competence.

Section 4.10 Renewable Term and Term (1-4) Faculty Portfolios

Term (1-4) and renewable term faculty members' predominant assigned portfolio is teaching. They also are expected to perform service and are integrated, full members of the university community.

All teaching assignments and service expectations are to be specified in the faculty member's letter of offer or annual assigned portfolio (see Section 4.7). In some limited cases, service may be split between service and scholarship, as specified in the faculty member's offer letter or annual workload assignment.

Section 4.11 Adjunct Faculty (temporary) Portfolios

The primary assigned portfolio for adjunct faculty (temporary) is teaching (see Section 4.7). Teaching assignments are specified in their offer letter and paid per course, as specified in the Collective Bargaining Agreement. Any service assignments, beyond those typically associated with teaching courses, are specified in their offer letter and paid per activity or assignment.

Section 4.12 Overload for Special Projects/Course Reassignments

A president, provost, dean, or department head may designate as overload some special, agreed-upon assignments or projects which sufficiently exceed a faculty member's overall portfolio. In such cases, a Course Reassignment (release) may be applied or earned. Alternatively, administrators may compensate faculty by determining the work's credit-hour equivalency. Department heads shall consult with their dean before assigning special projects.

Faculty on a 9 month contract hired to work during the summer months (outside of teaching summer school) shall be compensated according to the assignment.

[17] Or Librarianship

The responsibilities, time frame, course reassignment (release), or compensation shall be outlined in a Memorandum of Understanding or letter of offer; or if compensation is granted, requested and approved through a Special Compensation Personnel Action Form (SPC PAF).

Section 4.13 Continuing Education and Special Programs

This Chapter will not affect the current methods for determining whether or not courses taught through the division of Continuing Education and Special Programs are part of a faculty member's teaching load and the method of compensating faculty for teaching courses for the division.

Section 4.14 Modified Duties Assignment

Subdivision 4.14a Definition

A Modified Duties Assignment ("MDA") is a temporary (*i.e.,* one semester or less) reconfiguration of a faculty member's work assignment (*i.e.,* teaching, scholarship and service) in order to accommodate the faculty member's need for a flexible schedule following their return from an FMLA leave. Modified duties may include but are not limited to: research, scholarship, professional service, curriculum development, development of course materials, accreditation and/or certification materials, departmental operation manuals, communication materials, or undergraduate or graduate recruitment materials.

Subdivision 4.14b Compensation

A MDA will maintain the faculty member at 100% workload and 100% of their budgeted salary unless the faculty member agrees to a reduction in workload during the term of the MDA.

Subdivision 4.14c Eligibility

Any faculty member with a probationary, tenured, term (1-4), renewable term, or clinical appointment, is eligible to request to take a MDA during any semester in which the faculty member has been approved for continuous FMLA leave that is expected to exceed five (5) weeks. Alternatively, any tenure-track or tenured faculty member who (a) has been designated as the primary caregiver for a child and (b) takes FMLA leave due to birth, adoption or foster care placement of the child is eligible to request to take a MDA within 12 months of the birth/adoption/placement of the child. The University reserves the right to impose limitations on the number of MDAs that a faculty member may take during their employment with the University.

Subdivision 4.14d Procedure

Eligible faculty interested in a MDA should contact their department head to request a MDA. The department head and dean, in consultation with the Associate Provost for Faculty, will work with the eligible faculty to develop a MDA that meets the needs of the faculty member and the department. The terms of the MDA, if agreeable to the faculty member, department head and dean, will be memorialized in a memorandum of understanding with the faculty member. The department head or dean reserve the right to decline to grant a requested MDA if granting such a request would cause an undue hardship to the department or college (e.g., inability to cover necessary courses), the decision which may be appealed to the Faculty Petition Committee.

Subdivision 4.14e Return Obligation

Faculty on a MDA are expected to follow the modified duties assignment as memorialized in the memorandum of understanding. When the MDA period has ended, the faculty member is required to submit a written report to the department head and dean with evidence of their accomplishments while on a MDA.

Faculty completing a MDA are also required to return to their standard duties for a minimum of two semesters following the MDA. If the faculty member leaves the University before two semesters have passed, the University reserves the right to require the faculty member to pay back any costs associated with the MDA.

Section 4.15 Professional Development Assignment

Subdivision 4.15a Definition

A Professional Development Assignment ("PDA") is a paid semester or academic year assignment awarded to a faculty member to undertake approved programs of study, research, or other professional activity.

Subdivision 4.15b Compensation

A Professional Development Assignment is awarded for one semester at regular salary or for an academic year at fifty percent (50%) of regular salary.

Paragraph 4.15b.1

Insurance and retirement benefits are maintained during the period of a Professional Development Assignment.

Paragraph 4.15b.2

The University may place limits on compensation received for professional services performed during the period of a Professional Development Assignment.

Subdivision 4.15c Eligibility

Paragraph 4.15c.1

Only tenured faculty members are eligible to apply for Professional Development Assignments. A recipient of a Professional Development Assignment is ineligible for a subsequent Professional Development Assignment during the six academic years of active service following an award. A faculty member who receives a Professional Development Assignment is ineligible to receive a Summer Fellowship during the subsequent summer.

Subdivision 4.15d Service or Financial Obligation

Paragraph 4.15d.1

Pursuant to state law and Board policy, the recipient of a Professional Development Assignment agrees to return to full-time employment for a period of not less than two years following the year of the award.

Paragraph 4.15d.2

Failure to meet the conditions of Paragraph 4.15d.1 obligates the faculty member to pay the University an amount equal to all salaries and benefits received during the period of the assignment. If the faculty member returns for part of the requisite period the payback shall be adjusted pro rata.

Paragraph 4.15d.3

Every faculty member while on Professional Development Assignment shall be considered to be in regular full-time employment in the position from which the assignment is being taken during the period of the assignment, for the purpose of determining the faculty member's length of service.

Subdivision 4.15e Procedure

Paragraph 4.15e.1

A request for a Professional Development Assignment must be submitted no later than the 2nd week in September preceding the academic year in which the proposed assignment will be taken.

Paragraph 4.15e.2

A recipient must follow the program proposed in the Professional Development Assignment application unless a variance is approved by the Professional Development Assignment Committee, subject to concurrence by the Provost.

Paragraph 4.15e.3

Evaluation of applications for Professional Development Assignments will be carried out by a faculty committee chaired by the Provost or designee without vote. Recommendations of the committee will be subject to approval by the President and the Board of Regents.

Section 4.16 Summer Research Fellowships

The university shall allocate funds for a number of Summer Research Fellowships each year with preference given to probationary faculty. Additionally, all else being comparable, preference will be given to research/projects which include working with students. The Summer Research Fellowships shall consist of a four-week period during the months of May, June, or July as budget is available. The details concerning application guidelines will be found on the Division of Graduate Studies

website, including the compensation and number of total fellowships available for that year. These Summer Research Fellowships will be available to any full time tenured or tenure-track faculty with a current appointment except that recipients may not receive a Summer Research Fellowship in consecutive years. A faculty member who receives a Professional Development Assignment (PDA) is ineligible to receive a Summer Fellowship the summer prior to the academic year of the PDA and the subsequent Summer of the PDA.

During the summer fellowship period, recipients cannot generally hold another assignment or receive additional compensation from the university. However, recipients may receive compensation from other sources up to a total amount equal to their standard 1/9 salary if the projects funded by other sources also relate to the focus of the Summer Research Fellowship Proposal.

CHAPTER FIVE: PERSONNEL FILES

Section 5.0 Personnel Files

A personnel file will be maintained for each tenured and probationary faculty member. The file shall be located in the office of the dean of the faculty member's college unless otherwise determined by the University. If a change in location is determined, faculty members and the Faculty Leadership shall be notified in writing of the changed location.

Section 5.1 Right to Review

Each faculty member shall have the right to review the contents of their personnel file during regular working hours, or at such other time as mutually agreed on with the dean of the college. The review will take place in the presence of the dean of the college or their designee. Excluded from the review will be employment credentials, which are not designated by their source as available to be reviewed by the candidate.

Section 5.2 Right to Respond

The faculty member shall have the right to respond to all materials contained in their file. Such responses shall be included in the same folder as the related report and become part of the file.

Section 5.3 File Material Removal

A faculty member may request in writing removal of any item in the file. Such request for removal must be received within one year of placement of the item in the file. The written request shall also contain a rationale for the requested removal. If the dean and Provost agree, the item shall be removed from the personnel file. If the dean and Provost deny the request for removal, they will notify the faculty member in writing within thirty (30) days from the date of the written request including reason for the denial. For purposes of this section, days shall mean class days during the regular academic year.

Section 5.4 Notice of Complaint

Any complaints directed toward a faculty member, which are placed in their personnel file shall be called promptly to the faculty member's attention in writing and identified as being added to the file.

Section 5.5 Right to Copies

The faculty member shall have the right to copies of the contents of the file at their expense at the rate of five cents ($.05) per page.

CHAPTER SIX: STAFF REDUCTION

Section 6.0 Attrition

When a staff reduction occurs, it shall be accomplished through attrition wherever possible.

Section 6.1 Notice

Prior to informing any faculty member of layoff, the University shall notify Faculty Leadership of the possible layoff(s) and shall give Faculty Leadership reasonable time to consult with the University.

Section 6.2 Definition

"Program area," for the purposes of specific implementation of this Chapter, is a related cluster of credit-bearing courses that constitute a coherent body of study within a discipline or set of related disciplines that lead to a degree. All faculty members shall be notified of their program area assignments on or before October 1 of each year. If a faculty member does not receive notification on or before October 1, the faculty member will remain in the program area assigned in their most recent notification.

Faculty members who are part of the UNI Rod Library employed as library faculty shall be notified that their program area assignment is "Library Services," unless library faculty become attached to a degree program, at which time that degree program shall become their program area assignment.

Section 6.3 Order of Reduction

In the event that a staff reduction occurs, the University shall lay off faculty members in accordance with the following standards:

Subdivision 6.3a Tenured Faculty

A faculty member with tenure shall not be laid off as long as a probationary, temporary, term (1-4), renewable term, or clinical faculty member remains in the program area where the layoff occurs.

Subdivision 6.3b Probationary Faculty

Full-time probationary faculty members shall not be laid off as long as temporary, term (1-4), renewable term, and clinical faculty members remain in the program area where the layoff occurs. When this clause is used by the University, the University shall provide the appropriate seniority list to implement this clause.

Subdivision 6.3c Criteria for Reduction - Nontenured

In determining which nontenured faculty member in the program area where the layoff occurs is to be laid off, the following criteria are to be used:

Paragraph 6.3c.1

Total professional employment experience with the University.

Paragraph 6.3c.2

Total professional employment experience in other higher-education institutions.

Paragraph 6.3c.3

Educational preparation, post-graduate training, and employment experience.

Paragraph 6.3c.4

Relative skill, ability, and performance as determined through the evaluation procedure provided in this Faculty Handbook.

Paragraph 6.3c.5

Affirmative action laws.

Paragraph 6.3c.6

The program area in which the layoff occurs.

Subdivision 6.3d Tenured Faculty – Order of Layoff
Layoffs of tenured faculty members in a program area shall be made in inverse order of number of years of service on this faculty. When this clause is used by the University, the University shall provide the appropriate seniority list to implement this clause.

Subdivision 6.3e Tenured Faculty – Transfer
When a tenured faculty member is subject to layoff, she/he shall be eligible to transfer to any vacant faculty position at the University for which the faculty member possesses the necessary educational preparation, professional qualifications, and the appropriate terminal degree under current standards.

Section 6.4 Recall
Faculty members laid off shall be eligible for recall at the same tenure and rank that had been accumulated at the time of layoff.

Subdivision 6.4a Probationary Faculty
Any probationary faculty member who has been laid off due to retrenchment shall be placed on a recall list for three (3) years and shall be recalled for faculty positions at the University for which the faculty member possesses the necessary educational preparation and professional qualifications.

Subdivision 6.4b Tenured Faculty
Any tenured faculty member shall be continued on the recall list indefinitely, upon request to be renewed annually after the third (3rd) year, and shall be recalled for faculty positions at the University for which the faculty member possesses the necessary educational preparation and professional qualifications.

Subdivision 6.4c Recall Order
Faculty members qualified under Subdivisions 6.3a and 6.3b shall be recalled in inverse order of layoff.

Subdivision 6.4d Hiring Restrictions
No new faculty member shall be hired for a teaching position in the same program area so long as the laid- off faculty member qualified under Subdivisions 6.3a and 6.3b retains recall rights.

Subdivision 6.4e Notification
The employer shall notify each employee laid off, pursuant to this Chapter, of vacant faculty positions at the University as such vacancies occur. Notice shall be given by certified mail, return receipt requested. Faculty Leadership also shall be informed of vacancies.

Subdivision 6.4f Current Address
The Provost shall be kept informed by the terminated employee of current addresses, telephone numbers, interest in recall, and areas in which the faculty member claims qualification.

Section 6.5 Vacancies
When a vacancy occurs within sixty (60) days of the start of a semester, the faculty member may decline the recall while retaining all recall rights for the future.

Subdivision 6.5a Recall Notice
When accepting recall under this Section, the faculty member shall contact the Office of the Provost for assignment within twelve (12) days of the date the recall notice is delivered. Such notice shall be by certified mail, return receipt requested.

Subdivision 6.5b Failure to Report
Failure, after acceptance of recall under this Section, to report for work as specified in the assignment or within thirty (30) days of receipt of notice of recall, whichever is later, shall result in loss of recall rights.

Subdivision 6.5c Failure to Respond
Failure to respond to recall under this Section within twelve (12) days of receipt thereof shall constitute a declining of the recall.

Section 6.6 Procedures for Recall

The procedures of this Section apply when notice of recall is sent to a faculty member at least sixty-one (61) days in advance of the beginning of the semester in which the vacancy is to be filled.

Subdivision 6.6a Vacancy Notice

When a vacancy occurs, each eligible faculty member may be sent a vacancy notice, which shall include the number of faculty having higher priority for recall for that vacancy.

Subdivision 6.6b Failure to Accept

A faculty member on a recall list who receives notice of recall and who does not accept the recall within thirty (30) days of the receipt of the notice of the vacancy or twelve (12) days of the notice of recall, whichever is later, shall lose recall rights.

Subdivision 6.6c Failure to Report

A faculty member on recall list who accepts recall and who does not report for work on the first (1st) day of the specified semester shall lose recall rights.

Section 6.7 Temporary Replacements

When a vacancy occurs during or within ten (10) days of the start of a semester or summer term, the University may employ a temporary instructor for the balance of that term.

Section 6.8 Days Defined

In all instances in which “days” is specified in this Chapter, the term refers to calendar days.

CHAPTER SEVEN: SUMMER / WINTER EMPLOYMENT

Section 7.0 Compensation

Summer compensation for full-time employment for teaching, research, professional service, or any combination thereof shall be 1/27th of the faculty member's nine-month academic year salary for each semester credit hour taught.

Subdivision 7.0a Low-Enrolled Summer or Winter Term Courses Compensation

In the event a summer or winter term course is deemed to be under enrolled and considered for closure, the faculty member may elect to teach the course with an alternate compensation method. In such cases, faculty will be paid based on a per-student basis at 65% of tuition generated at the appropriate tuition rate up to a maximum of 1/27th of the faculty member's nine-month salary (or the part-time rate for adjunct faculty) for each credit hour. With the approval of the cognizant relevant dean, this compensation approach may also be applied to non-traditional courses (such as applied music, independent study, etc.). At the time in which the faculty member has to make a decision on whether to offer a course, the faculty member will be guaranteed a minimum salary based on the enrollment at that time.

Section 7.1 Assignment

Work assignments will be made by the employer. Part-time assignments during any part of the summer session period may be made.

Section 7.2 Notice of Appointment

No less than ninety percent (90%) of full-time and part-time summer appointments shall be made by memorandum of appointment before April 30 for the May term and May 15 for the June and July terms, but may be earlier if budget schedules permit. No more than ten percent (10%) of the total of all summer school courses in all summer school sessions within any college may be assigned specifically to "staff." Later appointments may be made, if agreed by the employee and employer, in the case of positions for which the availability of funds is not known until a later date.

Section 7.3 Study Abroad Travel Expenses and Compensation

The University shall pay faculty members' travel expenses related to international study abroad teaching. Compensation for study abroad teaching shall be no less than the part-time rate.

CHAPTER EIGHT: LEAVES

Section 8.0 Paid Sick Time
For additional details go to: https://hrs.uni.edu/mybenefits/time-off.

Subdivision 8.0a Definition
An absence, defined as "sick time off," is granted with regular pay for the eligible faculty member's time away from work obligations in accordance with the provisions outlined in this chapter.

Subdivision 8.0b Record
The University will maintain a record of accumulated sick leave for each faculty member and each eligible faculty member. Each eligible faculty member has access to view the amount earned and used.

Subdivision 8.0c Accrual

Paragraph 8.0c.1
On the first (1st) day of August and the first (1st) day of January, seven and one-half (7½) days (60 hours) will be added to the accrued sick time available balance for each eligible faculty member holding a full-time appointment.

Fractional credit, to the nearest hour, will be credited to each eligible member on a fractional appointment. If the faculty member's first (1st) working day is earlier than August 1st or January 1st, the seven and one-half (7½) days (60 hours) will be credited on such first (1st) working day.

Sick time shall not accrue during an unpaid leave of absence. Sick time accrual will be prorated for faculty serving less than full time.

Paragraph 8.0c.2
The maximum accumulated sick leave credit shall be one hundred twenty (120) days.

Paragraph 8.0c.3. Sick Time Bank

Subparagraph 8.0c.3a
A sick leave bank with five hundred fifty (550) days is established July 1 each year for use by eligible faculty. The sick time bank does not accumulate from year to year but begins with each fiscal year with five hundred fifty (550) days.

Subparagraph 8.0c.3b
A faculty member may use days from the bank; however, the use of sick time off from the bank shall be limited to faculty members who have used all of their available accrued sick time, have not yet met the elimination period for long-term disability, and suffer from serious and/or chronic or long-term illness. Sick bank time off may not be used during a short-term illness or short-term disability.

Subdivision 8.0d Deductions
Faculty members should code sick time off on any day on which they miss classes or other University obligations or are unable to perform work obligations for half or more of a day due to injury, illness, or medical appointments. A faculty member's sick time account will be charged a maximum of five (5) days (40 hours) in any given week.

A faculty member should code sick time off for family caregiving leave, see section Subdivision 8.1g Family Caregiving Leave.

Subdivision 8.0e Time Off Request

Paragraph 8.0e.1
A faculty member who proposes to take or takes sick leave must submit an Absence Request through UNI Works system in time sufficient to permit accommodation to their responsibilities whenever possible.

Paragraph 8.0e.2
Human Resource Services may request medical proof of absences as permitted by law.

Subdivision 8.0f Eligibility

Paragraph 8.0f.1
Sick time accruals are granted to all probationary (tenure track), tenured, term (1-4), renewable term, or clinical faculty who are currently 50% FTE or greater. In addition, temporary faculty who currently are 25% FTE or greater and were also 25% FTE or greater in the prior academic semester will accrue sick time. Paid sick time will not be made to a member of the faculty during an academic period in which the faculty member does not hold a paid appointment.

Subdivision 8.0g Lay Off – Recall
When a faculty member is laid off any unused accumulated sick time shall be restored provided that the faculty member is returned to active service by the University in accordance with Chapter 6: Staff Reduction.

Subdivision 8.0h Compensation
Compensation during use of paid sick time will be equal to regular compensation less the amount the faculty member receives from disability benefits and/or Workers' Compensation.

Subdivision 8.0i Sick Time Payout
Upon retirement, a faculty member shall receive cash payment for accumulated unused sick time in accordance with Chapter 70A.23 of the Code of Iowa.

Section 8.1 Other Leaves

Subdivision 8.1a
The University provides all employees with leaves required by the Code of Iowa and University Policy, including 4.58 Military Leave, 4.59 Court and Jury Service Leave, 4.60 Voting Leave, and 4.61 Blood, Bone Marrow, and Living Organ Donation Leave.

Subdivision 8.1b Short-term Leaves

Paragraph 8.1b.1
The University may grant paid, short-term leaves for faculty members to be absent from campus duties for educational and research purposes, conferences, and other professional activities. Absences involving university-sponsored travel require initiation of a Travel Request through the Office of Business Operations Service Hub. Additionally, upon approval of the University, adjunct professors who are not part of the faculty bargaining unit may be granted short-term leaves, including those for illness. Short-term leaves are normally for periods of a week or less, though they may be longer at the discretion of the University.

Paragraph 8.1b.2
The University may grant short-term paid bereavement leaves for any faculty member.

Paragraph 8.1b.3
Leaves for purposes of consulting or for professional activities, for which remuneration is received, may average no more than one (1) day per week during an academic term.

Subdivision 8.1c Long-term Leaves
The University may grant paid or unpaid leaves of up to one (1) calendar year to carry out research/ scholarly work/ creative work, and/or educational activities supported under grants, contracts, fellowships, or University research awards. The University, at its discretion, may renew such a leave.

Subdivision 8.1d Public Office Leave
Faculty members elected or appointed to a full-time public office shall be granted an unpaid leave of absence according to Iowa Code 55.1.

Paragraph 8.1e Absence Request
To receive pay under this Section, the faculty member must complete through the UNI Works system and may be required to furnish satisfactory evidence that such service was performed on the days for which payment is claimed.

Subdivision 8.1f Professional or Personal Leaves
Faculty members may be granted paid or unpaid leaves of absence for professional or personal reasons with the consent of the University.

Subdivision 8.1g Family Caregiving Leave

Paragraph 8.1g.1 Paid Family Caregiving Leave
Family caregiving leave is the portion of a faculty member's accrued sick time that may be used following the faculty member's birth/adoption of a child or to care for the faculty member's spouse, child, domestic partner, or parent with an injury or illness. A faculty member may use up to fifteen (15) days of family caregiving leave per academic year.

Paragraph 8.1g.2 Unpaid Family Caregiving Leave
A faculty member shall be granted an unpaid leave of absence, for a period not to exceed one semester, when a faculty member becomes a parent through childbirth or adoption of a child of less than 13 years of age. The University shall not be obligated to grant the leave to more than one parent if both parents are employed by the University. To be eligible for this leave, a faculty member must provide 60 calendar days written notice whenever practicable.

Subdivision 8.1h Retraining Leave
A retraining leave is a one-year (1-year) leave without compensation which shall be granted, upon request, to a faculty member who has received notice of layoff, to assist the faculty member to undertake a program of study to enable the faculty member to qualify for recall rights pursuant to Chapter 6 of this Handbook.

Subdivision 8.1i Faculty Leadership Leave
In order to fulfill their duties, the Chair of the Faculty Senate, the Faculty Chair, and the President of United Faculty will receive a course release per semester funded by the Provost.

Section 8.2 Absence Request Form

Subdivision 8.2a Approval
All absences covered under this Chapter, unless otherwise noted, require the approvals set forth on an official UNI Works system which must be completed in its entirety, except in emergencies, unusual circumstances, or as otherwise provided in this Chapter, at least five (5) class days prior to the absence.

Subdivision 8.2b Reimbursements
Reimbursement of expenses under this Chapter is contingent upon the timely filing of an Absence Request form and approval of expenses.

Section 8.3 Travel and Related Expenses
The University recognizes and supports faculty travel to fulfill responsibilities related to teaching, research and service. Reimbursement for travel shall follow departmental and college procedures consistent with University Policy.

Section 8.4 Fringe Benefits During Leaves
Any faculty member on paid leave shall receive regular fringe benefits. Any faculty member on unpaid leave shall have the option of making contributions sufficient to maintain full and continuous coverage on any or all fringe benefits during the time of the leave, subject to regulations set by the carrier.

CHAPTER NINE: SALARIES

Section 9.0 Salaries

Faculty salaries are set in the appointment letter with any base wage increases provided for by the collective bargaining agreement between the Iowa Board of Regents, State of Iowa and United Faculty.

Section 9.1 Salary Payments

Faculty members on regular academic year appointment shall be paid, at the option of the faculty member, in ten (10) or twelve (12) equal installments at the end of each month beginning in August or July respectively. A faculty member shall be paid at the previously designated option unless the faculty member notifies the University in writing of a change prior to May 15 preceding the academic year.

Section 9.2 Promotions

Every faculty member promoted in rank shall receive at least three thousand dollars ($3,000) to Assistant Professor; three thousand seven hundred dollars ($3,700) to Associate Professor; and four thousand four hundred dollars ($4,400) to Professor in addition to any across-the-board and incremental increases provided for by the applicable collective bargaining agreement.

Every term (1-4) or renewable term Instructor promoted in rank shall receive three thousand dollars ($3,000) to Associate Professor of Instruction; and three thousand seven hundred dollars ($3,700) to Professor of Instruction in addition to any across-the-board and incremental increases provided for by the applicable collective bargaining agreement.

Every Assistant Adjunct Professor with a 50% or more appointment promoted in rank shall receive $100 per credit hour above the temporary (adjunct) rate provided in the applicable collective bargaining agreement as Associate Adjunct Professor, or $225 per credit hour above the temporary (adjunct) rate provided in the applicable collective bargaining agreement as Senior Adjunct Professor.

Section 9.3 Post-Tenure Rewards

The University shall make every effort to reward tenured full professors for consistently outstanding performance as assessed in the Post-Tenure Review process. The award is not a salary adjustment; it is a one-time cash bonus. Tenured associate professors are rewarded for professional excellence via the salary adjustment that accompanies successful promotion to full professor.

Subdivision 9.3a Eligibility and Awards

Tenured full professors completing a Summary Review are eligible to receive a Post-Tenure Review award, once every six years, if they received “Meets Expectations” or “Exceeds Expectations” in teaching*, scholarship, and service in all Annual Reviews during the post-tenure review period. Faculty members receiving “Needs Improvement” in any annual review during the post-tenure review period, in any of the three evaluation areas, are ineligible for a post-tenure review award.

The amount of the award will be announced by April 30 for the next academic year.

*or librarianship

CHAPTER TEN: INSURANCE

Section 10.0 Description of Benefits

It is the University's intention to provide for all eligible faculty members, high quality coverage to promote faculty recruitment and retention. The insurance contracts established from time to time by the University shall govern all claims. Such insurance contracts shall be available for inspection through Human Resource Services.

Section 10.1 Group Life Insurance

Subdivision 10.1a Life Insurance

The University will provide for all eligible faculty members life insurance.

Subdivision 10.1b Cost of Insurance

The cost of the insurance shall be paid by the University.

Subdivision 10.1c Benefits Eligibility

Eligible faculty members, as used in this Section, are those who hold a term (1-4), renewable term, probationary, clinical practitioner, or tenure appointment involving service of half-time or greater for a period of at least nine (9) months (an academic year).

Section 10.2 Long Term Disability

Subdivision 10.2a Long Term Disability Insurance

The University will provide for all eligible faculty members group long term disability insurance. If a faculty member becomes disabled under the terms of the Group Policy due to sickness, injury, or pregnancy this benefit provides monthly payment. If approved for disability, the participant's income will generally be 66 2/3% of their annual budgeted salary at the time they are approved for disability. Under this program, TIAA premiums are continued in force for as long as the disability income is approved. The benefit will also reimburse participants who elect Consolidated Omnibus Budget Reconciliation Act (COBRA) coverage under the University's sponsored group medical insurance plan. Participants will be reimbursed for actual incurred monthly medical premiums expenses, not to exceed $750 per month for a period of up to twenty-four (24) consecutive months. Faculty considering the need for LTD should contact UNI Human Resources for further plan details and assistance.

Subdivision 10.2b Cost of Insurance

The cost of the insurance shall be paid by the University.

Subdivision 10.2c Eligibility

Eligible faculty members, as used in this Section, are those who hold a term, probationary, or tenure appointment involving service of half-time or greater for a period of at least nine (9) months (an academic year).

Section 10.3 Health Insurance

The University will provide for all eligible faculty members group health insurance benefits in accordance with the following provisions:

Subdivision 10.3a Coverage of Insurance

The University will offer Preferred Provider Organization (PPO) and Health Maintenance Organization (HMO) plans to eligible faculty members and their dependents. The University may offer additional health plan options.

Subdivision 10.3b Cost of Insurance

The University will contribute a portion of the total cost of individual and dependent health insurance coverage, and the balance of the premium costs shall be paid by the faculty member by payroll deduction.

Subdivision 10.3c Eligibility

Eligible faculty members, as used in this section, are those who hold a term, probationary, or tenure appointment involving service of half time or greater for a period of at least nine (9) months (an academic year). Temporary unit faculty are eligible for health insurance when their current

assignment is 50% or greater FTE and they also had a 25% or greater FTE assignment in the prior academic semester or prior academic year.

Section 10.4 Dental Insurance

The University will provide for all eligible faculty members group dental insurance benefits in accordance with the following provisions:

Subdivision 10.4a Coverage of Insurance

The University will offer a Dental Preferred Provider Organization (PPO) plan to eligible faculty members and their dependents. The University may offer additional dental plan options.

Subdivision 10.4b Cost of Insurance

The University will contribute a portion of the total cost of individual and dependent dental insurance coverage, and the balance of the premium costs shall be paid by the faculty member by payroll deduction.

Subdivision 10.4c Eligibility

Eligible faculty members, as used in this section, are those who hold a term, probationary, or tenure appointment involving service of half time or greater for a period of at least nine (9) months (an academic year). Temporary unit faculty are eligible for health insurance when their current assignment is 50% or greater FTE and they also had a 25% or greater FTE assignment in the prior academic semester or prior academic year.

Section 10.5 Pre-tax Benefits

Subdivision 10.5a Payroll Reduction Plan for Insurance

The University will provide a payroll reduction plan (consistent with Internal Revenue Service Code Section 125 and Internal Revenue regulations) through which faculty members may elect, during a designated annual enrollment period, to pay their share of the health and dental premiums with pre-tax rather than post-tax salary dollars.

Subdivision 10.5b Payroll Reduction Plan for Dependent Care

The University will provide a payroll reduction program (consistent with Internal Revenue Code Section 129 and Internal Revenue Service regulations) through which faculty members may elect to make a pre-tax reduction in wages which will be paid to an account from which allowable dependent care expenses will be reimbursed.

Subdivision 10.5c Payroll Reduction Plan for Medical Expenses

The University will provide a payroll reduction program (consistent with the Internal Revenue Code and Internal Revenue Service regulation) through which faculty members may elect to make a pre-tax reduction in wages which will be paid to an account from which allowable medical expenses will be reimbursed.

Subdivision 10.5d Available Benefits

Prior to the implementation dates of the salary reduction programs the University shall provide written information and employee meetings to provide employees with information concerning available benefits for those employees choosing to enroll in such programs.

Section 10.6 Open Enrollment Period - Health and Dental

The University will provide a thirty (30) calendar day open enrollment and change period for health and dental insurance to be held annually during the Fall semester.

Section 10.7 Eligibility of Surviving Spouse/Domestic Partner

Should a faculty member who has dependent health and dental coverage become deceased while covered under the provisions of this Section, the University may allow the surviving spouse/domestic partner to continue in the group health and dental program provided that the surviving spouse/domestic partner pays the full cost of the monthly premium(s).

Section 10.8 Domestic Partner

A domestic partner shall be eligible for participation in the group health and dental insurance plans. University contribution towards the premium payment for coverage shall be the same as it is for a spouse/dependent(s).

Section 10.9 Faculty Consultation

Changes in coverage, contribution rates, and eligibility provisions will be determined by the University in consultation with the Benefits Advisory Committee.

CHAPTER ELEVEN: DUE PROCESS & REVIEW OF FACULTY MISCONDUCT CASES

Section 11.0 Preamble

The University of Northern Iowa is committed to academic freedom secured and maintained by shared governance, characterized by collaborative leadership and responsibility. This commitment necessarily requires an engaged faculty that contribute in good faith to maintaining excellence in the university's operations and reputation, including compliance with University policies and procedures. This procedure provides a remedy for violations of these expectations.

Section 11.1 Introduction and Scope

Subdivision 11.1a

The procedures in this Chapter are intended to provide an appropriate level of academic due process to faculty subject to potential discipline or dismissal as a result of alleged misconduct.

Subdivision 11.1b

The faculty of the University of Northern Iowa expect the highest standard of professional conduct from ourselves and our peers. In the rare event that those expectations are violated, this Chapter provides a means for faculty review of those cases.

Subdivision 11.1c

The procedures contained in this Chapter shall not apply where an applicable law, Board policy, or University policy provides alternative procedures for investigating and responding to specific types of alleged misconduct, including but not limited to UNI Policy 13.02 (Discrimination, Harassment, and Sexual Misconduct) or UNI Policy 13.13 (Research Misconduct). In those cases where these procedures do not apply and major sanctions are imposed, the faculty member may appeal the discipline pursuant to Chapter 13.

Subdivision 11.1d

These procedures shall not apply in cases where a faculty member's employment ends upon the conclusion of their term of appointment pursuant to Chapter 2.

Subdivision 11.1e

These procedures shall not apply to decisions to deny promotion, deny tenure, or terminate or not renew a probationary appointment that are made pursuant to the procedures contained in Chapter 3. Such decisions may be appealed only under the procedures provided for in Chapter 13.

Subdivision 11.1f

This is not a grievance procedure. Chapter 12 of the Faculty Handbook spells out the procedures for Faculty who are unsatisfied with administrative decisions about leaves of absence, modified duties assignment, salary increases, merit pay, overload pay, travel research or professional development funding, professional development assignments, summer employment, or post-tenure awards. Any review of these matters may be considered by the Faculty Petition Committee pursuant to Chapter 12 of the Faculty Handbook.

Subdivision 11.1g

These procedures shall not justify discipline of faculty for immaterial violations of policy. Faculty shall be disciplined only for acts that affect an important interest of the University (see Subdivision 11.4a).

Subdivision 11.1h

These procedures also acknowledge a distinction between misconduct and evaluation processes. While evaluation processes may intersect with misconduct procedures, for most purposes the process of evaluation is a separate process unless a major sanction is proposed as a sanction for the Post-Tenure Review process (Paragraph 3.16f.5).

Section 11.2 Guiding Principles

Subdivision 11.2a
Academic Freedom: The establishment of a procedure for handling misconduct or dismissal cases is an attempt to provide a reasonable guarantee of compliance with standards of academic due process, especially as these are enunciated in the "1940 Statement of Principles of Academic Freedom and Tenure" by the American Association of University Professors and the Association of American Colleges, and promulgated in the "Statement on Procedural Standards in Faculty Dismissal Proceedings," adopted by the Council of the American Association of University Professors in November, 1957, and by the Association of American Colleges at its annual meeting in January, 1958 and updated in 1990. As articulated in University Policy 6.10, Academic Freedom is recognized as a foundation of the University.

Subdivision 11.2b
Confidentiality: These procedures are designed to serve the best interest of, and to be fair to, both the individual concerned and the university. Within these procedures the importance of a reasonable balance between ensuring adequate process and available resources is acknowledged so as not to overly burden faculty or the institution. In addition, confidentiality is understood as of vital importance and thus, administrators--unless otherwise required by state or federal law--protect the identity of the faculty member accused of misconduct to those who need to know in order to carry out a thorough, competent, and objective proceeding.

Subdivision 11.2c
Conflict of Interest: A faculty member shall recuse themselves from any proceeding when they are a member of the respondent's department or when there is a conflict of interest, in which case the Faculty Handbook Committee will identify a qualified substitute. If a party submits a written objection to any appointed member of the Faculty Hearing Board based on bias or conflict of interest within five working days of receipt of the proposed Faculty Hearing Board membership, the Faculty Handbook Committee will determine whether to replace the challenged member with a qualified substitute.

Subdivision 11.2d
Just Cause: These procedures assume "Just Cause" is the standard for termination for misconduct of a tenured faculty member before the expiration of a term appointment. Termination for faculty misconduct is only appropriate in cases of Just Cause. Just Cause must be established by the administration by a preponderance of evidence standard.

Section 11.3 Sanctions

Subdivision 11.3a Major Sanctions
Only proposed discipline involving a major sanction is subject to a faculty hearing process, outlined below. Major sanctions consist of: termination, suspension without pay, reduction in salary, reparations or fines of more than $2000, or an *involuntary* reassignment of duties outside of the standard portfolio (see Chapter 4) for a full semester or more.

Subdivision 11.3b Minor Sanctions
Minor sanctions are any sanctions not defined as a "Major Sanction," and include such actions as a written or verbal reprimand, a reassignment of duties for less than one semester, mandatory training, reparations or fines of less than $2000, removal of distinguished titles, removal of graduate supervision privileges, or cancellation of graduate faculty status. Although paid administrative leave or reassignment of duties for less than one semester are considered minor sanctions, such sanctions will not be imposed prior to consultation by the Provost with the Chair of the Faculty and the Faculty Senate Chair. Faculty facing minor disciplinary sanctions may not elect a hearing under this Chapter, but they may be eligible to file a petition with the Faculty Petition Committee if provided for in Chapter 12.

Section 11.4 Addressing Claims of Faculty Misconduct

Subdivision 11.4a
Any individual with a concern that a faculty member has engaged in misconduct should report the concern to the appropriate administrator charged with responsibility for administering a specific

university policy (e.g., Title IX officer or research integrity officer) or for an academic unit (e.g., department head, dean, or provost). That administrator is responsible for assessing the situation and, where appropriate, taking appropriate administrative action to resolve concerns (If the concern involves alleged conduct that could constitute a violation of the University's Sexual Misconduct, Discrimination, and Harassment policy, the administrator must promptly report the matter to the Office of Compliance & Equity Management).

Subdivision 11.4b
Upon receiving a report of alleged faculty misconduct, the administrator will conduct an initial assessment of the report. In the event that an administrator determines in the course of their initial assessment of the report that there is (1) a reasonable basis for investigating the allegations of misconduct and that (2) such allegations, if true, could constitute grounds for imposing disciplinary action, the administrator shall follow the following procedures:

Paragraph 11.4b.1
Provide the respondent faculty member with a written notice of the allegations of misconduct being investigated. Following such notification, the respondent shall be given the opportunity to admit that misconduct occurred and that they are responsible for such misconduct. In the event that a respondent admits responsibility for alleged misconduct, the administrator and the respondent will meet to discuss potential sanctions and will memorialize in writing any agreement as to responsibility and sanctions. If the faculty member admits to having engaged in misconduct but is unable to reach agreement as to the appropriate sanctions, sanctions will be determined as described below.

Paragraph 11.4b.2
In the event that the respondent does not admit to having engaged in any misconduct, the administrator or their designee shall conduct an investigation into the allegations of misconduct. During this investigation, the investigator shall provide the respondent with an opportunity to respond to the allegations, to provide relevant evidence, and to suggest potential witnesses.

Paragraph 11.4b.3
Upon conclusion of their investigation, the administrator or their designee shall provide the respondent with a written notice regarding the findings of the investigation. The respondent shall have the right to respond, in writing, to such investigation findings.

Paragraph 11.4b.4
If there is a finding of misconduct, the administrator or their designee shall provide the respondent with an opportunity to meet with the administrator or their designee prior to imposition of any disciplinary action.

Paragraph 11.4b.5
The administrator shall then consult with the faculty member's dean, who will decide what discipline, if any, shall be implemented.

Paragraph 11.4b.6
In the event the faculty member's dean determines that imposition of a major sanction is appropriate based upon a finding of misconduct, the matter shall be referred to the Provost for determination of the appropriate sanctions.

Paragraph 11.4b.7
The Provost shall review the matter, including the results of the investigation, and determine whether a major sanction is appropriate under the circumstances. In the event the Provost determines that a faculty member shall be subject to a major sanction, the Provost shall provide the faculty member with a written statement with the major sanction(s) being imposed by the Provost, along with the basis for imposing such sanction(s), and a written notice of the right to request review by a Faculty Hearing Board, as provided in Section 11.6, before imposition of any major sanction(s). The Provost will also provide a copy of this written statement to the Chair of the Faculty and the Faculty Senate Chair.

Paragraph 11.4b.8
The respondent faculty member may request review by a Faculty Hearing Board by filing a request for Faculty Hearing Board review with the Chair of the Faculty, Faculty Senate Chair, and the Provost within 10 calendar days of receiving a written statement of imposition of major sanctions. In the event such a request is timely filed, the Chair of the Faculty will empanel a Faculty Hearing Board in accordance with Section 11.6. In the event the respondent faculty member fails to make a request for review within 10 calendar days of receipt of the written statement of imposition of major sanctions, the Provost may implement the major sanction(s) described in the written statement. Reasonable extensions to the timeline above can be granted by the Provost when classes are not in session or other extenuating circumstances.

Subdivision 11.4c
Administrators will attempt to resolve any charge of misconduct with the faculty member as early in this process as possible.

Subdivision 11.4d
During all meetings with the administrator or their designee as part of this process, the respondent shall have the right to bring an advisor of their choice, including a lawyer or a representative of United Faculty.

Section 11.5 Interim Action

Subdivision 11.5a
There may be instances in which a faculty member may need to be placed on paid administrative leave or have their duties temporarily reassigned on an interim basis pending investigation of a complaint of misconduct. The Provost may take such interim action only after consulting the Chair of the Faculty and Faculty Senate Chair to confirm that one or more of the following conditions exist:

Paragraph 11.5a.1
There is immediate physical danger to persons or property;

Paragraph 11.5a.2
There is reasonable indication of serious criminal violation;

Paragraph 11.5a.3
There is an immediate health hazard;

Paragraph 11.5a.4
There is immediate need to protect equipment or funds, including federal funds or federal financial assistance;

Paragraph 11.5a.5
There is immediate need to protect the safety or interests of the person(s) making the allegations, of witnesses, or of the subject(s) of the allegations or their collaborators and associates;

Paragraph 11.5a.6
There is a need to preserve evidence or to prevent improper influence of witness testimony;

Paragraph 11.5a.7
There is a need to protect the working or educational environment of affected co-workers or students; or

Paragraph 11.5a.8
There is a need to protect against liability of the University and its employees.

Subdivision 11.5b
Any such interim action taken must be appropriate to the interests protected, and reasonably limited so as not to have an undue damaging effect on the respondent. Any interim action shall not be considered in and of itself a sanction. The faculty member will remain in paid status for the duration of such interim action unless otherwise required by law. The Provost will assist the dean and

department head in ensuring that the interim action will have as little effect as possible on the faculty member's reputation and the student learning experience.

Subdivision 11.5c
When any interim action is imposed, the investigation/review process shall be completed as quickly as possible. In the event there is a need to extend the interim action beyond the end of the semester in which the interim action was first implemented, the Provost will consult with the Chair of the Faculty and Faculty Senate Chair to update them on the status of the investigation/review process and to determine whether there is a good basis for extending the interim action.

Section 11.6 Voluntary Mediation Conference Prior to Faculty Hearing Board Review

Subdivision 11.6a
The Provost or designee will attempt to resolve any charge of misconduct with the faculty member as early in this process as possible.

Subdivision 11.6b
In cases where a faculty member has requested review by a Faculty Hearing Board, the Provost will review the matter and schedule an informal meeting for the involved parties to discuss the alleged charge of misconduct.

Subdivision 11.6c
The faculty member alleged to have committed a violation of university policy will be invited to a voluntary meeting with the Provost. Included in the informal meeting will be the dean of the college, head of the department, and, when requested by the faculty member, a representative of the United Faculty or other advisor of their choice. The Associate Provost for Faculty and University Counsel may also be present. At the meeting, the parties will discuss the issue(s) and work towards resolving the matter through a good faith effort.

Subdivision 11.6d
If an agreeable resolution is reached by the parties, all parties shall sign and memorialize the informal agreement which will be maintained in the faculty member's Personnel file, but not in their Faculty Evaluation File. If the informal resolution is not reached, the faculty member may request the Faculty Hearing Process, or the proposed discipline will be enacted.

Section 11.7 Faculty Hearing Process

Subdivision 11.7a Composition of the Faculty Hearing Board

Paragraph 11.7a.1
The Provost will hire an external legal professional to act as Hearing Officer during proceedings. The Hearing Officer will facilitate proceedings according to these provisions and advise the members of the Faculty Hearing Board in carrying out their responsibilities.

Paragraph 11.7a.2
The Provost will make necessary arrangements for a recording or verbatim transcript of proceedings.

Paragraph 11.7a.3
The Faculty Hearing Board will consist of three members. All members of the Faculty Hearing Board will be tenured faculty members. Members will be selected via a majority vote of the Faculty Handbook Committee. It is advisable when selecting faculty members to begin with those who are current or prior members of the Faculty Handbook Committee, have served in some other capacity as an elected faculty officer, or have disciplinary or other expertise as appropriate.

Paragraph 11.7a.4
A faculty member shall recuse themselves from the proceedings when they are a member of the respondent's department or when there is a conflict of interest, in which case the Faculty Handbook Committee will identify a qualified substitute. If a party submits a written objection to any appointed member of the Faculty Hearing Board based on bias or conflict of interest within five working days of receipt of the proposed Faculty Hearing Board

membership, the Faculty Handbook Committee will determine whether to replace the challenged member with a qualified substitute.

Paragraph 11.7a.5
The parties may each have the option of one peremptory challenge to strike one selection from the Faculty Hearing Board within five days after receiving the list. The Faculty Handbook Committee will make additional selections when necessary.

Paragraph 11.7a.6
A hearing date will be set after a Hearing Officer and all members of the Faculty Hearing Board are identified. The hearing shall ordinarily occur within 60 calendar days after the Faculty Hearing Board selection is finalized. An extension of the hearing date may be requested by any party and may be granted with the agreement of the Hearing Officer and the Faculty Hearing Board.

Subdivision 11.7b Pre-hearing Submission of Evidence

Paragraph 11.7b.1
The purpose of a pre-hearing exchange of evidence is to collect available evidence to inform the Faculty Hearing Board's consideration of the case and for the parties to be adequately informed of all evidence to be presented during the hearing, fostering an expeditious hearing.

Paragraph 11.7b.2
The parties in a hearing are the respondent faculty member and the Provost, or their designee.

Paragraph 11.7b.3
At least 14 calendar days prior to the hearing date, the parties will provide a list of witnesses and electronic copies of their evidence to the Hearing Officer via email.

Paragraph 11.7b.4
The Hearing Officer will provide all evidence to opposing parties, who will have one week to make any objections to the introduction of such evidence.

Paragraph 11.7b.5
Objections to evidence may be made via a written argument if it is considered irrelevant or unfairly prejudicial.

Paragraph 11.7b.6
The Hearing Officer will make a determination regarding the admissibility of evidence and provide such evidence to the members of the Faculty Hearing Board at least two business days before the hearing.

Subdivision 11.7c Hearing Procedures

Paragraph 11.7c.1
The parties to be heard are the respondent faculty member and the Provost, on behalf of the institution. Both parties may have a representative of their choice to present their case.

Paragraph 11.7c.2
Hearings are private and confidential, and will be conducted in a manner that provides fair treatment to the respondent and Provost, and confidentiality to the extent possible without compromising public health and safety. No participants in a hearing will confer with members of the Faculty Hearing Board outside the hearing regarding the proceedings until they are finished. Members of the Faculty Hearing Board will likewise abstain from discussing the proceedings outside the hearing while proceedings are in progress.

Paragraph 11.7c.3
The Provost bears the burden of proof to establish a preponderance of evidence that the faculty member engaged in misconduct.

Paragraph 11.7c.4
Unless otherwise directed by the Hearing Officer, the order of the presentation of the case shall be:

A. Opening statement of Provost or their representative
B. Opening statement of the respondent or their representative
C. Witnesses and evidence of the Provost
D. Witnesses and evidence of the respondent
E. Rebuttal witnesses and other evidence of the Provost
F. Rebuttal witnesses and other evidence of the respondent
G. Closing statement of the Provost or their representative
H. Closing statement of the respondent or their representative

Paragraph 11.7c.5
Formal rules of evidence shall not apply to the hearing and the Faculty Hearing Board may give evidence the appropriate weight based upon its relevance and probative value. The Faculty Hearing Board will not consider evidence that the Hearing Officer deems is irrelevant or unfairly prejudicial or evidence covered by a legally recognized privilege (e.g., attorney-client privilege or physician-patient privilege) unless the person who has the right to assert the privilege waives the privilege.

Paragraph 11.7c.6
Any witness may be questioned by the other party or their representative.

Paragraph 11.7c.7
Any member of the Faculty Hearing Board may also question anyone who is presenting evidence at any time during the proceeding, including a witness. They may also question the parties after both have finished making their cases and have presented their final summary arguments.

Paragraph 11.7c.8
If new evidence is presented, the Hearing Officer, subject to agreement of the Faculty Hearing Board, may grant adjournments in the event a party would be unfairly prejudiced by the inability to investigate the new evidence.

Paragraph 11.7c.9
When the hearing has concluded, the Faculty Hearing Board may proceed to decision promptly, without having the record of the hearing transcribed, where it feels that a just decision can be reached by this means; or it may await the availability of a recording or transcript of the hearing if its decision would be aided thereby. A recording or verbatim transcript will be made available to the Faculty Hearing Board and the parties, on request.

Paragraph 11.7c.10
The Faculty Hearing Board may permit or request the parties to submit a brief written argument in support of their position to the Faculty Hearing Board within five business days of the hearing.

Paragraph 11.7c.11
Only the hearing record will inform the Faculty Hearing Board's deliberations.

Paragraph 11.7c.12
The Faculty Hearing Board's recommendation will be determined by majority and will be conveyed in a written report by the Faculty Hearing Board, signed and attested by each member, to the Hearing Officer as soon as practicable but not later than 30 calendar days of the conclusion of the hearing. Any minority letters will be signed and attested by the member(s) and will be included in the Faculty Hearing Board's written report when presented to the Hearing Officer.

Paragraph 11.7c.13
The Faculty Hearing Board's recommendation will specify first whether a majority agrees that misconduct occurred in the manner(s) indicated in the Provost's written statement proposing major sanction(s).

Paragraph 11.7c.14
In addition, the Faculty Hearing Board's recommendation will specify whether a majority agrees that the proposed sanction is appropriate, or will propose an alternative sanction, accompanied by adequate reasoning for the recommendation.

Section 11.8 Decision of the President

Subdivision 11.8a
The Faculty Hearing Board will submit their final report and recommendation to the President, along with the record, with a copy to the Provost and the Respondent.

Subdivision 11.8b
There will be no oral argument before the President, but either party may submit a brief in support of the party's position. Such brief shall be submitted within fourteen (14) calendar days of the receipt of the Faculty Hearing Board's report by the parties.

Subdivision 11.8c
After reviewing the Faculty Hearing Board's report and recommendation and the record in the case, the President will determine what administrative response, if any, shall be taken. In making such a decision, the President will give great weight to the report and recommendation of the Faculty Hearing Board. The decision of the President shall be issued within sixty (60) calendar days following the receipt of the parties' briefs (or the expiration of time to submit such briefs).

Subdivision 11.8d
If the President accepts the recommendation of the Faculty Hearing Board, the President will notify the parties in writing of their final decision. If the President rejects the recommendation of the Faculty Hearing Board, the President will issue a written decision explaining the reasons for doing so, which shall constitute the final decision of the President.

Subdivision 11.8e
If the President's decision is to dismiss a tenured faculty member, the faculty member may request to have their appeal heard in binding arbitration pursuant to Chapter 13 of the Faculty Handbook. In all other cases, the final decision of the President represents the final institutional action and may be appealed to the Board of Regents pursuant to the relevant provisions of the Board of Regents policy manual.

Section 11.9 Further Appeal

Subdivision 11.9a
The grievance process provided in Faculty Handbook Chapter 13 is available as recourse to a tenured faculty member who faces dismissal as a result of the faculty hearing process, including review by an external arbitrator, whose decision shall be binding upon the University.

Subdivision 11.9b
In all other cases of major sanctions, the faculty hearing process provided for in this Chapter will substitute for the Faculty Handbook Chapter 13 grievance procedure, and an external arbitrator will not be appointed.

Subdivision 11.9c
In cases of minor discipline, faculty may pursue recourse using the faculty petition process provided in Faculty Handbook Chapter 12.

Subdivision 11.9d
For purposes of the 2022-2023 academic year, in the case of any conflict between Chapters 11, 12, and 13 of this Handbook, Chapter 11 will govern.

CHAPTER TWELVE: FACULTY PETITIONS

Section 12.0 Policy Statement

The procedures in this Chapter are intended to provide a fair internal process for resolving disputes that arise relating to the interpretation and implementation of the provisions of this Faculty Handbook and any formally adopted university, college, department, or PAC policy/procedure. The procedures discussed in this Chapter are intended to provide, to the maximum extent possible, an informal mechanism for addressing such disputes. The procedures contained in this Chapter are not to be used to challenge the desirability of policies and procedures provided by this Faculty Handbook or any formally adopted university, college, department, or PAC policy/procedure.

Section 12.1 Scope

A "Faculty Petition" for purposes of this Chapter is an allegation by a faculty member that there has been a violation, misinterpretation, or misapplication of any provision of this Faculty Handbook or any formally adopted University, College, department, or PAC policy/procedure, except as noted below.

A "Faculty Petition" shall not include any of the following, except as noted below:

(a) Matters subject to the grievance/appeal procedures of Chapter 13 of this Faculty Handbook, which shall be the exclusive basis for addressing such matters;
(b) Any challenge to the desirability of policies or procedures contained in this Faculty Handbook or any university, college, department, or PAC policy/procedure, which may be raised with the Faculty Senate;
(c) Matters for which the applicable procedures are expressly provided for by University policy, including UNI Policy 3.03 (Personal Conduct), UNI Policy 13.13 (Policy on Research Misconduct), Policy 13.18 (Alcohol and Drugs), and UNI Policy 13.19 (Retaliation and Misconduct Reporting), which shall be the exclusive basis for addressing alleged violations of such policies; or
(d) Matters alleging violations of anti-discrimination policies, including UNI Policy 13.01 (Affirmative Action), UNI Policy 13.02 (Discrimination, Harassment, and Sexual Misconduct); UNI Policy 13.03 (Equal Opportunity & Non-Discrimination Statement), and UNI Policy 13.15 (Accommodation of Disabilities), which shall be the exclusive basis for addressing alleged violations of such policies.

If a faculty member has exhausted the procedures in (c) and/or (d) above and no discipline has been imposed, then the faculty member may pursue a Faculty Petition limited to violations or misapplications of appropriate policies and procedures. If discipline has been imposed, then the faculty member may only pursue a faculty grievance according to Chapter 13.

Section 12.2 Informal Resolution of Faculty Petitions

A faculty member who feels aggrieved by application or misapplication of this Faculty Handbook or a formally adopted university, college, department, or PAC policy/procedure should first seek an informal resolution with the appropriate person or office before pursuing the procedures discussed in Section 12.3 below. The formal procedures of Section 12.3 are to be used only after attempts to reach informal resolution have failed or where, due to the nature of the concern, the Faculty Petition cannot reasonably be resolved through informal channels.

Section 12.3 Procedures for Formal Resolution of Faculty Petitions

Subdivision 12.3a Faculty Petition Committee

After seeking informal resolution with the appropriate person or office to the extent possible, a faculty member may share their Faculty Petition with the Faculty Petition Committee (the "FPC") or one of its members. The FPC shall consist of the following four members: (1) the Associate Provost for Faculty, (2) a designee of the Provost, (3) United Faculty Vice-President, and (4) the Chair of the Faculty.

Subdivision 12.3b Timeliness of Faculty Petitions

A Faculty Petition must be made to the FPC or one of its members within sixty (60) days from the date of the occurrence of the alleged violation of the Faculty Handbook or relevant policy/procedure.

Subdivision 12.3c Form of Faculty Petitions
A Faculty Petition should be submitted in writing to the FPC or one of its members and should include the following: date of alleged violation; policy or Chapter of Faculty Handbook that is alleged to have been violated or misapplied; brief statement of how the policy or Chapter has allegedly been violated or misapplied; brief description of attempts at informal resolution; and desired outcome.

Subdivision 12.3d Meetings of the FPC
Upon presentation of a Faculty Petition to the FPC or one of its members or at the request of an FPC member, the FPC shall convene to discuss the Faculty Petition within fifteen (15) days. To the extent possible, the FPC will attempt to resolve Faculty Petitions during the semester in which the Faculty Petition is filed. Meetings of the FPC shall not be open to the public; however, the FPC may invite persons (including the affected faculty member) to attend the meeting, as deemed necessary by the FPC, to provide information relevant to the resolution of the Faculty Petition. In order to foster candid discussions amongst members of the FPC, no statements made by a member of the FPC during such meetings shall be admissible in any future proceeding, including any arbitration hearing pursuant to the procedures of this Chapter of the Faculty Handbook. Nor may any member of the FPC be compelled to testify at any arbitration or other hearing with respect to the discussions of the FPC or the FPC's attempts to resolve such Faculty Petitions.

Subdivision 12.3e Informal Resolution by FPC
Upon meeting to discuss a Faculty Petition, the FPC shall attempt to resolve the matter. In the event the FPC is able to resolve the matter to the satisfaction of the faculty member, the faculty member shall withdraw their Faculty Petition by delivering written notice to the FPC.

Subdivision 12.3f Recommendation or Referral by the FPC
In the event the FPC is unable to resolve the Faculty Petition informally to the satisfaction of the affected faculty member, the FPC shall make a recommendation to the Provost as to what action, if any, should be taken on the Faculty Petition. Upon making such a recommendation to the Provost, the FPC shall inform the faculty member in writing of the recommendation along with a brief explanation for the FPC's recommendation. In the event the FPC is unable to reach consensus on the interpretation or application of the terms of this Faculty Handbook or any formally adopted university, college, department, or PAC policy/procedure, the FPC may refer the Faculty Petition to the Provost. Upon referring a Faculty Petition to the Provost, the FPC shall inform the faculty member in writing of the referral.

Subdivision 12.3g Briefing on FPC Recommendation or Referral
Upon receiving written notification that the FPC has made a recommendation or referral on a Faculty Petition to the Provost, the faculty member who brought the petition may, within ten (10) days of receiving such notification, submit to the Provost a brief memorandum not to exceed two (2) pages addressing the reasons that he/she believes the Provost should take a certain action on their Faculty Petition.

Subdivision 12.3h Decision by Provost
The Provost shall, within forty-five (45) days of receiving the FPC's recommendation or referral relating to a Faculty Petition, determine what administrative response, if any, shall be taken and advise the faculty member and the FPC, in writing, of the disposition of the Faculty Petition.

Section 12.4 Arbitration of Faculty Petitions

Subdivision 12.4a Nature of Appeal and Time Limits
If the affected faculty member is not satisfied with the Provost's disposition of the Faculty Petition, she/he may file an "intent to appeal to the arbitrator." Such intent to appeal shall be filed with the Office of the Provost within forty-five (45) calendar days of receipt of the Provost's disposition of a Faculty Petition. The intent to appeal shall be filed on the Request for Arbitration form, which may be obtained from the Office of the Provost.

Subdivision 12.4b Cost of Arbitration
In those Faculty Petitions in which the faculty member has requested and obtained the assistance of United Faculty in pursuing the matter through arbitration, the costs for the services of the arbitrator will be borne equally by the University and United Faculty. Otherwise, the costs for

the services of the arbitrator will be borne equally by the University and the faculty member.

Subdivision 12.4c Selection of Arbitrator
When a faculty member has filed a Request for Arbitration, the Provost and/or designee and the faculty member and/or designee shall, within 14 calendar days, meet to select the arbitrator. If the parties are unable to agree to an arbitrator, the parties shall strike alternately from the permanent panel of arbitrators identified by the Iowa Public Employment Relations Board until one name remains. The person who remains shall be the arbitrator. The parties shall promptly notify the arbitrator of their selection.

Subdivision 12.4d Hearing Proceedings
The arbitrator so selected shall confer with the affected faculty member and the Office of the Provost and hold a hearing promptly. The hearing shall be open except by agreement between the University and the faculty member or if the arbitrator orders the proceedings closed for cause. The faculty member shall present evidence first and shall have the burden of proving by a preponderance of the evidence that there has been a violation, misinterpretation, or misapplication of any provision of this Faculty Handbook or any formally adopted University, College, department, or PAC policy/procedure subject to a Faculty Petition. The arbitrator shall issue a report not later than thirty (30) calendar days from the date of the close of the hearing. Such report shall be in writing and shall set forth their findings of fact, reasoning and conclusions on the issue submitted.

Subdivision 12.4e Standard of Review
The standard of review to be applied by the arbitrator shall be whether the affected faculty member has proven by a preponderance of the evidence that there has been a violation, misinterpretation, or misapplication of any provision of this Faculty Handbook or any formally adopted University, College, department, or PAC policy/procedure subject to a Faculty Petition.

Section 12.5 Disposition of the Arbitrator's Report

Subdivision 12.5a President's Review
The report of the arbitrator, the Provost's disposition of the Faculty Petition, and the record made in the case, shall be forwarded to the President for review. After reviewing the record, the arbitrator's report, and the Provost's disposition, the President will determine what administrative response, if any, shall be taken. In making such decision, the President will give great weight to the report of the arbitrator. There will be no oral argument before the President, but either party may submit a brief not to exceed four (4) pages in support of the party's position. Such brief shall be submitted within fourteen (14) calendar days of the receipt of the arbitrator's report by the parties. The decision of the President shall be issued within sixty (60) calendar days following receipt of such briefs (or the expiration of time to submit such briefs).

Subdivision 12.5b Acceptance by President
If the President accepts the recommendation of the arbitrator, the President shall notify the parties in writing of their final decision.

Subdivision 12.5c Rejection by President
If the President rejects the recommendation of the arbitrator, the President shall do so in writing, giving reasons for going against the report, which shall constitute the final decision of the University.

Section 12.6 Other Provisions

Subdivision 12.6a Days Defined
Unless otherwise stated, in all instances in which "days" is specified in this Chapter, the term refers to class days. Saturdays, Sundays, holidays, and days when classes are not in session are not counted. Class days during the summer session will not be counted except by written agreement between the faculty member and the FPC or Provost. When counting days, the day the appeal is received at any point in the procedure shall be considered "day one".

Subdivision 12.6b Representation
A faculty member utilizing this procedure may be represented at all stages by a representative of United Faculty when the faculty member elects, in writing, to have United Faculty assist her/him in such proceedings.

Subdivision 12.6c Application of Time Limits

The failure of an employee or United Faculty to act on a Faculty Petition under this Chapter within the prescribed time limits will act as a bar to any further appeal under this Chapter. The time limits may be extended only by written agreement of the faculty member and the University.

Subdivision 12.6d Election of Forum

If a faculty member files any claim or complaint in any forum other than under this Chapter, then, while the complaint is pending or if it has been adjudicated, the University shall not be required to process the same or a substantially equivalent claim through the procedures of this Chapter.

CHAPTER THIRTEEN: GRIEVANCE/APPEAL PROCEDURES

Section 13.0 Scope

The procedures of this Chapter will be available as the exclusive institutional remedy for a faculty member who receives an unfavorable decision by the Provost:

Subdivision 13.0a On Tenure

Where the first regularly scheduled decision on tenure has been not to award tenure, or where the decision will result in termination.

Subdivision 13.0b On Promotion

Where the arbitration procedures of this Chapter had not been used by the faculty member during the preceding four (4) years with respect to promotion at the same rank, or where the grounds on which a previous promotion grievance was denied have been materially altered.

Subdivision 13.0c On Non-Renewal

Where the faculty member has been on a probationary appointment.

Subdivision 13.0d On Termination of a Term Appointment

When the termination of the faculty member is to occur before the end of the term of the appointment.

Subdivision 13.0e On Termination of a Tenured Faculty Member

A tenured faculty member who receives a decision on termination by the President may elect to seek a review of the President's decision by commencing the review at the step provided in Section 13.4 within twenty-one (21) days of the receipt of such decision.

Subdivision 13.0f Immediate Discharge of a Probationary Faculty Member

In the event a probationary faculty member is immediately discharged for cause during an academic year, as opposed to a non-renewal as provided elsewhere in this Chapter, the faculty member may seek a review pursuant to Sections 13.3, 13.4, and 13.6 as provided in this Chapter by requesting such review in writing within twenty-one (21) days of receipt of such decision.

Subdivision 13.0g Involuntary Transfer of a Probationary or Tenured Faculty Member

In the event of an involuntary transfer of a probationary or tenured faculty member to a different department, such faculty member may seek a review pursuant to Sections 13.3, 13.4, and 13.6 as provided in this Chapter by requesting such review in writing within twenty-one (21) days of receipt of the written reason(s) for the transfer.

Subdivision 13.0h Discipline Other Than Discharge of a Probationary or Tenured Faculty Member

In the event a probationary or tenured faculty member is disciplined by a suspension or written reprimand, such faculty member may seek a review pursuant to Sections 13.3, 13.4, and 13.6 as provided in this Chapter by requesting such review in writing within twenty-one (21) days of receipt of such action.

Section 13.1 Availability of Review

While decisions to promote, to award tenure, or to reappoint a faculty member on a probationary appointment are the responsibility of academic officers, and while no opportunity for hearing is routinely provided in connection with a failure to promote, to reappoint, or to grant tenure, a hearing, as provided in this Chapter, shall be available in such cases where there is an allegation that the action was based on one or more of the grounds for complaint in Section 13.2.

Section 13.2 Grounds for Complaint

It shall be grounds for complaint if a decision to deny tenure, to fail to reappoint, to fail to promote, to discipline, or to terminate a tenured faculty member, is:

Subdivision 13.2a Discrimination

Based on the faculty member's age, national origin, race, color, religion, creed, political affiliation, veteran/military status, disability, pregnancy, gender or gender identity, sexual orientation, or any other status protected by applicable federal or state law;

Subdivision 13.2b Academic Freedom
For reasons which violate the faculty member's academic freedom, as the term is defined and limited by the American Association of University Professors 1940 Statement of Principles on Academic Freedom and Tenure with the 1970 Interpretive Comments, Board of Regents Policy and UNI Policy 6.10 entitled, "Ethics and Academic Responsibility";

Subdivision 13.2c Established Procedures
Made by the administration in a manner, which substantially fails to comport with established University procedures on tenure, promotion, or termination as defined in Section 13.0;

Subdivision 13.2d Reasons and Facts
Made for reasons which are clearly inappropriate as a basis for decision or clearly without basis in fact; or

Subdivision 13.2e Expectations
Made despite the faculty member's reasonable expectations based on representations in writing made to him or her by the Provost or dean of the faculty member's college that the faculty member would be reappointed, granted tenure or promoted.

Section 13.3 Appeal Conference

Subdivision 13.3a Filing of an Appeal
A faculty member who desires review of decisions defined under Section 13.0 shall submit a notice of appeal to the Office of the Provost within twenty-one (21) days of March 1. Such notice of appeal shall include the appropriate grounds for complaint as defined in Section 13.2, and, in reasonable detail, the alleged facts which support those grounds for complaint. The intent to appeal shall be filed on the Notice of Appeal form, which may be obtained from the Office of the Provost.

Subdivision 13.3b Request for Faculty Hearing Board Review
In appeals of a major sanction that has been imposed without prior review by a Faculty Hearing Board pursuant to the procedures provided for in Chapter 11, upon request by the faculty member, the Provost will designate that the Faculty Hearing Board will hear the appeal pursuant to the procedures provided for in Chapter 11. The Faculty Hearing Board will make a recommendation regarding disposition of the appeal to the President, who shall be responsible for making the final disposition of the appeal. Except in any appeal involving dismissal of a tenured faculty member, the disposition of the appeal by the President shall represent the final institutional action, which may be appealed to the Board of Regent pursuant to the relevant provisions of the Board of Regents Policy Manual.

Subdivision 13.3c Conference
Within twenty-one (21) days of filing the Notice of Appeal, a conference shall be held between the affected faculty member and the Provost or designee. At the conference, the affected faculty member shall have the opportunity to present written evidence and to make oral arguments in behalf of their position. Five (5) days in advance of the conference, the Provost or designee shall provide a written statement of the reasons for the negative personnel decision. Invited to the conference will be the dean of the college, head of the department, and, when requested by the faculty member, a representative of the United Faculty. For appeals brought pursuant to Subdivisions 13.0a or 13.0b, the chair of the Professional Assessment Committee shall be invited to attend the appeal conference.

Subdivision 13.3d Disposition of Appeal
Within forty-five (45) calendar days of the conference, the Provost or designee will indicate their disposition of the appeal, in writing, and shall furnish a copy thereof to the affected faculty member and all invited parties.

Section 13.4 Arbitration

Subdivision 13.4a Nature of Appeal and Time Limits
If the faculty member is not satisfied with the disposition of the appeal, or if no disposition is issued within forty-five (45) calendar days of the conference, she/he may file an "intent to appeal to the arbitrator." Such intent to appeal shall be filed with the Office of the Provost within forty-five (45) calendar days of receipt of the Provost's disposition of appeal or within ninety (90) calendar days

of the appeal conference in the event the Provost does not issue a disposition of the appeal within the time required by this subdivision. The intent to appeal shall be filed on the Faculty Request for Arbitration form, which is located in the forms repository.

Subdivision 13.4b Selection of Arbitrator

When a faculty member has filed a Request for Arbitration, the Provost and/or designee and the faculty member and/or designee shall, within 14 calendar days, meet to select the arbitrator. If the parties are unable to agree to an arbitrator, the parties shall strike alternately from the permanent panel of arbitrators identified by the Iowa Public Employment Relations Board until one name remains. The person who remains shall be the arbitrator. The parties shall promptly notify the arbitrator of their selection.

Subdivision 13.4c Hearing Proceedings

The arbitrator so selected shall confer with the affected faculty member and the Office of the Provost and hold a hearing promptly. The hearing shall be open except by agreement between the University and the faculty member. The faculty member shall present evidence first and shall have the burden of proving that the University's action was improper under the provisions of Section 13.2, except as provided hereinafter in this Subdivision. The arbitrator shall issue a report not later than thirty (30) calendar days from the date of the close of the hearing. Such report shall be in writing and shall set forth their findings of fact, reasoning and conclusions on the issue submitted.

Subdivision 13.4d Standard of Review

The standard of review to be applied by the arbitrator shall be whether the affected faculty member has proven by a preponderance of the evidence that the Provost's decision was in violation of Section 13.2 of this Chapter.

Section 13.5 Dismissal of Tenured Faculty

Notwithstanding any other provision of this Chapter, in the case of dismissal of a tenured faculty member the University shall have the burden of proving just cause for the dismissal by a preponderance of the evidence, and in such case the decision of the arbitrator shall be final and binding.

Section 13.6 Disposition of the Arbitrator's Report

Subdivision 13.6a President's Review

The report of the arbitrator, the Provost's disposition of the appeal, and the record made in the case, shall be forwarded to the President for review. After reviewing the record, the arbitrator's report, and the Provost's disposition, the President will determine what administrative response, if any, shall be taken. In making such decision, the President will give great weight to the report of the arbitrator. There will be no oral argument before the President, but either party may submit a brief in support of the party's position. Such brief shall be submitted within fourteen (14) calendar days of the receipt of the arbitrator's report by the parties. The decision of the President shall be issued within sixty (60) calendar days following receipt of such briefs (or the expiration of time to submit such briefs).

Subdivision 13.6b Acceptance by President

If the President accepts the recommendation of the arbitrator, the President shall notify the parties in writing of their final decision.

Subdivision 13.6c Rejection by President

If the President rejects the recommendation of the arbitrator, the President shall do so in writing, giving reasons for going against the report, which shall constitute the final decision of the president.

Subdivision 13.6d Appeal to the Board

The final decision of the President may be appealed to the Board of Regents pursuant to the relevant provisions of the Board of Regents Policy Manual.

Section 13.7 Other Provisions

Subdivision 13.7a Representation

A faculty member utilizing this procedure may be represented at all stages by a representative of United Faculty when the faculty member elects, in writing, to have United Faculty assist her/him in

such proceedings.

Subdivision 13.7b Application of Time Limits
The failure of an employee or United Faculty to act on an appeal under this Chapter within the prescribed time limits will act as a bar to any further appeal under this Chapter. The time limits may be extended only by written agreement of the faculty member and the University.

Subdivision 13.7c Costs
In those appeals in which the faculty member has requested and obtained the assistance of United Faculty in pursuing such appeal, the costs for the services of the arbitrator will be borne equally by the University and United Faculty. Otherwise, the costs for the services of the arbitrator will be borne equally by the University and the faculty member.

Subdivision 13.7d Election of Forum
If a faculty member files any claim or complaint in any forum other than under this Chapter, then, while the complaint is pending or if it has been adjudicated, the University shall not be required to process the same or a substantially equivalent claim through the procedures of this Chapter.

Subdivision 13.7e Days Defined
Unless otherwise stated, in all instances in which "days" is specified in this Chapter, the term refers to class days. Saturdays, Sundays, holidays, and days when classes are not in session are not counted. Class days during the summer session will be counted for faculty on summer appointment (teaching or research) during the period of appointment. Class days for faculty not on summer appointment will not be counted except by written agreement between the faculty member and the University. When counting days, the day the appeal is received at any point in the procedure shall be considered "day one".

Subdivision 13.7f Arbitration Hearings
All hearings before the arbitrator under this procedure shall be open except if the parties mutually agree that the proceedings shall be closed, or the arbitrator orders the proceedings closed for cause.

CHAPTER FOURTEEN: HEALTH AND SAFETY

Section 14.0 Provision for Health and Safety

The University shall provide, in accordance with the regulations of the applicable federal and state agencies, for the health and safety of faculty members to facilitate the performance of their responsibilities.

Section 14.1 Facilities and Equipment

The University shall furnish and maintain in accordance with applicable federal and state regulations all University buildings, facilities, grounds and equipment necessary for the faculty members' performance of their responsibilities without danger to their health and safety.

CHAPTER FIFTEEN: TRANSFER

Section 15.0 Definition

The University's assignment of a faculty member to another department shall be considered a transfer.

Section 15.1 Notice

Notice of forthcoming transfers shall be provided to affected faculty members in writing as soon as practical, and not less than 60 days prior to the effective date of such transfer unless exceptional circumstances exist. The written notice shall contain the reasons necessitating the transfer. A copy of the notice shall be provided to Faculty Leadership. Normally, transfers shall not take place during the course of a semester.

Section 15.2 Meeting Prior to Transfer

Transfers shall be made only after a meeting between the faculty member involved, the United Faculty representative, if requested, and the University administrator who is responsible for the transfer decision.

Section 15.3 Involuntary Transfer

Subdivision 15.3a

Prior to making an involuntary transfer, the faculty member will be notified and the faculty member may volunteer for the transfer. If the transfer becomes involuntary, the faculty member will be provided written reason(s) for the transfer.

Subdivision 15.3b

If the faculty member objects to the transfer, the University will consider other viable alternatives, if any.

Subdivision 15.3c

A faculty member who has been involuntarily transferred shall receive consideration for reassignment if such opportunity becomes available in the future.

APPENDIX A: DEPARTMENTAL STANDARDS AND CRITERIA DOCUMENT TEMPLATE

Departmental Standards and Criteria Document
(Instructions for Development)

This document identifies the process for the specific ~~o~~perationalization of criteria for evaluating faculty performance at the departmental level, to be documented according to Subdivision 3.1f Departmental Standards and Criteria Document. Departments may complete the attached templates by adding criteria for 1) annual evaluations and 2) cumulative reviews. These templates are to include specific criteria appropriate for each rank according to each evaluative review time period.

All probationary and tenured faculty, PACs, and department heads are expected to collaborate together in order to create clear, consistent department-level standards and criteria for the purposes of evaluation, promotion, and tenure. Departments should consult with adjuncts, term (1-4), and renewable term faculty regarding standards for their performance.

All criteria are to be reviewed annually in the spring semester by all departmental faculty members and department heads and submitted to the dean for approval. The dean will consult with the College Review Committee (CRC) and Associate Provost for Faculty (in consultation with the Faculty Evaluation Committee during initial development and the Faculty Handbook Committee thereafter as needed). Upon approval of the document, it is to be distributed by department heads to the faculty of each department.

UNI recognizes, values, and prioritizes teaching as a faculty member's primary responsibility. The university also values and rewards scholarship and service when such activities are part of the faculty member's assigned workload.

Departments shall list criteria specifying any materials to demonstrate teaching effectiveness in addition to the required components in scholarship and service. Tenured faculty may engage in Discovery, Integration, or Application research within their field of expertise. Additionally, the templates must specify which if any Integration or Application scholarship is to be recognized for promotion and tenure for probationary faculty. Discovery, Integration and Application components must be included in scholarly criteria developed.

Criteria should specify departmental expectations for meeting expectations, exceeding expectations, and needing improvement for annual reviews, which align with expectations for promotion, tenure, and Post-Tenure Review. All criteria must be consistent with the University Guiding Standards and Criteria (Section 3.11). Criteria should specify departmental expectations for "Meets Expectations", "Exceeds Expectations", and "Needs Improvement" for *continuation, promotion, tenure, and Post-Tenure Review by rank and work portfolio*.

Below are important definitions and sections included in the Faculty Handbook which inform the development of specific criteria:

Teaching

Faculty members' primary role is to provide high quality teaching to students. Because excellence in teaching is the top priority of UNI, teaching is evaluated first and foremost. Only after an affirmative judgment as to documented teaching or librarianship effectiveness has been made can serious consideration by given to an evaluation of research/scholarship/creative achievement and service. UNI expects faculty to foster critical thinking and knowledge in the content area of study, as well as to tailor course content and rigor to the course level, curricular needs, program learning goals and outcomes, and UNI's student body. Faculty teaching should evolve over time as faculty members continue to refine and develop their teaching skills across their career. UNI encourages faculty to consider new pedagogical approaches when appropriate for their discipline. Teaching should be informed by the scholarship of teaching and learning and/or one's research.

Definition of Teaching (Section 4.1)

Materials and Methods for Measuring Faculty Performance in Teaching (Section 3.5)

- Required versus Optional Teaching Components (Subdivision 3.5a)
- Required Component: Self-Assessment (Subdivision 3.5b)
- Required Component: Observations for Probationary Faculty and Action Cases (Subdivision 3.5c)

Definition of Librarianship (Section 4.2)

Definition of Scholarship (Section 4.3)

- Discovery (Subdivision 4.3a)
- Integration (Subdivision 4.3b)
- Application (Subdivision 4.3c)

Departmental Standards and Criteria Document*

Department: _____

Academic Year: **20xx-20xx**
University of Northern Iowa

PAC Chair: _____ Date: _____

Department Head: _____ Date: _____

Approved By:

Dean: _____ Date: _____
[In consultation with the College Review Committee (CRC)]

Provost or designee: _____ Date: _____

***To be distributed by April 15.**

Departmental Standards and Criteria Document Template
Name of Department _____
Academic Year: 20xx-20xx
Date of Revision _____

TEACHING CRITERIA* (annual)

	RANKS:	***STANDARD PORTFOLIO:***		***EXTENDED TEACHING PORTFOLIO***
RATINGS:	**Probationary Faculty/Assistant Professors**	**Associate Professors**	**Professors**	**Tenured Faculty (all ranks)**
Meets Expectations				
Exceeds Expectations				
Needs Improvement				

**differentiated portfolios are to be evaluated according to the terms of the approved Memorandum of Understanding (see Subdivision 4.8a)*

Summary of Teaching Criteria*: Expectations for Cumulative Reviews (6 years) for Promotion and Tenure; Promotion, and Post-Tenure Review:

	RANKS:	***STANDARD PORTFOLIO:***		***EXTENDED TEACHING PORTFOLIO***
RATINGS:	**Probationary Faculty/Assistant Professors**	**Associate Professors**	**Professors**	**Tenured Faculty (all ranks)**
Meets Expectations				
Exceeds Expectations				
Needs Improvement				

**differentiated portfolios are to be evaluated according to the terms of the approved Memorandum of Understanding (see Subdivision 4.8a)*

SCHOLARSHIP CRITERIA* (annual)

	RANKS:	***STANDARD PORTFOLIO:***		***EXTENDED TEACHING PORTFOLIO***
RATINGS:	**Probationary Faculty/Assistant Professors**	**Associate Professors**	**Professors**	**Tenured Faculty (all ranks)**
Meets Expectations				
Exceeds Expectations				
Needs Improvement				

**differentiated portfolios are to be evaluated according to the terms of the approved Memorandum of Understanding (see Subdivision 4.8a)*

Summary of Scholarship Criteria[18]* - Expectations for Cumulative Reviews (6 years) for promotion and tenure; promotion, and Post-Tenure Review:

	RANKS:	***STANDARD PORTFOLIO:***		***EXTENDED TEACHING PORTFOLIO***
RATINGS:	**Probationary Faculty/Assistant Professors**	**Associate Professors**	**Professors**	**Tenured Faculty (all ranks)**
Meets Expectations				
Exceeds Expectations				
Needs Improvement				

**differentiated portfolios are to be evaluated according to the terms of the approved Memorandum of Understanding (see Subdivision 4.8a)*

[18] "Scholarship" refers to research, creative activity, and other forms of academic scholarly activity.

SERVICE CRITERIA* (annual)

	RANKS:	***STANDARD PORTFOLIO:***		***EXTENDED TEACHING PORTFOLIO***
RATINGS:	**Probationary Faculty/Assistant Professors**	**Associate Professors**	**Professors**	**Tenured Faculty (all ranks)**
Meets Expectations				
Exceeds Expectations				
Needs Improvement				

**differentiated portfolios are to be evaluated according to the terms of the approved Memorandum of Understanding (see Subdivision 4.8a)*

Summary of Service Criteria*: Expectations for Cumulative Reviews (6 years) for Promotion and Tenure; Promotion, and Post-Tenure Review:

	RANKS:	***STANDARD PORTFOLIO:***		***EXTENDED TEACHING PORTFOLIO***
RATINGS:	**Probationary Faculty/Assistant Professors**	**Associate Professors**	**Professors**	**Tenured Faculty (all ranks)**
Meets Expectations				
Exceeds Expectations				
Needs Improvement				

**differentiated portfolios are to be evaluated according to the terms of the approved Memorandum of Understanding (see Subdivision 4.8a)*

TEACHING (Scholarship/Service – if present) CRITERIA (annual)

	RANKS:	***TEACHING PORTFOLIO:***		***RESEARCH/SERVICE RESPONSIBILITIES (if present)***
RATINGS:	**Renewable Term, or Temporary Instructors**	**Instructors**	**Senior Instructors**	Criteria to be defined in offer or annual evaluation letters according to individualized portfolio assignments
Meets Expectations				
Exceeds Expectations				
Needs Improvement				

TEACHING (Scholarship/Service – if present) CRITERIA - Expectations for Cumulative Reviews (6 years)

	RANKS:	***TEACHING PORTFOLIO:***		***RESEARCH/SERVICE RESPONSIBILITIES (if present)***
RATINGS:	**Renewable Term, or Temporary Instructors**	**Instructors**	**Senior Instructors**	Criteria to be defined in offer or annual evaluation letters according to individualized portfolio assignments
Meets Expectations				
Exceeds Expectations				
Needs Improvement				

APPENDIX B: PROFESSIONAL ASSESSMENT COMMITTEE PROCEDURES TEMPLATE

Professional Assessment Committee (PAC) Procedures
(Instructions for Development)

The Professional Assessment Committee (PAC) Procedures Document (Subdivision 3.1g) defines how each Professional Assessment Committee (PAC) organizes, functions, schedules and complete its work.

The document is to be created separately but in conjunction with the Departmental Standards and Criteria Document, which is utilized by individual departments as their guiding resource for faculty evaluation (see Subdivision 3.1f). Any PAC procedures developed must be consistent with the Faculty Handbook and are to be approved annually by the department head, dean [in consultation with the College Review Committee (CRC)], and Provost or designee (in consultation initially upon development with the Faculty Evaluation Committee and then the Faculty Handbook Committee as needed in the future). The procedures are then distributed to the faculty of each department. The procedures must adhere to the Calendar (Section 3.12).

If the department head, dean, or Provost or designee reject the department's document, they shall provide clear direction and feedback for revising the document to meet the University Guiding Standards (Section 3.11) and other general university policies and procedures**.** Departments which fail to create or document specific approved department-level standards and criteria for evaluating faculty shall default to the University Guiding Standards documented in this Handbook.

Faculty Handbook provisions related to roles, responsibilities, deliberations, parliamentary authority, scheduling of meetings, and PAC reports is documented in the Faculty Handbook, Subdivision 3.2b.

Professional Assessment Committee (PAC) Procedures Document*

Department: _____

Academic Year: **20xx-20xx**
University of Northern Iowa

Reviewed annually by:

PAC Chair: _____ Date: _____

Department Head: _____ Date: _____

Dean: _____ Date: _____
[In consultation with the College Review Committee (CRC)]

Provost or designee: _____ Date: _____

***To be distributed by April 15.**

APPENDIX C: SYLLABI

ESSENTIAL ELEMENTS/BEST PRACTICES FOR COURSE SYLLABI

Syllabi with the following information meet expectations within the UNI Faculty Handbook and UNI Policies and Procedures, and for meeting Higher Learning Commission's accreditation review standards for the university. Providing this information in course syllabi is one way instructors communicate expectations to their students.

1. **Course Information**
   - **a.** Course name and course number
   - **b.** Meeting times and location (or indicate if online)
   - **c.** Faculty name, contact information, office location, and office hours
   - **d.** Credit hours with the following note: "This course meets the Course Credit Hour Expectation outlined in the Course Catalog. Students should expect to work approximately 2 hours per week outside of class for every course credit hour."

Note: If teaching an asynchronous online course, an independent study, an internship or practicum or other non face-to-face course, the syllabus must include a description of the work involved that meets the definition above. For example, an internship could require that students spend at least 40 hours of work per credit hour at their internship, plus an additional five hours working on papers to meet the internship's requirements. This would be equivalent to the 45 hours of work per credit hour in a face-to-face course.

2. **Course Learning Outcomes** – Course learning outcomes are statements about the knowledge and skills that students are expected to know, be able to do, or value by the end of the course. Learning outcomes must be common across all sections and all modes of delivery for the same course. Additionally, learning outcomes for undergraduate courses should be distinguished from learning outcomes for graduate courses, which must be more rigorous. Finally, outcomes should be distinguished for variable credit (i.e., if some students are taking a 3 hour internship and others a 6 hour internship, the learning outcomes are likely different).

3. **Course Description** - add catalog description.

4. **Description of How Student Performance Will Be Evaluated**
   - **a.** Listing and description of assignments
   - **b.** Weighting of assignments
   - **c.** Grading scale

5. **University Syllabus Statements**
   Faculty must include required university Syllabus Statements in all course syllabi. Current Syllabus Statements, including Free Speech, Non-Discrimination, Accessibility/Accommodations, etc., are located on the Office of the Provost and Executive Vice President for Academic Affairs website (provost.uni.edu/syllabus-statements) or automatically published within the UNI eLearning Suite on the Institution Homepage in Blackboard.

6. **Recommendations from the Center for Excellence in Teaching & Learning**
   - Materials required and recommended, and where they are available
   - A course calendar with due dates for assignments/projects/exams or a statement about how these dates are determined
   - Attendance policy (see Class Attendance and Makeup Work, https://policies.uni.edu/306)
   - Policies on turning in course work, late work, make-up work
   - Statement on classroom civility
   - Diversity and inclusion statement
   - Resources for student success

APPENDIX D: LEGACY STATUS AND NEW DEPARTMENT STANDARDS PLAN FOR PROBATIONARY FACULTY; POST-TENURE REVIEW AND PROMOTION FOR ADJUNCT (50% OR MORE APPOINTMENTS) AND RENEWABLE TERM FACULTY

The university recognizes the challenges that come with implementing a new evaluation system with new standards and criteria. The appendix chart below documents the ability for some faculty to utilize the legacy Standards and Criteria or not, as well as dates of implementation into the new system[19].

Legacy Status and New Department Standards and Criteria Implementation Schedule: Start Dates

	Annual Review Standards and Criteria	**Tenure and/or Promotion Standards and Criteria**	**Eligibility for Promotion**	**Post-Tenure Review Standards and Criteria**	**Eligibility for Post-Tenure Review**
All faculty hired for 2019 or after	Fall 2019	New Departmental Standards and Criteria	Fall 2025, or as specified in letter of offer	New Departmental Standards and Criteria	Year six after tenure
Probationary faculty starting prior to 2019	Fall 2019	Choice of new or old Departmental Standards and Criteria	Year 6	New Departmental Standards and Criteria	Year six after tenure
Faculty tenured prior to 2019	Fall 2019	Choice of new or old Departmental Standards and Criteria through Fall 2023	Year 6 or later after tenure	New Departmental Standards and Criteria	Year 6, 12, 18, or 24 after receiving tenure but no sooner than Fall 2023
Adjunct and Renewable Term Faculty hired before 2019	Fall 2019	New Departmental Standards and Criteria	Faculty with the most semesters (50% or more) starting in 2023	NA	NA
Adjunct and Renewable Term Faculty hired for or after 2019	Fall 2019	New Departmental Standards and Criteria	Year 6 or later	NA	NA

Annual Review
All faculty are subject to the University Guiding Standards and the Departmental Standards and Criteria for the purposes of the annual reviews and merit pay beginning in fall 2019.

Faculty Hired for Fall 2019 or Beyond
Faculty starting in or after fall 2019 are subject to the new University Guiding Standards (Section 3.11) and Departmental Standards and Criteria (Subdivision 3.1f) for the purposes of annual reviews, tenure, promotion, and Post-Tenure Review.

Probationary Faculty Starting Prior to Fall 2019
Faculty who started prior to fall 2019 shall have the choice of seeking promotion and/or tenure under the standards and criteria of the old or new system. Faculty shall declare in writing which system of standards they wish to be assessed by October 15, 2019, to request to seek promotion and/or tenure.

[19] "New" refers only to the Departmental Standards and Criteria in place in FY2019-2020 or after. "Old" refers to the Departmental Standards and Criteria in place for each year prior to SY2019-2020. New PAC Procedures must be used in 2019-2020 and after.

Adjunct (50% or More Appointment) and Renewable Term Faculty
Faculty who are not on the tenure-track are eligible for promotion starting in year six. Renewable term Instructors and adjunct faculty Instructors with more than twelve cumulative semesters (at 50% or more) of service at UNI are eligible to seek promotion on an expedited timeline after three years of annual reviews, starting in 2023. Faculty who wish to seek promotion starting in fall 2023 may request promotion by April 15 of the prior spring semester. In the event that more faculty are seeking promotion than can be reasonably accommodated by the department head or PAC, then faculty shall be broken evenly into 2 or 3 groups based on seniority (i.e., faculty with the most years of service at UNI first) to be evaluated for promotion over 2023 and 2024 (with an extension to 2025 as an option in very large departments).

Assistant Adjunct Professors (on 50% or more appointments), if approved by the department head and dean, may opt to count up to two years of prior service before Fall 2019 as an Adjunct (50% or more) when applying for promotion to Associate Adjunct Professor. When applying for promotion to Associate Professor of Instruction, Renewable Term Instructor, if approved in advance by the department head and dean, may count up to two years prior service before Fall 2019 as a previous Term Instructor, Renewable Term Instructor, or Adjunct Instructor who taught a full-time load for the two-year period and participated fully in scholarship or service activities each semester.

Tenured Faculty
Faculty who were tenured prior to the implementation of the new system shall have the choice of seeking promotion under the standards and criteria of the old or new system through fall 2023. Faculty shall declare in writing which system of Departmental Standards and Criteria they wish to be assessed on April 30 of the prior spring in their request to seek promotion.

Faculty tenured prior to 2019 shall undergo Post-Tenure Review 6, 12, 18, or 24 years after tenure or most recent promotion but no sooner than Fall 2023.

For example, if a faculty member received tenure and was promoted to Associate Professor in 2000 (but has not been promoted to Professor), they will undergo Post-Tenure Review in 2024. If that person was promoted to Professor in 2009, they will go up for Post-Tenure Review in 2027. People receiving tenure in 2019 will be up for post-tenure in 2025.

APPENDIX E: DOCUMENTED COVID DEVIATIONS (APPROVED BY PROVOST)

Table of Contents:

1. Tenure Clock Extensions for Probationary Faculty (hired 2019 and earlier)

2. a. Portfolio Flexibility Options (all faculty members – 2020-21 academic year)
   b. Tenure Clock Extensions (probationary faculty hired in 2020)
   c. Trajectory of Probationary faculty appointments (probationary faculty hired in 2020 and earlier)

3. Third-Year Review Extensions (optional for probationary faculty hired in 2019 and 2020)

4. a. Tenure Clock Extensions (probationary faculty hired in 2021)
   b. Trajectory of Probationary faculty appointments (probationary faculty hired in 2021 and earlier)

1). Tenure Clock Extensions for Probationary Faculty (hired 2019 and earlier)

March 29, 2020:

If … you are currently in a probationary appointment (and do not currently have an approved clock stoppage), please read on.

After conferring closely with Faculty Leadership, the Office of the Provost is granting an automatic extension (if you choose) of your tenure clock time period, as well as an opportunity to extend the timeframe for the third year review for those faculty currently in their second year.

How the tenure clock extension will work:

- For faculty on the tenure track, you will have the opportunity to have an extra year added to your tenure clock, and it will be your choice whether you use it or not.
- A letter will be placed in your file indicating that you may elect to use this added year to your tenure clock in the future.
- If you decide to use this extra year, you do not need to do anything at this time. You will simply give notice that you will be applying for tenure by the appropriate date in the year before going up for tenure and promotion (by April 30, or as indicated in the Faculty Handbook). According to the Handbook, currently you must notify your department head in your fifth year, but if you choose the extension you would now do so in your sixth year.
- If you decide not to use this extra year, you do not need to do anything at this time (unless you are currently in your fifth year; see below). You will simply give notice that you will be applying for tenure (by April 30, or as indicated in the Faculty Handbook) in the year before going up for tenure and promotion. Notification for application for tenure and promotion would continue to happen in your fifth year or as indicated in your original offer letter.

For Fifth Year Faculty who do not want the extension:

- If you are currently in your fifth year, and intend to stand for tenure and promotion next year (and thus not use the extension), we are extending the deadline to request consideration to your department head.
- According to the Handbook notification occurs by April 30 of the year before you stand for tenure and promotion.
- This date has been extended to August 21, 2020, for faculty currently in their fifth year or penultimate year to allow extra time to make that decision and send a written communication to your department head.

For Second Year Faculty:

- Currently, Probationary Faculty undergo a more extensive review in their third year to provide feedback on their progress towards tenure and promotion.
- For those faculty who will be in their third year next year, you have the opportunity to undergo your mid-cycle review at that time or choose to do so in your fourth year instead.
- You will need to notify your department head of your desire to extend your third year review evaluation by August 21, 2020. Delaying this mid-cycle review to the following year will not affect your decision as to when you apply for tenure and promotion.

These provisions are considered a partial deviation from Faculty Handbook, Section 3.15, Paragraph 3.15a.1 and Subdivision 3.15c and have been made after consulting closely with faculty leadership. I appreciate their partnership as we make adjustments to the Faculty Handbook.

2. a) Portfolio Flexibility Options (all faculty members – 2020-21 academic year)

b) Tenure Clock Extension (probationary faculty hired in 2020)

c) Trajectory of Probationary faculty appointments (probationary faculty hired in 2020 and earlier)

September 24, 2020

a. Portfolio Flexibility Options. According to the Faculty Handbook, Section 4.8a, faculty may request consideration for receiving a differentiated portfolio for scholarship and service. We are making an adjustment to this opportunity for the 2020-2021 academic year to include teaching. Faculty must communicate with the department head and dean prior to October 15 with their request as explained below. Decisions will be communicated to applicants by the end of the Fall semester.

Approved portfolios will be documented in writing by the department head or dean in a Memorandum of Understanding to the faculty member (see Subdivision 4.8a.). Since only scholarship and service are currently documented in the Faculty Handbook as being available for differentiated weight in an approved portfolio, **a deviation has been approved to allow teaching to be considered and added to the current Faculty Handbook language**: "differentiated weight may be allocated to **teaching,** scholarship or service responsibilities for the purpose of faculty development." Neither scholarship nor service assignment obligations shall drop below 5% in contributions per year. Teaching shall not drop below 60% and cannot exceed 80%.

b. Probationary Faculty currently in Year 1. First year, tenure track faculty have the opportunity to have an extra year added to their tenure clock, and it will be their choice whether they use it or not. First year faculty will remain on their current trajectory towards tenure and promotion (normally 6 years) until they decide to use this additional year, and will be evaluated annually as if they are on their current trajectory.

At any point, a tenure track faculty member who is in their first year in 2020-2021 can decide to add the extra year to their tenure clock. At that point, and not until that decision is made, the tenure trajectory will be changed and their clock will be reset. Decisions regarding adding the extra year must be made before April 30 for the following year. Once that decision is made, it cannot be rescinded.

First year faculty do not need to do anything until such time as they **elect to extend their timeframe and trajectory toward a tenure and promotion bid.** According to the Handbook, currently they must notify their department head in their fifth year (for a review in their sixth year) for tenure and promotion, but they may choose the extension at any point before that time which would extend their tenure and promotion review by one year.

c. **All other Probationary Faculty.** Last year, we provided probationary faculty the opportunity to add an extra year to their tenure clock, should they choose to use it. This email clarifies the process for doing so.

All Probationary Faculty members in years 2-5 will continue to be reviewed according to the terms of their offer letter and in the normal trajectory and timeframe moving toward a tenure and promotion bid in year six. Probationary faculty members who choose to receive an extension must do so before April 30, in any given year (2-5), for the subsequent year. That decision by the faculty member will immediately add one year to their evaluation calendar at that time to meet the overall standards and criteria necessary for tenure and promotion consideration. Any such action is not considered a clock stoppage, but an extension of the overall probationary evaluation time period. Once that decision is made, it cannot be rescinded.

Until such time as faculty members elect to add the extra year, they will remain on their current trajectory and be evaluated according to that timeframe. Any extensions to the tenure clock will be documented on the Faculty Evaluation Cover Sheet under Special Considerations during the year of notification by the faculty member.

3. Third-Year Review Extension (optional for probationary faculty hired in 2019 and 2020)

Dear Second Year Faculty Members:

After consulting with Faculty Leaders and the Deans' Council, the Provost has approved the following option for your consideration due to COVID-19:

- Currently, Probationary Faculty undergo a more extensive review in their third year to provide feedback on their progress towards tenure and promotion.
- For those faculty who will be in their third year next year, you have the opportunity to undergo your mid-cycle review at that time or choose to do so in your fourth year instead.
- You will need to notify your department head of your desire to extend your third year review evaluation by August 20, 2021. Delaying this mid-cycle review to the following year will not affect your decision as to when you apply for tenure and promotion.

You still have the option of whether to add a year to your P & T timeframe, which has already been communicated to you, if you so choose.

4. a) Tenure Clock Extension (probationary faculty hired in 2021)

b) Trajectory of Probationary faculty appointments (probationary faculty hired in 2021 and earlier)

November 10, 2021:

a. **Probationary Faculty currently in Year 1:** First year, tenure track faculty have the opportunity to have an extra year added to their tenure clock, and it will be their choice whether they use it or not. First year faculty will remain on their current trajectory towards tenure and promotion (normally 6 years) until they decide to use this additional year, and will be evaluated annually as if they are on their current trajectory.

At any point, a tenure track faculty member who is in their first year in 2021-2022 can decide to add the extra year to their tenure clock. At that point, and not until that decision is made, the tenure trajectory will be changed and their clock will be reset. Decisions regarding adding the extra year must be made before April 30 for the following year. Once that decision is made, it cannot be rescinded.

First year faculty do not need to do anything until such time as they elect to extend their timeframe and trajectory toward a tenure and promotion bid. According to the Handbook,

currently they must notify their department head [(via email)] in their fifth year (for a review in their sixth year) for tenure and promotion, but they may choose the extension at any point before that time which would extend their tenure and promotion review by one year.

b. All other Probationary Faculty: All Probationary Faculty members in years 2-5 will continue to be reviewed according to the terms of their offer letter and in the normal trajectory and timeframe moving toward a tenure and promotion bid in year six. Probationary faculty members who choose to receive an extension must do so [by informing your department head (via email)] before April 30, in any given year (2-5), for the subsequent year. That decision by the faculty member will immediately add one year to their evaluation calendar at that time to meet the overall standards and criteria necessary for tenure and promotion consideration. Any such action is not considered a clock stoppage, but an extension of the overall probationary evaluation time period. Once that decision is made, it cannot be rescinded.

Until such time as faculty members elect to add the extra year, they will remain on their current trajectory and be evaluated according to that timeframe. Any extensions to the tenure clock will be documented on the Faculty Evaluation Cover Sheet under Special Considerations during the year of notification by the faculty member.