

GOVERNANCE DOCUMENT

Department of Mathematics
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1. Preamble

Throughout, *Document* refers to the whole of this Governance Document, *University* refers to Iowa State University, *College* refers to the College of Liberal Arts and Sciences, *Department* refers to the Department of Mathematics, and *Faculty* refers to a voting member of the faculty of the Department of Mathematics as defined in §2. All other units and personnel of the University are referred to by their full name.

No rules or procedures described in this Document take precedence over College or University documents, especially the Faculty Handbook.

2. Voting membership and election procedures

Member of the Faculty, for the purpose of eligibility for voting in Departmental elections other than those related to the graduate programs, is defined to be all faculty in tenured or tenure-track positions and lecturers whose primary appointment is in the Department of Mathematics. This shall include full-time and joint appointments whose B-base salary is funded 50% or more in the Department's budget; for A-base appointments, the salary percentage will be computed from the B-base equivalent. It shall not include adjunct, courtesy, i.e., rank-only appointments whose primary appointment is outside mathematics, visiting, temporary, collaborator, and affiliate faculty.

There are purposes for which *lecturers* are not considered members of the faculty: lecturers are not permitted to serve on standing faculty committees, with the exception of the Advisory Committee and Lecturer Review Committee. Also, while they are considered as faculty in matters brought before the faculty for a vote, their participation is limited to matters concerning lecturers.

For the purposes of the graduate programs, *member of the Faculty* is defined to be a member of the Faculty as defined above who is also a member of the Graduate Faculty and is a member of

the Faculty associated with the relevant graduate program. In elections on issues relevant to more than one graduate program, each individual member of the graduate faculty will retain a single vote regardless of the number of programs with which she or he is associated.

A member of the Faculty on leave retains the right to vote, by mail or other individual arrangement, in all Departmental elections.

All elections are to be by secret ballot distributed to all members of the Faculty. Elections to committees will be conducted in April under the supervision of the Department Executive Officer (Chair). Since ballots are to be distributed, no quorum is established for meetings to discuss issues. Elections are by plurality of the votes cast.

3. Changes in the Governance Document

Any five members of the faculty may ask for a meeting, to be chaired by the Chair, for the purpose of discussing a change in the Governance Document. In order to become part of the Governance Document, any changes proposed at such a meeting must be approved by a majority of the votes cast in a secret ballot.

4. Committees

The Department shall have the following standing committees:

- Advisory Committee
- Graduate Committee
- Undergraduate Committee
- Tenured Faculty Review and Evaluation Committee
- Untenured Faculty Review and Evaluation Committee
- Associate Professor Promotion Committee

- Assistant Professor Promotion and Tenure Committee
- Lectures Committee
- Computer Committee
- Awards and Honors Committee
- Development Committee
- Library Committee

At the beginning of each fall semester, each of the standing committees, in consultation with the Chair, will formulate an operational document delineating its specific procedures, duties, and goals for the upcoming year. Should the committee's activities have an impact on the Department's budget, the Chair will notify the committee as to the amount of funds that the committee can expect to have available to it, subject to change should the Department's budgetary situation change. A committee's operational document is discussed and voted on at a special meeting of the committee called and chaired by the Chair. An operational document is considered adopted if both a majority vote of the members of the committee present at this meeting approve it in a secret ballot and it is approved by the Chair.

Rules for membership in and the charters of the Advisory Committee, Graduate Committee, Undergraduate Committee, Tenured Faculty Review and Evaluation Committee, Untenured Faculty Review and Evaluation Committee, Associate Professor Promotion Committee, and the Assistant Professor Promotion and Tenure Committee are discussed elsewhere in this Document.

The Chair will appoint the chairperson and other members of the Lectures, Computer, Awards and Honors, Development, and Library Committees. All members of these committees serve at the discretion of the Chair. The charters of these committees are as follows.

The *Lectures Committee*, in consultation with the Chair, organizes the Departmental colloquium series and special lectures.

The *Computer Committee* advises the Chair on purchases of computer hardware and software for use by the Department and its faculty, temporary and visiting faculty, staff,

and students. The Committee also oversees the activities of the Department's computer systems staff and administrators.

The *Awards and Honors Committee*, in consultation with the Chair, selects faculty for nomination for College and University awards and honors as well as awards and honors external to the University. The Committee prepares the nomination documents for any such award.

The *Development Committee* works with the Chair on fund raising activities and on the management of Departmental endowments.

The *Library Committee*, in consultation with the Chair, acts in the Department's interests in matters connected with the University libraries and acts as a liaison between the Department and the personnel of those libraries.

The Department will at times face issues that do not fall within the scope of its standing committees or whose scope is broader than that of any single standing committee. At those times, the Chair, at his or her discretion, will form ad hoc committees and appoint their members. The Chair will inform the faculty about the purpose, duration and constitution of all such committees.

Two other committees, the *Committee for the Review of the Chair* and the *Chair Nomination Committee*, that are connected to the review of the Chair and nominations for that position, are discussed in §5. In addition, Search Committees shall be formed whenever the Department needs to hire tenured or tenure-track faculty; such committees are discussed in §11.

All regular committee meetings will be scheduled by the committee chairperson and announced to the faculty at least one week in advance of the meeting date. At times it may be necessary to schedule emergency meetings of a committee in order to deal with a pressing issue; in this case, the committee chairperson shall announce the meeting to the faculty as soon as possible. All committee meetings except meetings involving personnel actions are open to any member of the

faculty. Meetings on personnel actions are open only to the relevant committee members. Each committee arranges for the preparation of minutes of its meetings. These minutes of all committee meetings shall be kept in open files accessible to any member of the Faculty, with the exception of personnel actions which are excluded from open files.

5. The Department Chair

The Chair has obligations both to the Faculty of the Department of Mathematics and to the Administration of the University. The obligations to the Administration are recorded elsewhere in appropriate College and University documents.

Foremost among the Chair's obligations to the Department are:

- the evaluation of the Faculty;
- the assignment of responsibilities to the Faculty;
- hiring Faculty, temporary and visiting faculty, postdoctoral associates, and graduate teaching assistants;
- making recommendation on promotion and tenure;
- managing the budget of the Department;
- providing an overall leadership role.

The Chair should seek, and can expect, careful counsel from the Faculty on all administrative matters.

The review and evaluation of the Faculty, the assignment of responsibilities to the Faculty, hiring new Faculty, and promotion and tenure decisions are of such crucial influence on the Department that special procedures, including the mechanisms for Faculty recommendations, are established elsewhere in this Document.

The leadership role of the Chair is extensive and includes, among other aspects:

1. representation of the Department to the administration, to other units of the University, and to organizations outside the University;

2. managing the budget of the Department including making decisions on the expenditure of funds and recommendations on raises for Faculty;
3. seeking opportunities for Faculty development and for Departmental programmatic development;
4. assuring that the Department sets goals and regularly evaluates its progress towards meeting them;
5. fund raising both within the University and from external sources;
6. keeping the Department and its Faculty informed about administrative decisions and other items of importance to the Department and to individual faculty.

The Chair, being a member of the Faculty, retains the full voting rights attendant to his or her rank and tenure status except as explicitly noted in this Document.

Should there arise a conflict of interest, as defined in the Faculty Handbook, involving the Faculty or students or other personnel associated with the Department, it shall be resolved by the Chair in consultation with the affected individual or individuals. If the Chair is himself or herself subject to a conflict of interest, then the matter will be resolved by the Dean of the College.

5.1. Review procedures for the position of the Chair

The normal term for the Chair who is a chair shall be three to five years. The Chair is to be reviewed by the Department either (a) during the next-to-last year of each term of service, unless the Chair intends to resign the position at the end of that term, or (b) upon a request by two-thirds of the Faculty in a secret ballot. In either case, a Committee for the Review of the Chair, hereafter referred to as the Chair Review Committee, shall be formed composed of three tenured Professors elected by the tenured and tenure-track Professors, one tenured Associate Professor elected by the tenured and tenure-track Associate Professors, and one tenured or tenure-track Assistant Professor elected by the tenured and tenure-track Assistant Professors. The Chair Review Committee shall elect a chair from among its members. The Chair Review Committee shall have available to it any documents arising from prior reviews, including the procedures, questionnaires, and results that contributed to those documents.

The Chair Review Committee shall prepare a written review of the Chair that includes comments solicited from the Faculty, edited only to protect confidentiality. The review shall be presented to the Chair who may choose to provide a response to be included with the review. The Chair Review Committee shall present the review and Chair's response, if any, to the Faculty at a meeting that the Chair under review does not attend; the meeting shall be convened and chaired by the Chair of the Chair Review Committee. The Review Committee may, as a result of this meeting, modify the review document before presentation to the Dean of the College. Should the review document be changed, the DEO shall be given the opportunity to see the revised document and revise her or his response to it.

After the faculty meeting described in the previous paragraph, there shall be a secret ballot sent to each member of the Faculty containing two questions.

- Do you prefer the current Chair to continue serving as Chair? (Allowable votes are one of yes, no, and abstain.)
- If the Department recommends that the Chair be reappointed, do you prefer that he or she be reappointed for three years, four years, or five years? (Allowable votes are one of the three choices or abstain.)

The Department shall be deemed to recommend that a Chair who is a Chair be reappointed if two-thirds or more of those voting and one-half or more of the Faculty endorse such reappointment. The results of the review and of the vote shall be given to the Dean of the College, the Chair, and the Faculty.

In the event of unusual circumstances connected with the review of the Chair that are not adequately covered by this Document, the Chair Review Committee shall refer matters to the Faculty.

5.2 Nomination procedures for the position of Chair

Should it become necessary, either through the resignation or non-reappointment of a Chair, for the Dean of the College to appoint a new Chair for the Department of Mathematics, a

Chair Nomination Committee shall be formed composed of three tenured Professors elected by the tenured and tenure-track Professors, one tenured Associate Professor elected by the tenured and tenure-track Associate Professors, and one tenured or tenure-track Assistant Professor elected by the tenured and tenure-track Assistant Professors. The Chair Nomination Committee shall elect a chair from among its members. All meetings of the faculty dealing with the nominations for Chair will be convened and chaired by the Chair of the Chair Nomination Committee.

At a meeting of the Faculty, the Faculty shall discuss and then vote on the following two questions.

- Shall the Department recommend to the Dean that the Chair be sought among the Faculty or that there be a search for a Chair who is not currently a member of the Faculty?

If the Faculty votes for a search for a Chair who is not currently a member of the faculty and the Dean agrees to do so, the members of the Chair Nomination Committee shall be recommended to the Dean for appointment to a Chair Search Committee. Otherwise, the members of the Chair Nomination Committee shall be recommended to the Dean for appointment to a reconstituted Chair Nomination Committee that shall form an initial slate of nominees by actively seeking suitable candidates, subject to the eligibility rules given in the next paragraph. If a member of the Chair Nomination Committee is put forward as a member of the initial slate by the Chair Nomination Committee or by petition and he or she agrees to be a member of the initial slate, he or she shall resign from the Chair Nomination Committee. Such persons shall be replaced on the Chair Nomination Committee by the same procedure by which they were elected.

The Chair Nomination Committee may choose any tenured member of the Faculty for the initial slate although they shall normally choose from among the Professors. A member of the tenured faculty may also become a member of the initial slate if a petition supporting her or his nomination is circulated by another member of the faculty and at least ten percent of the Faculty signs that petition. Any member of the Faculty may sign one or more petitions. A tenured faculty member chosen to appear on the initial slate by either the Chair Nomination Committee or by petition would then appear on the initial slate, if they agree to do so.

After the initial slate has been completed, a ballot shall be prepared containing the names of the members of the initial slate and the following question for each nominee.

- Would the nominee, in your opinion, make an acceptable Chair? (Allowable votes are yes, no, or abstain.)

The second slate of nominees shall consist of those nominees on the initial slate for whom the number of “yes” votes on the first ballot was at least 1.5 times the number of “no” votes. A second ballot shall be prepared containing the names of the members of the second slate and the following question for each nominee.

- Would the nominee, in your opinion, make an excellent Chair? (Allowable votes are yes, no, or abstain.)

The final slate of nominees shall consist of the two, or in case of a close vote, the three nominees receiving the highest number of votes on the second ballot. The final slate and the number of votes each of its members received on the second ballot shall be sent to the Dean of the College and announced to the Faculty.

In the event of unusual circumstances connected with the nomination of the Chair that are not adequately covered by this Document, the Nomination Committee shall refer matters to the Faculty.

5.3 Associate Chair

There shall be two Associate Chairs appointed by and serving at the discretion of the Chair.

- The Associate Chair will have the responsibility for helping the Chair manage and administer the Department’s undergraduate program. The Associate Chair is expected to be routinely available during the weeks preceding the beginning of the fall and spring semester.
- The Graduate Coordinator will have the responsibility for helping the Chair manage and administer the Department’s graduate programs. As the Department’s representative for its graduate programs, she or he is expected to be active in research and routinely available for part of the summer and especially during the weeks preceding the beginning of the fall and spring semesters.

In recognition of the time required to carry out their administrative assignments, it is expected that the teaching loads of the Associate Chair will be adjusted and possibly summer support provided.

In the absence of the Chair, the Graduate Coordinator shall serve as a substitute for the purpose of attending meetings and, after receiving instructions from the Chair, signing documents. In the absence of the Chair and the Graduate Coordinator, the Associate Chair shall serve such purposes.

The specific duties of the Associate Chair are given in §7 (for the Graduate Coordinator) and §9 (for the Associate Chair).

5.4. The Advisory Committee

There shall be an Advisory Committee whose composition is determined as follows.

- The Chair, the Graduate Coordinator, and the Associate Chair as ex officio, non-voting members.
- Five Faculty, each having one vote, elected by the Faculty through the following process.
 - For the purpose of electing the members of the Advisory Committee, and only for that purpose, the Faculty shall be apportioned into five groups roughly corresponding to research interests and other position responsibilities. One of those groups shall consist of Lecturers and Senior Lecturers. The cardinality of the five groups shall be as nearly equal as possible and practical. The initial assignment of members of the faculty into one of the five groups shall be proposed by the Chair. Individual faculty members may propose amendments to the Chair's proposal having the purpose of changing their own assignment. The Faculty shall vote on any such amendments. After all amendments have been voted on, the Faculty shall vote on the Chair's proposal, as revised by all successful amendments.
 - New tenured or tenure-track faculty joining the Department will be assigned to one of the five groups by the Chair. If such a member of the Faculty would rather be assigned to a

different group, then they will inform the Advisory Committee of their choice and that committee will vote on the question of which group the individual is to be assigned.

- If the cardinality of the groups becomes unbalanced, then the Chair will propose a reapportioning of the faculty into the five groups. The Chair's proposal can be amended and shall be voted on in the same manner as that for the original apportioning.
- During the spring semester, the Chair shall call for the members of each of the five groups to nominate tenured faculty members belonging to the group to serve as the representative of the group on the Advisory Committee. There shall be a vote within each of the five groups to elect, from among the nominees, their representative for the following academic year.
- Members are elected to two-year terms. No faculty member may serve on the committee for more than four consecutive years.

The chair of the Advisory Committee shall be elected by the voting members of that committee from among the voting members. The Advisory Committee will hold regular meetings at least once a month during the academic year.

The Advisory Committee shall have the following duties.

- Advise the Chair and the Associate Chair on all matters affecting the Department, especially those related to hiring, planning, development, budget and growth. This includes playing a central role in the development of formal Departmental strategic plans and self-studies.
- At the request of the Chair, aid the Chair in the performance of any of her or his duties.
- Act as a vehicle for expressing faculty concerns and ideas to the Chair and for bringing such concerns to an open discussion. The Committee shall not act as a substitute for direct contact between the Chair and the Faculty, but rather as an additional avenue for such contact.
- Act as an avenue of appeal for Faculty who disagree with decisions made by the Chair or by a Departmental committee. Procedures for such appeals are discussed in §10.
- Help the Chair in a variety of assessment and development activities, including:
 - help the Chair regularly assess the Department's research and outreach orientation and its consequences for the undergraduate and the graduate programs;

- help the Chair regularly assess the basic teaching structure of the Department and the teaching-research outreach balance;
 - help the Chair plan, initiate, and oversee Departmental research and outreach projects, such as agreements with other departments on and off campus, or agreements with industry and government institutions within the US and abroad;
 - help the Chair plan, propose, initiate, and oversee Departmental grants and contracts;
 - help the Chair plan, propose, initiate, and oversee private and corporate fund raising activities.
- Discuss the Departmental role in College and University organizations and committees, such as the Faculty Senate, the College Representative Assembly, etc., and hear regular reports from the Departmental representatives to these organizations and committees. In committee votes, the lecturer member may only vote on matters concerning lecturers.

6. Faculty Meetings

The Chair shall call for a meeting of the Faculty whenever such a meeting is requested by any standing or ad hoc committee; the committee requesting the faculty meeting shall set the agenda for the meeting. The Chair may also call for a meeting of the Faculty whenever he or she feels that such a meeting is needed for providing information to the Faculty and/or for discussion of an issue of importance to the Department. There shall be a faculty meeting during the first three weeks of each fall semester at which the Chair shall discuss his or her views of the state of the Department and his or her plans and goals for the Department for the upcoming year. There shall be a faculty meeting during the spring semester to discuss plans for the following academic year, including the hiring of new faculty.

A faculty meeting may also be called for any purpose not related to personnel matters affecting existing Faculty by any five faculty members. Such a notification shall be made in writing to the Chair and shall clearly state the purpose of the proposed meeting. The Chair shall then call the meeting within two weeks of receipt of the written request. Except for emergency situations, the

Faculty shall be given at least one week's notice and provided with an agenda for all faculty meetings. The Chair shall chair all faculty meetings or will designate another member of the Faculty to do so, except for meetings related to the review of or nomination for the position of Chair. Faculty meetings are open only to the Faculty. However, guests may be invited by the Chair or by the committee requesting the meeting to be nonvoting attendees at a faculty meeting if their attendance can help the Faculty in their deliberations at the meeting.

7. The Departmental graduate programs

The Department participates in two types of graduate programs. First, there are graduate programs for which the Department is principally or even wholly responsible and whose member faculty are almost exclusively or even exclusively drawn from the Department. As of the adoption of this Document, the programs of this type are

- the M.S. and Ph.D. programs in Mathematics
- the M.S. and Ph.D. programs in Applied Mathematics, including the Industrial Mathematics Option in the Applied Mathematics M.S. program;
- the Masters in School Mathematics program.

These programs are the subject of this section. The second type of graduate program in which the Department participates, namely interdepartmental programs, is discussed in §8.

For the purposes of the admission of students and for the offering of teaching assistantships, no distinction shall be made between the Mathematics and Applied Mathematics programs. In fact, students are free to apply to either program without prejudice. Likewise, the renewal of teaching assistantships shall not be affected by a student's choice of program.

The graduate programs of the Department are managed by the Chair, the Graduate Coordinator, the Graduate Committee, and the Faculty associated with each program. The roles of each of these are specified in §7.1, §7.2, §7.3, and §7.4 respectively.

7.1 Responsibilities of the Chair within the graduate programs

The Chair has the duty of leading the graduate programs and in seeking and implementing ways of improving them. As such, he or she has ultimate responsibility for all aspects related to the graduate programs excepting curricular and programmatic issues as described in §7.5 and §7.6. In particular, the Chair has responsibility for all aspects that have an impact or potential impact on the Department's budget. Foremost among the latter is the hiring of teaching assistants which wholly lies within the province of the Chair; however, the Chair shall seek the advice of the Graduate Committee and the Graduate Coordinator in formulating policies for teaching assistantships and in making initial and renewal offers of teaching assistantships to individual students.

Whenever a situation occurs in which the Chair changes a decision made by the Graduate Committee, the Chair shall be required to submit a written document to each member of that Committee stating the reasons for the change. This document shall be also made available to the Graduate Faculty.

7.2. Duties of the Graduate Coordinator

The Graduate Coordinator is an ex officio member of all graduate programs under exclusive or near exclusive management of the Department. For purposes related to the Graduate College of the University, the Graduate Coordinator serves as the Director of Graduate Education (DOGE) for the graduate programs in Mathematics and in Applied Mathematics. The Graduate Coordinator is responsible for the administration of these two programs. His or her duties include the following with the understanding that they apply only to the programs in Mathematics and Applied Mathematics.

- Organize the recruitment of graduate students, including responses to inquiries, the preparation of relevant materials such as brochures, web sites, CD's, and video tapes, and visiting schools and job fairs, etc.

- Oversee the admission process of graduate students to all Departmental graduate degree programs including the initial admission of students to one of these programs and the transition of students from M.S. to Ph.D. programs.
- Oversee the advising of graduate students; in particular, the Graduate Coordinator will serve as the academic advisor of any graduate student until a Program of Study committee has been formed and approved for that student. The Graduate Coordinator may enlist the help of other graduate faculty for his or her advising duties.
- Keep records of the academic progress of graduate students.
- Approve Program of Study Committees and Programs of Study of graduate students.
- In consultation with the Associate Chair, schedule graduate courses.
- In consultation with the Associate Chair, assign graduate teaching assistants to their specific instructional duties.
- In consultation with the Associate Chair, evaluate the performance of graduate teaching assistants in their instructional duties.
- Oversee the scheduling, preparation, administration, and grading of qualifying examinations.
- In concert with the Associate Chair, formulate programs of study for students who want to complete both the requirements for the B.S. and the M.S. degree within a single five-year period.
- Call meetings of the Graduate Committee whenever deemed necessary.
- Make recommendations to the Chair in regard to the awarding of teaching and research assistantships.

7.3. Composition and duties of the Graduate Committee

The Graduate Committee shall consist of the following members.

- The Chair as an ex officio, non-voting member.
- The Graduate Coordinator as an ex officio, voting member.
- Three members, each having one vote, of the graduate faculty elected by that Faculty.

Each elected member serves for a three-year term, with the terms staggered excepting for the first year that this Document is in effect during which the elected member receiving the highest number of votes serves for three years, the elected member receiving the

second highest number of votes serves for two years, and the elected member receiving the third highest number of votes serves for one year. Nominations for election to the Graduate Committee are to be solicited by the Chair.

- One member, having one vote, of the graduate faculty appointed by the Chair. The appointed member serves for 3 years.

No appointed or elected faculty member may serve for more than two consecutive terms, either by election or appointment or through a combination of the two.

The chair of the Graduate Committee shall be elected by the voting members of that Committee from among its voting members.

The duties of the Graduate Committee are as follows.

- Act as the graduate curriculum committee for the Department.
- Make decisions, subject to the approval of the Chair, on
 - admission of students to the graduate programs;
 - evaluation of the academic progress of graduate students;
 - selection of graduate students eligible to receive teaching assistantships;
 - approval of petitions by students for co-major, concurrent major, or minor status involving the Department's graduate programs.
 - selection of students that receive any and all awards and honors made to graduate students by the Department and nomination of students for relevant awards and honors bestowed by the College, University, and sources outside the University. (The Graduate Committee's activities in this venue do not preclude individual faculty from nominating or individual graduate students from applying for any honor or award that allows such nominations or applications.)
- Make nominations to the Graduate Faculty.
- Give counsel to the Chair on guidelines for graduate teaching assistant stipends.
- Make recommendations and decisions about the Department's participation in interdepartmental graduate programs.
 - Consult with other departments and make decisions concerning course offerings aimed at graduate students in other departments.

- Make decisions on the introduction, changes in the catalog descriptions, and the removal of graduate courses and, in consultation with the Undergraduate Committee, undergraduate courses open to graduate students.
- Entertain and adjudicate appeals by graduate students with regard to Departmental requirements and deadlines.
- Advise the Chair in the selection and staffing of all graduate courses.
- Actively participate in the formulation and implementation of graduate student recruiting activities.

7.4 Faculty of the graduate programs

Each of the graduate programs, i.e., at the time of the adoption of this Document, Mathematics, Applied Mathematics, and Masters of School Mathematics, has an associated faculty. Upon the adoption of this Document, each member of the Graduate Faculty shall assign themselves to one of the graduate programs. Subsequently, Faculty joining the Graduate Faculty shall assign themselves to one program. Any member of the Graduate Faculty may at any time petition for membership in any additional graduate program by submitting such a petition to the faculty of the relevant graduate program. The basis for such additional assignments may include: research interests, graduate courses taught, and the programs of graduate students supervised.

7.5 Operation of and changes to the graduate programs

The faculty associated with each graduate program is responsible for its operation. Each graduate program shall have its own operational document delineating its curricula and rules. If such an operational document for a particular graduate program does not exist at the time of the adoption of this Document, the faculty associated with that program shall formulate and adopt one. The faculty associated with each graduate program also has the responsibility for making changes in its operational document. The procedure for changing the operational document of a graduate program must be spelled out in that document.

Following the guidelines of the Graduate College of the University, only faculty associated with a graduate program may vote in an election in which new or changed rules, curricula, or other matters associated with only that program are at issue. Any changes in a graduate program that have an impact on the Department's budget are subject to the approval of the Chair. Any changes that require the introduction of new courses are subject to the approval of the Graduate Committee. The faculty associated with a graduate program will also be responsible for formulating and approving changes to the catalog descriptions of the major, co-major, concurrent major, or minor status involving that graduate program.

7.6 Creation of new graduate programs

New graduate programs that are wholly or nearly wholly contained within the Department may be proposed by any member or groups of members of the Graduate Faculty. A formal proposal for such action shall be submitted to the Graduate Committee. Within one month of submission of the proposal, the Graduate Committee shall make a recommendation to the Graduate Faculty on the question of whether or not the proposed program should be approved. Within two weeks of such a recommendation, be it positive or negative, the Chair will call a meeting of the Graduate Faculty at which the proposal is discussed; this meeting is followed by a vote of the whole Graduate Faculty on the question of whether or not the proposed program should be approved. The adoptions of new graduate programs is also subject to approval by the Chair. If a majority of the Graduate Faculty voting and the Chair approve the proposal, then the proposers shall be instructed to proceed with formal submission of the proposal to the appropriate College and University committees.

8. Interdisciplinary graduate programs

The Department is likely to participate in interdisciplinary or interdepartmental graduate programs. Such programs are usually proposed by a group of faculty in the University and are subject to approval at the Departmental, College and University levels. For the Department to consider such a proposal, there must be at least one advocate for the proposed program within the Graduate Faculty of the Department. Moreover, among these advocates, there must be

faculty who are capable and willing to serve as major professors of students in the proposed program. If these conditions are met, the Chair will call a timely meeting of the Graduate Faculty to discuss the proposal. The meeting is followed by a vote by the Graduate Faculty on the question of the approval of the proposal. The proposal is considered adopted by the Department if a majority of those voting vote to approve the proposal and the Chair also approves the proposal.

9. The undergraduate program

The Department operates an undergraduate program leading to the B.S. in Mathematics. The Department plays no official role in the admission of students to its undergraduate program; this is the province of the University Office of Admissions. However, it does have a responsibility for recruiting students for the program and for advising students who inquire about the program.

The undergraduate program of the Department is managed by the Chair, the Associate Chair, and the Undergraduate Committee. The roles of each of these are specified in the remainder of this section. The Faculty retain ultimate responsibility for curricular matters.

9.1. Responsibilities of the Chair within the undergraduate program

The Chair has the duty of leading the undergraduate programs and in seeking and implementing ways of improving it. As such, he or she has ultimate responsibility for all aspects related to the undergraduate programs excepting some curricular and programmatic issues as described in §9.3 and §9.4. In particular, the Chair has responsibility for all aspects that impact or potentially have an impact on the Department's budget.

Whenever a situation occurs in which the Chair changes a decision made by the Undergraduate Committee, the Chair shall be required to submit a written document to each member of that

Committee stating the reasons for the change. This document shall be also made available to the Faculty.

9.2. Duties of the Associate Chair

The Associate Chair is responsible for the administration of the undergraduate program and her or his duties include the following.

- Organize the recruitment of undergraduate mathematics majors from high schools, other colleges, and from within the University, including responses to inquiries, the preparation of relevant brochures, web sites, CD's, and video tapes, visiting high schools and college fairs, etc.
- Advising during orientation, in particular during summer months.
- Oversee the advising of undergraduate students including the assigning of advisors for undergraduate majors.
- Keep records of the academic progress of undergraduate mathematics majors.
- Advise, possibly with other members of the Faculty, non-majors on mathematics related issues.
- Evaluate transfer credits in mathematics.
- Schedule undergraduate courses, and advise the Graduate Coordinator in the scheduling of graduate courses.
- Oversee the functioning of undergraduate multi-section courses.
- Advise the Graduate Coordinator on the assignment of graduate teaching assistants to their specific instructional duties.
- Stimulate and initiate the examination and evaluation by the Undergraduate Committee of current policies and programs.
- In concert with the Graduate Coordinator, formulate programs of study for students who want to complete both the requirements for the B.S. and the M.S. degree within a single five-year time period.
- Call meetings of the Undergraduate Committee whenever necessary.

In addition, the Associate Chair will seek the help and advice of the Undergraduate Committee in the performance of the following duties relevant to undergraduate students.

- Communicate on a regular basis with other departments to learn about their needs and the appropriateness of our courses.
- Evaluate and over see the revision of the placement examinations.
- Make longitudinal studies of the effectiveness of the Department's courses and placement policies.
- Communicate on a regular basis with recruiters to be aware of their interests and of employment opportunities for our graduates.
- Communicate with high schools, state agencies, etc., concerning the mathematical needs of students entering the University.
- Advise the Graduate Coordinator on the evaluation of the performance of graduate teaching assistants in their instructional duties.
- Be informed about general curriculum developments and about funding opportunities for educational projects, and make this information available to the teaching faculty in the Department.

9.3. Composition and duties of the Undergraduate Committee

The Undergraduate Committee shall consist of the following members.

- The Chair as an ex officio, non-voting member.
- The Associate Chair are ex officio, voting member.
- Three members, each having one vote, of the Faculty elected by the Faculty. Each elected member serves for a three-year term, with the terms staggered excepting for the first year that this Document is in effect during which the elected member receiving the highest number of votes serves for three years, the elected member receiving the second highest number of votes serves for two years, and the elected member receiving the third highest number of votes serves for one year. Nominations for election to the Undergraduate Committee are to be solicited by the Chair.

- One member, having one vote, of the Faculty appointed by the Chair. The appointed member serves for three years.

No appointed or elected faculty member may serve for more than two consecutive terms, either by election or appointment or through a combination of the two.

The chair of the Undergraduate Committee shall be elected by the voting members of that Committee from among its voting members.

The Undergraduate Committee shall concern itself with the Department's responsibilities towards undergraduate students who include mathematics in their programs of study. The Committee is responsible for the origination, support, direction, and coordination of programs or policies concerning the undergraduate curriculum, the teaching thereof, and the advising of undergraduate students taking mathematics, including mathematics majors. It shall propose programs or policies appropriate to this mandate, submitting them to the Faculty as motions for their consideration.

The Undergraduate Committee shall consider primarily policy matters, and is charged specifically with the examination and evaluation of current policies and recommending changes to the Faculty and the Chair. The Associate Chair particularly will stimulate and at times, initiate such review.

Among the specific duties of the Undergraduate Committee as the following.

- Act as the undergraduate curriculum committee for the Department
- Make decisions, subject to the approval of the Chair, on
 - evaluation of the academic progress of undergraduate students;
 - approval of petitions by students for co-major or minor status involving the Department's undergraduate program;
 - selection of students that receive any and all awards and honors made to undergraduate students by the Department and nomination of students for relevant awards and honors bestowed by the College, University, and sources outside the

University. (The Undergraduate Committee's activities in this venue do not preclude individual faculty from nominating or individual undergraduate students from applying for any honor or award that allows such nominations or applications.)

- Make decisions on the introduction, changes in the catalog descriptions, and the removal of undergraduate courses and, in consultation with the Graduate Committee, undergraduate courses open to graduate students.
- Coordinate course offerings, prerequisites, etc., with other departments and colleges.
- Entertain and adjudicate appeals by undergraduate students with regard to Departmental requirements and deadlines.
- Advise the Chair in the selection and staffing of all undergraduate courses.
- Actively participate in the formulation and implementation of undergraduate major recruiting activities.

9.4. Creation of new undergraduate programs

New undergraduate programs that are wholly or nearly wholly contained within the Department may be proposed by any member or groups of members of the Faculty. A formal proposal for such action shall be submitted to the Undergraduate Committee. Within one month of submission of the proposal, the Undergraduate Committee shall make a recommendation to the Faculty on the question of whether or not the proposed program should be approved. Within two weeks of such a recommendation, be it positive or negative, the Chair will call a meeting of the Faculty at which the proposal is discussed; this meeting is followed by a vote of the Faculty on the question of whether or not the proposed program should be approved. The formation of new undergraduate programs is also subject to approval by the Chair. If a majority of the faculty voting and the Chair approve the proposal, then the proposers shall be instructed to proceed with formal submission of the proposal to the appropriate College and University Committees.

10. Appeal procedures

Individual faculty members and students retain all rights of appeal explicitly described in the Faculty Handbook. No Departmental appeal procedure shall contradict or countermand the appeal procedures described in the Faculty Handbook.

Any five faculty members may file an appeal on any matter within the mandate of a Departmental committee. All such appeals shall first be discussed with the committee and, if a resolution is not reached, with the Faculty at a meeting called for that purpose. A vote of the eligible faculty then resolves the issue.

Every individual faculty member has the right to appeal to the Advisory Committee any decision of the Chair that affects them as individuals, e.g., evaluations, the Position Responsibility Statement, tenure and promotion decisions, etc., with the exception of raises. All such appeals shall be made in writing to all five voting members of the Advisory Committee. If such an appeal is made, the voting members of the Advisory Committee will elect a chairperson for the purpose of considering the appeal and then, after the Chair is notified that an appeal has been filed, meet, without the nonvoting members, to discuss the merits of the appeal. They may call on either or both the faculty member making the appeal and the Chair to present their views on the matter being appealed. The voting members of the Advisory Committee shall then vote on the appeal and inform the Chair and the faculty member making the appeal of the results of that vote. If the dispute is not then resolved, i.e., if the Chair and faculty member cannot agree on a course of action that is satisfactory to both, then the faculty member has the right to file appeals outside the Department using the procedures in the Faculty Handbook.

Any five faculty members have the right to appeal any decision of the Chair that affects the Department or groups of faculty, students, or staff in the Department. All such appeals shall be made in writing to the Chair who shall then convene the Advisory Committee for a discussion of the merits of the appeal. Any member of the Advisory Committee has the right to request the faculty members making the appeal be given the opportunity of presenting their views to the

Committee. The Advisory Committee shall then vote on the appeal and the results of the vote shall be given to the faculty members making the appeal. If the dispute is not then resolved, i.e., if the Chair and faculty members cannot agree on a course of action that is satisfactory to all, then the faculty members have the right to any other appeal procedures available in the Faculty Handbook or elsewhere in this Document.

An individual student may file an appeal on any matter affecting them that is within the mandate of the Department. All such appeals shall first be discussed with the Chair and the Graduate or Undergraduate Committee, whichever applies. If a resolution is not reached, the student has the right to make further appeals following the procedures described in the Faculty Handbook.

11. Hiring

The hiring of new tenured and tenure-track faculty, being crucial to the growth and development of the Department, is, save for tenure considerations, the most important task the Department faces. All hiring processes shall follow all College, University, State, and Federal rules, regulations, and guidelines.

11.1 Hiring procedures

Within the Department, the Chair is solely responsible for the hiring of temporary and visiting faculty, and postdoctoral associates; the Chair shall seek and consider the advice of the Faculty before making such decisions. Within the Department, the Chair is solely responsible for the hiring of student teaching assistants; the Chair shall seek and consider the advice of the Graduate Committee before making such decisions.

The Departmental hiring process for tenured and tenure-track faculty shall follow all College, University, State, and Federal rules, regulations, and guidelines that apply. The procedure for hiring new tenured and tenure-track faculty shall be as follows.

- Every spring semester, there shall be a faculty meeting called for the purpose of discussing hiring during the following academic year. At the meeting, the Chair will

inform the Faculty about the number of open positions available to the Department. The Faculty may choose to vote on one or more specific hiring strategies, as an advice to the Chair.

- Late in the summer or early in the fall semester, the Chair will formulate the Departmental hiring strategy for that academic year. The Chair shall consider the advice of the Faculty emanating from the spring semester faculty meeting described above in formulating the Departmental hiring strategy. The Chair will inform the Faculty of his or her decision.
- Upon receiving the approval of the Departmental hiring strategy from the Dean of the College, the Chair will appoint a separate Search Committee for each position being filled.
- The Chair and the Search Committee will formulate and implement a recruitment plan.
- The Search Committee will examine all applications for the position it is responsible for and submit to the Chair a list of names of applicants it would like to see interviewed. The Chair may add or delete names to the list before submitting the list for the approval of the Dean of the College.
- After the interviewing process is completed, there shall be a meeting of the Faculty to discuss the merits of the candidates interviewed.
- Following the faculty meeting, the Faculty shall vote on the following question for each candidate interviewed:
 - Would the candidate, in your opinion, be an acceptable colleague?
- Following the vote of the Faculty, the Chair shall meet with the Advisory and Search Committees to discuss the candidates and the Faculty vote.
- The Chair, considering the advice of the Faculty and the Advisory and Search Committees, shall then decide on which candidates shall be made offers and in what order the offers shall be tendered; the Chair will then make a request to the Dean of the College for tending offers.

11.2 Hiring Criteria

Appointment at the rank of Assistant Professor without tenure to a tenure-track position normally requires:

- a Ph.D. in mathematics, applied mathematics, or a related field;
- positive evidence of substantial achievement and outstanding potential in mathematical research at the doctoral level and beyond;
- positive evidence of effective teaching ability.

Appointment of a mathematics education specialist at the rank of Assistant Professor without tenure to a tenure-track position normally requires strong evidence of excellent scholarship in mathematics education, including above average potential for research in mathematics education, and positive evidence of outstanding teaching ability.

The appointment of an individual who received the Ph.D. degree from Iowa State University requires a period of postdoctoral scholarly achievement attained independently of the local faculty and the establishment of a research program that is likewise independent of the local faculty.

Normally, appointment at the rank of Assistant Professor without tenure to a tenure-track position should be accompanied by at least a three-year probationary period. Such appointments having a probationary period of less than three years shall not be made without substantial evidence that the individual concerned will be fully qualified for tenure before the end of the probationary period. The Department does not anticipate making tenured appointments at the rank of Assistant Professor.

Appointments at the rank of Professor or Associate Professor are normally accompanied by tenure. The requirements and criteria for such appointments shall be at least as stringent as the requirements and criteria for internally obtaining tenure and promotion to these ranks. See §14 for a discussion of the latter. The Search Committee and the Chair shall endeavor to obtain independent confirmation, outside of an applicant's submissions and letters of reference, that these requirements and criteria are met. The Department does not anticipate making untenured

appointments at the rank of Professor or Associate Professor. However, should such an appointment be considered desirable, the requirements and criteria used shall be at least as stringent as the requirements and criteria for internally obtaining promotion to the relevant rank. Such appointments shall not be made without substantial evidence that the individual concerned is also qualified for tenure.

12. Faculty responsibilities

Normally, each faculty member is expected to participate in research, teaching, professional service, and institutional service. Some faculty may choose not to participate in research and/or professional service and should have compensatory adjustments made to their duties in the other areas. Each faculty member's responsibilities in each of these areas shall be stated in his or her *Position Responsibility Statement*. For a discussion of this statement, see §12.2.

The Chair will seek a volunteer among the Professors to serve as a mentor for any untenured faculty member. The mentor will advise and counsel the junior faculty member on how she or he can improve their performance in all areas of faculty responsibility. The mentor will also act as conduit to the Chair and as a mediating influence should the junior faculty member be concerned or dissatisfied with any aspects of her or his professional life.

12.1. Position responsibility areas

Here, we define the four areas of position responsibilities and describe some of their constituent activities. The first two areas are research and teaching. The last two areas of position responsibilities have traditionally been combined into one, often referred to as "service." In this Document, we differentiate between two kinds of service. In both cases, the fact that an individual is a mathematician or faculty member should play a direct role in his or her suitability and selection for performing the activity. The differentiation between the categories of professional service and institutional service is made according to who are the primary beneficiaries of the service activity. If these are the mathematical or scientific communities or

their members, then the activity is included in professional service. If the primary beneficiary is a unit of the University, or the University as a whole, or institutions in the State of Iowa, then the activity is included in institutional service.

Research

In this Document, research encompasses all activities that are connected with advances in the knowledge and application of mathematics and its related and dependent disciplines that require original and creative effort and accomplishment. The results of the creative effort have to be communicated to the mathematics community and, when appropriate due to their applicability, to workers in other disciplines. It is, of course, impossible to directly monitor or judge the creative process; one must instead focus on results and effects instead of the process by which these were obtained and affected.

Examples of research related activities include the following.

- Based on one's research results, writing papers for journals, books, papers for conference or workshop proceedings, research monographs, graduate texts, or chapters in books.
- Giving talks based on one's research results at conferences and workshops or in colloquium or seminar series at other universities.
- Serving as the major advisor to students at all levels who are involved in research.
- Obtaining internal and external funding for one's research program.

Teaching

In this Document, teaching encompasses all activities that are connected with the delivery of knowledge to students and others through formal avenues such as courses.

Examples of teaching activities include the following.

- Any activity directly related to a course for which one serves as an instructor, including the preparation of a syllabus, a course description, exams and quizzes, lecture notes, homework, projects, reading lists, other hand-outs, etc., the delivery of lectures, the grading of the work of students, consultation with students, and participation in committees that oversee multi-section courses.

- Any activity related to curricular development including the design of a new course or the change of an existing course.
- Any activity related to methods and techniques of teaching including the use of computers or other technology.
- Participation in seminars, workshops, conferences or other programs having as their goal the improvement of teaching practices.
- Publications on teaching methods and practices that do not primarily involve research results about the methods and practices.
- Internal or external funding directly aimed at one or more teaching activities as just defined.

Professional Service

Professional service includes those activities which primarily benefit the mathematical and scientific communities and their members. Excluded from this category are activities that are primarily related or beneficial to an individual's research or teaching activities or that primarily benefit the University or one of its units.

Examples of professional service activities include the following.

- Serving on the editorial boards of professional journals or book series.
- Publishing reviews of mathematics or mathematics related books and articles.
- Refereeing articles, grant proposals, and books and other types of peer review.
- Writing letters concerning promotion and tenure cases at other institutions or for professional awards and honors.
- Participating in or serving on the organizing or program committee for professional conferences, symposia, or workshops.
- Working for granting agencies, on the boards of professional organizations, or on review or advisory panels that require the use of mathematical expertise.
- Serving on state or national committees whose work requires the use of mathematical expertise.
- Writing lecture notes or textbooks.
- Serving as an external examiner for student dissertations and theses at other institutions.

- Consulting and advising activities, including remunerated ones, with private and public organizations that are not of direct benefit to an individual's research or teaching activities, e.g., giving expert testimony or advice at judicial proceedings, advising industrial organizations on their research and development programs, serving as external reviewers for mathematics programs at other institutions, etc.
- Activities that enhance the public awareness of mathematics as a discipline or as a profession.
- Public relation activities concerning the profession of mathematics.
- Administrative service in state and national organizations connected with the discipline.

Institutional service

Institutional service includes those activities which primarily benefit the University or its units or the State of Iowa and its institutions. University service includes formal participation in activities undertaken in support of the University's missions in teaching, research, and outreach but which do not directly or primarily involve any of these. Community service includes any participation in civic, political, educational, or community organizations that enhances the welfare of the community or the state.

Examples of University service activities include the following.

- Service on Departmental, College, or University committees.
- Administration of Departmental computer networks.
- Editing the Departmental newsletter, developing of the Department's web site, and other activities that publicize the Department, its staff, and its activities.
- Organizing, in the logistical sense, seminars, talks, and training sessions within the University.
- Obtaining funding for Departmental or University activities through means other than teaching or research grants. This includes, e.g., donations from individuals and companies.
- Giving talks at high schools or colleges for the purpose of recruiting students to the Department's undergraduate or graduate programs.

- Advising students other than research advisees on their Programs of Study, on career choices, and on other matters related to the student's studies.
- Serving on Program of Study committees, both within and outside the Department, in a role other than major professor.
- Obtaining infrastructure, equipment, or training grants having primary impact beyond one's own research and teaching activities.
- Advising and mentoring of junior faculty.
- Public relation activities on behalf of the University or one of its units.
- Serving as course coordinator for multi-section courses.
- Maintenance of resource materials for Departmental activities, including materials related to teaching research, and obtaining funding.
- Serving as a faculty advisor to a student club or organization.

Examples of community service activities that qualify as institutional service include the following.

- Serving as an advisor to community schools, e.g., elementary and secondary schools.
- Serving as an organizer, manager, or advisor to a mathematics-related club or organization in an elementary or secondary school or in the community.
- Volunteering as a teacher aide in local schools.
- Serving in appointed governmental positions.
- Serving charitable or nonprofit organizations in their on-campus activities, e.g., serving as the Departmental United Way representative.

12.2. The Position Responsibility Statement

Every tenured and tenure-track faculty member of the Department shall have a Position Responsibility Statement (PRS). The guidelines for the preparation of a PRS and for subsequent changes to a PRS are given in the Faculty Handbook. Quoting from that document, we have that the PRS is “a tool that allows for a flexible and individual system of faculty review.” The PRS is to be used as a basis for the review, evaluation, promotion, and tenure of Faculty.

Details concerning the PRS, including the nature of its content, are given in the Faculty Handbook. Here we give some highlights and some additional details specific to the Department.

- The content of the PRS shall be determined through the mutual consultation and agreement between the individual faculty member and the Chair. In the assignment of faculty responsibilities, the Chair and the faculty member should consider the needs of the Department and the specific interests of the individual faculty member.
- A PRS cannot be changed unilaterally by either the Chair or the faculty member. If the faculty member and the Chair cannot agree on a PRS, then the Chair will prepare one and give it to the faculty member. The faculty member then has the right to appeal the PRS through the grievance procedures described in §10.
- A faculty member or the Chair may request a change to the faculty member's PRS at any time. Changes are effected through the mutual consultation and agreement between the individual faculty member and the Chair. Any changes take effect the fall semester following the time that the changes are agreed to by the Chair and the faculty member. If the faculty member and the Chair cannot agree on changes to the PRS, then the Chair will prepare one and give it to the faculty member. The faculty member then has the right to appeal the PRS through the grievance procedures described in §10.
- A newly hired tenure-track faculty shall have a PRS in effect that describes the faculty member's planned and expected activities for the entire probationary period.
- The PRS for Professors shall be thoroughly reviewed every seven years, that for other tenured faculty every five years, and that for untenured faculty every three years. The review will be conducted by the Chair and the affected faculty member. Changes are effected and take effect as indicated above.
- The PRS for an untenured faculty member should be consistent with the Department's expectations for promotion and tenure.
- The PRS shall include statements about the faculty member's responsibilities in research, teaching, professional service, and institutional service. Although great detail is not necessary or desirable, enough detail should be included so that it is clear to the Chair, the faculty member, and anyone else in the University community that reads the PRS, what is expected of the faculty member. In particular, teaching loads, planned curricular

activities, administrative responsibilities, research expectations, and professional and institutional service plans should be clearly stated along with, when applicable, goals and time lines for the completion of an activity.

- Whenever the Chair discusses a review or evaluation of a faculty member, either orally or in writing, the Chair will use the PRS as a basis and context for that discussion. This includes communications with the faculty member and with the Dean of the College and other University officials.

12.3 Position Responsibility Portfolios and Files

The Department will keep an up-to-date curriculum vita, four Position Responsibility Portfolios, and four Position Responsibility Files for each faculty member. Each Position Responsibility Portfolio contains any material that the individual faculty member wishes to place there as well as factual information concerning the faculty member's performance in the corresponding position responsibility area, regardless of its source. Each Position Responsibility File contains evaluative information concerning the faculty member's performance in the corresponding position responsibility area, e.g., solicited or unsolicited letters, reports from peer reviewers, etc. Faculty members do not have access to their Position Responsibility Files but shall be informed about their content in general terms, without violating confidentiality and according to applicable University, State, and Federal government rules and regulations.

The typical contents of the four Position Responsibility Portfolios and Files are as follows.

The research portfolio and file

A research portfolio should contain the items listed below, whenever available and applicable.

- A summary of portfolio contents.
- A description of current research program, including accomplishments, and future goals and directions.
- A list of publications related to the individuals research, organized as follows:
 - authored books and monographs published or in press

- edited books published or in press
- articles published or accepted for publication in refereed journals
- papers published or accepted for publication in refereed conference or workshop proceedings
- chapters in books published or accepted
- submitted manuscripts to invited or refereed organs
- unrefereed publications
- A copy of every publication listed in the individual's curriculum vita.
- A list of research conference and workshop talks presented, organized as follows:
 - plenary conference and workshop talks
 - invited conference and workshop talks that were externally funded
 - other invited conference and workshop talks
 - contributed conference or workshop talks or posters
 - remunerated talks at other institutions, including talks in colloquium and seminar series
 - other talks presented, including talks at the University.
- A history of external funding for the individual's research program
- A list of training activities related to research, including the following:
 - a record, including year and title of dissertation and subsequent employment history, of Ph.D. students for whom the individual served as the major professor
 - a record, including subject of research and subsequent employment history, of post-doctoral associates for whom the individual served as an advisor or co-worker
 - a record of advising M.S. students on the Master's theses or Creative Components, if these required effort that can be characterized as genuinely being research, e.g., leading to a publication
 - a record of advising undergraduate students on projects, if these required effort that can be characterized as genuinely being research, e.g., leading to a publication.
- A list of collaborations and collaborative interactions, including the following:
 - a record of long and short term visits by the individual faculty to other institutions that were motivated by the desire to collaborate with other researchers; the record

- should indicate whether or not the visit was an invited one and whether or not remuneration was received
- a record of long and short term visitors to the Department whose visit was motivated by a desire to work with the individual faculty member
 - a record of long and short term visitors to the Department whose visit, although not initially motivated by a desire to work with the individual faculty member, resulted in such collaboration.
- Documentation of any awards and honors received for one's research.
 - Critical and other reviews of the individual's research program, including the following:
 - reviews of articles published
 - reviews obtained for submitted papers and books
 - reviews obtained for funding proposals
 - reviews of books authored or edited by the individual.
 - A documented record of citation counts.

A research file could contain solicited and unsolicited letters about a faculty member's research accomplishments.

The teaching portfolio and file

A teaching portfolio could contain the following whenever available and applicable.

Required

- summary of portfolio contents
- summary of teaching accomplishments, similar to what would appear in a curriculum vita or a Performance and Growth statement
- the results of student evaluation for every course taught including the written comments of students
- documentation of teaching awards

Recommended

- syllabi
- descriptions of courses taught, including description of course content
- statement describing grading procedure
- sample assignments, exams, and quizzes

- a description of teaching philosophy, current activities, and planned activities related to teaching
- other course material.

Optional

- reading lists
- descriptions of the use of computers and other technology in teaching
- descriptions of the use of novel teaching methods, e.g., group learning activities
- copies of student papers
- copies of graded work with comments to the student
- materials handed out in class
- documentation of participation as a presenter in seminars, conferences, workshops, or other professional meetings on teaching
- documentation of curricular development and reform activities
- publications on teaching
- documentation of grant activity related to teaching
- documentation of participation in workshops and other forums aimed at personal improvement in teaching.

A teaching file could contain the following.

- Solicited and unsolicited letters from students, other University faculty, and other internal sources.
- Solicited and unsolicited letters from alumni, relatives of students, and other external sources.
- Peer reviews of teaching activities including those resulting from classroom visits.
- Written statements summarizing student comments at exit and other interviews; the student making the comment shall be identified. The statement shall be prepared by and signed by the person conducting the interview.

The Professional Service and Institutional Service Portfolios and Files

The Professional Service and Institutional Service Portfolios should contain a record describing each activity, and where practical, an estimate of the time devoted to the activity,

a description of the effect the activity had on those being served, and any other supporting documentation the faculty member cares to include. The Professional Service and Institutional Service Portfolios Files can include information such as solicited and unsolicited testimonials or criticisms and other information relevant to the faculty member's performance in a professional service or institutional service activity.

13. Annual review and evaluation of faculty

As mandated by the University, each year the performance of each faculty member shall be reviewed and evaluated. In fact, all personnel of the Department are subject to yearly review and evaluation. For Merit and Professional and Scientific staff, the review process is governed by other documents. If needed, the review and evaluation of temporary and visiting faculty, both as to procedure and criteria, is determined and effected by the Chair. Thus, the purpose of this section of the Document is to give a comprehensive presentation of the goals, procedures, and criteria to be used in the review and evaluation of tenured and tenure-track faculty.

The review and evaluation of Faculty has the following goals:

- to aid individual faculty in their professional growth and development and to alert them about their progress towards promotion and tenure, if applicable;
- to promote the proper growth and development of the Department;
- to help the Chair make informed decisions about matters that affect an individual faculty member.

The review and evaluation process should be governed by the following principles:

- they should be fair and consistent to both individuals and to the Department;
- they should be conducted in a manner that advances the individual and the Department towards their respective goals;
- all decisions should be amenable to both individual faculty and the Chair;
- junior faculty should have available to them the advice of senior faculty on all matters related to the review and evaluation process, including how to prepare documentary

materials for use in the process and how to conduct themselves so that they can best meet expectations;

- there should exist avenues for appeal by faculty dissatisfied with their outcome.

13.1 Responsibilities and rights of the faculty member

The Faculty, acting as individuals, have specific rights and responsibilities within the review and evaluation processes.

- Every faculty member has the right, at any time, to add to or review the contents of his or her Position Responsibility Portfolios or to submit a revised curriculum vita. The faculty member does not have the right to examine the contents of their Position Responsibility Files; however, they have the right to be informed about their content in general terms, without violating confidentiality and according to applicable University and State and Federal government rules.
- Every faculty member is responsible for having a Position Responsibility Statement that accurately reflects her or his activities as a faculty member. If the Position Responsibility Statement in effect is not satisfactory to the individual, they should request a review and change of the document, following the procedure described in §12.2.
- Every faculty member has the responsibility of having an up-to-date curriculum vita in his or her file; faculty members shall use a Department supplied template when preparing her or his own vita.
- Every faculty member is responsible for collecting, preparing, organizing, documenting, and verifying factual information about all aspects of his or her performance in meeting the goals and expectations stated in his or her Position Responsibility Statement. This includes submitting any required documents, e.g., Performance and Growth forms, and the upkeep of the Position Responsibility Portfolios and the curriculum vita used by the Department in the review and evaluation processes.
- Every faculty member has the right and responsibility to review the factual information used in her or his performance review and evaluation. This aspect is crucial to the review and evaluation processes since the only factual information that will be used in those processes is factual information that has been reviewed by the faculty member, regardless of whether the information was submitted by the faculty member themselves or obtained

from other sources. If a faculty member disputes any of the factual information contained in his or her Position Responsibility Portfolios, he or she has the right to notify the Committee about the location and nature of the disputed information. In case a faculty member disputes any of this information and the Committee's opinion is that that information is correct, the disputed information will remain in place but the faculty member has the right to include a statement in the appropriate portfolio that includes a clear definition of the disputed information and provides his or her version of that information. The faculty member also has the right to appeal the Committee's decision through the grievance procedures described in § 10.

- Whenever a faculty member is not satisfied with the outcome of the Departmental review and evaluation processes, he or she has the right to dispute it. This may take the form of a written rebuttal that is included in the material sent to the Dean of the College or an appeal through any of the grievance processes described in § 10.

13.2 Responsibilities of the Chair

The Chair has specific responsibilities within the review and evaluation processes.

- The Chair shall review and evaluate each member of the faculty every year.
- The Chair is responsible for having position Responsibility Statements that accurately reflect her or his expectations for each faculty member. If the Position Responsibility Statement in effect for a faculty member is not satisfactory to the Chair, she or he should request a review and change of the document, following the procedure described in §12.2.
- The Chair shall give a written statement to each faculty member that includes her or his evaluation of the faculty member's performance in each of the four Position Responsibility Areas, and if applicable, her or his opinion about the individual's progress towards promotion and/or tenure. The written statement should be accompanied by a clear, written definition of any scales used in the evaluation. The written evaluation will be forwarded to the Dean of the College.
- The Chair shall use the advice of Departmental committees formed for that purpose in her or his review and evaluation of the Faculty.

13.3 Review and evaluation committees

There shall be three committees formed to assist the Chair in the annual review and evaluation of the Faculty. The composition and duties of each of these committees are as follows.

Tenured Faculty Review and Evaluation Committee

The charter of the Tenured Faculty Review and Evaluation Committee is to advise the Chair about the performance of tenured faculty within all areas of responsibility. The determination of which Faculty are reviewed by the Tenured Faculty Review and Evaluation Committee in any given year is discussed in §13.4.

The Tenured Faculty Review and Evaluation Committee shall consist of four members of the faculty having the rank of professor, to be selected as follows.

- Two members of the tenured faculty having the rank of Professor elected by the tenured Professors, each having one vote. Each elected member serves for a two-year term, with the terms staggered excepting for the first year that this Document is in effect during which the two elected members receiving the highest number of votes serve for two years and the elected member receiving the third highest number of votes serves for one year. Nominations for election to the Tenured Faculty Review and Evaluation Committee are to be solicited by the Chair.
- Two members of the tenured faculty having the rank of Professor appointed by the Chair, each having one vote. The appointed members nominally serve for two years but serve at the discretion of the Chair.
- No Professor subject to review by the Committee may serve during the year of that review, regardless of whether the review occurs at the regular interval or has been requested by the individual. Any member of the Committee subject to such review shall be replaced, as the case may be, either through a special election or through appointment by the Chair.

No appointed or elected faculty member may serve for more than two consecutive terms, either by election or appointment or through a combination of the two.

Each year, the first meeting of the Tenured Faculty Review and Evaluation Committee will be convened and chaired by the Chair. At this meeting, the Committee will elect a chair who will call and chair subsequent meetings of the Committee.

The duties of the Tenured Faculty Review and Evaluation Committee within the faculty review and evaluation processes consists of the following.

- To request and gather information from all appropriate sources to be placed in the four Position Responsibility Portfolios and the four Position Responsibility Files of the faculty member being reviewed.
- To review all information contained in the curriculum vita, the four Position Responsibility Portfolios, and the four Position Responsibility Files of the faculty member being reviewed.
- To attend classroom lectures delivered by individuals being evaluated.
- To obtain a statement from the faculty member being reviewed indicating that the factual information contained in their curriculum vita and four Position Responsibility Portfolios is accurate or, if the faculty member does not believe this to be true, indicating the location and nature of the inaccurate information. In case the faculty member disputes any of this information and the Committee's opinion is that that information is correct, the disputed information will remain in place but the faculty member has the right to include a statement in the appropriate portfolio that includes a clear definition of the disputed information and providing his or her version of that information. The faculty member also has the right to appeal the Committee's decision through the grievance procedures described in §10.
- To write a report to the Chair that includes an evaluation of the faculty member's performance in each of the four Position Responsibility Areas. This report is to be completed by February 28 and shall be made available to the faculty member being reviewed. The report should be accompanied by a clear definition of any scales used in the evaluation. The report shall not be forwarded to the Dean. However, a faculty member can attach the report of the Tenured Faculty Review and Evaluation Committee to any written response or rebuttal she or he makes to the Chair's evaluation.

- To advise faculty members on how they may make better progress towards meeting their goals, including promotion.
- To advise the Chair on which faculty members should be considered for promotion and which should be considered for nomination for Department, College, or University awards and honors.
- To advise the Chair on which faculty should have their Position Responsibility Statements changed.

Untenured Faculty Review and Evaluation Committee

The charter of the Untenured Faculty Review and Evaluation Committee is to advise the Chair about the performance of untenured faculty within all areas of responsibility. Among all review and evaluation committees, this committee is the most important since its advice is used to judge the performance and progress towards tenure of untenured faculty and to give that faculty advice for improving their performance and prospects for tenure. The determination of which faculty are reviewed by the Untenured Faculty Review and Evaluation Committee in any given year is discussed in §13.4.

The Untenured Faculty Review and Evaluation Committee shall consist of 3, 4 or 5 members of the faculty, to be selected as follows.

- Two members of the tenured faculty elected by the tenured faculty, each having one vote. Each elected member serves for a two-year term, with the terms staggered. Nominations for election to the Untenured Faculty Review and Evaluation Committee are to be solicited by the Chair.
- 1, 2 or 3 members of the tenured faculty appointed by the Chair, each having one vote. The Chair will determine the committee size based on the number of untenured faculty to be reviewed. The appointed members nominally serve for two years but serve at the discretion of the Chair.

No appointed or elected faculty member may serve for more than two consecutive terms, either by election or appointment or through a combination of the two.

Each year, the first meeting of the Untenured Faculty Review and Evaluation Committee will be convened and chaired by the Chair. At this meeting, the Committee will elect a chair who will call and chair subsequent meetings of the Committee.

The duties of the Untenured Faculty Review and Evaluation Committee within the faculty review and evaluation processes consist of the following.

- To request and gather information from all appropriate sources to be placed in the four Position Responsibility Portfolios and the four Position Responsibility Files of the faculty member being reviewed.
- To review all information contained in the curriculum vita, the four Position Responsibility Portfolios, and the four Position Responsibility Files of the faculty member being reviewed.
- To attend classroom lectures delivered by individuals being evaluated.
- To obtain a statement from the faculty member being reviewed indicating that the factual information contained in their curriculum vita and four Position Responsibility Portfolios is accurate or, if the faculty member does not believe this to be true, indicating the location and nature of the inaccurate information. In case the faculty member disputes any of this information and the Committee's opinion is that that information is correct, the disputed information will remain in place but the faculty member has the right to include a statement in the appropriate portfolio that includes a clear definition of the disputed information and providing his or her version of that information. The faculty member also has the right to appeal the Committee's decision through the grievance procedures described in §10.
- To write a report to the Chair that includes an evaluation of the faculty member's performance in each or the four Position Responsibility Areas. This report shall be completed by February 28 and be made available to the faculty member being reviewed. The faculty member has the right to give the Chair a statement rebutting any aspect of the Committee's evaluation statement. The report shall not be forwarded to the Dean. However, a faculty member can attach the report of the Untenured Faculty Review and Evaluation Committee to any written response or rebuttal she or he makes to the Chair's evaluation.

- To advise the Chair on a faculty member's progress, or lack thereof, towards tenure.
- To advise faculty members on how they may make better progress towards tenure.
- To advise the Chair on which faculty members should be considered for early promotion or tenure and which should be considered for nomination for Department, College, or University awards and honors.
- To advise the Chair on whether a faculty member should be reappointed.

13.4 Review and evaluation guidelines and procedures

The review and evaluation of a faculty member's performance is conducted by the Chair with the advice of the Faculty Review and Evaluation Committee appropriate for the individual's tenure status or, in case the individual is considered for tenure and or promotion that year, by the appropriate Promotion and Tenure Committee. The responsibilities of the Chair within the review and evaluation process are given in §13.1. The responsibilities of the Faculty Review and Evaluation Committees are given in §13.3. The responsibilities of the Promotion and Tenure Committees are given in §14.2.

General guidelines and procedures

The timing of the faculty review and evaluation processes is given as follows.

- The Chair will review and evaluate every faculty member every year.
- The Faculty Review and Evaluation Committees will conduct reviews and evaluations of tenured Professors every seven years, other tenured faculty every three years, and untenured tenure-track faculty annually, except if the review year coincides with one in which a faculty member is considered for tenure and/or promotion.
- One-seventh of the Professors and one-third of other tenured faculty will be reviewed each year by the Tenured Faculty Review and Evaluation Committee. The distribution of faculty to be reviewed will be determined at random by the Chair upon adoption of this Document.
- Whenever, either through hiring or promotion, new faculty enter the rank of Professor or Associate Professor, they will not be reviewed or evaluated by a Faculty Review and Evaluation Committee for seven or three years, respectively.

- Every faculty member has the right to, at any time, request and then be given a review and evaluation by the appropriate Faculty Review and Evaluation Committee. A faculty member requesting such a review must declare so in writing to the Chair before the start of the fall semester of the academic year during which the faculty member wishes to be reviewed.
- In any year that a faculty member is not reviewed by a Faculty Review and Evaluation Committee or is not considered for tenure and/or promotion, the Chair, for her or his review and evaluation of the faculty member, will use the advice generated by the committee that last reviewed and evaluated the individual; this may have been a Faculty Review and Evaluation Committee or a Promotion and Tenure Committee.
- The Faculty Review and Evaluation Committees shall conduct their reviews and evaluations during the first two months of the spring semester. For the review and evaluation of an individual's performance, the Committee will primarily use detailed information about a faculty member's performance during the previous calendar year. However, it may choose to look at earlier information to determine trends over periods longer than one year.
- After the Faculty Review and Evaluation Committees have completed their deliberations, there shall be meetings of the Associate Professor Promotion Committee and the Assistant Professor Promotion and Tenure Committee. For a description of the composition of these committees, see §14.2. At the meeting of the Associate Professor Promotion Committee, the Tenured Faculty Review Committee will present a summary of their review and evaluation of tenured faculty below the rank of Professor. At the meeting of the Assistant Professor Promotion and Tenure Committee, the Untenured Faculty Review Committee will present a summary of their review and evaluation of untenured tenure-track faculty. The purposes of both meetings are to inform the Promotion and Tenure Committees about the progress of faculty towards tenure and promotion and to allow those committees the opportunity to provide their advice to the Faculty Review and Evaluation Committees and the Chair about the performance of the faculty being reviewed and evaluated. Although the meetings of the Promotion and Tenure Committees have only informational and advisory purposes, votes may be taken

that serve to express the sentiment of these committees on issues such as prospects for reappointment, early promotion, promotion, early tenure, and tenure.

- After the meetings of the Promotion and Tenure Committees, the Faculty Review and Evaluation Committees will write their reports and submit them to the Chair.
- The Chair shall endeavor to complete his or her review and evaluation of the faculty by March 31.

In special circumstances, e.g., to respond to an offer from another institution to a faculty member, the appropriate Faculty Review and Evaluation Committee and the Chair may be called upon to conduct a review and evaluation of the faculty member at other times during the year. Such reviews will follow the steps given above, except, of course, for their timing.

Some general guidelines that shall be used in the review and evaluation processes are given as follows.

- The review and evaluation of a faculty member's performance in all four Position Responsibility Areas is based on joint consideration of the individual's Position Responsibility Statement and the information contained in the individual's curriculum vita, Position Responsibility Portfolios, and Position Responsibility Files. In particular, the evaluation should be conducted relative to the faculty member's responsibilities as given in her or his Position Responsibility Statement.
- Likewise, any written report given to the individual, placed in their files, or forwarded to the Dean of the College, shall explain the evaluation given the faculty member in the context of their Position Responsibility Statement.
- In the review process, every reasonable attempt shall be made to gather all relevant factual information and, whenever possible, to also gather evaluative information about an individual's performance.

Some guidelines specific to the four areas of responsibility that shall be used in the review and evaluation processes are given as follows.

Research

Research cannot be evaluated directly, e.g., by observation; one can only evaluate its results and effects. The primary method for evaluating the quality of a research program is to use the judgment of qualified peers. Although such judgments can be aided by a number of quantitative measures, e.g., number of published papers, number of invited talks, number of grants, etc., in the end the most important factors are subjective in nature, e.g., quality of the papers and the journal they appear in, quality of the conferences at which the talks are given, etc. An individual's Research Portfolios and Files, if they contain the information described in §12.3, should provide a basis for the sound judgment by peers of an individual's research program. Again, it should be emphasized that although numbers are not unimportant, consistent quality is paramount. In fact, numbers are important only to verify the consistency of quality.

Some specific guidelines applicable to the evaluation of research are as follows.

- Within the Annual Faculty Review and Evaluation Process, the peer review of publications and other results and effects of an individual's research is normally conducted within the Department. The opinion of specialists within the Department in the area of research of the publication or activity will be heavily relied upon. It is especially important that the Chair avail himself or herself of such opinions, especially in case he or she is not expert or knowledgeable in the relevant area of research. Under unusual circumstances, e.g., there is no faculty member in the Department capable of making a sound judgment, it may be necessary to consult experts outside the Department.
- The Department recognizes that there is often a substantial lag between the acceptance of a paper and its publication. Thus, the Department will consider an accepted paper to be the equivalent of a published paper and use the same criteria, e.g., quality of journal, to judge the worth of both published and accepted papers. Submitted papers, however, carry little weight within the Departmental evaluation process unless there is independent evidence, e.g., direct review of the paper by peers, of its quality. These considerations are especially important for junior faculty who may not have had sufficient time to produce a substantial body of published work.
- The Department values interdisciplinary research; the results of such research, if it is genuinely interdisciplinary, should be of interest to researchers in all the disciplines

involved. Thus, the Department values publications in non-mathematical organs, e.g., engineering or science journals, and shall treat such publications as equals to those published in mathematical organs. However, interdisciplinary research should also at times result in new and interesting mathematics so that the Department does expect research mathematicians to regularly publish in mathematical organs.

- The Department values collaborative research and the fact that such research is now more commonplace, especially in interdisciplinary settings. Thus, the Department values joint publications almost as much as single-authored ones, provided that the individual being evaluated has made a significant contribution in obtaining the results contained in the publication. The Department will endeavor to ascertain the importance of an individual's contribution to a joint publication by, e.g., consulting with co-authors.
- The Department also values other information that attests to the quality of an individual's research program and to his or her reputation as a research mathematician. External funding, invited talks, and invited papers and book chapters are some such indicators. As in all information used in the review process, the Department shall endeavor to determine the quality as well as the quantity of an activity.

Teaching

The evaluation of teaching performance, whether by students, colleagues, or administrators is notoriously subjective in nature. One may, for example, confuse popularity with genuine effectiveness, whereas either of these frequently correlated attributes may be present without the other. Similarly, highly visible participation in professional societies or publishing about teaching may often be, but is not necessarily, correlated with effectiveness in the classroom. For such reasons, it is necessary that the evaluation for teaching performance rely on both all available "hard" evidence, e.g., ratings on student evaluations, student performance in subsequent classes or positions, etc., and to informed subjective evaluations, e.g., colleagues' opinions derived from classroom observation, solicited and unsolicited letters, etc. Weight should also be given to the breadth of an individual's teaching. For example, consideration should be given to the variety of courses she or he teaches, with respect to both courses within and outside their specialty and to courses at all levels. Consideration should also be given to the

variety of teaching activities the individual engages in, e.g., classroom instruction, curricular development, teaching materials development, etc.

Some specific guidelines applicable to the use of student evaluations are as follows.

- The evaluation of the results of student evaluations should consist of more than just an examination of a single number, i.e., the overall evaluation. The answers to all questions should be examined and if possible, compared to the corresponding Departmental averages. Student responses about the quality and effectiveness of the instructor should be correlated with grades expected and grades received and with their responses to questions about other factors such as the quality of the textbook and the classroom environment. Special consideration should be given to the written comments of students.
- The Department shall have a Student Evaluation Form that includes any questions mandated by the College or University as well as other questions that can be used to obtain the information just discussed.

Some specific guidelines applicable to the use of peer reviews of classroom performance are as follows.

- The peer review and evaluation of classroom performance should include classroom observation and an examination and evaluation of supporting materials available to students, exams and quizzes, grades given, etc., all of which should be contained in an individual's Teaching Portfolio. In addition, evaluators should meet with the individual being evaluated after the classroom visit.
- Among the most important factors judged during classroom observations are how material is presented and the interaction with students.

The contents of the teaching Portfolio, discussions with the faculty member being reviewed, and interviews with students may provide additional information about the teaching performance of the individual being evaluated.

Professional service and institutional service

The relevant Faculty Review and Evaluation Committee and the Chair will endeavor to seek, and the faculty member may submit documentation that speaks to the quality of the faculty member's performance in the areas of professional service and institutional service. For example, if a faculty member has written a textbook, reviews of the book and a list of institutions that have adopted the book may be used as evaluative information. Evaluative information will be sought wherever appropriate and available, e.g., for course coordinators and for other mostly Department-related activities. Solicited or unsolicited testimonials or criticisms, as long as they are in writing and not hearsay, may also be used as evaluative information in the areas of professional service and institutional service.

14. Reappointment, tenure and promotion

Formulating recommendations in tenure cases is the most important task the Department faces. Formulating recommendations in reappointment and promotion cases is also of great importance. Thus, it is imperative that the tenure and promotion process be comprehensive in its scope and fair to both the individual concerned and the Department.

This Document sets forth standards and procedures for the promotion and tenure of Department of Mathematics Faculty and is designed to be supplementary to and consistent with all relevant Iowa State University and College of Liberal Arts and Science documents, especially the Faculty Handbook. Those documents should be consulted for details that may not be repeated or completely spelled out here.

14.1 Requirements for tenure and promotion

The University and College guidelines for tenure and promotion focus on the notion of scholarship as a broad umbrella for a variety of productive activities. The Department subscribes to this notion and encourages all faculty to excel in all areas of faculty responsibility. However, the Department chooses to set forth more stringent standards for tenure and promotion. For

promotion to the rank of Associate Professor or Professor or for the granting of tenure, the Department requires

- *for faculty other than specialists in mathematics education*
excellence in research and effectiveness in teaching, professional service, and institution service.
- *for faculty that are specialists in mathematics education*
excellent achievement in scholarship, with significant components in each of research and teaching, and effectiveness in professional service and institutional service.

14.2 Promotion and tenure committees

There shall be two committees formed to assist the Chair in making recommendations on tenure and promotion to the Dean of the College and other University administrators. The composition and duties of each of these committees is as follows.

Assistant Professor Promotion and Tenure Committee

The charter of the Assistant Professor Promotion and Tenure Committee is to review and evaluate the credentials of untenured faculty that are being considered for tenure and for promotion to the rank of Associate Professor and to make a recommendation on whether or not a candidate should be promoted and granted tenure. The Committee also has a role in the annual review and evaluation of Faculty; see §13.4. The composition of the Assistant Professor Promotion and Tenure Committee is all tenured faculty having the rank of Professor or Associate Professor. The duties of the Assistant Professor Promotion and Tenure Committee are to meet and discuss the cases for promotion to the rank of Associate Professor and tenure prepared by Individual Review Teams and to vote on the recommendations of those teams. The composition and duties of an Individual Review Team is described below.

The Assistant Professor Promotion and Tenure committee shall also serve as the tenure committee for untenured associated professors being considered for tenure.

Associate Professor Promotion Committee

The charter of the Associate Professor Promotion Committee is to review and evaluate the credentials of tenured Associate Professors that are being considered for promotion to the rank of Professor and to make a recommendation on whether or not a candidate should be promoted. The Committee also has a role in the annual review and evaluation of Faculty; see §13.4. The composition of the Associate Professor Promotion Committee is all faculty having the rank of Professor. The duties of the Associate Professor Promotion Committee are to meet and discuss the cases for promotion to the rank of Professors prepared by Individual Review Teams and to vote on the recommendations of those teams. The composition and duties of an Individual Review Team is described below.

The Associate Professor Promotion and Tenure Committee shall also serve as the tenure committee for untenured professors being considered for tenure.

Individual Review Team

Whenever an individual faculty member is to be considered for tenure and/or promotion, there shall be a subcommittee, named the Individual Review Team (IRT) of the Assistant Professor and Tenure Committee or the Associate Professor Promotion Committee, whichever is relevant, specifically formed for that individual. The IRT consists of four members appointed by the Chair from among the members of the parent promotion and tenure committee. The Chair shall appoint one of the five IRT members to serve as the Chair of the IRT. Although the individual to be considered has the right to suggest names of faculty that she or he would like to be included or excluded from their IRT, the composition of the committee is determined by the Chair. The IRT shall gather, organize, and examine all necessary information that is to be used in Departmental deliberations about the individual's candidacy for tenure and/or promotion and to make a recommendation to its parent committee as to whether or not the individual should be granted tenure and/or promotion.

14.3 Reappointment, promotion, and tenure procedures

The Departmental procedures for the reappointment, promotion, and tenuring of tenure-track or tenured faculty shall conform with all College and University procedures for such processes. The procedures to be used by the Department are described as follows.

Reappointment

Untenured faculty that are in a tenure-track position are reviewed and evaluated every year, both by the Untenured Faculty Review and Evaluation Committee and the Chair. See §13 for a description of this process. An especially thorough and comprehensive version of this review and evaluation process shall be used whenever such a faculty member is being considered for reappointment. Normally, no letters from external (to the University) reviewers are solicited. Upon completion of the Untenured Faculty Review and Evaluation Committee's review and evaluation of the individual faculty member, a process that shall include a meeting of that Committee, that Committee will make a recommendation to the Chair on the question of whether or not the individual should be reappointed. The Chair shall then make his or her decision on the same question and submit his or her recommendation to the Dean of the College. Any individual denied reappointment as the right to appeal the decision through the grievance channels described in §10.

The reappointment of temporary and visiting faculty is up to the discretion of the Chair.

Promotion and tenure

The procedure used by the Department and the Chair to formulate recommendations to the Dean of the College about granting tenure and promotion are as follows. In this list of steps, "spring semester" refers to the spring semester before the Department's recommendation is due to the Dean of the College, fall semester dates refer to the fall semester before the Department's recommendation is due to the Dean of the College, and "summer" refers to the period between the spring and fall semesters. "Tenure and/or promotion committee" refers whichever of the Assistant Professor Promotion and Tenure Committee or Associate Professor Promotion Committee is relevant to the case being considered. The individual has the right to appeal the

outcome of any step of the Department's process for their promotion and/or tenure case through the grievance channels described in §10.

- As described in §13, during the spring semester, the Chair will receive advice and recommendations from the Faculty Review and Evaluation Committees about which faculty should be considered, during the following academic year, for promotion to the rank of Professor or for early tenure. Before any further steps are taken, the affected individuals must agree to be considered for promotion to the rank of Professor or for early tenure, as the case may be. In addition, there may be faculty for whom a mandatory consideration, during the following academic year, of tenure is called for. Untenured Assistant Professors considered for tenure shall also be simultaneously considered for promotion to the rank of Associate Professor.
- There may be special, extenuating circumstances under which an individual may feel it is justified that his or her mandatory tenure consideration should be postponed. In this case, the individual shall file a written petition with the Chair and the Advisory Committee. The petition should provide sufficient information about the special, extenuating circumstances so that the Advisory Committee and the Chair can make informed decisions as to its merits. The Advisory Committee will consider the petition and advise the Chair as to its merits. The Chair then shall decide whether or not to recommend that the postponement be granted. If the Chair agrees that the postponement is warranted, he or she will submit to the Dean of the College a written request for such a postponement along with relevant supporting information. If the Chair decides that the postponement is not warranted, then the Department will proceed with its considerations.
- Before or near to the end of the spring semester, the Chair will appoint a separate Individual Review Team (IRT) for each individual that is to be considered for tenure and/or promotion during the following academic year.
- Before or near to the end of the spring semester, the IRT will solicit from the individual being considered a list consisting of at least four names of noted scholars external to Iowa State University who are expert in the individual's scholarly activities and who may be asked to write evaluation letters concerning those activities. The individual faculty member shall be informed of any College or University exclusionary rules in effect that can affect the individual's choice of names.

- Before or near to the end of the spring semester, the IRT will solicit from the individual being considered a second list consisting of at most four names of scholars external to the University whom the individual would not like to see asked to write an evaluation letter.
- Before or near to the end of the spring semester, the IRT and the Chair will formulate a list consisting of six names of scholars outside the University that will be asked to write letters evaluating the individual faculty member's scholarly achievements. At least two but not more than three of the names shall be chosen from the individual's list of suggested external evaluators. None of the remaining names may be chosen from the individual's exclusionary list. The IRT and Chair should also have an additional list of external evaluators that may be contacted should any members of the first list decline the request for evaluating the individual.
- Before or near to the end of the spring semester, the Chair will request that the individual being considered the following academic year prepare and submit, before or near to October 1, all factual information that they would like used in the Department's deliberations about their promotion and/or tenure case. This information shall be placed in the individual's Position Responsibility Portfolios.
- During the summer semester, the Chair will obtain the agreement of six external scholars that they will submit, before October 1, letters evaluating the individual faculty member's scholarly achievements. All letters received by the Chair will be used in all subsequent deliberations connected with the individual's case for promotion and/or tenure.
- Before or near to October 1, the IRT will gather and organize any additional factual and evaluative information that it would like used in the Department's deliberations about the individual's promotion and/or tenure case. Factual information shall be placed in the individual's Position Responsibility Portfolios while evaluative information shall be placed in the individual's Position Responsibility Files.
- The IRT will then request that the individual being considered submit an updated curriculum vita and to review the contents of their Position Responsibility Portfolios and to attest to the validity of the information contained therein. If there is any information in the Portfolios that the individual judges to be incorrect, it will either be corrected by mutual agreement between the individual and the IRT, or failing that, the individual has

the right to submit a written statement, to be included in the relevant portfolio, giving his or her version of the information.

- The IRT will then examine all information available on the individual being considered, discuss the merits of the case for tenure and/or promotion, and vote on a recommendation to make to the parent promotion and tenure committee.
- If there are individuals being considered for promotion and/or tenure that fall within their area of responsibility, the Assistant Professor Promotion and Tenure Committee and/or the Associate Professor Promotion Committee shall meet before the end of the fall semester. At this meeting, the IRT will make their recommendation for or against tenuring and/or promoting the individual being considered and present a summary of the information it has considered in reaching its decision. At this meeting, the Committee will vote, by paper ballot, on the question of whether or not it recommends that the individual be granted tenure and/or promotion. Any member of the Committee unable to attend the meeting may obtain upon request an absentee ballot to be cast by the end of the next business day.
- The result of the vote of the promotion and/or tenure committee is communicated by the Chair to the individual as soon as possible. Except in cases involving mandatory tenure consideration, the individual then informs, within three days, the Chair if they wish to have the consideration of their case terminated or continued. Neither the members of the IRT nor the Chair of the Department shall vote as members of the Assistant Professor Promotion and Tenure Committee or the Associate Professor Promotion and Tenure Committee. The documentation sent to the Dean shall include both the vote of the IRT and the vote of the Committee, as well as a total of the two. As described below, the Chair of the Department shall write a separate report to the Dean containing his or her recommendation.
- For cases involving mandatory tenure consideration or for which the individual has agreed to a continuation of consideration, the IRT shall prepare a draft of all necessary documents for submittal to the Dean of the College except for the Chair's recommendation. The Chair will examine the draft and make suggestions for improvement. The IRT will then prepare the final versions of the document, again

excepting the Chair's recommendation, and submit it to the Chair by the last day of the fall semester.

- The Chair will then formulate a decision on the question of whether or not he or she recommends that the individual be granted tenure and/or promotion. The Chair shall inform the relevant tenure and/or promotion committee and the individual being considered about the nature of his or her decision as soon as possible. Except in cases involving mandatory tenure consideration, the individual then informs, within three days, the Chair if they wish to have the consideration of their case terminated or continued.
- For cases involving mandatory tenure consideration or for which the individual has agreed to a continuation of consideration, the Chair will then add his recommendation to the document prepared by the IRT and submit the document to the Dean of the College by the deadline imposed by the College.

In special circumstances, e.g., to respond to an offer from another institution to a faculty member, the timing of the tenure and/or promotion procedure may differ from that given above. In such a case, the Chair will first obtain permission from the Dean of the College to consider the case outside the normal cycle for such cases. The Department's consideration of the case will then proceed following the steps listed above, except, of course, for their timing.

14.4 Promotion and tenure guidelines and criteria

As was stated in §14.1, the five requirements that can enter into the Department's positive outlook towards an individual's tenure and promotion are excellence in research, effective in teaching, effective in professional service, effective in institutional service, and excellent scholarship in research and teaching for the granting of tenure and the promotion of its Faculty. The last three requirements apply to Faculty that are mathematics education specialists while the first four requirements apply to all other Faculty. In this section, guidelines and criteria for how the Department shall determine if these requirements have been met are described.

Excellence in research

Excepting for cases involving specialists in mathematics education, the Department requires excellence in research for the granting of tenure or the promotion of an individual. The

guidelines for the evaluation of research given in §13.4 also apply to the tenure and promotion process.

In the assessment of whether or not an individual's research accomplishments can be judged to be excellent, certain indicators can be employed. The Department divides indicators into primary ones and secondary ones. It is understood that some indicators will be not applicable to some individuals and that individuals need not have every indicator in order for her or his research to be judged excellent. However, it is also understood that an individual needs to have a number of the primary indicators for such a positive assessment to be made. The secondary indicators can be used as supplementary evidence of the excellence of an individual's research.

Within each of the categories of primary and secondary indicators of excellence in research, the following lists are not ordered. However, it is understood that within the tenure and promotion process the most important indicators of quality of research are the quantity and quality of publications and the judgment of qualified external reviewers. The other indicators below are devices that can be used to confirm or reinforce the information provided by the two leading indicators.

The Department recognizes that there is often a substantial lag between the acceptance of a paper and its publication. Thus, the Department will consider an accepted paper to be the equivalent of a published paper and use the same criteria, e.g., quality of journal, to judge the worth of both published and accepted papers. Submitted papers, however, carry little weight within the Departmental evaluation process unless there is independent evidence, e.g., direct review of the paper by peers, of its quality. These considerations are especially important for faculty being considered for tenure who may not have had sufficient time to produce an extensive body of published work.

Indicators of excellence in research for tenure cases include but are not limited to:

- Primary indicators
 - very strong, positive letters of recommendation from external experts familiar with the research of the individual and the impact that that research has had on the work of others
 - consistent publication in journals of high quality
 - evidence of external research funding
 - invitations to give presentations at national and international research conferences and workshops
 - invitations to present colloquium and seminar talks at other research institutions
 - vigorous activity within Departmental or interdisciplinary research groups
 - a history of involvement with the research of graduate students
- Secondary indicators
 - consulting activities involving research
 - all evidence of quality professional service that depends on or attests to the individual's research reputation
 - very strong, positive letters of recommendation from local experts familiar with the research of the individual.

Indicators of excellence in research for cases of promotion to the rank of Professor include but are not limited to the following.

- Primary indicators
 - very strong, positive letters of recommendation from external experts familiar, over an extended period of time, with the research of the individual and the impact that that research has had on the work of others
 - a consistent and extended history of publication in journals of high quality
 - evidence of external research funding
 - a consistent and extended history of presenting invited talks at professional meetings and colloquia and seminars at other institutions
 - a consistent history of involvement with the research of Ph.D. students

- Secondary indicators
 - publication of research monographs by high-quality publishers
 - consulting activities involving research
 - vigorous and effective leadership activity within a Departmental or interdisciplinary research groups
 - a consistent history of numerous documented non-self citations determined, e.g., from a citation index
 - a consistent history of papers reviewed in professional review journals
 - professional honors or awards from national societies
 - all evidence of quality professional service that depends on or attests to the individual's research reputation including but not limited to the editorship or associate editorship of respected journals or book series, significant involvement in the organization of national meetings or international meetings, an extended period of service for a funding agency such as service as a program manager for the NSF or a DOD agency, a consistent history of service on national review panels, and service in national societies that advise about or advance research activities
 - very strong, positive letters of recommendation from local experts familiar with the research of the individual.

Effectiveness in teaching

There are a number of indicators that can be used to judge that an individual's performance in the venue of teaching is effective; a partial list is given below. It is not necessary for an individual to have all or even most of the other indicators in order to be judged effective in their teaching activities; however, a number of these indicators must be present. For promotion to the rank of Professor, more indicators are needed than for obtaining tenure.

Indicators of effectiveness in teaching include but are not limited to:

- satisfactory student evaluations
- satisfactory evaluations by colleagues
- evidence of good instructional materials and of good testing vehicles used in and out of the classroom

- evidence of effective participation in curricular development
- evidence of teaching awards received
- evidence of participation as a presenter in meetings on teaching
- positive solicited and unsolicited letters about teaching
- external funding for teaching activities

Effectiveness in professional service

There are a number of indicators that can be used to judge that an individual's performance in the venue of professional service is effective; a partial list is given below. It is not necessary for an individual to have all indicators or even most indicators in order to be judged effective in their professional service activities; however some of the indicators must be present. For promotion to the rank of Professor, more indicators and a higher level of activity are required than for obtaining tenure and promotion to the rank of Associate Professor.

Indicators of effectiveness in professional service include but are not limited to:

- evidence of the refereeing of papers for respected journals and for external funding agencies
- other refereeing and reviewing duties such as book reviews, etc.
- positive solicited or unsolicited letters from beneficiaries of a professional service activity performed by the individual
- publishing a textbook that is adopted at other institutions
- evidence of external funding of activities other than research or teaching
- organization of special sessions at regional or national meetings of professional societies
- the editorship or associate editorship of respected journals or book series
- significant involvement in the organization of national meetings or international meetings
- an extended period of service for a funding agency such as service as a program manager for a Federal agency
- a consistent history of service on national review panels
- service in national societies that advise about or advance research activities

Effectiveness in institutional service

There are a number of indicators that can be used to judge that an individual's performance in the venue of institutional service is competent; a partial list is given below. It is not necessary for an individual to have all indicators or even most indicators in order to be judged competent in their institutional service activities; however some of the indicators must be present. For promotion to the rank of Professor, more indicators and a higher level of activity are required than for obtaining tenure and promotion to the rank of Associate Professor.

Indicators of effectiveness in institutional service include but are not limited to:

- satisfactory participation in and/or chairmanship of Departmental committees
- evidence of effective participation in other institutional service activities
- evidence of the results of an institutional service activity and of its quality, e.g., copies of a Departmental newsletter edited or web site developed
- positive solicited or unsolicited letters from beneficiaries of an institutional service activity performed by the individual
- evidence of quality advice given to students other than the individual's research advisees

Excellent scholarship for specialists in mathematics education

The granting of tenure and the promotion of a faculty member who is a specialist in mathematics education requires excellent scholarship and effectiveness in professional service and institutional service. The latter two are discussed above. In the context considered here, excellent scholarship consists of significant achievements in both the areas of research and teaching. It should be recognized that in the area of mathematics education, even more so than in other areas of mathematics, there is often no clear demarcation between these areas. All promotion and tenure recommendations in the Department of Mathematics are based on evidence of excellent scholarship in the faculty member's activities. In the case of promotion and tenure of specialists in mathematics education, these activities include all on-campus and off-campus efforts that are related to the education of students, postdoctoral associates, peers, users of mathematics, or the general public.

Scholarship results in documented (and sometimes undocumented) products that are subject to the criticism of the scientific community. These products may be books, articles, curricula, classroom materials, videos, software, lectures, participation in panels, or other scientific activities. Scholarship implies that the faculty member has a solid command of the subject field and is current with the developments in that field. In the case of promotion and tenure of specialists in mathematics education, the candidate must show an ability to create and maintain instructional environments that promote learning by the intended audience.

In the promotion and tenure review process, the emphasis is on critical evaluation of the scholarly nature of the candidate's achievements by off-campus and, if appropriate, on-campus peers. This requires that at least a substantial part of the candidates' scholarship has been documented. Undocumented materials, such as teaching portfolios, may be used in the process, although this evidence alone would not be sufficient to justify promotion and tenure. Evidence is required as to the originality and impact of the candidate's activities, of a sustained scholarly program with (emerging) national or international recognition, of its adoption by peers, as well as of its critical and public appreciation.

Evidence of scholarship in the various activities of a specialist in mathematics education can be documented through evaluation letters by peers from outside (and inside) the University, peer evaluation of classroom teaching and teaching materials, adoption of teaching materials at other colleges or universities, and national, state, or University level awards for outstanding teaching or other scholarly contribution. Supporting evidence can be obtained via solicited and unsolicited letters from former or current students, student teaching evaluations, or commentaries by users of mathematics or the general public.

No specialist in mathematics education shall be granted tenure or promoted unless they have documented evidence of:

- a sustained and consistent documented record of obtaining excellent student evaluations for the courses they teach;
- a sustained and consistent documented record of obtaining excellent evaluations by colleagues for the courses they teach;

- very strong, positive letters of recommendation from external experts familiar with the teaching methods and practices as well as the research in mathematics education of the individual and the impact that all of that work has had on the teaching practices and research of others;
- a strong, positive involvement and a substantial impact on the management and delivery of the Masters in School Mathematics program, including the advising of students;
- a strong, positive involvement and a substantial impact on the development and improvement of courses used in the training of teachers for elementary and secondary school.

The individual must have a number of additional indicators of excellent performance in research and teaching. Possible additional indicators are the following:

- evidence of having developed superior instructional materials, e.g., textbooks, videos, software, manuals, etc., and superior testing vehicles for use in existing and new courses at the collegiate and/or in K-12 levels;
- evidence of outstanding participation in curricular development at the collegiate and/or K-12 levels;
- external funding for teaching-related activities;
- substantial publications in journals of high quality;
- publications at the expository level;
- invitations to give presentations at national conferences and workshops on teaching;
- very strong, positive letters of recommendation from local experts familiar with the teaching and research activities of the individual;
- vigorous activity and leadership within Department efforts to improve the quality of its teaching;
- internal (to the University) teaching awards received;
- professional honors or awards from national societies
- evidence of participation as a presenter in meetings on teaching;
- positive solicited and unsolicited letters about teaching;
- evidence of the refereeing of papers for respected journals and for external funding agencies;

- positive solicited or unsolicited letters from students, parents, and other sources about any aspect of the individual's scholarship
- publishing a textbook that is adopted at numerous other institutions;
- organization of special sessions at regional or national meetings;
- significant involvement in the organization of conferences and workshops on teaching or research in mathematics education;
- the editorship or associate editorship of respected journals;
- invitations to present colloquium and seminar talks at other research institutions;
- an extended period of service for a funding agency such as service as a program manager for the NSF;
- a consistent history of service on national review panels;
- service in national societies that advise about or advance teaching activities;
- invitations to teach courses at other colleges or universities;
- participation in university sponsored workshops on teaching;
- service on ISU panels or committees related to teaching;
- university level funding of curricular activities;
- advising of undergraduate students, involvement in student research projects;
- presentations to student groups on campus.

For promotion to the rank of Associate Professor with tenure, the faculty member must have a solid academic reputation and show promise of further development and productivity in her or his academic career. Promotion and tenure for a specialist in mathematics education requires a solid reputation as an excellent classroom teacher and established and sustained excellence in scholarship related to teaching. A substantial part of this scholarship must be documented activities that are evaluated by external peers. A recommendation for promotion to Associate Professor and granting of tenure must be based upon an assessment that the candidate has made important contributions in the mathematics education community and shows potential for national stature as an educator. The candidate must show a solid command of mathematics and satisfactory professional service.

For promotion to the rank of Professor, the faculty member must be recognized by her or his peers for the quality and impact of the contribution to the discipline. Furthermore, the candidate must demonstrate the ability to sustain contributions to the field or profession and to the University. The promotion of a specialist in mathematics education requires recognition as an excellent teacher and national or international prominence in scholarship related to teaching. The achievements must be documented and validated by external and, where appropriate, internal peers. The candidate must show a solid command of mathematics and significant professional service.

15. Lecturers and Senior Lecturers

Lecturers.

From the Faculty Handbook: “Lecturer and 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.”

A Lecturer in the Department of Mathematics is an education professional. In addition to duties on campus, (s)he is encouraged to be a member of a professional mathematical organization and is strongly encouraged to attend a professional mathematics meeting at least once a year.

■ Requirements

A Lecturer will usually be required to have a Masters degree in mathematics, Mathematics Education, or a related field. The only exception to the Masters requirement may be for Math 10/20 instructors. For Math 10/20 Lecturers a Masters is preferred but a Bachelors in Mathematics or Mathematics Education and teaching experience are acceptable.

■ Hiring and Reappointment of Lecturers

A committee of three faculty members and/or Senior Lecturers, chaired by the Associate Chair will review applications for the position of Lecturer. Candidates for these positions will be brought to campus and interviewed, as are candidates for tenure-track positions.

The faculty and Senior Lecturers will vote on the acceptability of the candidates. The Chair approves all Lecturer appointments.

Each Lecturer will be reviewed every Spring and in the final semester of his/her appointment unless the Lecturer informs the Associate Chair, in writing, that he/she does not plan to continue as a Lecturer during the following semester.

Senior Lecturers.

From the Faculty Handbook: “Senior Lecturer and Senior Clinician: a limited term full- or part-time appointment not to exceed five years, requiring a notice of one year of intent not to renew. To be eligible for appointment as Senior Lecturer or Senior Clinician the individual shall have served as a Lecturer or Clinician or its equivalent for six years.”

A Senior Lecturer in the Department of Mathematics is an experienced educational professional and an outstanding teacher. In addition to duties on campus, she/he is encouraged to be a member of a professional mathematical organization, is strongly encouraged to attend a professional mathematics meeting at least once a year, and is expected to make a significant service contribution to the educational mission of the Department.

- **Requirements.**

A Senior lecturer will usually be required to have a PhD degree in Mathematics, Mathematics Education, or a related field. However, a Lecturer with a Masters degree may be promoted to Senior Lecturer if he/she fills some specific, programmatic need in the Department. Special needs in the department include, but are not limited to, the mathematical preparation of future elementary or secondary teachers or the remediation of students in Math 10.

- **Hiring and Reappointment of Senior Lecturers.**

A committee of three faculty members and/or Senior Lecturers, chaired by the Associate Chair will review candidates for promotion to Senior Lecturer. Candidates for Senior Lecturer will usually have served six years as a full-time or part-time Lecturer. A

candidate appointed to the position of Senior Lecturer must be an outstanding teacher and will usually have an outstanding record of service to the Department and/or the mathematics profession. Each Senior Lecturer will be reviewed every three years and in the last semester of their appointment unless the Senior Lecturer informs the Associate chair, in writing, that he/she does not plan to continue as a Senior Lecturer during the following semester.

- The lecturer Promotion Committee shall consist of all members of the faculty having the rank of Senior Lecturer or Assistant Professor or above. Based on the Spring review of Lecturers, the review committee may recommend that a Lecturer be promoted to Senior Lecturer. Normally such a recommendation will not be proposed until the candidate's fifth year. Alternatively, during the Spring, a Lecturer may request consideration for promotion to Senior Lecturer. In such cases, an Individual Review Team (IRT) will be appointed the following Fall to prepare the case for submission to the Lecturer Promotion committee and the administration. During the Fall semester, there will be a meeting of the Lecturer Promotion committee at which the IRT will present its findings and the qualifications of the candidate considered. At this meeting the Lecturer Promotion committee shall vote, by paper ballot, on the question of whether to recommend that the candidate be promoted to Senior Lecturer. Any member of the committee unable to attend the meeting may obtain upon request an absentee ballot to be cast by the end of the next business day. If the Lecturer Promotion Committee votes affirmatively, the matter will be brought to the Chair who will then decide whether to recommend the promotion to the Dean of the College.

Reviews.

Every year the Chair will appoint a committee of three faculty members to review Lecturers and Senior Lecturers. Each Lecturer and Senior Lecturer is required to make available to the Committee an updated vita, and a teaching portfolio (not to exceed twenty-five pages) that includes the candidate's teaching philosophy, summary of recent teaching evaluations, syllabi and exams from recent courses taught, and other items that the candidate may wish to include.

Lecturers and Senior Lecturers will be evaluated in two categories: 1) Teaching, and 2) Auxiliary activities as described in the Lecturer's Position Responsibility Statement (these auxiliary activities may include departmental service, scholarship expectations, etc.) One or more members of the Committee to Review Lecturers and Senior lecturers will meet with each candidate before the review is initiated to discuss the review process and get input from the candidate. The Committee will meet with the candidate after the review is completed to discuss the results of the review.

- Evaluation of Teaching. In evaluation of teaching, the Committee to Review Lecturers and Senior Lecturers may consider the following sources of information; not all of these sources need be considered and in some cases information can be obtained from other sources: vita, teaching portfolio, classroom observations, departmental course evaluations, letters from students (both solicited and unsolicited), interviews with students, interviews with course supervisors, grade reports, professional activities related to teaching/education.
- Evaluation of Auxiliary Activities. If the Lecturer is assigned some departmental service (e.g., course supervision, help room supervision) the Committee will assess the quality of the service activity. If the candidate has scholarship as his/her additional activity, then the quality of the scholarship will be evaluated by talking with the candidate and others members of the department who can assess the scholarship. In years when the Lecturer or Senior Lecturer is up for renewal/promotion, the committee might solicit reviews of the Lecturers work by appropriate people from off campus.
- Notification. When the reviews are complete, the Committee to Review Lecturers and Senior Lecturers will write a committee evaluation for each candidate. The final report should include a recommendation for renewal in cases where this is appropriate. These evaluations will be given to the Chair. The Chair will use this information in preparing his/her evaluation of the candidate. Lecturers and Senior Lecturers will be provided with the results of the evaluation, in writing.