

## **APPENDIX D: PROCEDURES AND STANDARDS FOR PROMOTION, TENURE, AND ADVANCEMENT REVIEW**

### **Department Of Architecture**

Approved May 3, 1999; Revised May 5, 2003; Revised September 4, 2009

#### **GENERAL COMMENTS ON THE PROMOTION, TENURE, AND ADVANCEMENT PROCESS IN THE DEPARTMENT OF ARCHITECTURE**

The preparation of documentation by the candidates and Department Chair followed by review and evaluation of candidates by the departmental Promotion and Tenure Committee constitute the first formal steps of the review process. Additional review by the Department Chair taking into account the commentary of the Departmental Promotion and Tenure committee constitutes the second. As the culmination of the probationary period for tenure, advancement, and/or following service in rank, the processes of preparation and evaluation join the record of performance of the candidate with the candidate's Position Responsibility Statement and the standards that the Department holds for performance. These standards incorporate those set and maintained by the College and the University, but they also exceed these more generic standards in their specificity to the discipline of architecture and its current practice. Similarly as both discipline and practice shape the conduct of the Department and its faculty, the process instituted in the Department also exceeds the University and College practice in its attention to the particular requirements for the evaluation of scholarship, and PRS performance in the areas of architectural teaching/advising, research/creative work, extension/professional practice, and institutional service. Thus, the procedures and standards set forth in this document must be viewed as both inclusive of and more extensive than those defined in Section IV of the College of Design Governance Document, and in the Faculty Handbook of Iowa State University: Section 3, Appointment Policies and Procedures and Section 5, Evaluation and Review.

The standards and procedures of the Department of Architecture are, above all, constitutions of its mission and the commitment to quality performance that it maintains for itself. Within the broadly defined practices of teaching/advising, research/creative activities, extension/professional practice, and institutional service these standards recognize the necessity of a pedagogy that is synthetic in its assembly of the elements of theory and practice, of a field of research that is importantly diverse both in subject and methodology, and of a concept of practice based not on isolation from the academy but rather on integration, extension and reciprocity. The mission of architecture is deeply embedded in the complexities and diversity of the cultures that it both mirrors and serves in a continuous process of production, reflection, and self-reflection. The standards of quality that direct its institutional development are born of a commitment to serve society and help shape

these cultures through building. Only an academic community of the highest quality can hope to respond adequately to such a commitment.

## **DEPARTMENT OF ARCHITECTURE PROMOTION, TENURE, AND ADVANCEMENT DOCUMENT**

The Department document stems from the ISU Faculty Handbook, Section 5. Evaluation and Review, and Section IV Faculty Evaluation of the College of Design Governance Document. Faculty members of all ranks and appointments should become familiar with all three documents. Some specific concerns of the Department of Architecture are addressed in Section IV of the College Document, parts of which are reproduced below along with the departmental additions.

Part I below describes the *standards* for advancement, promotion and tenure. These incorporate and supplement the standards for all ranks and appointments outlined in the College Governance Document Sections IV.D.3 and D.4, and ISU Handbook Section 5.2.2 and 5.2.3.

Part II below describes the *procedures* for advancement, promotion and tenure, and refers to the ISU Handbook Section 5.2.4 which contains a list of procedures to be specified by the department and notes that the department may specify additional procedures. These incorporate and supplement the procedures for all ranks and appointments outlined in the College Governance Document Section IV.D.5, and various sections in the ISU Handbook, including 5.3.5 Post-Tenure review, 5.4 Advancement, and 5.1.1.3 Probationary [Third Year] Review,

The material quoted from the College and University Documents is in an *italic* typeface. Section/paragraph references to those documents were accurate at the time of approval of this document.

The Department in its standards and procedures for appointment renewal, advancement, promotion and/or tenure, in accordance with University and Collegiate standards and procedures, utilizes the Position Responsibility Statement (PRS) for each candidate as the foundation for its deliberations, judgments and recommendations.

### **PART I. *STANDARDS FOR ADVANCEMENT, PROMOTION AND TENURE***

#### **For the Department of Architecture:**

The understanding and application of standards is a process which orders both the faculty member's work during the time leading to review as well as the review process itself. While they carry the definitive effect of quality and objectivity, standards are also representative of the continually escalating norm of quality which the faculty, through its collective work, determines. In the collegial

relationship among faculty and in the practice of awarding advancement, promotion and tenure to those who are exceptional the norm is continually re-established.

### **A. *Teaching and Advising***

The standards prescribed in the College document shall be the bases for evaluating teaching and advising. In addition to the skills outlined in the College document that pertain more generally to teaching in seminar and lecture circumstances as well as studios, the teacher of the architectural studio, which is the core of the architecture curriculum uses combinations of teaching techniques, such as the tutorial, the lecture, the seminar and the laboratory. The studio is typically a collective endeavor, but one in which the competence of the individual teacher to direct effectively and positively the students' education is profoundly important. The studio teacher effectively uses a selection of teaching techniques in directing the students' collective learning activities. Documentation of studio teaching may include the work of the students, teaching materials developed by the studio teacher, and evidence that the studio teacher has used the studio as a place of scholarship in teaching itself, research and creative activity, and/or of extension and practice.

1. Examples of activities and evidence in support of Teaching/Advising performance are listed in the ISU Handbook §5.2.2 and College of Design document §IV.D.3 .
2. In addition, the department of architecture recognizes the following examples of scholarship as evidence of the special knowledge that results from Teaching/Advising in architecture:
  - *organizing/leading workshops or training sessions*
  - *membership on agencies or boards because of individual expertise*
  - *being a referee for journals, books, grants, exhibitions, etc.*
  - *being an editor for a journal or serving on editorial boards*

### **B. *Research/Creative Activities***

The standards prescribed in the College document shall constitute the bases for evaluating research/creative activities. Additionally, it should be emphasized that the discipline of architecture is an amalgam of areas of knowledge and processes of inquiry within which the building acts as an armature. The evaluation of the production of knowledge, of understanding and interpretation, must be broadly undertaken and must be cognizant of the methodological diversity which inhabits the discipline. Importantly, design itself must be understood not only as a mode of material production but also as

research, the evidence of which is itself an assemblage of the textual and the material and which typically involves a multiplicity of representational devices.

1. Examples of evidence in support of research and creative activity performance are listed in ISU Handbook §5.2.2 and College of Design document §IV.D.3 .
2. In addition, the department of architecture recognizes the following examples of scholarship as evidence of the special knowledge that results from Research/Creative Activities in architecture:
  - *organizing/leading workshops or training sessions*
  - *technology transfer*
  - *membership on agencies or boards because of individual expertise*
  - *being a referee for journals, books, grants, exhibitions, etc.*
  - *being an editor for a journal or serving on editorial boards*
  - *invited papers, journal articles, and lectures*

### **C. *Extension/Professional Practice***

The standards prescribed in the College document shall constitute the bases for evaluating extension/professional practice. The mission of the College and that of the Department as defined in the College of Design's Strategic Plan emphasize connection, reciprocity and integration across the social landscape, and linking the college and the profession and their mutual clients.

Documentation of scholarship based upon or derived from extension and professional practice demonstrates this integration.

1. Examples of activities that fall within in Extension/Professional Practice are enumerated in the ISU Handbook §5.2.2 and referenced in the College document:

### **D. *Institutional Service***

The Departmental standards for evaluating service shall be the same as those prescribed in the College document.

### **E. *Qualifications for Rank and Tenure***

Shall be as described in the ISU Handbook section 5.2.3 and College of Design document sections IV.D.3 and IV.D.4

## **PART II. PROCEDURES FOR THIRD YEAR REVIEW, ADVANCEMENT, PROMOTION AND TENURE REVIEW, AND POST TENURE REVIEW**

The University Promotion and Tenure document ISU Handbook section 5.2.4 on Procedures for Promotion and Tenure Review states the following:

*Review for promotion and /or tenure begins at the department level. Each department must have a document that sets forth the standards and procedures governing promotion and tenure of faculty within that department. ... Each candidate must be reviewed by a promotion and tenure committee which will examine information relevant to the evaluation of candidates for promotion and/or tenure. An individual promotion and tenure review committee may include faculty who are not members of the candidate's department. Any member of the promotion and tenure review committee who has a conflict of interest with respect to a candidate shall not participate in the consideration of that individual, or have access to review materials. The Department Chair must inform the candidates in writing of the identity of the members of the department review committee and any other departmental committees that will be involved in the evaluation.*

Policies and Procedures for Advancement of Non-Tenure Eligible faculty are outlined in ISU Handbook Section 5.4.

### **For the Department of Architecture:**

- A. Third-year reviews for lecturers and probationary tenure-track faculty take place in accordance with university and college guidelines during the spring semester of the third year of service.
  1. For the Department of Architecture the required dossier contents include the faculty member's Position Responsibility Statement (PRS), vita in P&T and advancement format, annual reports prepared by the faculty member, course evaluations, candidate statements on teaching philosophy and scholarship agenda (optional for lecturers unless a part of PRS), and a faculty portfolio similar to the sequence and content identified in the ISU Handbook section 5.3 Documentation Guidelines. No outside letters are required.
  2. The results of the third-year review are to be communicated to the faculty member by the Chair in a written report that shall summarize and include relevant assessment and recommendation content from the P&T Committee report, the results of any votes taken by the P&T Committee and the Chair's independent assessment and recommendations.

- B.** Review for promotion and/or tenure is based upon a faculty member's performance during a probationary period and/or time in rank. During this time, the faculty member should develop a clear understanding of the standards for promotion and/or tenure. The faculty member's annual reports, shall be a part of the record of performance. Dossier preparation is outlined in paragraph F.7 of this section.
- C.** Review for advancement from lecturer to senior lecturer is based upon a faculty member's performance during time in rank. During this time, the faculty member should develop a clear understanding of the standards for advancement. The faculty member's annual reports shall be a part of the record of performance. Dossier preparation is outlined in paragraph F.7 of this section.
- D.** Review for Post-Tenure Review (PTR) or Post-Advancement Review (PAR) takes place in accordance with university and college guidelines, not less than every seven years after each milestone of promotion, advancement, awarding of tenure or prior PTR.
1. The required elements of a PTR/PAR package for the Department of Architecture include: statement of academic accomplishments and contributions during the period under review and future planning; current and prior PRSs in effect during the period under review; current vita with work of the period under review identified; summary of scholarship (optional for lecturers unless it is a part of his/her PRS); summary of teaching and quantitative evaluations; and annual reports. A brief portfolio is optional at the discretion of faculty member. Examples of scholarship and syllabi are not required. No outside letters are required.
  2. The results of the PTR/PAR are to be communicated to the faculty member by the Chair in a written report that shall summarize and include relevant assessment and recommendation content from the P&T Committee report, and the chair's independent assessment and recommendations for future professional development.
- E.** The Department Chair will, as an ongoing process, annually evaluate each faculty member based upon: advancement standards; promotion and tenure standards; progress and results in developing a personal agenda for scholarship; progress and results in meeting the objectives and responsibilities outlined in the faculty member's Position Responsibility Statement; and advisory commentary from the P&T committee based upon their review of the annual report. The annual evaluation shall be summarized and communicated to each faculty member in writing.

F. In accordance with the ISU Handbook section 5,2,4,2,1 Promotion and Tenure Document, each Department is to develop an advancement, promotion and tenure document that addresses the following:

1. *How faculty members are selected for departmental review for advancement, promotion and/or tenure.*

Faculty members may be selected for advancement, promotion and/or tenure in three ways: (a) by the Department Chair, (b) by the Promotion and Tenure Committee for consideration based in part on the anticipated completion of the requirements for time in service as set out in the Faculty Handbook: Appointment Policies and Procedures (Section 3) and as specifically stated in the employment documents of the individual faculty member, or (c) by the faculty member himself or herself, following discussion with the Department Chair regarding his or her qualifications. Lecturers are entitled by right to a review for advancement after fulfilling requirements outlined in the Handbook §5.4.1.1 and College document §IV.D.4.

2. *The composition and means of selection of the department promotion and tenure committee and of any other department committees that may be involved in the review process.*

The departmental Promotion and Tenure Committee, which is the only committee within the Department involved in the review process, will be constituted of eight persons, two from each tenure-track or tenured rank (assistant, associate & full professor), and two from the non-tenure-eligible faculty elected from among and by the voting faculty. Members will serve terms in accordance with the Department of Architecture Governance Document ¶D.4.b. This committee provides advisory review for advancement as well as promotion and tenure.

3. *The definition of conflict of interest operative in departmental review*

This includes but is not limited to: relation by marriage to the candidate and other commonly understood familial relationships; relationship as a significant other of the candidate; professional practice partnership between the reviewer(s) and the candidate; if the candidate's and the reviewer's accomplishments are significantly intertwined (i.e., co-principal investigator(s) on funded research, substantive and on-going collaboration on a number of scholarly pursuits).

4. *The procedures to be followed by the department promotion and tenure committee and related committees in conducting the reviews.*
  - a) An annual timetable for nominations of candidates for advancement, promotion and/or tenure and for all subsequent actions by the departmental promotion and tenure committee is set by the Dean and promptly disseminated to the departmental faculty by the Department Chair.
  - b) Based upon the College calendar for Promotion and Tenure the departmental committee will review and evaluate the candidate's Dossier for advancement, promotion and/or tenure. The Committee will vote by secret ballot to recommend the candidate for advancement, promotion and/or tenure. To avoid ambiguity, the action of the committee must be in the form of approval or disapproval of a motion to recommend advancement, promotion and/or tenure.
    - 1) The six tenured and tenure-track members of the committee vote on the questions of promotion and/or tenure. A quantum of 4 (four) or more approval votes is required for positive recommendation regarding promotion and/or tenure.
    - 2) The full complement of eight committee members votes on the question of advancement. A quantum of 5 (five) or more approval votes is required for positive recommendation for advancement from lecturer to senior lecturer.
  - c) The Chair of the committee will prepare a detailed report of the committee's assessment and action, and transmit the report to the Department Chair for inclusion in the Dossier if and when it is forwarded to the Dean.
5. *The role of the department executive office in the department's advancement, promotion and tenure review process.*
  - a) In addition to the responsibilities noted in the other paragraphs 1-4 and 6-11 in this section, the Department Chair, upon receipt of the record of the action taken by the Promotion and Tenure Committee, will prepare his or her own memorandum recommending or not recommending advancement, promotion and/or tenure. The form of this memorandum is described in the College Governance Document.
  - b) Except in the case of tenure in the penultimate year, dossiers are not forwarded to the Dean if both the Committee and the Department Chair disapprove.

c) Before the Department's recommendations are submitted to the College, the Department Chair will provide a copy of the P&T Committee's report including the results of all votes taken (but with the names and associated identifiers of references redacted) to the candidate, and will prepare a separate written assessment to the candidate informing the candidate for advancement, promotion and/or tenure of the Chair's decisions and the reasons for them. The Chair's assessment may cite sections of the P&T Committee report as appropriate to his or her assessment.

1) If the dossier is to be forwarded to the Dean, the Department Chair will give each candidate the opportunity to review the factual information to be submitted.

2) The candidate will inform the Department Chair if the information is incomplete or if any inaccuracies are found.

3) The Department Chair will assist the candidate to rectify the situation.

6. *The process and circumstances under which a review may be postponed.*

a) The conditions for extension of probationary period are defined in the University 1999 P&T document (ISU Handbook section 5.2.1.4 Extension of Probationary Period).

b) Other than extension of probationary period, a candidate may elect to postpone or withdraw from consideration at any point in the departmental review process by submitting written notification to the Department Chair.

1) The candidate will be advised by the Department Chair of the possible consequences of such action; however, the candidate is fully responsible for the consequences of his or her decision to postpone or to withdraw.

2) In the event a candidate declines to be considered for promotion and/or tenure during the penultimate year of his or her probationary period, the candidate will be given an opportunity to resign his or her appointment effective at the end of the probationary period.

3) In all cases the resignation must be submitted prior to the end of the Departmental review period during the penultimate year. Otherwise, the candidate shall be informed by the Department Chair that the candidate's appointment will be terminated at the end of the probationary period.

7. *The types and sources of information that the department review committee will consider in conducting its review*

- a) Dossier. The required elements of the Dossier for advancement, promotion and/or tenure are defined in the College of Design Governance Document, Section IV, which in turn refers to guidelines in the University 1999 P&T document (ISU Faculty Handbook section 5.3). These elements include the Promotion and Tenure Vita or an Advancement Vita, the Faculty Portfolio, letters of evaluation, a full vita, course evaluations, the faculty member's annual reports during the period under review, and other evaluation materials and letters that may be gathered in accordance with the following paragraphs. Based upon this material and the candidate's Position Responsibility Statement, the departmental Committee and Department Chair make their evaluations with respect to departmental, College of Design, and university standards for advancement, promotion and/or tenure. Their written recommendations are included when the Dossier is forwarded to the Dean.
- b) 25-page Portfolio. The candidate is required to prepare a 25-page portfolio consistent with requirements outlined by the provost by October 15 in the year of review. This is to be forwarded to the college and dean for consideration at the college level, It is recommended, though not required, that the 25-page portfolio be prepared in draft format in time for the departmental committee to review it during its deliberations.
- c) An additional evaluation of the candidate's teaching performance is not the faculty member's responsibility to prepare, although the candidate may expedite its preparation through cooperation with the Department Chair and Promotion and Tenure Committee. The Promotion and Tenure Committee may review the teaching performance of adjunct, lecturers and senior lecturers, tenure-track, and tenured faculty with a process that may include classroom visits and solicited peer and student communications. These advisory evaluations, when conducted, shall be completed and incorporated into the candidate's dossier before the committee begins to review the candidate.
- d) The solicitation of written advisory performance evaluations consistent with ISU Handbook Section 5.3.3.1 from departmental faculty, student, and external peers is also not the candidate's responsibility. The Department Chair and or the P&T committee may solicit such evaluations. Those persons who respond to such requests should provide

specific points of reference from direct personal knowledge upon which their review is founded.

- e) The departmental committee may begin its review prior to the receipt of external evaluation letters, except that no recommendations, votes or decisions are to be taken prior to their receipt and inclusion in its deliberations
- f) External letters are not required for advancement candidates.

8. *The means by which persons being considered submit information and documentation for the review process.*

The elements of the Dossier which the faculty member prepares: the Promotion and Tenure Vita or an Advancement Vita, the Faculty Portfolio, the full vita, course evaluations and External Review package will be completed and presented to the Department Chair before they are presented to the departmental promotion and tenure committee.

9. *The procedures for obtaining any external evaluations used by the department in evaluating the performance of the candidates.*

- a) External reviews required for areas of performance will be based upon procedures set forth in the university 1999 P&T Document (ISU Handbook section 5.3.3.1), in the Documentation Guidelines section regarding Department and Department Chair responsibilities. External reviews shall be solicited by the Department Chair.
- b) The required elements of the external review package that are prepared by the candidate are: PRS, P&T Vita, examples of scholarly works, examples of teaching materials and results, statements regarding scholarly agenda and teaching approach, and table of teaching evaluations compared to departmental norms, Additional content may be added at the candidate's discretion.

10. *The definition of the factual information in the dossier subject to review by the faculty member before it is advanced from the department.*

Factual information is subject to review for accuracy prior to being forwarded to the college. The candidate shall work with the chair to clarify and/or correct factual inaccuracies. This is noted in preceding paragraph 5c of this section.

*11. The procedures for the notification of the results of the reviews.*

Reports shall be in accordance with ISU Faculty Handbook sections 5.2.4.2.5 Notification Procedures, 5.2.4.3.3 Dean (a portion of which pertains to the Chair), and 5.2.4.4.1 Provost and 5.2.4.4.2 President (both of which include notification obligations for the Dean and/or Chair). The College Document ¶IV.D.5, incorporates the Handbook procedures by reference. In addition, for the Department:

- a) The Chair shall provide a redacted copy of the Departmental Committee advisory report to the Chair, and the his/her report to the Dean to the candidates for tenure and/or promotion as noted in paragraph 5c of this section.
- b) The Chair shall provide a copy of his/her written review, report and recommendation regarding advancement, tenure and/or promotion to the departmental P&T Committee whether s/he concurs or disagrees with the P&T Committee's recommendation.

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