Department of Finance  
College of Business  
Iowa State University  
Policies and Procedures for Annual Review, Reappointment and Advancement of Non-tenure Eligible Faculty  
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I. Preface  

In the College of Business Non-tenure Eligible faculty primarily support tenure-track and permanent adjunct faculty in the area of teaching. To ensure and encourage quality performance the Finance Department will conduct systematic assessments through annual reviews and during reappointment and advancement opportunities for all Non-tenure Eligible faculty.  

Non-tenure Eligible 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. Evaluations for renewal of appointment will be conducted by an appropriate faculty committee and recommended by the department chair. Potentially, there are four types of Non-tenure Eligible appointments applicable to the College of Business: Lecturer, Clinician, Adjunct and Professional and Scientific employees with non-tenure eligible appointments. All four types are eligible for advancement to “Senior” status.  

- Lecturer or Clinician: A limited term full or part-time appointment of from one semester to three years and renewable for no more than a total of six years.  
- Adjunct Faculty: While it is not normal policy for the College to hire non-permanent adjunct faculty at the Assistant Professor level and above, should such a case develop the College would require approval from the Provost, the Dean and the Chair and faculty from the department in which that adjunct faculty member would be housed.  
- Professional and Scientific (P&S) employees with non-tenure-eligible appointments: Employees on P&S status in the university may be appointed to renewable, term non-tenure-eligible appointments, of from one to five years, to carry out faculty duties in departments in the college. Individuals holding a full or part-time P&S position may have no more than 30% of their total work responsibilities assigned as non-tenure-eligible faculty responsibilities (teaching). Individuals with P & S and NTT appointments may not teach in load a 300 level course or higher. Exceptions may be granted with the approval of the FEC. P & S staff may teach no more than one course per semester at any level on an overload basis.
a. Titles: The following titles will be employed for P&S employees assuming faculty responsibility in the college.

• When the faculty work undertaken is similar to that of a department’s Lecturers and Clinicians, the title of Lecturer and Clinician (or Senior Lecturer and Senior Clinician) is appropriate. These titles should only be given to employees with an advanced degree in an appropriate field.

• All titles can be given for terms not to exceed five years, when a department foresees a continuing need for the P&S employee’s service in faculty roles. There is no required notice of intent not to renew for the non-tenure-eligible titles given to P&S employees. Termination of the P&S appointment will also mean the termination of the non-tenure-eligible appointment.

• P&S employees should not be teaching courses in the college without a non-tenure-eligible title.

b. Appointment: Appointment of P&S employees to non-tenure-eligible positions will be recommended by the department chair, with faculty input. Department chairs can make initial appointments of P&S employees for one year without faculty input, but reappointment (or initial appointment beyond one year) will require faculty input. All appointments will be reported to the Provost’s Office on the “Non-tenure-eligible faculty appointment of P&S employees” form. A form should be on file with the college and provost for each P&S employee assigned a non-tenure-eligible title. Appointments of lecturer and clinician titles do not need approval at the college or provost level. The awarding (and renewing) of the titles of senior lecturer or senior clinician must be approved by the department, the college, and the provost.

c. Review and Advancement
The advancement and review procedures for a person employed in a P&S position and assigned non-tenure-eligible faculty are the same as other NTT faculty members.

• Senior level: a limited term full or part-time appointment not to exceed five years without reappointment and requiring a notice of one year of intent not to renew. To be eligible for a Senior level appointment, the individual shall have served as a Lecturer/Clinician or its equivalent for six years.

II. General Guidelines for Reviews

Deliberations relating to all reviews are highly sensitive, requiring openness and candor of all involved in the review process. Therefore, the confidentiality of these deliberations shall be maintained by each person involved in the review process.
Results of all reviews and recommendations must be provided to the individual being reviewed as soon as practical. In the case of reappointment and/or advancement to Senior Lecturer or Senior Clinician, the Department Chair must inform the individual of the department’s recommendation and the Department Chair’s recommendation before they are submitted to the Dean. The Dean must also inform the individual of the college’s recommendation after the Dean has completed his/her review.

III. Position Responsibility Statement (PRS) and Guidelines for Annual Review

Each Non-tenure Eligible faculty member’s performance must be reviewed on the basis of teaching, and additional responsibilities as outlined in their PRS, if any, to help achieve college expectations and to assist the individual in contributing to these expectations. The PRS, as defined in the Faculty Review and Evaluation Policies and Procedures page 2 item III paragraph one (April 17th 2002), must be established for all faculty including Non-tenure Eligible faculty.

At the beginning of each calendar year each Non-tenure Eligible faculty member must submit a completed Professional Responsibility Report (PRR) to the Department Chair. An outline of the items contained in the PRR is found in the Faculty Review and Evaluation Policies and Procedures pages 14-15. While the PRR allows flexibility such that a faculty member can make note of accomplishments in all areas of responsibility (i.e., teaching, research and institutional service), individuals need to complete only those sections relating to their own duties as specified in their individual PRS. This would include, but not necessarily be limited to, the faculty member's student evaluations for the reporting year. More specific criteria to evaluate Non-tenure Eligible faculty are found in departmental Policies and Procedures for Annual Review, Reappointment and Advancement for Non-tenure Eligible Faculty documents.

The Department Chair will review the PRRs and prepare a written evaluation of the individual’s performance. The Department Chair and the individual will subsequently review these documents in a face-to-face meeting prior to the end of the Spring semester or at the end of the individual’s contract period whichever is earlier. The documents will become part of the individual's personnel record.

IV. Reappointment

Prior to the time at which a Non-tenure Eligible faculty member must be reappointed, a review of the individual's performance will be conducted by the Departmental Promotion and Tenure Committee (DPTC). Details as to the composition of the committee are found in each department’s Faculty Review and Evaluation Policies and Procedures document. Deadlines for all components of the evaluation prior to submission to the Dean will be the responsibility of the Department Chair who will notify all parties of these deadlines.

The Non-tenure Eligible faculty member must submit a package consisting of his/her own personal statement containing a self-assessment of performance in the area of teaching over the previous appointment period, and any other areas specified in his/her PRS. In addition, all PRRs that were submitted over the previous appointment period, as well as a summary of all student evaluations over the period, should also be included.
The DPTC will review these documents, and make a recommendation to the Department Chair regarding the candidate’s reappointment. Based on the Department Chair’s assessment and the recommendation of the DPTC, the Chair will make a recommendation to the Dean regarding the candidate’s reappointment. The Dean will then make a decision regarding reappointment, notify the Department Chair as to his/her decision, and forward his/her recommendation and appropriate documents to the Provost’s Office for a final decision.

In the case of a reappointment for a Senior Lecturer or Senior Clinician, the Department Chair will review the PRRs that the individual has submitted since the last reappointment along with annual reviews and prepare a written evaluation of the individual’s performance. This review, along with the Department Chair’s recommendation concerning reappointment will be forwarded to the Dean. Requests for approval would include a summary of the review results and a statement regarding the continuing need of the Department. The Dean will then make a decision regarding reappointment, notify the Department Chair as to his/her decision, and forward his/her recommendation and appropriate documents to the Provost’s Office for a final decision.

V. Advancement to Senior Clinician or Senior Lecturer

Six months prior to the date at which a Non-tenure Eligible faculty member becomes eligible for advancement, the candidate notifies the Department Chair of his/her intention to seek advancement. The review process will follow the guidelines for reappointment as stated in section III above with the following exceptions:

1. The DPTC and Department Chair's independent assessments of the faculty member's performance will conclude with a recommendation for or against promotion and be included in a final package that, with the DPTC’s report outlined in Section IV above, is submitted to the College Promotion and Tenure Committee by the Dean, and

2. All PRRs, recommendations and student evaluations accumulated prior to becoming a candidate for advancement will be included in the package.

The CPTC will review the candidate's advancement package, including the Department Chair’s and DPTC’s recommendations, and submit their recommendation to the Dean. The deadline for the submission of the department’s package to the Dean and the CPTC’s recommendation to the Dean will depend upon the deadline set by the Provost’s Office. The Dean will make his/her decision as to advancement and will notify the Department Chair in writing, at least 30 days prior to the end of the Spring semester. The package, including the Dean’s report and decision, will then be forwarded to the Provost for a final decision regarding the candidate’s advancement.

A reappointment decision, if appropriate, would be made independently of the advancement decision and should be based solely on the process outlined in sections I-III.

A description of the Finance Department’s Promotion and Tenure Committee along with their responsibilities can be found in the Department of Finance Faculty Review and Evaluation Policies and Procedures document dated April 19, 2002. The appeals process for any of the activities described
above and other particulars not specifically described above will follow the guidelines also set forth in the College document.

VI. Five-Year Reviews of Senior Clinician or Senior Lecturer

In the year prior to the fifth anniversary of contract appointment to Senior Clinician or Senior Lecturer, the individual will undergo a detailed performance review. During spring semester of the fourth year of appointment, the individual will submit a package containing a self-assessment of performance in the area of teaching and any other areas specified in his/her PRS. The Department Chair and the DPTC (or other departmental review committee) will review this material and all PRRs submitted since the last Five-Year Review or since advancement, if this is the first review since then. The Department Chair and the DPTC (or other departmental review committee) will then submit independent assessments of the individual’s performance with constructive recommendations, if necessary, as to how the individual might improve performance. This package, with Department Chair and DPTC reports and recommendations, PRRs and personal statement, will be forwarded to the Dean prior to the end of the semester.

VII. Use of P&S Employees as Non-tenure Eligible Faculty

When P&S employees are used to undertake work similar to that of a department’s Lecturers or Clinicians, then the title of Lecturer or Clinician is appropriate to them as well. Consequently, the above policies and procedures hold for such P&S employee appointments with the following exceptions/adjustments:

- Individuals holding a full or part-time P&S position may have no more than 30% of their total work responsibilities assigned as non-tenure-eligible faculty responsibilities.
- All titles (e.g., Lecturer, Senior Lecturer) can be given for terms not to exceed five years, when a department foresees a continuing need for the P&S employees’ service in faculty roles. There is no required notice of intent not to renew for the non-tenure-eligible titles given to P&S employees and termination of the P&S appointment will also mean the termination of the non-tenure-eligible appointment.
- While the P&S employee will not have a Position Responsibility Statement, the department chair should specify in writing, at the time of appointment, the responsibilities associated with the non-tenure-eligible appointment,
- For P&S employees with non-tenure-eligible appointments, there is no minimum or maximum time in rank. For example, an employee may continue with the title of “Lecturer” for an indefinite time, with appropriate review.
- The P&S employee assigned a non-tenure-eligible title does not have voting rights as a faculty member.

VIII. College voting rights of NTT Faculty Members

At the college and department level, those NTT Finance Department faculty with at least a ½ time appointment will have voting rights at college-wide and department issues excluding College and Department Promotion and Tenure issues.