

GOVERNANCE DOCUMENT

Department of Community and Regional Planning
College of Design
Iowa State University

APPROVED BY THE FACULTY OF COMMUNITY & REGIONAL PLANNING
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1. Preamble

The Department of Community and Regional Planning (CRP) is a small department with a history of collegial interaction among its faculty members. It subscribes to the principles of faculty governance, recognizing the central role of cooperation among members of the university community in decision-making. It operates within the Faculty Handbook of Iowa State University and the Governance Document of the College of Design, all of which establish policies and procedures for the governance of Iowa State University and its component parts.

2. Resolution of Conflicting Documents

The Department Governance Document is intended to be consistent with the *Faculty Handbook* of Iowa State University and the College of Design Governance Document, all of which establish policies and procedures for the governance of Iowa State University and its component parts. Occasionally, however, revisions are made to the *Faculty Handbook* and College of Design Governance Document that are not immediately reflected in the Department Governance Document. Should conflicts exist among the documents, the policies found in the highest-level document shall prevail. In addition, the rules and regulations of the *Faculty Handbook* and College of Design Governance Document are still in effect, even if absent from the Department Governance Document.

The Department Governance Document shall be made publicly available through a web link to a document web site provided to the Office of the Provost and the Faculty Senate. The Department is not responsible for the contents or policies contained in linked websites not controlled by the Department.

3. Definitions

Chair – The Chair of the Department.

College – The College of Design.

Dean – The Dean of the College of Design.

Department – The Department of Community and Regional Planning.

Department Faculty - All faculty members with tenure, tenure-track, adjunct appointments at any academic rank, lecturers, and senior lecturers with appointments in the Department as those positions are defined in the *Faculty Handbook*. In some instances, as in the case of faculty members with formal extension appointments, the budget line for all or a portion of the appointment may appear in another budget.

DOGE – The Director of Graduate Education for the Department.

DOCS – The Director of Certificate Studies

Faculty Handbook – The Iowa State University Faculty Handbook in current force and effect.

PAC – The Planning Advisory Council.

SAAC – The Student Admissions and Awards Committee.

Quorum – A majority of the voting faculty.

Voting faculty - Department faculty having tenure, tenure-track, adjunct appointments at any academic rank, senior lecturers, and lecturers.

4. Mission

The overall purposes of the Department are to educate professional planners, advance the knowledge base of the discipline through research, and extend the reach of university planning education through extension and outreach.

Our mission is to improve communities/places and create globally aware citizens through innovative teaching, research and community engagement.

We educate students to become professional planners, critical thinkers and engaged global citizens who have the ability to contribute to a better world.

We partner with planning with planning practitioners to discover and implement best practices to enhance the human experience and improve the natural, social and built environment.

We engage with communities to create vibrant and sustainable places.

We promote place-based research and inquiry in Iowa and the Midwest.

The department strives to maintain the accreditation of both of its degree programs by the

Planning Accreditation Board. Thus, it is important to consider the nature of planning.

The Association of Collegiate Schools of Planning, in a handbook intended to provide guidelines for evaluating and promoting faculty, notes:

Planning today is a diverse field, and planning practitioners do a wide variety of things, ranging from designing subdivisions to writing computer programs to drafting legislation to negotiating between neighborhood groups and city hall. . . . Nevertheless, virtually all planners have some key characteristics in common: 1) a commitment to bring about change for the better, 2) an orientation to the future, 3) a comprehensive view that places issues in broad context, and 4) an analytical approach that assesses the pros and cons of alternative possible actions. These traits have made planning a viable and valuable profession, regardless of whether its practitioners specialize in the design of shopping centers or of social problems.

5. Department Budget

A copy of the Department budget shall be distributed to the department faculty at the beginning of the academic year. At other times the budget shall be available for inspection by the department faculty. The budget should include the department's budgetary resources and expenditures by categories, as well as funds received and expended in the preceding year and projected for the current year.

6. Faculty Meetings

6.1 Purpose of Meetings

The Department faculty meeting shall serve as the forum for faculty members to initiate discussion on any subject deemed to be in the interest of the department. The faculty of the department shall meet regularly, from August through May. Dates and times of regular meetings will be established at the beginning of each semester. Special meetings may be called at other times by the Chair or by a majority of the faculty.

6.2 Organization of Meetings

The Chair shall establish the agenda for the meetings in response to issues raised by administration, faculty, staff and/or students. Robert's Rules of Order will serve as the parliamentary procedure for conducting departmental meetings and for making decisions. The Chair, or his or her designate, will preside over regularly scheduled departmental faculty meetings. Meeting minutes, including motions made and actions taken, shall be kept.

6.3 Purpose of Meetings

Faculty meetings shall serve as the forum for conducting the business of the faculty, announcing reports and information, and making decisions on matters of general concern to the faculty. Items requiring formal action by the voting faculty will be published in the faculty meeting agenda. A quorum must be present to conduct a vote on an item requiring formal action. If a quorum is not present, the matter may be postponed to the next faculty meeting where a quorum is present, or an electronic ballot voting by faculty may be used. A simple majority of those voting faculty casting ballots will be required for approval of motions before the faculty. An abstention does not constitute a cast ballot.

6.4 Items Requiring Formal Action

Items that require formal action by the voting faculty at a faculty meeting include degree programs; curriculum requirements and content; academic standards and procedures; the adoption and amendment of the Department Governance Document, departmental mission statements, and strategic planning documents; and policies and procedures regarding granting of degrees and honors.

6.5 Other Items

Other items that may call for review and discussion by all faculty at a faculty meeting, but may not require formal action, include those that would have a department-wide impact upon academic programs, faculty, or students, such as the use of physical and budgetary resources, initiatives dealing with outreach, and policies affecting the academic life of students.

7. Administrative Positions: General Duties and Responsibilities

7.1 Faculty

Consistent with the principles of faculty governance, Department Faculty will serve on University, College and Department committees to assure the proper functioning and critical operation of the institution. The Department Faculty also will assist with student recruitment activities, and with the promotion of the Department and its degrees and programs.

7.2 Chair

The Chair is the chief academic officer of Department and reports to the Dean. The Chair is responsible for leading the overall work of the Department in the areas of teaching, research, and service, preparing and administering the departmental budget, and for recommending to the Dean personnel actions and merit salary recommendations. The Chair is also responsible for the overall academic supervision of the department's students. Through significant interaction with faculty, the Chair holds key leadership roles in recruiting quality faculty and students, facilitating faculty development, developing and implementing quality academic

programs, and in advancing departmental resources and programs quality. The Chair serves as a member of the College cabinet and plays a key role in the development and implementation of the College's interdisciplinary programs.

The Chair is appointed by the Dean after consultation with Department Faculty, and with the approval of the University administration and the Iowa Board of Regents.

The Chair must be able to qualify as a member of the Department Faculty at the rank of Professor or Associate Professor. In addition, the Chair must be able to meet the qualifications for program administrator as set forth in the accreditation criteria of the Planning Accreditation Board in effect at the time of hire.

7.3 Director of Graduate Education (DOGE)

The DOGE is responsible for oversight of the graduate curriculum, managing graduate student affairs and graduate assistantships. Specific responsibilities of the DOGE include:

- Acting as chair of the Student Admissions and Awards Committee, to see that the duties of the committee as outlined above are carried out.
- Serving as a member of the Curriculum Committee, to see that the duties of the committee with regard to the graduate curriculum are carried out.
- Overseeing catalog review with regard to the graduate curriculum.
- Coordinating incoming graduate student orientation.
- Administering petitions, change of program, major advisor, thesis deposit, and other documentation.
- Maintaining graduate student database and other information resources.
- Allocating teaching assistantships to classes upon the advice and recommendation of the Student Admissions and Awards Committee.
- Coordinating with faculty on the allocation of research assistantships

The DOGE will work with the Chair to develop and implement policies for assigning, monitoring and evaluating teaching and research assistants. The DOGE will also work with the Chair in assessing and coordinating curriculum resources, accreditation criteria and other graduate program elements.

The DOGE shall be a tenured or tenure-eligible member of the Department Faculty. The DOGE is self-nominated or nominated, elected by the Department Faculty and confirmed by the Chair. The DOGE serves for a period of one to three years, depending on the availability of the faculty member. The term may be renewed, using the same nomination and election procedure.

7.4 Director of Certificate Studies

A DOCS is responsible for oversight of the certificate program for which the faculty member is responsible, and managing certificate student affairs. Specific responsibilities of a DOCS includes:

- Acting as chair of the Admissions Committee for the certificate program for which the faculty member is responsible, to review and recommend students to the certificate program.
- Serving as a member of the Certificate Curriculum Committee, to assess and coordinate curriculum resources and other graduate program elements.
- Assisting certificate program students during all their semesters at ISU.
- Student advising in the selection of courses for the certificate program.
- Administering the documentation associated with the certificate program.
- Maintaining certificate program student database and other information resources.

The DOCS shall be a tenured or tenure-eligible member of the Department Faculty. The DOCS is self-nominated or nominated, elected by the Department Faculty and confirmed by the Chair. The DOCS serves for a period of one to three years, depending on the availability of the faculty member. The term may be renewed, using the same nomination and election procedure.

8. Committees, Councils, and Student Organizations

8.1 University Councils and Committees

The Department representative to the Iowa State University Faculty Senate will be selected through a vote of the voting faculty of the department. Membership on other university councils, committees, and boards is usually through an appointment process directed by the Dean's office at the request of a university committee chair, department chair, or administrator. Other university committee assignments are through membership on one of the college councils.

8.2 College of Design Councils, Standing Committees, and *Ad Hoc* Committees

Department membership on college councils will be through a nomination and election process of voting faculty members. A majority of votes cast by the voting faculty is necessary for election to a college council. Election to a college council carries a three-year term.

Department membership on a standing college committee (as identified in the College Governance Document) will be through a volunteer selection process conducted by the Chair. Selection to a standing college committee carries a one-year term; however, automatic reappointment may occur for any committee position.

Departmental membership on college *ad hoc* committees will be through a volunteer selection process conducted by either the Dean or chair of a college council or standing committee. *Ad hoc* committees are short term and generally will not last for more than one year.

A Department Faculty member may be on only one college council at a time but may be a member of more than one standing or ad hoc college committee.

8.3 Department Committees

With the following exceptions, the Department shall function as a committee of the whole to act on questions of departmental policy actions. The committee of the whole shall be comprised of each voting faculty member and chaired by the Chair, or the Chair's designee if the Chair is to be absent.

In addition to the committee of the whole, there will be four standing committees, established and operated as set forth below:

8.3.1 Promotion and Tenure Committee

The Promotion and Tenure Committee shall consist of at least three, up to a maximum of five elected tenured members of the Department Faculty, excluding the Department Chair. The composition of the committee in terms of rank will be dependent upon the task required that year. In agreement with best practices as established by the Provost Office, only faculty at or above the rank for which a candidate is being considered should vote on promotion (for example associate professors should not vote on cases for promotion to full professor). In the event that there are not three tenured members of the Department Faculty at the appropriate rank, the voting faculty will elect one or more tenured faculty members from one or more College of Design departments, to make up a three-person committee. The members of the Promotion and Tenure Committee are elected in the fall of the academic year by the tenured and tenure-eligible faculty and shall serve a one-year term. Persons being considered for promotion and tenure, or who are under review or persons with a potential conflict of interest with respect to a candidate may not serve on the committee during that academic year. Once constituted, the Promotion and Tenure committee shall select its chair. The Chair of the CRP Promotion and Tenure Committee shall also serve as the CRP representative to the College of Design Faculty Development Council. In matters involving the advancement in rank of non-tenure-eligible candidates, one senior lecturer shall be elected by the faculty to the department Promotion and Tenure Committee and shall replace one of the tenured faculty members as a voting member of the Committee.

The Promotion and Tenure Committee will review cases, report findings, and make written recommendations to the Chair on cases of promotion and/or tenure of eligible Department Faculty members, and on the proposed advancement of non-tenure track faculty members. In performing these duties, the Promotion and Tenure Committee will adhere to the criteria set forth in the Iowa State University Faculty Handbook, the College of Design Governance Document and this Department Governance Document. This Department Governance Document will govern the procedures of the Promotion and Tenure Committee.

8.3.2 Curriculum Committee

The Curriculum Committee will consist of at least three Department Faculty members. The Curriculum Committee members shall be elected by the voting faculty, except that the DOGE shall always be a member. The chair of the Curriculum Committee shall be elected by Curriculum Committee members. The Curriculum Committee chair will also serve as the

Department's elected representative to the College Affairs Council. The purpose of Curriculum Committee is to assume responsibility to develop and recommend curricular changes in keeping with Planning Accreditation Board guidelines, the University and College strategic plans, and the missions, goals and objectives of the Department. Actions of this committee will be subject to approval of the voting faculty.

8.3.3 Graduate Admissions Committee

The Graduate Admissions Committee will consist of at least three Department Faculty members. It shall be chaired by the DOGE. The other members shall be elected by the voting faculty. The Graduate Admissions Committee has the responsibility of reviewing and recommending students to the graduate program. The Graduate Admissions Committee will make graduate assistantship recommendations to the Chair and DOGE. The Faculty will assist the Graduate Admissions Committee in student recruitment activities and in promotion of the graduate program. The Graduate Admissions Committee will assist the DOGE in the review and determination of action of graduate student requests to waive graduate credit hours, consistent with the Graduate Credit Hour Waiver Policy

8.3.4. Student Honors and Awards Committee

The Student Honors and Awards Committee will consist of two faculty members elected by the voting faculty and the CRP Academic Advisor. The chair of the Student Honors and Awards Committee shall be a faculty member and elected by the Student Honors and Awards Committee members. The Student Honors and Awards Committee chair will also serve as the Department's elected representative to the College Student Honors and Awards Committee. The Student Honors and Awards Committee shall review and recommend criteria, policies and procedures for the department's student awards and scholarships. It shall also review nominations and make recommendations to the faculty for the department's student awards and scholarships.

In addition to these four standing committees, the Chair may establish ad hoc committees to address particular issues. Ad hoc committees shall be short term (in place for no more than a year) and their composition shall be identified at the time they are established.

8.4 Planning Advisory Council (PAC)

The purpose of the PAC is to act as an outside advisory body to offer guidance and council on major issues concerning the department that will assist in the professional development of ISU planning students. Members of the PAC shall be named by the Chair. Such membership shall consist of alumni and leading practitioners within the professional planning community, with membership representing the diversity within the professional planning community, including both public and private sector representation. The Chair shall act as liaison between the PAC and the department. The PAC will be expected to meet at least once a calendar year.

8.5 Student Organizations

The undergraduate students majoring in community and regional planning, and the graduate students pursuing graduate education in community and regional planning play an important role in setting the direction of the Department. The students are encouraged to form and maintain university-recognized student organizations for each program (undergraduate and graduate), or one organization to represent both programs, to act in the collective interests of the students. A one or more members of the Faculty shall act as liaison between the Department and the student organization(s). The membership of the student organization(s) shall elect student representatives to serve in the following roles:

- One undergraduate and one graduate student to serve as student representatives to attend faculty meetings.
- One undergraduate and one graduate student to serve as student representatives on faculty search committees.

When such student organization(s) are not operating, or the organization(s) do not nominate representatives to perform these functions, the Chair shall name one or more representatives from each program to serve.

9. Tenured and Tenure-Eligible Faculty: Initial Appointment and Position Responsibility Statement

9.1 Appointment

Faculty Handbook Sections 3.1 to 3.3 explain the university's appointment policies and procedures, and types of appointment.

Faculty Handbook Section 5.2.3 sets forth the qualifications for tenure-track and tenured faculty positions. These qualifications shall be taken into account when drafting notices of vacancy and job advertisements, and when evaluating candidates for faculty appointments in the Department.

Significant Department Faculty involvement in the review and selection of applicants for new or vacant positions is basic to the successful recruitment and retention of a high quality faculty. New faculty tenured and tenure-track appointments are based upon a selection of candidates identified by an *ad hoc* faculty search committee that has been appointed by the chair.

Whenever possible, search committees are composed of tenured or tenure-track faculty with an appropriate representation of academic ranks and areas of specialization. When appropriate, persons from outside the Department and outside the university may be added to the committee. The search committee, in cooperation with the Chair and Department Faculty, and with approval of the Dean, develops a notice of vacancy and job advertisement, establishes guidelines, conducts a national search, reviews applicant credentials, and recommends a list of three to five unranked final candidates to be considered for campus

interviews. The search committee will inform and consult with Department Faculty throughout this phase of the search process. The search committee and other Department Faculty will also assist the Chair, as requested, in campus visitations. After campus visitations, the Faculty votes on a final candidate and forwards its recommendation to the Chair. A department recommendation for a new faculty appointment is initiated by the Chair and must be approved by the Dean and the Provost before becoming effective.

9.2 Position Responsibility Statement (PRS)

9.2.1 Overview

It is the policy of Iowa State University that evaluations of tenured and tenure-eligible faculty are based on the position responsibilities of faculty members and other activities that relate to faculty appointments. A position responsibility statement (PRS) is a tool that allows for a flexible and individualized system of faculty review, particularly within the promotion and tenure process of tenure-eligible/tenured faculty. A faculty member's PRS should include the significant responsibilities of the faculty member in all of the following areas: (1) teaching, (2) research/creative activities, (3) extension/professional practice, and (4) institutional service that are important in evaluating faculty accomplishments in the promotion and tenure process for tenure-eligible/tenured faculty, or for advancement for non-tenure-eligible faculty. The responsibilities identified in the PRS should not be inconsistent with the Department's stated criteria for promotion and tenure. The PRS shall not violate the faculty member's academic freedom in teaching, in the selection of topics or methods of research, or in extension/professional practice.

The PRS will be subject to regular review by the faculty member and the Chair, and allow for flexibility in responsibilities over time and for the changing nature of faculty appointments. The statement should allow both the faculty member and his/her administrative and peer evaluators to understand the basis of the academic appointment and to place that into context with the promotion and tenure criteria. Any changes in the expectations for the tenure-eligible/tenured faculty member must be made in consultation between the Chair and the faculty member, and must be reflected in an amendment to the PRS. Significant changes to a faculty member's position responsibilities should be reflected in the PRS within one semester of assuming the new duties. Neither the chair nor the faculty member can change the PRS unilaterally without consent of the other.

9.2.2 Initial Appointments

At the time of appointment or within the first semester of the appointment, the Chair and the new tenure-eligible/tenured faculty member will agree on a PRS that should be based on the job advertisement. This document will be signed and dated by both parties. The signed and dated copy will be on file in the faculty member's personnel file and in the Dean's office. For tenure-eligible faculty this PRS should stand for the first three years of appointment. In most cases, this initial statement will remain in effect until the tenure review.

When tenure is granted, the faculty member and his/her chair will review the details of the PRS

and make any necessary changes. At least every five years thereafter, as part of the annual review process, a tenured faculty member will re-evaluate his/her position responsibilities with the chair. The PRS may be reviewed and/or changed more frequently as part of the annual review process, but this is not mandated. Any changes in the statement must be made in consultation between the chair and the tenured faculty member and signed and dated by both parties. The signed and dated copy will be on file in the faculty member's personnel file and in the dean's office.

9.2.3 Joint Appointments

In the case of faculty members who have appointments in the CRP Department and another academic department, a PRS will be written by the faculty member and the chair of each department, and signed and dated by all three parties. The PRS shall identify the faculty member's primary (home) department for promotion and tenure. Each department and college involved will receive signed and dated copies of the PRS.

9.2.4 Extension Appointments

In the case of faculty members with appointments funded in whole or in part by Iowa State University Extension and Outreach, a PRS will be written by the faculty member and the Chair, in consultation with the College's Associate Dean for Extension and Outreach. The PRS will be signed and dated by the faculty member and the Chair. The signed and dated copy will be on file in the faculty member's personnel file and in the dean's office.

9.2.5 Appointments in Interdisciplinary Programs

The College values interdisciplinary efforts and offers multiple interdisciplinary degree and non-degree programs. Some faculty members in the Department may have significant responsibilities in these programs, in addition to their departmental responsibilities. For a faculty member whose teaching and/or administrative responsibilities in an interdisciplinary program, including the core curriculum, are anticipated to last beyond one semester, his/her PRS will be revised to reflect those responsibilities in consultation with the Chair and the director of the interdisciplinary program. The PRS will accurately reflect the faculty member's various responsibilities in the Department and the interdisciplinary program. The PRS will be signed and dated by the faculty member and The Chair. The signed and dated copy will be on file in the faculty member's personnel file and in the Dean's office.

9.2.6 Department Chair

The Chair will have a PRS, written by the Chair and the Dean, describing the administrative and other departmental responsibilities of the position. The signed and dated copy will be on file in the Chair's personnel file and in the dean's office.

9.2.7 Disagreements Concerning PRS

Disagreements related to the PRS will be handled as described in the Faculty Handbook, Section 5.1.1.5.1. During the time of this mediation process, the existing signed and dated PRS will remain in effect.

10. Tenured and Tenure-Eligible Faculty: Annual Reviews

10.1 Overview

Tenured and tenure-eligible faculty members are reviewed annually for performance appraisal and development based on their PRS. This review will serve as a basis for determining merit salary increases, and also as an evaluation of the faculty member's progress toward tenure and/or promotion.

10.2 Annual Review

10.2.1 Annual Review Process Generally

The Chair conducts annual faculty reviews. The Chair informs each faculty member of the departmental time frame and schedule for annual faculty evaluation and will ask each faculty member to provide a written report following a format prescribed by the Chair. Upon receipt of the report, the Chair and faculty member will conduct a face-to-face meeting to discuss the faculty member's performance and development. Based on the report and the face-to-face meeting, the Chair will prepare a written evaluation to be provided to the faculty member and the Dean at least two weeks prior to submitting salary recommendations to the Dean. Faculty members wishing to meet with the Chair to express disagreement with their evaluation must do so within this two-week period. The faculty member has the right to communicate in writing his/her disagreement(s) with the Chair's evaluation and to have that written response accompany the Chair's recommendation to the Dean. Following this period, the department chair submits the merit salary recommendations to the Dean along with appropriate evaluative documentation.

10.2.2 Part-Time Appointments

Faculty with part-time appointments will be reviewed on the normal annual review cycle. For purposes of annual review, the percentage of the appointment must be taken into account when considering the appropriate level of accomplishment in that year.

10.2.3 Joint Appointments

In the case of faculty with joint appointments, with CRP as the primary (home) department, the Chair of the other department may provide, at the request of the faculty member or the Chair, input to the Chair as part of the faculty member's review.

10.2.4 Extension Appointments

In the case of faculty with Extension appointments, the Associate Dean for Extension and Outreach may provide, at the request of the faculty member or the Chair, input to the Chair as part of the faculty member's review.

10.2.5 Appointments in Interdisciplinary Programs

In the case of a faculty member with responsibilities in an interdisciplinary program, the Chair may seek input from the director of the interdisciplinary program on his/her own initiative or at the request of the faculty member.

11. Tenured and Tenure-Eligible Faculty: Preliminary Reviews, and Promotion and Tenure Review

11.1 Overview

The Department commits itself to the highest standards of excellence in its teaching programs, as well as in the research/creative activity, extension/professional practice, and institutional service activities of its faculty members. The standards applied by the Department at all levels of review are meant to reflect this commitment. The advancement, promotion and tenure standards of the Department reflect the wide range of scholarship and activities that within the planning discipline. As such, the Department affirms its recognition of, and commitment to the broad range of professional and creative activities described as scholarship in Faculty Handbook Section 5.2.2, when such activities contribute to academic excellence and are subject to peer review or peer validation.

11.2 Timelines

The timelines contained in Appendix B shall be followed when conducting preliminary reviews, and when conducting reviews for promotion and tenure. These timelines are intended to be consistent with those established by the University and the College.

11.3 Documentation Required of Candidate

11.3.1 Overview

The candidate has the primary responsibility for preparing his/her review materials in consultation with the Chair. The Promotion and Tenure Committee, or individual members thereof, may also informally advise the candidate on the preparation of the materials.

A candidate for preliminary review should view the preparation of his/her portfolio as an opportunity to reflect on their contribution to the discipline, their progress toward promotion and tenure, and as a preliminary step in preparing their promotion and tenure portfolio.

11.3.2 Documentation Required

Candidates for preliminary review, and for promotion and tenure review, shall submit the following materials for consideration in the review process. It is intended that these documentary requirements are consistent with, and supplemental to those identified in Faculty Handbook Sections 5.3.1 and 5.3.2, and the College Governance Document.

- Position Responsibility Statement(s): copies of all the candidate's signed PRSs in effect during the review period.
- Vita: the vita is a listing of information about the candidate, the candidate's accomplishments in scholarship, and the candidate's activities and accomplishments in the areas of his/her responsibilities (teaching, research/creative activities, extension/professional practice, and institutional service, as appropriate). The format of the vita should reflect the format set forth in the Faculty Handbook Section 5.3.1, and be organized to present the candidate in a positive perspective.
- Faculty Portfolio: the faculty portfolio includes an overall statement of the candidate's accomplishments in scholarship as they relate to teaching, research/creative activities, and extension/professional practice. It must include representative scholarly materials that have been validated by peers and supporting materials that document peer recognition and impact of the candidate's scholarly accomplishments. Faculty Handbook Section 5.3.2, and College Governance Document Section 4.5.4 include listings of important and supplemental materials that should be included by the candidate to provide a clear understanding of the candidate's accomplishments within scholarship and his/her areas of faculty activities. In addition, the Department recognizes the documentary evidence listed hereafter as supportive of the candidate's accomplishments (The candidate should consider all three listings - Faculty Handbook, College Governance Document, this document - when assembling his/her portfolio):
 - Teaching and advising:
 - developing new courses, introducing innovative teaching materials; restructuring existing curricula, and teaching multidisciplinary courses
 - membership on agencies or boards because of individual expertise in education and teaching;
 - documentation of innovative teaching methods including video tapes
 - documented peer review of teaching and the receipt of grant awards for purpose of advancing teaching;
 - Research/Creative activities:
 - involvement in multidisciplinary research;
 - organizing or leading workshops or training sessions;
 - application of planning technologies in new or innovative ways;
 - developing new methods of practice that become widely adopted;
 - membership on agencies or boards because of individual expertise;
 - being a referee for journals, grants, exhibitions, etc.
 - invited book reviews;
 - being an editor for a journal or serving on editorial boards;
 - invited papers, journal articles, lectures, and presentations at conferences.

- Extension/Professional practice:
 - participating on committees that promote extension program development and planning;
 - receiving grant awards to develop extension courses, teaching methods, or conducting applied research related to extension activity;
 - receiving awards in recognition of outstanding extension/professional practice performance;
 - organizing and conducting seminars, lectures, or workshops to community-based organizations on disciplinary subject matter;
 - participating in invited sessions or workshops of professional planning associations or related professional disciplines;
 - providing leadership to organizations involved in planning issues or related subject matter;
 - involvement in multidisciplinary Extension and outreach activities.
- Institutional service. Given the small number of faculty in the Department, institutional service in the following areas is valued highly within the department:
 - Significantly contributing to university, college, department or other institutional units.
 - assisting in student orientation, guest lecturing, student recruitment and retention, and serving in administrative capacities within acting roles.

Once the candidate has submitted his/her documentation for Departmental review, no material may be added to the file without the candidate's consent.

11.4 Voting Procedures

For the purposes of this subsection the term "vote" shall mean the formal expression of opinion or choice by a faculty member or the Chair on the specific question of whether a candidate under preliminary review should be reappointed, or whether a candidate should receive tenure and/or promotion.

In order to avoid undue or unfair influence in the processes of reappointment, promotion and tenure, the guiding principle of "one-person—one-vote" must be honored. The Promotion and Tenure Committee and the Chair shall comply with the following:

- A candidate shall not cast a vote or otherwise participate in the review of his/her own case.
- The Chair and Dean (if the Dean is tenured in the Department) shall cast his/her one vote only at the appropriate step in the processes described below.
- If a faculty member serves on the Promotion and Tenure Committee, and also on the College Faculty Development Council, the faculty member's one vote will be cast at the departmental level.

11.5 Conflicts of Interest

Conflicts of interest include conflicts arising out of personal relationships, family relationships, and those arising from activities outside of work. Conflict of interest issues are addressed in the

Faculty Handbook Section 7.2.2.1. The Chair or any member of the Promotion and Tenure Committee with a conflict of interest with respect to a candidate shall not participate in reviewing that candidate or be given access to the candidate's review materials.

Advice to a potential candidate concerning the process or readiness of a portfolio is not in violation of this policy. For example, advice to a candidate on how to improve his/her portfolio, or the timing of a promotion application, etc. are process issues and not evaluation issues.

11.6 Confidentiality

The deliberations of the Promotion and Tenure Committee shall remain confidential. Discussions between any Promotion and Tenure Committee member and any faculty member who is not a member of the Committee pertaining to any preliminary review, or any promotion and/or tenure case, are strictly prohibited.

11.7. Preliminary review of probationary tenure-eligible faculty

11.7.1 Overview

A tenure-eligible faculty member will typically receive an initial appointment to no more than a four-year term. In order to allow the faculty member sufficient time to establish an adequate record of performance, the review for the renewal of appointment (preliminary review) will be conducted during the third year of the initial four-year appointment. This review may result in a notification to terminate the appointment at the end of the four-year appointment period (which will also act as the required one-year notice of termination) or in renewal of the appointment, typically for a three-year period. No contract for a tenure-eligible faculty member will exceed four years unless there is a negotiated agreement consistent with the guidelines in the Faculty Handbook.

The preliminary review should inform the decision of whether to renew the faculty member's probationary appointment; and provide constructive, developmental feedback to the faculty member regarding progress in meeting the responsibilities set forth in the faculty member's PRS, and the department's criteria for tenure.

11.7.2 Evaluative Criteria for Preliminary Review

Preliminary reviews and decisions about appointment renewal are based on the following criteria:

- The faculty member is expected to demonstrate satisfactory performance in all areas of professional responsibilities set forth in the faculty member's PRS.
- A faculty member is expected to uphold the values and follow the guidelines of professional ethics from the University and the American Planning Association.
- A faculty member is expected to establish a foundation and trajectory in scholarship during the first probationary period that, if continued, will lead to satisfaction of the criteria for promotion and tenure at the time of promotion and tenure review.

11.7.3 Chair Responsibilities

The Chair shall be responsible for the following documentation and actions in the preliminary review process:

- Conduct a preliminary face-to-face meeting with the candidate to review the documentation expected from the candidate, the evaluative criteria for preliminary review, and the timeline for review;
- Solicit, if appropriate, letters from the interdisciplinary program director, the Chair of the secondary department, or the Associate Dean for Extension and Outreach. The Chair is **not** required to solicit external letters as part of the preliminary review process.
- Prepare a written evaluation and decision. The evaluation should summarize the primary points made by the Promotion and Tenure Committee and the Chair's own findings with regard to the evaluative criteria for preliminary review, and address both the strengths and weaknesses in the candidate's record of performance. The Chair's evaluation should include:
 - The candidate's accomplishments in scholarship;
 - The candidate's performance in his/her areas of responsibility as specified in the candidate's PRS;
 - The candidate's role and contributions to Department, College, and university missions;
 - The candidate's prospects for promotion and tenure and, if appropriate, guidance concerning progress over the remainder of the probationary period in order to achieve promotion and tenure; and
 - The Chair's decision on renewal/non-renewal of the candidate's appointment.
- Provide the Chair's written evaluation and decision on renewal/non-renewal of the appointment to the candidate, and conduct a face-to-face meeting with the candidate to review the decision.
 - If the decision is for renewal, the Chair will prepare a new Letter of Intent establishing a second probationary term that will extend to the end of the full probationary period. If the decision is for non-renewal, the candidate will be notified of such at least one calendar year prior to the end date of the current appointment.
- Provide the Chair's written evaluation and decision on renewal/non-renewal of the appointment to the Promotion and Tenure Committee.
- Provide all materials to the Dean for informational purposes, including the candidate's documentation, any letters from interdisciplinary program directors, Chair of secondary department, or the Associate Dean for Extension and Outreach, the written evaluation and voting results of the Department Promotion and Tenure Committee, and the Chair's written evaluation and decision on renewal/non-renewal of the appointment.

11.7.4 Promotion and Tenure Committee Responsibilities

The Department Promotion and Tenure Committee shall be responsible for the following documentation and actions in the preliminary review process:

- Using the evaluative criteria for preliminary review, evaluate the candidate and make a recommendation to the Chair on the candidate's reappointment to a second probationary period. The evaluation and recommendation shall be based on the information presented in the candidate's documentation and any letters from the interdisciplinary program director, the secondary department, or the Associate Dean for Extension and Outreach. The recommendation will be reached on a majority basis through secret ballot. A tie vote means that the Committee is making no recommendation. The Committee chair will record the vote tally.
- Provide to the Chair a written evaluation and recommendation, including the vote tally. The evaluation must explicitly describe the candidate's progress to-date and also provide direction to the candidate concerning progress over the remainder of the probationary period in order to achieve tenure. It should address both the candidate's strengths and weaknesses with regard to:
 - accomplishments in scholarship;
 - performance in his/her areas of responsibility as outlined in the PRS;
 - roles and contributions to the Department and College missions; and
 - Prospects for future contributions to the Department and the discipline.

11.8 Promotion and Tenure Review

11.8.1 Overview

All promotion and tenure policies and procedures included in this document are intended to be consistent with those presented in the Faculty Handbook (Section 5), the Guidelines for Promotion and Tenure published on the website of the office of the Senior Vice President and Provost, and the College Governance Document. Any apparent or perceived conflict between Department policies and procedures and those of the University or College are to be resolved in favor of the higher level policies and procedures.

11.8.2 Identification of Candidates for Tenure and/or Promotion

Identification of a candidate for promotion or tenure shall be the responsibility of the Chair. A candidate shall be considered for promotion or tenure under the following circumstances:

- During the penultimate year of a probationary appointment for a term, when renewal without tenure is no longer possible (generally the sixth year of service);
- Through discussions between the Chair and the candidate during the annual review process; or
- Through self-nomination.

A person who becomes a candidate for promotion or tenure through the selection of the Chair or the other means identified above shall be considered for promotion and/or tenure, as applicable, during the next cycle of promotion and tenure review.

A faculty member may decline consideration for promotion and/or tenure in a particular cycle by

withdrawing from consideration in a letter submitted to the Chair in accordance with university policy. A faculty member may decline consideration for tenure in the penultimate year of a tenure-track position only by submitting to the Chair an unconditional resignation from the faculty, effective on or before the expiration date of the seventh year of the faculty member's probationary period.

11.8.3 Procedures in Mandatory vs. Non-mandatory Cases

The procedure for mandatory and non-mandatory cases varies slightly. Mandatory cases are those that involve review for tenure in the penultimate year of the appointment. In these cases, the president makes the final administrative recommendation. Mandatory cases are always sent through the administrative chain to the president to determine whether a positive recommendation for tenure and promotion will be made to the Board of Regents. All other cases are considered non-mandatory cases. In non-mandatory cases, the Department, the Dean, or the Provost may make a decision not to advance a case, and that action is the final administrative action. In non-mandatory cases, a candidate may also withdraw his or her file from consideration at any level of the review process.

Reviews that occur in the final year (after denial in the penultimate year) are non-mandatory cases.

11.8.4 Extension of probationary period

A faculty member may request an extension of the probationary period when special circumstances occur, as described in Faculty Handbook, Section 5.2.1.4. When such a request is made, procedures specified in that section shall be followed.

11.8.5 Joint appointments

For candidates with joint appointments, the Department shall follow the procedures specified in Faculty Handbook Section 5.1.1.6.

11.8.6 Candidates with responsibilities to interdisciplinary programs

For a candidate whose PRS reflects responsibilities in interdisciplinary programs, including the core curriculum, the Chair may request the director of the interdisciplinary program on its own initiative, or at the request of the candidate or department chair, to submit an evaluation letter. The candidate shall be informed of such request if made by the committee or the chair. The program director shall then submit to the department promotion and tenure committee for inclusion with the candidate's documentation an evaluation letter specifically outlining the candidate's activities with regard to the interdisciplinary program and an evaluation of the candidate's performance in his/her areas of responsibility toward the program.

11.8.7 Soliciting External Letters of Evaluation

At the first meeting with a candidate regarding promotion and tenure review, the Chair shall solicit from the candidate the names of not more than five proposed external peer reviewers. The

Chair and the candidate shall together review the place of the candidate's work in the discipline in order to assist the Chair in identifying additional external peer reviewers. The Chair shall separately develop a list of five to seven proposed external peer reviewers. The Chair may consult with other members of the faculty or with peers at other institutions in developing such a list.

The Chair shall then submit that list to the candidate, who may remove any two names from it without explanation. From the remaining names on that list and the five names on the candidate's list, the Chair shall select a total of six prospective external reviewers, including at least two names from the list proposed by the candidate. After identifying six external peer reviewers to participate in the process, the Chair shall formally request their evaluations of the candidate in a manner consistent with Faculty Handbook Section 5.3.3.1. If one or more of the initial six reviewers cannot or will not participate in the process, the Chair may be required to draw additional name(s) from the list of eligible reviewers to ensure that no fewer than five external evaluations be received by the Chair; and that of these, no fewer than two shall be received from reviewers recommended by the candidate.

11.8.8 Evaluative Criteria for Promotion and Tenure Review

Reviews for tenure and/or promotion shall be based on the appropriate criteria found in Faculty Handbook Section 5.2.3, specifically:

- Candidates for Associate Professor and/or Tenure – Faculty Handbook Section 5.2.3.1;
- Candidates for Professor – Faculty Handbook Section 5.2.3.3.

11.8.9 Chair Responsibilities

As part of the review process for each mandatory case, and for each non-mandatory case when the Chair elects to have the recommendation forwarded to the College, the Chair shall be responsible for the following documentation and actions:

- Conduct a preliminary face-to-face meeting with the candidate to review the documentation expected from the candidate, the evaluative criteria to be applied in the review process, and the timeline for review;
- Assist the candidate in soliciting a senior faculty member from the College of Design to act as a mentor in developing his/her portfolio;
- Solicit and obtain confidential letters of evaluation from external reviewers consistent with the policies and procedures of the Faculty Handbook Section 5.3.3.1;
- Solicit, if appropriate, letters from the interdisciplinary program director, the Chair of the secondary department, or the Associate Dean for Extension and Outreach.
- Address any late-developed information in a manner consistent with Faculty Handbook Section 5.2.4.2.7;
- Prepare a written evaluation and recommendation. The evaluation should summarize the primary points made by the Promotion and Tenure Committee and the Chair's own findings with regard to the appropriate evaluative criteria for promotion and tenure

review, and address both the strengths and weaknesses in the candidate's record of performance. The Chair's recommendation should include:

- The candidate's accomplishments in scholarship;
 - The candidate's performance in his/her areas of responsibility as specified in the candidate's PRS;
 - The candidate's prospects for future contributions to the field and department;
 - The candidate's role and contributions to Department and College missions; and
 - The Chair's recommendation.
- Prior to forwarding the Chair's recommendations to the Dean:
 - Provide the candidate with the names of the members of the Promotion and Tenure Committee that participated in the review.
 - Provide the Chair's written recommendation to the candidate, and conduct a face-to-face meeting with the candidate to review the recommendation.
 - Provide the candidate the opportunity to review the non-confidential, factual information contained in the written recommendation, and the opportunity to inform the chair of any ways in which he/she believes this information to be incomplete or inaccurate.
 - Provide to the Dean the completed Department Chair Promotion and Tenure Evaluation Report Form, the candidate's review materials, letters of evaluation from external reviewers, the written evaluation and voting results of the Department Promotion and Tenure Committee, the Chair's written evaluation and recommendation and, as appropriate, any letters from interdisciplinary program directors, Chair of secondary department, or the Associate Dean for Extension and Outreach.
 - Inform the Promotion and Tenure Committee of the Chair's recommendations regarding promotion and/or tenure.

11.8.10 Promotion and Tenure Committee Responsibilities

The Department Promotion and Tenure Committee shall be responsible for the following documentation and actions in the promotion and tenure review process:

- Using the appropriate evaluative criteria, evaluate the candidate and make a recommendation to the Chair on the candidate's tenure and/or promotion. The evaluation and recommendation shall be based on the information presented in the candidate's documentation, letters of evaluation from external reviewers, and any letters from the interdisciplinary program director, the secondary department, or the Associate Dean for Extension and Outreach. The recommendation will be reached on a majority basis through secret ballot. A tie vote means that the Committee is making no recommendation. The Committee chair will record the vote tally.
- Provide to the Chair a written evaluation and recommendation, including all committee vote tallies. When appropriate the evaluation should summarize the primary points made by external evaluators. The evaluation should not be a statement of advocacy but should address both the strengths and weaknesses in the candidate's record of performance. The evaluation should include:

- The candidate's accomplishments in scholarship;
- The candidate's performance in his/her areas of responsibility as specified in the candidate's PRS;
- The candidate's prospects for future contributions to the field and department;
- The candidate's role and contributions to Department and College missions; and
- The Promotion and Tenure Committee's recommendation.

12. Post-Tenure Review

12.1 Overview

Post-tenure review is meant to address the quality of the faculty member's performance in accordance with all PRSs in effect during the period under review. Post-tenure review does not change the university's commitment to academic freedom, nor the circumstances under which tenured faculty can be dismissed from the university. Grounds for dismissal for adequate cause remain limited to those listed in Faculty Handbook Section 7.

12.2 Cases for Post-Tenure Review

Post-tenure review of each tenured Department faculty member on full-time or part-time appointment will occur under the following guidelines:

- At least every seven years.
- At the faculty members request (but at least 5 years after the most recent promotion and tenure, or post-tenure review).
- During the year following two consecutive unsatisfactory annual reviews.

The following faculty members are exempt from their scheduled post-tenure review:

- The faculty member is within one year of announced retirement;
- The faculty member is in phased retirement;
- The faculty member is being reviewed for promotion to a higher rank in the same year; or
- The faculty member is serving as President, Senior Vice President and Provost, Dean, or Chair.

12.3 Timeline

The timeline contained Appendix C shall be followed when conducting post-tenure reviews. The timeline is intended to be consistent with those established by the University and the College.

12.4 Documentation Required

The post tenure review portfolio documents the faculty member's activities related to the goals of the department, college, and university; and the contributions to his or her professional development. The portfolio shall contain the following three sections:

1. Three most recent annual reviews of the faculty member.
2. Portfolio statement.
3. Supporting documentation.

12.4.1 Annual Reviews

The documentation shall include the written evaluations prepared by the Chair for the faculty member's three most recent annual reviews.

12.4.2 Portfolio Statement

The portfolio statement shall not exceed 25 pages. It should be a written self-appraisal of the faculty member's performance in the following areas:

- Teaching and advising - This includes, but is not limited to, a statement of the faculty member's teaching philosophy, critical self-evaluation of teaching, reflection on the meaning of student course/instructor evaluations, reflections on undergraduate/graduate student academic advancement and effectiveness in advising.
- Research/creative activities - This includes, but is not limited to, a descriptive interpretation of the significance and value of the faculty member's research and a reflection on the connection between research and teaching.
- Extension/outreach/professional practice - This includes, but is not limited to, a descriptive interpretation of the significance and value of the faculty member's Extension/outreach/professional practice, and a reflection on the connection between practice and teaching (if the faculty member has teaching responsibilities).
- Institutional service - This includes, but is not limited to, a descriptive interpretation of the significance and value of the faculty member's service to the university, the college, and the department.

The portfolio statement should also include a projected vision of, and plans for, future activities over the next seven years. This insight gives the committee 'context' and 'big picture' background against which to measure performance. This may be expressed as a shift in career goals or new directions in teaching, research, and/or Extension/outreach/professional practice.

12.4.3 Supporting Documentation

Supporting Documentation shall include, but is not limited to, the following:

- Position Responsibility Statement(s).
- Current complete curriculum vitae.
- Numerical table of course evaluations for the period under consideration. The faculty member's performance should be compared to both the department and college averages. Written student comments are to be included.
- A table summarizing student advising activity.

- A table summarizing graduate student mentorship as major professor or Program of Study committee member.
- In the case of a faculty member with an extension appointment, summary results of any extension program evaluations, or documentation of program impacts.

12.5 Faculty Member Responsibilities

The Faculty member will be responsible for the following actions regarding post-tenure review:

- Prepare Required Documentation - The faculty member shall prepare the Portfolio Statement and Supporting Documentation as outlined above, and submit this documentation to the Chair, who will forward it to the Promotion and Tenure Committee.
- Written Response to Report (if Desired) - After the Promotion and Tenure Committee provides a copy of its written report to the faculty member and Chair, the faculty member may prepare a written response to the report that details any disagreements the faculty member has with the findings or evaluation of the Promotion and Tenure Committee. This written response must be provided to the Promotion and Tenure Committee and the Department Chair prior to, or during the faculty member's meeting with the Promotion and Tenure Committee and the Department Chair discussed in the following subsection.
- Meeting with Promotion and Tenure Committee and Department Chair - No earlier than ten days after the Promotion and Tenure Committee provides a copy of its written report to the Chair and faculty member, the faculty member will participate in a face-to-face meeting with the Promotion and Tenure Committee and the Department Chair to discuss the findings and recommendations of the report, and any written response to the report submitted by the faculty member.
- Meeting with Chair - No earlier than ten days after the meeting among the Promotion and Tenure Committee, faculty member, and Department Chair, the faculty member will meet with the Chair to discuss the report and its recommendations. At this meeting the following items will be discussed:
 - Any amendments made to the written report by the Promotion and Tenure Committee resulting from the meeting of all the parties.
 - Consideration of potential changes in the Position Responsibility Statement.
 - A plan for developing a detailed action plan if required as a result of the review.

12.6 Promotion and Tenure Committee Responsibilities

The Promotion and Tenure Committee acts as the peer-reviewing committee for post tenure reviews. The faculty member being reviewed shall not participate in the review of his/her own case. If the chair of the Promotion and Tenure Committee is the subject of the post tenure review the committee shall elect another member to serve as chair. The Promotion and Tenure Committee shall be responsible for the following documentation and actions post-tenure review process:

- Conduct Review and Prepare Written Evaluation - The Promotion and Tenure Committee

shall review all submitted documentation and prepare a written report addressing the quality of the faculty member's performance in accordance with all PRSs in effect during the period of the review. The report shall rate the faculty member's overall performance, and performance in each of the areas of (1) teaching, (2) research/creative activities, (3) extension/professional practice, and (4) institutional service in a manner consistent with the most recent provisions of Faculty Handbook Section 5.3.4.2. If applicable, the report should also discuss the effectiveness of part-time appointments. The report shall acknowledge the contributions of the faculty member, and make suggestions for his/her future development. The Promotion and Tenure Committee will provide a copy of the report to the Chair and the faculty member.

- Meeting with Faculty Member and Chair - No earlier than ten days after The Promotion and Tenure Committee provides a copy of its written report to the Chair and faculty member, the Promotion and Tenure Committee will hold a face-to-face meeting with the faculty member and the Chair to discuss the findings and recommendations of the report, and any written response to the report submitted by the faculty member. Based upon this meeting, the Promotion and Tenure Committee may choose to amend its report, but must do so within seven days of the meeting.

12.7Chair Responsibilities

The Chair will take the following actions regarding post-tenure review:

- Submit Annual Reviews - As part of the documentation required for Promotion and Tenure Committee review, the Chair shall provide to the Promotion and Tenure Committee and the faculty member the written evaluations prepared by the Chair for the faculty member's three most recent annual reviews.
- Meeting with Promotion and Tenure Committee and Faculty Member - The Chair will participate in a face-to-face meeting with the faculty member and the Promotion and Tenure Committee to discuss the findings and recommendations of the Promotion and Tenure Committee's report, and any written response to the report written by the faculty member.
- Meeting with Faculty Member - No earlier than ten days after the meeting among the Promotion and Tenure Committee, faculty member, and Department Chair, the Chair will meet with the faculty member to discuss the report and its recommendations with the reviewed faculty member. At this meeting the following items will be discussed:
 - Any amendments made to the written report by the Promotion and Tenure Committee resulting from the meeting of all the parties.
 - Consideration of potential changes in the Position Responsibility Statement.
 - A plan for developing a detailed action plan if required as a result of the review.
- Detailed Action Plan - For those faculty who received any "below expectations" recommendations, the Chair will work with the reviewed faculty member and the

Promotion and Tenure Review Committee Chair to develop an action plan for improving performance.

- Communication with Dean - The Chair will provide a cover letter to the Dean indicating agreement with the outcome of the report, or a detailed explanation if there is disagreement with the report findings. In cases of disagreement, the detailed explanation must also be provided to the Promotion and Tenure Committee and to the faculty member. Along with the cover letter, the Chair will forward to the Dean all post-tenure review materials, including the faculty member's documentation, the Promotion and Tenure Committee's report, any written response from the faculty member, and any action plans developed.
- Ongoing Implementation - If an action plan has been developed for the faculty member, it is the responsibility of the Chair and the faculty member to ensure implementation of the action plan. It is the Chair's responsibility to assess the faculty member's performance in accomplishing the action plan.

12.8 Action Plans

Any action plans required to be prepared under the preceding subsections must include, at a minimum (1) the justification for the plan, (2) a specific timetable for evaluation of acceptable progress on the plan, and (3) a description of possible consequences for not meeting expectations by the time of that evaluation. The action plan will be developed by the faculty member, the chair of the Promotion and Tenure Committee, and the Department Chair, and signed by all three parties. If agreement on the proposed action plan cannot be reached, the action plan will be negotiated following the procedures outlined for PRS mediation in Faculty Handbook Section 5.1.1.5.1. In the case of an overall "below expectations" rating, failure to have the detailed action plan in place prior to the next academic year's annual performance review may result in a charge of unacceptable performance as defined in Faculty Handbook Section 7.2.2.5.1.

12.9 Grievances

After meeting with the Chair, the faculty member may respond to the final written report of the Promotion and Tenure Committee by following the faculty grievance procedures outlined in the Faculty Handbook. Filing a grievance does not relieve the faculty member of the responsibility of working with chair of the Promotion and Tenure Committee and the Department Chair to develop any detailed action plans required as a result of the review, unless and until the outcome of the grievance procedure dictates otherwise.

13. Non-Tenure Eligible (NTE) Faculty: Appointment Policies and Procedures

13.1 Description of Non-Tenure Eligible (NTE) Faculty Positions

Non-tenure eligible (NTE) faculty positions are term appointments eligible for renewal based on the quality of performance, the continuing need of the department, and are subject to approval by

the Dean and the Provost. Individuals appointed to these positions will be evaluated for compensation and advancement using established criteria appropriate to their positions. The Chair will conduct annual evaluations of NTE faculty. Evaluations for renewal of appointments of three years or more will be conducted by the Promotion and Tenure Committee and recommended by the Chair. The NTE appointments defined in Faculty Handbook Section 3.3.2.1 as Lecturer, Senior Lecturer and Adjunct faculty are applicable in the Department, and the policies on nonrenewal of term appointments of Lecturers, Senior Lecturers and Adjunct faculty as outlined in Faculty Handbook Sections 3.4.1.1 and 3.4.1.2 will be followed.

13.2 Appointment of Non-tenure-eligible Faculty

The Department subscribes to the required appointment procedures for NTE faculty as set forth in Faculty Handbook Section 3.3.2.2. Appointment and reappointment procedures will depend on whether a person is appointed a one year or multi-year contract, and also whether they are appointed for six credit hours (half-time) or less, or are hired for more than six credit hours (more than half-time).

- Appointments of one year or less, and half-time or less - The Chair is encouraged, but not required to consult with Department faculty on any NTE faculty appointments to a contract of one-year or less, for teaching of six credit hours or less.
- Multi-year appointments, or appointments for more than half-time - When a new NTE faculty appointment is to be made for a multi-year contract, or for a one-year contract for teaching of more than six credit hours, the Promotion and Tenure Committee will review the file(s) of candidate(s) for such an appointment, and make a recommendation to the Chair. After receiving the recommendation, the Chair may act to appoint a recommended candidate contingent any necessary approvals of the Dean and Vice President and Provost.

14. NTE Faculty: Policies and Procedures for Annual Reviews and Reappointment

14.1 Review Criteria Generally

14.1.1 Position Responsibility Statement (PRS) for NTE faculty

9.2.1 Overview

An NTE faculty member's PRS should include the significant responsibilities of the faculty member in all of the following areas: (1) teaching, (2) research/creative activities, (3) extension/professional practice, and (4) institutional service, that are important in evaluating faculty accomplishments in the promotion and tenure process for tenure-eligible/tenured faculty, or for advancement for non-tenure-eligible faculty. The responsibilities identified in the PRS

should not be inconsistent with the Department's stated criteria for promotion and tenure. The PRS shall not violate the faculty member's academic freedom in teaching, in the selection of topics or methods of research, or in extension/professional practice.

The PRS will be subject to regular review by the NTE faculty member and the Chair, and allow for flexibility in responsibilities over time and for the changing nature of faculty appointments. The statement should allow both the faculty member and his/her administrative and peer evaluators to understand the basis of the academic appointment

14.1.1 Teaching

Teaching in the department normally involves regular on-campus, classroom instruction and/or professional studio. In some cases, NTE faculty may be involved in other activities associated with the teaching function, including serving on master's committees, advising undergraduate students on their projects or research, and developing new forms of pedagogy. In evaluating teaching, the Department is concerned with attitudes toward teaching and students, knowledge of the field of interest, effectiveness in presentation of course material, coherence of course organization, validity of grading and evaluation procedures, and overall contributions to the educational mission of the Department. Evidence for these indicators will come from the candidate's teaching statement, student evaluations, course syllabi, peer classroom visits, and contributions to Department curricular activities.

14.1.2 Institutional Service

Institutional service refers to those activities expected of all faculty members in participating in departmental governance, serving on departmental, college, and university committees, and carrying out administrative duties. The Chair will specify the level of institutional service desired of NTE faculty at the time of appointment.

14.2 Annual Review

The Chair will conduct an annual review of every NTE faculty member with a multi-year appointment, unless the NTE faculty member is in the final year of her contract and is being considered for reappointment. The Chair will inform the NTE faculty member of the time frame and schedule for annual faculty evaluation and will ask the NTE faculty member to provide a written report following a format prescribed by the Chair. Upon receipt of the report, the Chair and NTE faculty member will conduct a face-to-face meeting to discuss the NTE faculty member's performance and development. Based on the report and the face-to-face meeting, the Chair will prepare a written evaluation to be provided to the NTE faculty member.

14.3 Reappointment and Advancement Procedures

14.3.1 Overview and Timelines

The Department will conduct an extensive review of each NTE faculty member during the

penultimate year of her contract when there is the possibility of reappointment, or of advancement in rank from Lecturer to Senior Lecturer. The timelines contained in Appendix A shall be followed when conducting these reviews. These timelines are intended to be consistent with those established by the University and the College.

14.3.2 Review Committee Members

For the purposes of conducting reviews for reappointment and advancement of NTE faculty members, the Review Committee shall consist of the Department Promotion and Tenure Committee and all Department NTE faculty holding the rank of Senior Lecturer or Adjunct, except that the candidate for reappointment or advancement shall not participate in any way in the review of the candidate's own case.

14.3.3 Conflicts of Interest

Conflicts of interest include conflicts arising out of personal relationships, family relationships, and those arising from activities outside of work. Conflict of interest issues are addressed in Faculty Handbook Section 7.2.2.1. The Chair or any member of the Review Committee with a conflict of interest with respect to a candidate shall not participate in reviewing that candidate or be given access to the candidate's review materials.

14.3.4 Confidentiality

The deliberations of the Review Committee shall remain confidential. Discussions between any Review Committee member and any faculty member who is not a member of the Review Committee pertaining to any reappointment or advancement review are strictly prohibited.

14.3.5 Candidate Responsibilities

The candidate has the primary responsibility for preparing the following review materials in consultation with the Chair. Other faculty members may also informally advise the candidate on the preparation of the materials.

- Vita: The vita is a listing of information about the candidate, including the candidate's activities and accomplishments in the areas of his/her responsibilities (teaching, institutional service, others as appropriate).
- Portfolio: The portfolio should include
 - A statement that outlines the teaching philosophy guiding his/her work and explains how that philosophy is evident in the courses taught and other teaching activities at ISU
 - A list of courses taught in the department, along with course syllabi
 - Evaluations and other assessments of teaching effectiveness
 - A statement of how the candidate has contributed to the university, college, department or other institutional units through institutional service

- In addition, the candidate is encouraged to include other materials that would produce a full and fair evaluation of his or her performance, including but not limited to research or scholarship activities, or contributions to the planning profession.
- The candidate may be asked by the Chair or the Review Committee to add relevant materials to the review materials.

14.3.6 Chair Responsibilities

The Chair shall be responsible for the following documentation and actions in the review process:

- Conduct a preliminary face-to-face meeting with the candidate to review the documentation expected from the candidate, the evaluative criteria for reappointment and/or advancement, and the timeline for review;
- Prepare a written evaluation and decision. The evaluation should summarize the primary points made by the Review Committee and the Chair's own findings with regard to the evaluative criteria for reappointment and/or rank advancement, address both the strengths and weaknesses in the candidate's record of performance, and the Chair's decision on reappointment and/or rank advancement, as appropriate.
- Provide the Chair's written evaluation and decision to the candidate, and conduct a face-to-face meeting with the candidate to review the decision. If the decision is not to reappoint, the candidate will be notified of such at least one calendar year prior to the end date of the current appointment.
- Provide the Chair's written evaluation and decision to the Review Committee.

14.3.7 Review Committee Responsibilities

The Review Committee shall be responsible for the following documentation and actions in the review process:

- Using the evaluative criteria for reappointment and/or advancement review, evaluate the candidate and make a recommendation to the Chair. The evaluation and recommendation shall be based on the information presented in the candidate's documentation. The recommendation will be reached on a majority basis through secret ballot. A tie vote means that the Committee is making no recommendation. The Committee chair will record the vote tally.
- Provide to the Chair a written evaluation and recommendation, including the vote tally. The evaluation should not be a statement of advocacy but should address both the strengths and weaknesses in the candidate's record of performance. The evaluation should include:
 - The candidate's accomplishments in teaching, institutional service, and other identified areas of responsibilities;
 - The candidate's prospects for future contributions to the Department; and

- The Review Committee's recommendation.

15. Procedures for Amending the Governance Document

Proposed amendments to the Department governance document may be requested by the Dean, the Chair, or by three members of the voting faculty. Proposed amendments are submitted to the Chair for inclusion on the agenda of the next faculty meeting, where the proposed amendment will be presented to the faculty and discussed. The vote on the proposed amendment will take place at the following faculty meeting. Approval of an amendment to the governance document requires approval by a majority of the voting faculty.

Appendix A: Community & Regional Planning Deadlines for Reviews

Third Year Review	Date
Notifying Candidate	Sept. 1
Meeting with Dept. P&T Committee Chair	Nov. 1
Review Materials Submitted	Feb. 1
Department Review Begins	Feb. 15
Department Review Completed	March 30
Department Chair Review Begins	April 1
Department Chair Review Completed	April 20
Review Meeting with Candidate	
Completed	April 25
Submit Review Outcomes to Dean	April 30
Summary Forwarded to SVPP	May 1
Final Notification	May 15
Promotion and Tenure	
Notifying Candidate	Sept. 1
Meeting with Dept. P&T Committee Chair	Nov. 1
External Reviewer List Generated	April 1
Review Materials Submitted	June 1
Review Materials Sent to External	
Reviewers	June 15
Department Review Begins	Sept. 1
Department Review Completed	Sept. 30
Department Chair Review Begins	Oct. 1
Department Chair Review Completed	Oct. 15
College P&T Committee Review Begins	Oct. 30
Dean's Review Begins	Dec. 15
SVPP Review Begins	Jan. 15
Board of Regents Approval	End of April
Final Notification	May 15
Post Tenure Review	
Notifying Candidate	May 1
Review Materials Submitted	Nov. 15
Department Review Begins	Dec. 1
Department Chair Review Begins	Feb. 1
Submit Review Outcomes to Dean	March 1
Summary Forwarded to SVPP	April 1

Non-Tenure Eligible Advancement Reviews	
Notifying Candidate	May 1
Review Materials Submitted	Dec. 1
Department Review Begins	Jan. 1
Department Chair Review Begins	Feb. 1
College P&T Review Begins	Feb. 15
Submit Review Outcomes to Dean	March 1
Summary Forwarded to SVPP	March 15