

**Procedures for Tenure and Promotion Decision Making  
at the Roy J. and Lucille A. Carver  
College of Medicine at The University of Iowa**

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## General Principles

The Procedures for Tenure and Promotion Decision-Making establish a uniform system of procedures to be used in all academic units of the University. Each college of the University will also establish its own written policy governing its tenure and promotion decision-making, to guide academic units where circumstances require or permit flexibility or variation. (For a list of items in these procedures that specifically require that collegiate policies be followed, see Appendix A.) The Provost must approve all collegiate policies.

These are procedures only. For University policies regarding *criteria* for tenure and promotion, refer to section III-10.4 of the Operations Manual. The substantive standards contained therein must be satisfied and are not affected by these procedures.

These Procedures rely upon several principles: (1) Decisions granting or denying tenure or promotion should be based on a written record of achievement. (2) The content of the record that will be relied upon should be known by the candidate and the decision-makers, except as otherwise provided for in these procedures. (3) Except for variation related to the nature of the candidate's academic activity, the content of the record should be the same for all candidates in the same academic unit. (4) The governing procedures should be the same for all candidates across the University, except where conditions or academic cultures justify variation among colleges or among departments within a college. (5) University and collegiate procedures should be applied consistently to all candidates. (6) Each faculty member participating in the promotion and tenure decision-making process may do so at only one level of the process: departmental, collegiate, or provostial. Faculty with collegiate or provostial administrative appointments of 50% or greater shall participate in their administrative office, except in rare and special circumstances at the discretion of the Provost.

## Definitions

The term "promotion" refers to both promotion and tenure, except where these Procedural clearly distinguish between them.

The term "scholarship" refers to creative work as well as traditional research and publication.

A "candidate" is any faculty member for whom it is the year of required tenure review or any faculty member who has indicated his or her interest in being reviewed for tenure and/or promotion in accordance with the Procedures described in the box below.

Candidates for whom it is not the year of required tenure review and who request consideration for promotion will notify the DEO in writing of their intention to submit
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materials for consideration no later than September 1, unless the department has a written policy that requires notification by an earlier date.

The “dossier” is the set of primary materials assembled by the candidate as described in section I.B.(3). The dossier contains appendices all or part of which may be transmitted with the dossier to successive participants in the process as described in section I.B.(4).

The “Promotion Record” is the dossier plus all of the materials that are added to it and transmitted to successive participants in the evaluation process.

The “Departmental Consulting Group” (DCG) consists of all tenured members of the candidate’s department at higher academic ranks (and, for tenure decisions, tenured faculty members of the same rank), excluding the collegiate Dean and Provost, faculty with collegiate or provostial administrative appointments of 50% or greater, and any faculty member with a disqualifying conflict of interest. If there are fewer than four faculty members in a department who are qualified to serve on the DCG, qualified University of Iowa faculty members from outside the department to serve on the DCG must be identified in accordance with the college’s written Procedures governing promotion decision making, for a minimum of four faculty members in total.

**In the Carver College of Medicine, if there are fewer than four faculty members in a department who are qualified to serve on the Departmental Consulting Group additional members will be chosen using the following procedure:**

**The faculty candidate will be asked to provide a list of up to three faculty members of appropriate rank who are familiar with his or her area of study. The DEO, in consultation with the Departmental Consulting Group, shall identify additional choices, and from among this combined list, select the needed number of outside faculty in order to make the size of the Departmental Consulting Group equal to the minimum number of four that are required. At least one of those chosen must be from the list submitted by the faculty candidate.**

The “CCG” (CCG) consists of faculty selected according to each college’s written Procedures governing promotion decision-making.

**In the Carver College of Medicine, the Collegiate Consulting Group will consist of the elected Executive Committee, as specified in the College of Medicine Manual of Procedure. In accordance with the College’s Manual of Procedure, this Group will be comprised of faculty members from both the tenure and clinical track, and will potentially have members from all ranks. Procedures regarding CCG voting follow section II.B.(5)(c).**

The term "DEO" throughout these Procedures refers to the person or entity who has been expressly designated by the college (see the box below) in the college's written Procedures governing promotion decision-making) to perform one or more of the functions assigned by these Procedures to the DEO.

**In the Carver College of Medicine, the DEO function is assumed by the Department Head, or, in the case of "departmentalized programs" in the College, by the Program Director. NOTE: The CCOM has two such programs approved by the Board of Regents to make tenure and promotion decisions: Physician Assistant and Physical Therapy and Rehabilitation Science. Occasionally the DEO will be unable to perform the assigned functions, for example, if the DEO is being reviewed for promotion, the DEO is not of appropriate rank, or a conflict of interest exists with a faculty member being reviewed. In these cases, the Dean will appoint an appropriately senior faculty member from the College to perform the duties in the affected cases; this person may be an Associate Dean as long as he or she is not otherwise involved in the promotion review at the Collegiate level.**

The criterion vote in the Carver College of Medicine will be a simple majority. That simple majority defines a positive recommendation for promotion by committees at all levels, i.e., DCG and CCG.

Basis for evaluation: The Promotion Record.

The qualifications of a candidate for promotion will be determined on the basis of the Promotion Record, which, when it reaches the Office of the Provost, will consist of the following material, in this order:

- (i) the "Recommendation for Faculty Promotion" cover sheet (see Appendix B);
- (ii) the collegiate Dean's letter making a recommendation to the Provost;
- (iii) the recommendation and vote (and report, if any) of the Collegiate Consulting Group;

<b>In the Carver College of Medicine, the Collegiate Consulting Group does <i>not</i> provide a report, except as required by these Procedures.</b>
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- (iv) the DEO's letter making a recommendation to the Dean;
- (v) the recommendation, vote, and report of the Departmental Consulting Group;
- (vi) the candidate's letter correcting errors in the internal peer evaluations of the candidate's teaching, scholarship, and service; the candidate's letter following receipt of the recommendation of the DEO and the recommendation, recorded vote and summary report of the Departmental Consulting Group; and the candidate's letter following receipt of the recommendation of the Dean and the recorded vote (and summary report, if any) of the Collegiate Consulting Group, if the candidate has submitted any such letters;
- (vii) the candidate's educational and professional history
- (viii) a section on the candidate's teaching, including
  - (a) the candidate's personal statement on teaching,
  - (b) documentation of peer evaluation of the candidate's teaching, and
  - (c) other materials related to the candidate's teaching [ref. I.B.(3).(c)];
- (ix) a section on the candidate's scholarship, including
  - (a) the candidate's personal statement on scholarship,
  - (b) documentation of external peer evaluation of the candidate's

scholarship,

(c) documentation of internal peer evaluation of the candidate's scholarship, and

(d) other materials related to the candidate's scholarship [ref. I.B.(3).(d)];

(x) a section on the candidate's service, including

(a) the candidate's personal statement on service,

(b) documentation of peer evaluation of the candidate's service, and

(c) other materials related to the candidate's service [ref. I.B.(3).(e)];

**In the Carver College of Medicine the sections on the candidate's teaching, scholarship and service are contained in the COM CV, which should be included and need not be divided into individual sections. All additional information (i.e., personal statements) should be added to the dossier in the above order (vii through x) following the CV.**

(xi) supplementary material to be added to the Promotion Record as expressly provided in these procedures or collegiate procedures, entered in the appropriate section of the Record. Materials added to the original dossier or materials in the original dossier that are amended, should be labeled as such, including the date when added or amended and with amendments clearly marked.

**The Carver College of Medicine does not require additional supplementary material. Additions or changes to the CV should be submitted in a letter format, clearly identifying the corrections and clearly indicating the date the letter is inserted into the dossier.**

### **Other Considerations**

Although Annual Reviews of Probationary Faculty are not ordinarily a part of the Promotion Record, they shall be added by the DGC, DEO, CCG or Dean if they are used to support a recommendation for or against promotion.

**The Carver College of Medicine does not consider the Annual Reviews of Probationary Faculty to be a part of the Promotion Record, and faculty members writing the report will not refer to material in Annual Reviews.**

A candidate has the right to withdraw his or her dossier from further consideration at any point before the Provost has made his/her final decision regarding tenure and/or

promotion. In the case of a mandatory tenure review, withdrawal of the dossier must be accompanied by a letter of resignation effective no later than one year past the end of the current appointment. If a candidate withdraws his or her dossier from further consideration, the original dossier, including appendices and any supplemental materials added by the candidate, shall be returned to the candidate. All other materials in the Promotion Record at the time of withdrawal shall be returned to the candidate's department, which shall retain them following the normal departmental or collegiate schedule for retention of promotion and tenure materials. The candidate shall not have access to these materials.

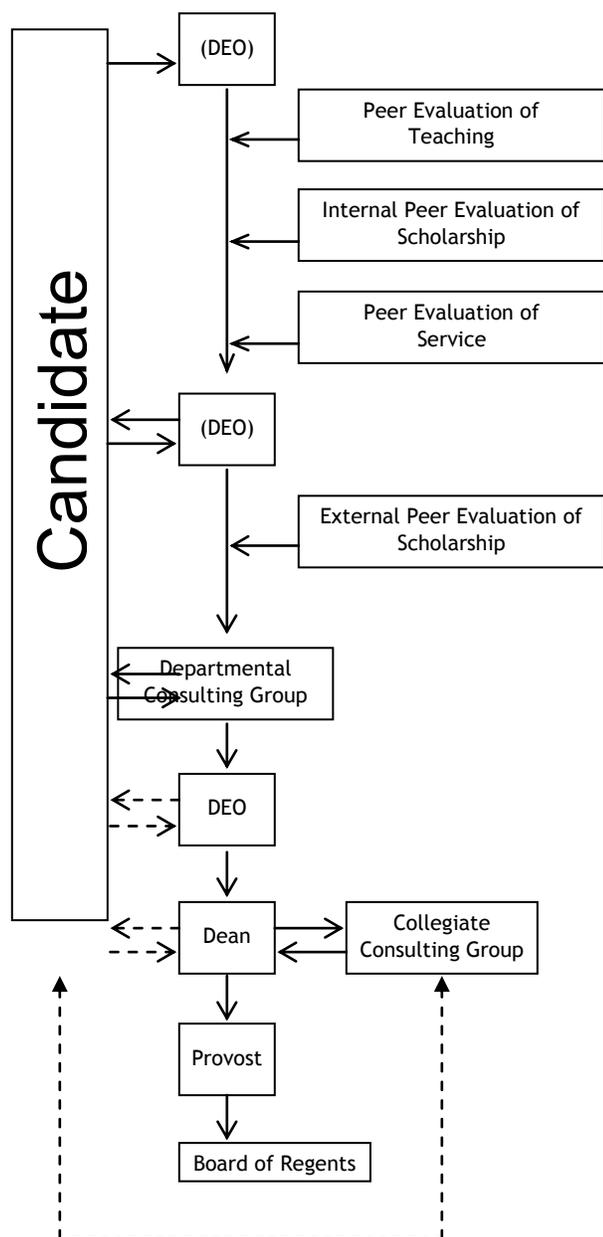
In the Carver College of Medicine, all requests for withdrawal from the collegiate process for consideration for promotion must be submitted in writing.
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A college, or department with the concurrence of its college, may apply in individual cases to the Provost for an exemption from any of these Procedures for a legitimate and valid reason. The college or department has the burden of convincing the Provost that the exemption adds value, fairness and weight to the evaluation.

In the case of a joint-appointment candidacy for promotion, the departments/colleges involved will follow the Procedures described in Appendix E of this document.

**These Procedures apply to tenure-track faculty only.**

## Overview of Tenure and Promotion Decision-making Procedure



### Sequential Development of Promotion Record through Decision-Makers:

1. Candidate and DEO compile dossier
2. Peer evaluation of teaching
3. Internal peer evaluation of scholarship
4. Peer evaluation of service
5. Candidate's opportunity to respond
6. External peer evaluation of scholarship
7. Departmental Consulting Group's vote and report
8. Candidate's opportunity to respond
9. DEO's letter to Dean
10. Candidate's opportunity to respond, if DEO's recommendation is negative
11. Collegiate Consulting Group's vote and summary report, if any\*
12. Candidate's opportunity to respond\*
13. Dean's letter to Provost
14. Candidate's opportunity to respond, if Dean's recommendation is negative
15. Provost's recommendation to the Board of Regents

\*If recommendation is negative and contrary to DEO or DCG recommendation

## **Promotion Decision-making Procedure**

### I. Department level procedure

A. It is the DEO's responsibility to inform the candidate in writing in the year of appointment to a tenure-track position, in the year of any contract renewal, and at the beginning of the academic year in which the promotion decision will be made of the material that will be required to be included in the promotion dossier, and of the candidate's responsibility to compile and submit the dossier by the specified date in the academic year of the promotion decision.

### B. The Dossier

(1) It is the candidate's responsibility, with the advice of the DEO, to compile and submit substantive material for inclusion in the promotion dossier (the core of the Promotion Record) on or before the date specified in the college's written policy governing promotion decision-making. In the absence of such a specified date in the college's written policy, the specified date will be September 1 of the academic year in which the promotion decision is to be made.

**In the Carver College of Medicine, the dossier will be submitted to the department on or before September 15, unless the Department has a written policy that requires submission by an earlier date.**

(2) It is the responsibility of the DEO to advise the candidate in compiling material for the dossier, to complete the compilation of the dossier (and subsequently to complete compilation of the Promotion Record by adding materials to it throughout the departmental decision-making process), and to ensure to the greatest extent possible that the Promotion Record serves as a fair and accurate evaluation of the candidate's strengths and weaknesses, and is not purely a record of advocacy for the candidate. The responsibility to advise the candidate in compiling the dossier material is not limited to the immediate period of the tenure and promotion review, but rather is an ongoing responsibility that begins when the faculty member is appointed to the department.

(3) The dossier will contain the following, in the order listed unless otherwise noted:

(a) the "Recommendation for Faculty Promotion" cover sheet, with the section that is to be filled out by the candidate completed (see Appendix B);

(b) a record of the candidate's educational and professional history (CV),

including at least the following sections, preferably in the order listed:

- (i) a list of institutions of higher education attended, Preferably from most to least recent, indicating for each one the name of the institution, dates attended, field of study, degree obtained, and date the degree was awarded;
  - (ii) a list of professional and academic positions held, preferably from most to least recent, indicating for each one the title of the position, the dates of service, and the location or institution at which the position was held; and
  - (iii) a list of honors, awards, recognitions, and outstanding achievements, preferably from most to least recent.
- (c) a record of the candidate's teaching at The University of Iowa, including:
- (i) the candidate's personal statement on teaching (consisting of a summary and explanation--normally not to exceed three pages---of the candidate's accomplishments and future plans concerning teaching, and comments on these accomplishments and plans and on other items included in the dossier related to teaching);
  - (ii) a list of the candidate's teaching assignments on a semester-by-semester basis, preferably from most to least recent;
  - (iii) a list of graduate students supervised, including each student's name, degree objective, and first post-graduate position;
  - (iv) A list of residents for whom the faculty member has provided substantial and prolonged supervision throughout all or most of their training program, including each student's name and first post-residency position
  - (v) a list of other contributions to instructional programs;
  - (vi) copies of course materials, including syllabi, instructional Web pages, computer laboratory materials, etc.;
  - (vii) and, as an appendix to the dossier, copies of teaching evaluations by students for each course taught (the candidate will include all student teaching evaluations in her or his custody for each course taught);

**In the Carver College of Medicine, “student” is defined as any learner, including, but not limited to: undergraduate, medical and other professional students; medical residents and fellows; graduate students and post doctoral fellows; other faculty, and practicing health care professionals.**

- (d) a record of the candidate's scholarship, including:
- (i) the candidate's personal statement on scholarship (consisting of a summary and explanation--normally not to exceed three pages---of the candidate's accomplishments and future plans concerning scholarship, and comments on these accomplishments and plans and on other items included in the dossier related to scholarship);
  - (ii) a list, preferably from most to least recent, of the candidate's publications or creative works (with, for each multi-authored work or coherent series of multi-authored works, a brief statement of the candidate's contribution to the work or series of works);
  - (iii) a list of all published reviews of scholarship of which the candidate has knowledge;
  - (iv) a list of attained support including grants and contracts received by the candidate;
  - (v) a list of invited lectures and conference presentations ;
  - (vi) a list of pending decisions regarding the candidate’s scholarship that might affect the promotion deliberations, including, for example, grant proposals, book contracts, and other publishing decisions anticipated in the near future;
  - (vii) a list of all inventions and patents;
  - (viii) and, as an appendix to the dossier, copies of the candidate's published work (and work that is in print or has been accepted for publication), indicating where each work has been or will be published;
- (e) a record of the candidate's service to the department, college, university, profession, community and State of Iowa, including:

**In the Carver College of Medicine, the term “service” will include the provision of clinical service for those faculty who provide such service. In the tenure track, however, clinical service alone will not be sufficient to fulfill this criterion for promotion.**

- (i) the candidate's personal statement on service consisting of a summary and explanation--normally not to exceed two pages--of the candidate's accomplishments and future plans concerning service, and comments on these accomplishments and plans and on other items included in the dossier related to service; and
- (ii) a categorized list, preferably from most to least recent, of offices held in professional organizations; editorships of journals or other scholarly publications; service on review panels; service on departmental, collegiate, or university committees; departmental, collegiate, or university service positions; relevant community involvement and service to the State of Iowa, and other contributions;

**If the faculty member engages in the provision of clinical care, a listing, from least to most recent, should be provided of clinical activities in each of the years since the last promotion (Section XIII of the Carver College of Medicine curriculum vitae).**

**In the Carver College of Medicine, Items 3.b.i - iii; 3.c.ii - v; 3.d.ii - vii and 3e.ii are included in the COM CV format. Appropriate items are to be listed chronologically as least to most recent.**

- (f) within the appropriate section(s) of the dossier as listed above, other information relevant to the candidate's record in teaching, scholarship, or service that is deemed to be important in the candidate's judgment or required by the college's written policy governing promotion decision-making.

**In the Carver College of Medicine, no additional information is required.**

- (4) Where the volume of material of a particular kind which is required to be included in the dossier is large and potentially unmanageable, a candidate, in consultation with the DEO, may select and identify representative portions of the required material for special attention. Only the material selected as representative will become part of the Promotion Record and will be transmitted to successive participants in the promotion decision-making process. Required materials segregated from the representative material will be available for review and will be located in a readily accessible location under the DEO's custody. If any participant in the promotion decision-making process relies upon initially segregated material in preparing a written evaluation of the candidate's qualifications, that material should be added to the Promotion Record, the fact of that addition should be noted in the written evaluation, and the candidate should be notified in writing of the addition at the time it is made.

**In the Carver College of Medicine, if a representative selection is made of publications, no fewer than 5 should be selected.**

- (5) The candidate's work in progress that is not completed by the specified date but that is anticipated to be completed in the fall---early enough for full and deliberate evaluation, as determined by the DEO--may be identified at the time the dossier is submitted and added to the dossier if and when it is completed.
  - (6) Other materials that could not have been available (including updated CVs and personal statements) by the specified date but which are completed early enough for full and deliberate evaluation may be added to the promotion dossier by the candidate through the DEO. Materials added to the original dossier or materials in the original dossier that are amended, should be labeled as such, including the date when added or amended and with any amendments clearly marked.
- C. It is the candidate's responsibility to cooperate in obtaining peer evaluations of the candidate's teaching, scholarship, and service as described in the following sections D-F. Each college will specify in its written policy governing promotion decision-making whether these peer evaluations will be carried out by individual members of the department, by one or more faculty committees, or by some combination of these methods, as well as what process the reviewers will follow. [See boxed material below for Procedures in the Carver College of Medicine]. These peer evaluations of the candidate's teaching, scholarship, and service will be contained in one or more reports that analyze the relevant materials in the Promotion Record as detailed in the respective sections that follow, and shall be signed by each peer evaluator. These reports are intended to go beyond a mere *description* of what the candidate has included in the dossier and provide a thorough *evaluation* of the quantity and quality of the teaching, research, and service from a departmental perspective.
- D. It is the candidate's responsibility to cooperate in obtaining internal peer evaluation of the candidate's teaching by participating in the following process.
- (1) The college's written policy governing promotion decision-making must specify a method of peer evaluation of teaching--which must include peer observation of teaching if practicable--and must identify those teaching activities and materials that will be evaluated by peers.

**In the Carver College of Medicine:**

**Methods**

**The DEO will appoint a committee to perform the peer evaluation of teaching from among the DCG. The committee will review all information submitted by the candidate with regard to teaching, teaching evaluations added to the dossier by the DEO, and peer observation reviews. A report will be written and added to the dossier.**

**Activities and materials**

**The range of teaching activities conducted by faculty in the Carver College of Medicine, and hence subject to this evaluation is broad, and includes, but is not limited to: lectures, small group facilitation in the non-clinical setting, clinical teaching in the ward, clinic, or operating room, and graduate student advising. Teaching performed outside the institution (for example, at national meetings, or as part of continuing medical education events) may be included, but these activities may not constitute the sole source of teaching activities for evaluation.**

**Materials to be reviewed include anything placed in the dossier by the candidate, including, but not limited to: course syllabi, lecture handouts, web pages or other electronic teaching materials, chapters from textbooks aimed at a student audience; list of teaching activities on the c.v.**

- (2) With respect to the observation of classroom, laboratory, practicum, or other forms of teaching, the college's written policy governing promotion decision-making will specify the number (or range of numbers) of teaching occasions to observe; the number (or range of numbers) of consecutive semesters in which observations will occur; the number (or range of numbers) of observing faculty members; the method of choosing faculty observers; the method of recording, reporting, and informing the candidate of the observation; and any other protocol concerning the observation process.
- (3) When the evaluation of teaching involves the peer observation of teaching activities, the college's written policy governing promotion decision-making will provide for
  - (a) consistent treatment of candidates;
  - (b) an adequate basis for fair evaluation; and
  - (c) avoidance of an undue burden on either the observed candidate or the observing faculty members or an undue disruption of any observed class or other teaching situation.

In the Carver College of Medicine the minimum criteria for an adequate quantity of peer observation reports will be:

- (a) Observation of at least 3 separate teaching activities since the time of the appointment or last promotion.**
- (b) Reports must be received from a total of at least two different observers; for example, one observer may report on two teaching activities, and a second observer may report on the third; or, two observers may report on the same activity, and one of the two may then report on two additional activities, and so on.**
- (c) At least one observation must be made in the year prior to application for promotion. "The year prior to promotion" is defined as beginning with the spring semester of the academic year prior to the promotion review, and concluding with the fall semester in which the review is begun.**
- (d) The DEO, in consultation with the DCG, will select the faculty members to perform the observations**
- (e) A template review instrument will be provided; departments may modify to meet their own needs as long as the same form is used for each faculty member reviewed in a given year. (Appendix F)**
- (f) The observers' reviews will be submitted to the DEO.**
- (g) The reviews will be shared with the candidate, after the identity of the reviewer has been removed, on an annual basis at the time of the regular review.**

- (4) If expressly authorized by the college's written policy governing promotion decision-making, video observation that is consistent with the substance of this section may be substituted for actual observation of a teaching activity with the candidate's consent.

**In the Carver College of Medicine, video observation may be substituted.**

- (5) The DEO will add to the appropriate appendix of the Promotion Record any student teaching evaluations that may have been solicited by the department as part of its regular promotion review process.
- (6) The peer evaluation of the candidate's teaching will be contained in a report that analyzes the relevant materials in the Promotion Record, and will include:
  - (a) a comparative analysis of the quality of the candidate's teaching in the

- context of the candidate's department or unit
- (b) a summary analysis of the student teaching evaluation data contained in the Promotion Record, including departmental average comparison data where possible
  - (c) a description, where appropriate, of the balance between the candidate's undergraduate and graduate teaching
  - (d) a description and assessment of the candidate's academic advising responsibilities  
and
  - (e) a consideration of any special circumstances concerning the faculty member's teaching performance.
- (7) The faculty members who perform the peer evaluation of the candidate's teaching as described in (6) above will enter their report into the section of the Promotion Record that is dedicated to the history and evaluation of the candidate's teaching.
- E. It is the candidate's responsibility to cooperate in obtaining internal peer evaluation of the candidate's scholarship by participating in the following process:
- (1) Internal peer evaluation
    - (a) An internal peer evaluation of the candidate's scholarship will be carried out within the candidate's department. The internal peer evaluation of the candidate's scholarship will be contained in a report that analyzes the relevant materials in the Promotion Record, excluding the external evaluations of the candidate's scholarship, and will include a statement concerning the norms for publication and/or creative activity in the relevant field, a brief description of the quality of journals or other forums in which the candidate's work has appeared, and a brief description of the norms of authorship and co-authorship in the field.
    - (b) The faculty members who perform the peer evaluation of the candidate's scholarship will enter their report into the section of the Promotion Record that is dedicated to the history and evaluation of the candidate's scholarship.

**In the Carver College of Medicine, the DEO will appoint a faculty committee from among the Departmental Consulting Group to provide a review of the candidate's scholarship. This committee will review the material in the candidate's dossier related to scholarship, and will produce a report that assesses the candidate's scholarship. If the candidate's scholarship is in an area in which there is not at least one faculty member who has the expertise to perform a comprehensive evaluation, at least one additional faculty member from the University of Iowa, but outside the Department may be chosen to join the committee**

(2) External peer evaluation

- (a) Selection of external evaluators of scholarship will begin on or before a date specified in the college's written Procedures governing promotion decision making or, if not specified in the Collegiate Procedures, no later than September 30<sup>th</sup> of the academic year in which the promotion decision will be made.

**In the Carver College of Medicine, the date will be September 30.**

- (b) The college's written Procedures governing promotion decision-making will specify the number of external reviewers (with a recommended range of four to eight) and how it will be determined what sample or portion of the candidate's work each reviewer is to evaluate.

**In the Carver College of Medicine, between 4 and 8 assessments from external reviewers must be received and placed in the promotion dossier. Each reviewer will be provided the candidate's: a) c.v. b) personal statement regarding scholarship; c) five publications from among those submitted in the dossier. These publications are to be selected by the DEO with the advice of the candidate.**

- (c) The DEO will solicit from the candidate a list of appropriate external reviewers from peer institutions (e.g. AAU, CIC or Big Ten, major public, Carnegie Research) or institutions in which the corresponding department or individual evaluator is of peer quality.
- (d) The DEO will add suggestions to the list and give it to those faculty members who have been assigned to complete an internal peer review of the candidate's scholarship as described in subsection "E", above, those faculty will add other potential external reviewers as specified in the college's policy governing promotion and tenure decision-making, and return the completed list to the DEO.

**In the Carver College of Medicine, the process will be as described in E.2.d above.**

- (e) The DEO will share the completed list of potential external reviewers with the candidate. The candidate shall identify any potential external reviewers with whom s/he has worked in any capacity and describe the nature of the relationship. If the candidate feels that any potential external reviewer on the list might be unfairly biased, the candidate may prepare a written objection and give it to the DEO who will take the objection into consideration when selecting external reviewers.

- (f) In identifying potential external reviewers, all participants in the selection process will take into account the standing of the prospective reviewer in the discipline, the likely knowledge of the reviewer of the material to be reviewed, the apparent impartiality of the reviewer, and the contribution of the reviewer to achieving an overall "balanced" review among the reviewers on any criterion for which there might be a range of perspectives. It is critical to avoid any situation in which a personal and/or professional relationship (including advising, mentoring, co-authoring, etc.) between the candidate and a prospective reviewer could undermine the reviewer's apparent impartiality.
- (g) The DEO will determine, in accordance with the college's policy governing promotion decision-making, which of the potential external reviewers will be asked to provide a letter of review.

**In the Carver College of Medicine, the DEO, after the consultation described above, will select the final list to be invited.**

- (h) The DEO or Dean, using a form letter that substantially conforms to the sample letter contained in Appendix C, will ask the reviewers identified in (g) above to provide an assessment of the quality and quantity of the candidates' scholarship.
- (i) After, or in anticipation of, an invitation to an external reviewer to evaluate the candidate's published work, neither the candidate nor any other faculty member other than the Departmental Executive Office or Dean will communicate with the reviewer concerning the subject of the review or the review process.
- (j) The DEO will keep a record of
  - (i) the list of suggested reviewers,
  - (ii) the names of persons invited to review,
  - (iii) the names of actual reviewers,
  - (iv) comments submitted by the candidate, the DEO, and the internal faculty reviewers,
  - (v) correspondence and other communications between the DEO or Dean and invited reviewers and actual reviewers.
- (k) All letters received from external reviewers will be entered by the DEO into the Promotion Record in the section dedicated to the history and evaluation of the candidates scholarship, along with:

- (i) a list of all invited reviewers – indicating whether the reviewer was suggested by the candidate, the DEO, or the internal faculty reviewers – and a brief explanation of why any invited reviewer declined;
- (ii) the candidates written objection to any potential external reviewer on the basis of unfair bias, if a letter was solicited from that reviewer over the candidate’s written objection;
- (iii) a copy of the letter or letters of solicitation to external reviewers;
- (iv) a brief description of each external reviewer’s qualifications;
- (v) a statement of how the reviewer knows the candidate’s work, if it is not obvious from the reviewer’s letter;
- (vi) a statement that identifies and addresses circumstances that might call into question the impartiality of the reviewer; and
- (vii) an explanation of why the choice of a reviewer was made, if the reviewer is not from a peer institution but from an institution where the corresponding department or individual evaluator is of peer quality.

In the Carver College of Medicine, the DEO should include in the recommendation letter to the Dean any information listed above (iv – vii) that is not clear in the letters themselves. Items i – iii should be retained by the Department and not forwarded to the Dean.

F. It is the candidate’s responsibility to cooperate in obtaining internal peer evaluation of the candidate’s service by participating in the following process.

- (1) The peer evaluation of the candidate’s service will be contained in a report that analyzes the relevant materials in the Promotion Record, and will include a comparative analysis of the quality of the candidate’s service in the context of the expected service contributions in the department, college, University, community, the State of Iowa and the profession.

**In the Carver College of Medicine, the DEO will appoint a faculty committee from among the Departmental Consulting Group to provide a review of the candidate’s service. This committee will review the material in the candidates dossier related to service, and will produce a report that assesses the candidate’s service. If the candidate's service is in an area in which there is not at least one faculty member who has the expertise to perform a comprehensive evaluation, at least one additional faculty member from the University of Iowa, but outside the Department may be chosen to join the committee.**

- (2) The faculty members who perform the peer evaluation of the candidate’s service will enter their report into the section of the Promotion Record that is dedicated to the history and evaluation of the candidate’s service.

G. The candidate will be given an opportunity to respond to the internal peer evaluations as follows:

- (1) The DEO will send to the candidate a copy of the internal peer evaluations of the candidate's teaching, scholarship, and service that have been entered into the appropriate sections of the Promotion Record.
- (2) The candidate will be allowed a limited time period, specified in the college's written policy governing promotion decision-making, to submit in writing any corrections to errors in the internal peer evaluations of the candidate's teaching, scholarship, and service before the Departmental Consulting Group makes its recommendation.
- (3) If the candidate submits a letter correcting errors in the internal peer evaluations of the candidate's teaching, scholarship, and service, the DEO will enter it into the Promotion Record.

**In the Carver College of Medicine, the candidate will have 10 working days in which to respond.**

H. The Departmental Consulting Group will participate in the promotion decision-making process as follows:

- (1) Following the principle that each individual participating in the promotions decision-making process may vote for or against the granting of promotion to a candidate only once, Departmental Consulting Group members who are also members of the Collegiate Consulting Group will participate in the promotion decision for a candidate from their department at the departmental level and may not participate in the Collegiate Consulting Group's deliberations or voting in regard to that candidate
- (2) The DEO may attend the meetings of the Departmental Consulting Group, but may not vote, participate in the discussion other than to provide factual information, or contribute to the written report summarizing its discussion.
- (3) The Promotion Record available to the Departmental Consulting Group will consist of the candidate's dossier with appendices (publications and student teaching evaluations, including those student teaching evaluations added to the Promotion Record by the DEO); the external peer evaluation of scholarship and internal peer evaluations of scholarship, teaching, and service, entered into the appropriate sections of the Record; and the candidate's letter correcting errors in the internal peer evaluations, if any.
- (4) The Departmental Consulting Group will meet to discuss the candidate's qualifications, to vote by secret ballot for or against the granting of promotion, and, in accordance with the college's written Procedures on promotion

decision-making, to prepare a summary report of the discussion, document the final vote, and enter that information into the Promotion Record. The summary report will contain a recommendation for or against the granting of promotion based on the written Procedures of either the department or the college, as applicable, stating the criterion vote that defines a positive recommendation for promotion. This report shall not reiterate the details of the internal and external peer reviews or restate other material already in the dossier; rather it shall identify those specific aspects of the dossier that formed the basis of the Departmental Consulting Group recommendation.

**In the Carver College of Medicine, the DCG will select one of its members to prepare a summary report, which will then be reviewed by the entire group. Revisions will be made if needed, and then the report will be placed into the Promotion Record.**

- (5) The results of the Departmental Consulting Group's vote and the summary report of its discussion will be transmitted to the DEO as part of the candidate's Promotion Record and also provided to the candidate, redacted as needed by those who prepared the summary report to protect the confidentiality of any individual contributions, whether from students, external reviewers, or University of Iowa faculty members.
- (6) The candidate will be allowed a limited time period, specified in the college's written procedures governing promotion decision making, to submit in writing to the DEO any corrections of factual errors about the candidate's record in the DCG report of its discussion.
- (7) If the candidate submits a letter correcting errors in the DCG's summary report, the DEO will enter it into the Promotion Record before making a recommendation to the Dean.

**In the Carver College of Medicine, the candidate will have 10 working days in which to respond.**

- I. The DEO will participate in the promotion decision-making process as follows:
  - (1) Based on the Promotion Record, the DEO will recommend that promotion be granted or denied in a separate letter to the collegiate Dean for each candidate.
  - (2) As with the DCG report, the DEO's letter to the Dean should not reiterate the details of material that is already in the dossier. Rather it will explain her or his reasons for recommending for or against promotion, and, when the recommendation of the DCG is not followed, will explain why a contrary recommendation is being made and will address any disagreement between the DEO's evaluation and the evaluation of the DCG as reflected in the

summary of the Departmental Consulting Group's discussion.

- (3) Even if the DEO recommends that the candidate be promoted, the DEO's letter to the Dean will address any negative aspects of the Promotion Record; and, if tenure is to be granted, the DEO will indicate in the letter to the Dean how the candidate has met the criteria for tenure.
  - (4) The DEO's letter will be transmitted to the Dean as part of the candidate's Promotion Record.
- J. The candidate will be given the opportunity to respond to a recommendation against promotion by the DEO as follows:
- (1) At the same time that the Promotion Record is submitted to the Dean, if the DEO's recommendation is negative, the DEO will provide the candidate with a copy of the DEO's letter to the Dean.
  - (2) The candidate then, upon request, will have access to the Promotion Record, with the following provisions:
    - (a) the external reviews of the candidate's scholarship must be redacted as appropriate to protect the confidentiality of the reviewers;
    - (b) any comments in the Promotion Record referring to external reviews of the candidate's scholarship must be redacted to protect the confidentiality of reviewers;
    - and
    - (c) the student evaluations of the candidate's teaching which were added to the Promotion Record by the DEO must be redacted to protect the confidentiality of student evaluators.
  - (3) The candidate, for a limited time period specified in the college's written Procedures governing promotion decision making, has the right to submit to the Dean:
    - (a) a written response to the DEO's negative recommendation
    - and
    - (b) additional information to be included in the Promotion Record.

<p><b>In the Carver College of Medicine, the candidate will have 10 working days to access the Promotion Record.</b></p>
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- (4) If the candidate submits a written response to the Dean for inclusion in the Promotion Record, the candidate also shall give the DEO a copy of the response.

## II. College level procedure

A. (1) If the candidate submits a written response to the DEO's letter to the Dean, the Dean will place the response in the Promotion Record.

B. The Collegiate Consulting Group shall participate in the promotion decision-making process as follows:

(1) Each college with multiple units must include in its written policy governing promotion decision-making a procedure for establishing a faculty Collegiate Consulting Group, as well as procedures for the membership of the Group and how it will function. Members of a Collegiate Consulting Group who have participated in a promotion decision for a particular candidate at the departmental level may not participate in the Collegiate Consulting Group's deliberations or voting in regard to that candidate.

**In the Carver College of Medicine, the Collegiate Consulting Group will consist of the elected Executive Committee, as specified in the Carver College of Medicine Manual of Procedure. In accordance with the College's Manual of Procedure, this Group will be comprised of faculty members from both the tenure and clinical track, and will potentially have members from all ranks.**

(2) The Dean and Associate Deans may attend the meetings of the Collegiate Consulting Group, but may not vote or contribute to the written report summarizing its discussion. The Dean shall determine how the Associate Deans will participate in the tenure and promotion decision-making process at the collegiate level.

(3) The Promotion Record available to the Collegiate Consulting Group will consist of the Promotion Record available to the DEO, the DEO's letter, and the candidate's letter of response (if any) following receipt of the Departmental Consulting Group's recorded vote and summary report and the recommendation of the DEO. Although the appendices to the Promotion Record (consisting of student teaching evaluations and publications) are part of the Promotion Record, the determination of whether and when these appendices are physically moved to the Dean's custody will depend on the college's written policy governing promotion decision-making.

**In the Carver College of Medicine, in addition, each candidate in the tenure track must submit copies of 5 papers that have either been published, or accepted for publication. The complete Appendices to the promotion Record will be maintained in the Departmental Office, but may be requested by the Collegiate Consulting Group or the Dean for review as needed.**

(4) If the Collegiate Consulting Group finds it necessary for clarification or supplementation of the Promotion Record, the Collegiate Consulting Group may submit to the Departmental Consulting Group and/or the DEO a written

request for additional information. The Collegiate Consulting Group will enter any information thus obtained into the Promotion Record.

(5) The Collegiate Consulting Group will, in accordance with the college's written Procedures governing promotion decision-making, meet

(a) to discuss the candidate's qualifications

(b) to vote and make a recommendation for or against the granting of promotion, stating the criterion vote,  
and

(c) to assign one or more of its members

(i) to prepare a summary report of the discussion if its recommendation to the Dean is negative and is contrary to that of the DCG or DEO, or if such a report is required by the college's written Procedures on promotion decision making.

(ii) to document the final vote,  
and

(iii) to enter the information into the Promotion Record

In the Carver College of Medicine, each candidate for promotion shall be assigned to a primary and secondary reviewer from among the Collegiate Consulting Group. These reviewers will be chosen from among those eligible to vote on that candidate. These two reviewers will review the entire dossier that is submitted to the Dean. The remainder of the Collegiate Consulting Group will review the candidate's curriculum vitae, personal statements, the internal peer reviews of teaching, scholarship, and service, the external letters, the report of the Departmental Consulting Group, and the letter from the DEO. The Committee will meet to discuss each candidate, and advise the Dean by a vote. The vote will not be by secret ballot, and the allowable votes shall consist of yes, no, or abstention. Those who abstain will be expected to explain to the group the reason for the abstention. Only those members who are of appropriate rank and track according to University procedures will vote on individual candidates. Specifically: a) only members who are in the tenure track will vote on tenure track recommendations; b) both clinical track and tenure track members may vote on candidates in the clinical track; c) in either track, only those members who hold a higher rank than the candidate may vote. Consulting Group members will absent themselves from any and all discussion or votes regarding candidates from any department in which they themselves are appointed.

- (6) The Collegiate Consulting Group's vote and recommendation, and the summary report of its discussion, if any, will be transmitted to the Dean as part of the candidate's Promotion Record.

**In the Carver College of Medicine, the Collegiate Consulting Group will not keep minutes of the discussion, but the primary reviewer of the promotion dossier will provide a summary report of the discussion for the Chair to approve, record, and forward to the Dean under the provisions in II.B.(5).(c). above.**

- C. The candidate will be given the opportunity to respond to the Collegiate Consulting Group's recommendation under the following conditions:
- (1) If the Collegiate Consulting Group's recommendation is negative and contrary to that of the Departmental Consulting Group or the DEO, the candidate shall be provided with a copy of the CCG's vote and summary report and, upon request, will have access to the Promotion Record, with the following provisions:
- (a) the external reviews of the candidate's scholarship must be redacted as appropriate to protect the confidentiality of reviewers;
  - (b) any comments in the Promotion Record referring to external reviews of the candidate's scholarship must be redacted as appropriate to protect the confidentiality of reviewers;
- and

- (c) the student evaluations of the candidate's teaching which were added to the Promotion Record by the DEO must be redacted to protect the confidentiality of student evaluators.
- (2) The candidate, for a limited time period, specified in the college's written Procedures governing promotion decision-making, has the right to submit a written response to the Collegiate Consulting Group's negative recommendation.

**In the Carver College of Medicine, the candidate will be allowed 10 working days to access the Promotion Record and submit a letter of response.**

D. The Dean shall participate in the promotion decision-making process as follows:

- (1) If the candidate submits a written response to the CCG's negative recommendation, the Dean will place the response in the Promotion Record.
- (2) When any materials which were not available at the time of the departmental action are forwarded by the DEO to the Dean, the Dean, in consultation with the Department Executive Officer, will make a determination whether it is likely that the new material would have substantially altered the departmental evaluation of the candidate's record by the Departmental Consulting Group and/or the DEO. If, in the Dean's judgment, a substantial change in the departmental evaluation is likely, the Dean will return the case to the DEO for reconsideration of the Promotion Record, as appropriate, so that the Dean will be able to act in the light of an accurate indication of departmental judgments.
- (3) Based on the Promotion Record, including the response of the candidate, if any, to the Collegiate Consulting Group's report, the collegiate Dean will recommend that promotion be granted or denied in a separate letter to the Provost for each candidate.
- (4) The Dean's letter to the Provost will explain the Dean's reasons for recommending for or against promotion. As with previous steps in this process, the Dean's letter to the Provost shall not reiterate the details of material that already is in the dossier; rather, it shall identify those aspects of the dossier that formed the basis of the Dean's recommendation.
- (5) When the Dean's recommendation is contrary to the recommendation of the Departmental Consulting Group, the recommendation of the DEO, and/or the recommendation of the Collegiate Consulting Group, the Dean's letter will explain why the contrary recommendation is being made.
- (6) The Dean's letter will be transmitted to the Provost as part of the candidate's Promotion Record.

(7) At the same time that the Dean's letter is submitted to the Provost, the Dean will inform the DEO of the recommendation that has been forwarded to the Provost. The DEO, in turn, will inform the members of the DCG of the Dean's recommendation and also will inform the candidate if the Dean's recommendation is positive.

(8) The Dean will transmit to the Provost one copy of the Promotion Record for each candidate in the college, along with one copy of the college's written policy governing promotion decision-making.

E. The candidate will be given the opportunity to respond to a negative recommendation by the Dean as follows:

(1) At the same time that the Promotion Record is submitted to the Provost, if the Dean's recommendation is against promotion, the Dean will provide the candidate with a copy of the Dean's letter to the Provost

2. The candidate then, upon request, will have access to the Promotion Record, with the following provisions:

(a) the external reviews of the candidate's scholarship must be redacted as appropriate to protect the confidentiality of reviewers;

(b) any comments in the Promotion Record referring to external reviews of the candidate's scholarship must be redacted as appropriate to protect the confidentiality of reviewers; and

(c) the student evaluations of the candidate's teaching which were added to the Promotion Record by the DEO must be redacted to protect the confidentiality of student evaluators.

(3) The candidate, for a limited period of time specified in the college's written Procedures governing promotion decision making, has the right to submit;

(a) a written response to the Dean's recommendation  
and

(b) any additional information to be included in the Promotion Record.

(4) If the candidate submits a letter of response, the Dean will forward it to the Provost for inclusion in the Promotion Record.

In the Carver College of Medicine, the candidate will be allowed 10 working days to access the Promotion Record and submit a letter of response.
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## Appendix A—Points to be Determined by Collegiate Procedures

The following points must be covered by the Collegiate Procedures (as approved by the Provost) to satisfy a requirement of or to provide a variation from a provision of these Procedures:

- General Principles: how qualified faculty members from outside the department will be identified to serve on the DCG, if there are fewer than four faculty members in the department who are qualified to serve on the DCG;
- General Principles: who will perform the functions assigned in these Procedures to the DEO, if they will not be performed by an individual who holds that title;
- General Principles: in nondepartmentalized colleges, what the role of department-like units and their administrative officers, if any, will be;
- General Principles: how and when a candidate for whom it is not the year of required tenure review will notify the department and/or college of his or her interest in being reviewed for tenure and/or promotion;
- I.B.(1) the date substantive material for the promotion dossier will be due from the candidate, if before September 1;
- I.B.(3)(f) any supplementary material to be included in the dossier in addition to the required minimum described in these Procedures;
- I.C. who shall perform the internal peer evaluations of teaching, scholarship, and service;
- I.D.(1) - (4) details about the process of peer observation of teaching;
- I.E.(2)(a) when the process of selection of external reviewers will begin;
- I.E.(2)(b) how many external reviewers will be asked to provide assessments of the candidate's scholarship, and what sample of the candidate's scholarship each will review;
- I.E.(2)(d) the process by which the faculty members assigned to perform internal peer review of the candidate's scholarship will go about adding to the list of proposed external reviewers;
- I.E.(2)(g) the process by which the DEO will go about selecting the final list of external reviewers;
- I.F. (4) The criterion vote that defines a positive recommendation for promotion. Departmentalized Colleges may allow departments to make this determination.
- I.G.(2) the period of time allowed the candidate to review the internal peer evaluations of teaching, scholarship, and service for errors (normally five to ten working days);

- I.H.(4) details of the DCG's voting procedure, and how the DCG determines which of its members will prepare the summary report of its discussion, document the final vote, and enter that information into the Promotion Record;
- I.H.(6) the period of time allowed the candidate to submit in writing to the DEO any corrections of factual errors regarding the candidate's record in the DCG's report (normally five to ten working days);
- I.J.(3) the period of time allowed the candidate to submit a response after receipt of a DEO's negative recommendation to the Dean (normally five to ten working days);
- II.B.(1) how the CCG is formed and performs its functions;
- II.B.(3) whether and when the appendices to the Promotion Record are physically transmitted to the Dean;
- II.B.(5) the procedure according to which the CCG will vote and make a recommendation for or against the granting of promotion (including the criterion vote that defines a positive recommendation for promotion according to the College's written Procedures for tenure and promotion decisions making), whether a summary report of the CCG's discussion is required (when it is not required by these Procedures), and how the CCG will determine which of its members will prepare the summary report of its discussion (if any), document the final vote and recommendation, and enter that information into the Promotion Record;
- II.C.(2) the period of time allowed the candidate to submit a response after receipt of the CCG's negative recommendation to the Dean; and
- II.E.(3) the period of time allowed the candidate to submit a response after receipt of the Dean's negative recommendation to the Provost (normally five to ten working days).

The comments on the Procedures (Appendix D) suggest additional matters that might be covered in Collegiate Procedures.

**Appendix B—Recommendation for Faculty Promotion Cover Sheet (Fill out form online) NOTE: Change SSN to Employee ID No.**

**The University of Iowa  
Recommendation for Faculty Promotion Cover Sheet**

**Distribution**  
Payroll  
Provost's Office  
Dean  
Department

**To be completed by the candidate:**

Name: \_\_\_\_\_ Social Security Number: \_\_\_\_\_

Primary Appointment: \_\_\_\_\_  
College Department

Secondary Appointment: \_\_\_\_\_  
College Department

Date of Initial Appointment (Assistant Professor or above at The University of Iowa): \_\_\_\_\_

Present Rank: \_\_\_\_\_  With Tenure  Without Tenure Date attained: \_\_\_\_\_

**To be completed by the Departmental Executive Officer:**

Proposed Rank: \_\_\_\_\_  With Tenure  Without Tenure Date effective: \_\_\_\_\_

If proposed rank is without tenure, indicate term of appointment.

This is a \_\_\_\_\_ year appointment beginning \_\_\_\_\_ and ending \_\_\_\_\_  
(mo. day yr.) (mo. day yr.)

Vote of Departmental Consulting Group:

Primary Appointment: For promotion: \_\_\_\_\_ Against promotion: \_\_\_\_\_ Abstained: \_\_\_\_\_

Secondary Appointment: For promotion: \_\_\_\_\_ Against promotion: \_\_\_\_\_ Abstained: \_\_\_\_\_

**To be completed by the Dean:**

Is there a summary report from the Collegiate Consulting Group?  Yes  No

Vote of Collegiate Consulting Group:

Primary Appointment: For promotion: \_\_\_\_\_ Against promotion: \_\_\_\_\_ Abstained: \_\_\_\_\_

Secondary Appointment: For promotion: \_\_\_\_\_ Against promotion: \_\_\_\_\_ Abstained: \_\_\_\_\_

**Recommendations:**

Primary Department:

Recommend  Recommend  
 Do not recommend \_\_\_\_\_  Do not recommend \_\_\_\_\_  
Executive Officer Dean

Secondary Department:

Recommend  Recommend  
 Do not recommend \_\_\_\_\_  Do not recommend \_\_\_\_\_  
Executive Officer Dean

Provost:

Recommend  Do not recommend \_\_\_\_\_  
Provost Provost Date \_\_\_\_\_

**Appendix C—Sample Letter from Departmental Executive Officer to External Reviewer**

A DEO's letter to solicit an external evaluation must:

- be neutral in tone;
- indicate the rank for which the candidate is being considered and whether the promotion includes the awarding of tenure;
- explicitly state what portion of the candidate's work the reviewer is being asked to assess;
- request that the reviewer not communicate with the candidate or with faculty other than the DEO;
- state that the reviewer's response will be protected as confidential; and
- request a brief biographical sketch if one has not been obtained through another source.

The following is a sample letter:

Dear \_\_\_\_\_:

As I mentioned to you [on the telephone / by e-mail] on [date], \_\_\_\_\_ will be considered for [tenure and] promotion to [proposed rank] in the Department of \_\_\_\_\_ during this academic year. I am grateful to you for agreeing to serve as an external evaluator.

Enclosed with this letter are Professor \_\_\_\_\_'s curriculum vitae and copies of the publications [or creative works] you have agreed to review: [list works].

Please begin with a statement of how you know the candidate and his or her work. In this context, please address any circumstances that might raise issues of impartiality as they relate to your assessment of the candidate. We would like you to critique the quality of this work and, if possible, to assess its quantity and quality in comparison to the work of others in this discipline at comparable stages in their careers. We would particularly appreciate your evaluation of the contribution that the candidate's work has made to the field, viewing each published [or creative] work separately or in combination as seems appropriate. We would be interested in your judgment of the quality of the journals [or exhibits] and the importance of the conferences through which Professor \_\_\_\_\_ has communicated this work. We also would be interested, of course, in any other insights you might have about Professor \_\_\_\_\_'s scholarly [or artistic] accomplishments.

If you have any questions about Professor \_\_\_\_\_'s materials or experience, please contact me directly. In accordance with our governing procedures, we must ask you not to communicate with either the candidate whose work you are

reviewing or other members of the department or college concerning your evaluation or the review process.

Your letter will be available to the tenured faculty in this department as well as to the Dean, the Collegiate Consulting Group (Promotion Advisory Committee), and the Provost's Office. Beyond that, we will regard your letter as a confidential document. Your evaluation will be made available to the candidate only upon his/her explicit request following a negative recommendation at various stages of the review process, and then only after your name and other identifying information have been removed.

[Only if it is not possible otherwise to obtain a short statement of the reviewer's qualifications, add the following paragraph:] Would you please send me a brief biographical statement when you send your letter? Although our departmental faculty know you and your work well, the Dean and the Collegiate Consulting Group would find your biographical sketch helpful when considering your letter.

Again, thank you for your willingness to help us with this important review process.

[Signature of DEO]

## ***Appendix D—Comments on the Procedures***

I. B. (2). The candidate and the DEO should work together to ensure that a candidate's teaching, scholarship, and service, including those activities of an interdisciplinary or multidisciplinary nature, are accurately portrayed in the promotion dossier.

I.B. (3)(c) It is assumed that all faculty members obtain regular student evaluations of their teaching in accordance with collegiate and University policy and that, under the college's policy, there are adequate provisions for consistent practice to ensure the integrity of the evaluation process and ordinarily to preserve the anonymity of the student evaluators. A college is permitted to include evaluations by students who are identified but whose identity is treated as confidential vis-à-vis the candidate. When such a practice is employed, it is imperative that the college's written policy governing promotion decision making specify its details and that it be applied evenhandedly. The candidate's dossier is not expected to include teaching "evaluations" used for experimental, mentoring, or other non-evaluative purposes.

I.B.(3)(f) The college may want to require additional items in the dossier such as teaching materials; refereed conference papers; invited papers, lectures, or presentations; unfunded grant proposals; etc. The college's written policy governing promotion decision making should specify the items required and apply the requirement evenhandedly to all candidates.

I.B.(6) Examples of "materials that could not have been available by the specified date" include decisions on submitted manuscripts or grant proposals after the specified date, published book reviews of which the candidate had no previous knowledge, teaching evaluations of classes being taught in the fall semester.

I.D. The minimal procedures specified here for evaluation of teaching are not assumed to be adequate for purposes of mentoring and teaching-improvement, and this proposal is not intended to discourage other and different methods for satisfying those purposes.

It should be stressed that "teaching" is described here in traditional terms and that appropriate extrapolations must be made for teaching in fields such as the creative or performance arts.

I.D.(2) This provision in no way privileges or elevates "observation" over such written materials as course syllabi or teaching materials created by the candidate. These written materials will be a part of the candidate's dossier and will be subject to evaluations as part of the total record on the basis of which the candidate is evaluated. Nor should this provision be taken to devalue still other aspects of the teaching process, such as supervising in a clinical setting, supervising dissertation work, advising graduate students, or overseeing the work of teaching assistants; although those teaching activities are not easily reduced to writing nor are they ordinarily subject to observation, these activities are important and nothing in these Procedures prevents a college that is able to evaluate these other teaching activities from doing so as part of the promotion decision-making process. In this connection, as elsewhere, the critical requirement is that a college inform candidates in its written policy governing promotion

decision making that this evaluation will occur and how it will be carried out, as well as that the college apply its policy consistently to all candidates.

I.E.(2)(j) Although the records related to external reviewers that are required to be kept under subsection I.D.(2)(j) do not become a part of the Promotion Record concerning each candidate, they should be available for consideration should a question subsequently arise concerning the denial of a promotion to that candidate or another candidate for promotion in the department.

I.H.(1) The integrity of academic decision-making requires that all participants base their evaluation on a careful study of the relevant materials, and standards of ethical academic behavior require nothing less. The integrity of particular academic decisions also requires that 1) all faculty members honor their duty to participate fully in the assessment of their colleagues, and 2) the evaluation of the candidate's qualifications not be compromised by the participation of anyone having a disqualifying conflict of interest. This requirement entails that any faculty member or administrator who would otherwise participate in the recommendation to grant or deny a promotion should be disqualified if that person has a relationship or interest that would give the appearance of biasing that person either in favor of or against the candidate. Conflicts of interest exist not because actual bias is assumed, but because of the appearance of a lack of sufficient impartiality. Whether a disqualifying conflict of interest does exist often presents the difficult question of degree, and it depends upon a determination by a participant in the process to identify the conflict and to disqualify herself or himself when appropriate. In lieu of disqualification, it can be sufficient that the circumstances giving rise to an apparent conflict of interest be fully disclosed. When disqualification is required, that can be effected by a decision of a member of the DCG not to vote or otherwise to participate in the evaluation process; at a stage of the process involving a single decision maker, such as the DEO or the collegiate Dean, more burdensome arrangements for a substitute decision maker would have to be made. Although treatment of conflicts of interest in the college's written policy governing promotion decision making would be appropriate, these Procedures have not attempted to address the specific situations that might create conflicts of interest nor to provide procedures for avoiding them. (For general procedures on conflict of interest, refer to sections II.18 and III.8 of the University's Operations Manual.)

The integrity of the promotion decision-making process also requires that all documentary material be available only to those entitled to participate in the process and that every participant treat as confidential all information obtained from reading documents in the Promotion Record or from participating in any discussion concerning the qualifications of a candidate for promotion.

I.H.(2) In non-departmentalized colleges, the Dean attends the meeting of the DCG in the same manner as the DEO unless otherwise specified in the college's written Procedures on promotion decision-making and approved by the Provost.

I.I.(4) This is the first point in the decision process at which there is a specific reference to transmitting the Promotion Record. Prior to this stage of the process, it is assumed that the Promotion Record is compiled within the department under the joint

management and custody of the DCG and the DEO. If the location of the Promotion Record would not otherwise be clear, the college's written policy governing promotion decision making should provide some means of informing decision-makers of the location of various materials comprising the Promotion Record from time to time as the decision process moves from the candidate to the DCG to the DEO.

I.H.(5) Because the Promotion Record may be redacted to protect reviewers' confidentiality where appropriate, it will be especially important that the DCG's report and the DEO's letter be written in sufficient detail to enable the candidate to submit a written response should the candidate choose to do so.

## **Appendix E—Review Procedures for Faculty with Joint Appointments**

- A. In the case of a non-0% joint-appointment candidacy for promotion, the departments shall form (a) joint internal review committee(s), roughly proportional in its (their) makeup to the percentage of faculty effort in each department and with at least one committee member from each department. The DEO(s) or the candidate may seek approval of the dean(s) for an alternative structure in exceptional circumstances, including cases of marked discrepancy between percentage effort and percentage salary support across the two units, or in the case of a joint but non-interdisciplinary appointment, such that joint review is inappropriate. When standard review procedures differ between units (e.g., delegation of review of teaching, research and service to separate subcommittees vs. using a single internal review committee for all three areas), a joint decision shall be made establishing procedures that are mutually acceptable to the faculty member and the units in advance of deliberations of the review committee[s]. The joint internal review committee shall report, both in writing and at (a) meeting(s) with at least one internal review committee member from each department present, to each DCG.
- B. The departments involved must determine, together with the affected faculty member, whether the DCGs will meet jointly or separately and, if jointly, whether the DCGs will have joint or separate votes and reports. If separately, (a) if a faculty member holds a 50-50 joint appointment, each DCG will make an independent and primary decision using its college's written policy governing promotion decision making; (b) if a faculty member holds a 1% to 49% joint appointment in a department, the departments involved must determine, together with the affected faculty member, whether each DCG will make an independent decision or whether the DCG in which the faculty member holds the smaller percentage appointment will be limited as described in section C below. These determinations should be made by mutual agreement of the faculty member, both DEOs, and the Dean(s) early in the joint appointment and set forth in a letter of agreement, copied to the Provost.
- C. If a faculty member holds a 1% to 49% appointment in a department, and a determination is made that that department shall not make an independent decision, then that department shall participate in the following manner.
- (1) The DCG shall:
    - (a) receive the candidate's dossier including the letters of the external reviewers;
    - (b) review and discuss the candidate's qualifications;
    - (c) make a recommendation for or against the granting of promotion based on a secret-ballot vote;
    - (d) write a brief report of its discussion, including its vote and recommendation for or against the granting of promotion. If a majority of the DCG requests, it may delegate writing this report to the DEO.
  - (2) The DEO shall:
    - (a) write a letter
      - (i) reporting the DCG discussion, including its vote and recommendation for or against the granting of promotion, if requested by a majority of the DCG to do so, and

- (ii) making an independent recommendation that promotion be granted or denied;
- (b) add the DCG report, if any, and this letter to the Promotion Record, and
- (c) submit the Promotion Record to the primary department in time for consideration by the DCG of that department.

Similarly,

- (3) the CCG of the college in which a faculty member has a 1% to 49% appointment shall:
  - (a) receive the candidate's Promotion Record from the DEO of the primary department;
  - (b) review and discuss the candidate's qualifications, and
  - (c) make a recommendation for or against the granting of promotion based on a vote, with a brief report of its discussion if the recommendation is negative. If a majority of the CCG requests, it may delegate writing this report to the Dean.
- (4) The Dean shall:
  - (a) write a letter
    - (i) reporting the CCG discussion, including its vote and recommendation for or against the granting of promotion, if requested by a majority of the CCG to do so, and
    - (ii) making an independent recommendation that promotion be granted or denied;
  - (b) add the CCG report, if any, and this letter to the Promotion Record;
  - (c) submit the Promotion Record to the primary college in time for consideration by its CCG.

D. If a faculty member holds a 0% joint appointment in a department, that department may be limited to a subordinate consultative role in the tenure and promotion process and the affected departments may decide how this role shall be carried out. These determinations should be made by mutual agreement of the faculty member, both DEOs, and the Dean(s) at the beginning of the joint appointment and set forth in a letter of agreement, copied to the Provost.

## APPENDIX F

Name of Faculty Member being Observed \_\_\_\_\_ Date \_\_\_\_\_

Context for Observation (e.g., grand rounds, staffing) \_\_\_\_\_

Title of Presentation (if applicable) \_\_\_\_\_

	strongly agree				strongly disagree	
1. Demonstrated thorough knowledge of the subject area.	1	2	3	4	5	na
2. Actively involved learners.	1	2	3	4	5	na
3. Provided appropriate written materials (e.g., handouts).	1	2	3	4	5	na
4. Covered an appropriate amount of material for the time allotted.	1	2	3	4	5	na
5. Asked questions appropriate for the level of learner.	1	2	3	4	5	na
6. Responded to questions in a clear and non-threatening way.	1	2	3	4	5	na
7. Organized content logically.	1	2	3	4	5	na
8. Used up-to-date materials and references.	1	2	3	4	5	na
9. Presented content at an appropriate level of complexity.	1	2	3	4	5	na
10. Presented conflicting views (if appropriate).	1	2	3	4	5	na

STRENGTHS:	SUGGESTIONS FOR IMPROVEMENT:
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Additional items

	strongly agree				strongly disagree
<u>Clinical teaching</u>					
Demonstrates appropriate clinical reasoning.	1	2	3	4	5
Provides direction and feedback.	1	2	3	4	5
Clearly explains instructions for completing required tasks.	1	2	3	4	5
<u>General</u>					
Effectively uses available time.	1	2	3	4	5
Is sought by colleagues for advice on academic matters.	1	2	3	4	5
Leaves enough wait time for a response to questions.	1	2	3	4	5
Uses eye contact effectively.	1	2	3	4	5
Gives appropriate time to topics covered.	1	2	3	4	5
Seems interested in teaching.	1	2	3	4	5

Procedures for promotion follow those in *The University of Iowa Operations Manual*, the *University of Iowa Faculty Handbook*, memoranda from the Provost, and the *Manual of Procedure of the Carver College of Medicine*, using the procedures outlined in the present document.