

Revised November 2001

DEPARTMENT OF PHYSICS AND ASTRONOMY  
PROMOTION AND TENURE POLICY AND PROCEDURE

This document describes the policy and procedures used in evaluating faculty members annually for promotion in the Department of Physics and Astronomy. The Department adheres to all policies of the College of Liberal Arts and Sciences and of Iowa State University, and this document is subservient to those policies in case of any disagreement. The policies and procedures herein described are effective upon adoption by a 2/3 vote of the faculty, and may be amended by a 2/3 vote of the faculty. All amendments to this document shall be approved by written ballot. For these purposes and wherever referred to in this document, the faculty consists of persons of any academic rank who are either tenured or on a tenure-track appointment and have at least one quarter of their academic-year salary listed in the Department of Physics and Astronomy budgets. Membership in the faculty is not affected by leave of absence of any kind, i.e., Faculty Professional Development Assignment (FPDA), sick leave, leave without pay (LWOP), or any other extended leave approved by the DEO. However, when a vote is taken at a faculty meeting, a faculty member on leave, official travel, or sick leave, shall not be included in the count of eligible voters unless he or she is present at the meeting or has transmitted a proxy to the DEO before the meeting. Proposed amendments must be circulated in writing at least seven days prior to the vote. In all procedural matters relating to these, or other votes mentioned hereafter, parliamentary procedure shall govern, as defined in Robert's Rules of Order, latest edition.

Evaluation of the qualifications of faculty members shall be carried out annually by a preliminary screening committee, as specified in the Faculty Handbook. This committee shall be titled the Promotion and Evaluation Committee, and its membership shall include at least six members of the faculty with at least one holding a rank below professor. The Committee will be appointed by the Departmental Executive Officer (hereafter called the DEO) annually for a one-year term, with reappointment possible at the discretion of the DEO. The membership of the Committee shall be announced to the faculty at the beginning of each academic year.

The Promotion and Evaluation Committee shall examine annually the qualifications of each faculty member below the rank of professor for promotion to the next higher rank. In cases

of faculty members not holding continuous tenure appointments, it shall also examine, when appropriate, the qualifications of the faculty member for reappointment (see Appendix A). It shall determine which of the faculty members merit the detailed study appropriate to a recommendation for promotion or a recommendation regarding reappointment, and shall inform each faculty member examined whether or not he or she is being given that detailed study. A faculty member who is not felt by the Committee to merit such close examination, but who disagrees with that judgment, may indicate his or her disagreement in writing to the DEO; the DEO will then inform the Committee, who will add this name to the list of those to be given detailed examination. The DEO may also add other names at his or her discretion or at the suggestion of faculty members. A faculty member may also withdraw his or her name from consideration for promotion unless he or she is in the sixth year and/or penultimate year of a tenure-track appointment; in such a case, withdrawal is permitted only upon presentation of a resignation to the DEO.

After the Committee has informed the faculty member that a detailed examination will be conducted, either for possible promotion or reappointment, all transmission of information to or from the candidate dealing with that examination, including any questions arising during the first meeting of the tenured faculty, will be dealt with exclusively by the Committee and when necessary in consultation and in cooperation with the Departmental Chair.

The Committee's evaluation shall be based upon a resume maintained by each faculty member, plus extra information kept in a dossier hereafter specified. At the end of the spring semester the Committee shall announce the date by which it expects all resumes to be complete for the following academic year's evaluation process. The faculty member is then responsible for seeing that the resume includes all appropriate information, and specifically the following items:

1. Vita information - name, rank, base, university appointment data, professional history, academic history, list of publications with indication of refereed journals, list of invited papers and talks, citations in the Science Citation Index for the last four years.
2. A brief (one page) description of the faculty member's current research program.
3. A listing of all teaching assignments and evaluations including the courses taught, the number of students, and the average rating where multiple sections are involved.

4. A listing of all students who have been directed in research by the faculty member, including both graduate and undergraduate students, the degree received, and the current activities of the student, if known. Also a list of the graduate student committees, inside and outside physics, served on during the last four years.
5. Service activities performed by the faculty member for the Department (including its activities related to the Ames Laboratory, USDOE), the College, the University, and relevant outside organizations.

The faculty member may include in the resume any other information he or she deems relevant, and shall have free access to all material in the resume. A sample resume is included with this document as Appendix B.

For those faculty members being given detailed evaluation as described above, the Committee may, at its discretion, use other material deemed relevant to each evaluation, which is kept in his or her Departmental dossier. It shall inform the faculty member involved, in writing, what extra material is being requested or what existing material is being used. It shall inform the faculty member of the identities of those from whom new letters of evaluation may be requested. This list shall contain referees suggested by the candidate, by the Committee, or by others, and the candidate shall have the opportunity to remove, for cause, any names on that list. In order to remove for cause, the candidate must submit in writing his or her reasons for removing the potential referee(s) from the list. The Committee will then decide whether or not the name(s) will be removed and the Committee Chairman will inform the candidate of the Committee's decision. To be in accord with the College Promotion and Tenure Recommendations, at least five letters from qualified, impartial reviewers from outside the University should be submitted with a promotion and/or tenure recommendation, with at least two suggested by the candidate and at least two others, not on the candidate's list, suggested by the Committee or the DEO. A sufficient number of letters will be solicited to guarantee that the required number of letters will be received. The faculty member will not, however, have access to the contents of the dossier, except with the specific approval of the Committee and the DEO. The information in the dossier is considered to be privileged and may not be released for any uses other than those essential to the promotion and evaluation procedure, except with the written approval of the faculty member involved.

The Committee shall then proceed with its evaluation, based upon the resumes and all

additional material. In these evaluations the criteria followed shall be those broadly specified in the Faculty Handbook, based upon the areas of research, teaching, and service. Of these three areas, research and teaching have overriding importance in the Department; service activities are also considered, but normally play a tertiary role. Evaluation of research ability is based primarily upon published papers in refereed journals, while teaching ability is determined by student evaluations, using Departmentally chosen forms (Appendix C), plus less quantitative peer and student evaluations. Academic advising activities are also included here. Service activities may include committee work and administrative activities on behalf of the Department, the College, the Ames Laboratory, the University, or relevant outside organizations.

The following guidelines for promotion to the various ranks with respect to evaluation of excellence in research are intended to define typical cases; they do not set absolute numerical standards, but rather illustrate what experience has shown to be the usual case. In the Department, persons appointed to the faculty rank of instructor ordinarily already possess the Ph.D. degree. For promotion from instructor to assistant professor, clear promise of excellence in research is required, as demonstrated typically by six papers of good quality, either published or accepted by refereed journals. What is stressed is the promise of the research effort, presumably foreshadowing a national reputation. For promotion to associate professor, excellence sufficient to lead to a national or international reputation is required and would ordinarily be shown by the publication of approximately fifteen papers of good quality in refereed journals. For promotion to professor, attainment of a national or international reputation for excellence in research is expected, and would usually require at least thirty published papers of good quality in refereed journals. It should be emphasized, however, that subjective judgment is involved in all of these cases; promotion with fewer papers than indicated above, or non-promotion with more, could occur based upon the Committee's evaluation of the research involved.

Criteria for teaching excellence within the Department are essentially those described in the most recent edition of the Faculty Handbook. In evaluating the teaching performance of a faculty member, the Committee will compare the candidate with available standards of teaching of both undergraduate and graduate students in the Department and will include evaluation by peers, gathered, for example, by classroom visits and by evaluation of syllabi, course materials, and examinations.

Promotion to any rank will be based upon these criteria with the expectation of excellence in one and at least satisfactory performance in the other. An individual outstanding in research, but significantly below the Department average in teaching, would normally not be promoted. He or she will usually have been counseled and assisted by the DEO in an attempt to develop satisfactory teaching performance by means of the annual evaluation. The same conclusion would apply to a faculty member outstanding in teaching; satisfactory research performance would normally involve productive participation in a research program, but not necessarily the promise of leadership in an area of research. A strong record of service will augment teaching and research, but will not replace either. In individual cases, the Department may deviate from these criteria, but such deviation would be expected to occur only in truly exceptional cases. In all cases of promotion, the ultimate criterion which is expected to be applied in deciding the departmental recommendation is the question "will this promotion significantly enhance the ability of the Department and Iowa State University to meet the responsibilities implied by their respective missions?" All of the above guidelines for consideration are designed to answer this question in each individual case. No individual is considered to have a proprietary right to promotion. No individual earns a promotion without having earned a "yes" to this question.

The number of persons holding a given rank, or the number who might be recommended for promotion in a given year, shall play no part in the Committee's deliberations. It shall concern itself with faculty members on an individual basis, and shall recommend for or against promotion in each case.

The Committee shall rank-order those recommended for promotion to each rank. Many numerical evaluation schemes to aid in the ranking have been used, but all are subjective. The system employed may vary at the discretion of the Committee.

The Committee shall also consider and make recommendations in exactly the same way in cases where time limitations for tenure are relevant. It is expected that tenure will ordinarily accompany promotion to the rank of associate professor. Granting of tenure without promotion, or promotion to associate professor without tenure, would be exceptional in the Department; it would require exactly the same procedure and approval as that being described for promotion.

When the Committee deliberations are complete, a meeting of all tenured full professors is held to discuss the report of the Committee on promotion to full professor. They have copies of the

resumes and the report from the Committee. The Committee chairman may read excerpts from the dossiers. The full professors vote on whether to promote.

A second meeting of the tenured full professors is held a few days later to discuss the result of the vote. Another vote is then taken on the question "we recommend to the Dean that (specific candidate) be promoted this year". The candidates are considered in order from the top-ranked to the bottom-ranked, where ranking is determined by the number of "yes" votes for promotion on the first ballot. Those eligible to vote, in person or by proxy, are tenured faculty (see p. 1) holding the rank of tenured full professor. The DEO shall not vote and will not be included in the count of eligible voters. If a tenure or promotion vote is to be taken on a spouse or immediate relative of a faculty member, that member shall not be present for discussion, shall not vote, and will not be included in the count of eligible voters. The DEO may require that a proxy vote be delivered to the DEO personally by the voter in advance of the meeting.

A 2/3 vote of those eligible is required for a formal Departmental recommendation. A quorum is defined as the actual presence at the meeting of at least 75 percent of all tenured faculty (see p. 1) holding the rank of tenured full professor and eligible to vote, except those who are absent while on leave or official travel.

Similar meetings of all tenured faculty (see p. 1) holding the rank of full or associate professor, with similar conflict of interest exclusions, are held to carry out the procedures for promotion to associate and assistant professor. Any cases of tenure without promotion are then voted on. All rules of procedure are the same as in the case of promotion to full professor, except that tenured associate professors may vote.

The Committee then provides the DEO with materials summarizing the recommendation of the faculty regarding each faculty member who has been given detailed examination. For each candidate who has received a formal Department recommendation, the Committee will submit a final version of (a) the Summary Sheet for Promotion and Tenure Recommendations and (b) the Outline and Documentation for Promotion and Tenure Recommendations, as required by the College Office. The DEO then informs each candidate whether or not he or she has been recommended for promotion. The DEO transmits the recommendations for promotion or for tenure without promotion to the Dean of the College, including for each candidate the Summary Sheet for Promotion and Tenure Recommendations, the Outline and Documentation for Promotion and Tenure

Recommendations, a full copy of the resume, the letters of recommendation, both internal and external, and the DEO's letter of recommendation. The candidate may examine the resume to be transmitted to the Dean of the College.

In cases where more than  $1/2$  but less than  $2/3$  of the faculty vote affirmatively for the promotion of an individual, the appropriate resume and a statement of the results of the vote are forwarded to the Dean. In these instances, however, such a resume would not be accompanied by a letter expressing Departmental recommendation of the promotion. A faculty member with a grievance concerning the operation of these procedures in his or her particular case may appeal in writing to first, the P&E Committee; second, the DEO; and finally, the Dean of the College to resolve the matter.

## Appendix A

## APPENDIX ON REAPPOINTMENTS

Normally a faculty member is given an initial appointment of three years. During the third year of an initial appointment the P&E Committee will examine the faculty member's resume and ask for letters from members of the Department. The P&E Committee will then make a recommendation to the faculty. This could range from a one-year terminal appointment to a three-year reappointment. The faculty would then vote on the recommendation of the P&E Committee and/or suggest amendments; passage would be by a simple majority of the eligible faculty. The rules for a quorum and voting eligibility would be the same as for promotion from assistant to associate professor.

Adopted by the Physics and Astronomy Faculty,  
November 15, 1974. Revised October, 1975;  
November, 1976; May, 1980; October 1988;  
May 1991; May 1996; August 1997; November 1999  
November 2001



PH.D. STUDENTS (LAST 10 YEARS)

M.S. STUDENTS (LAST 10 YEARS)

Name of Student                      Year

Name of Student                      Year

UNDERGRADUATE RESEARCH DIRECTED

GRADUATE STUDENT COMMITTEE MEMBERSHIP (Non-Chairman)

UNDERGRADUATE ADVISING

COMMENTS, MISCELLANEOUS

## SERVICE

DEPARTMENTAL (See also Teaching Responsibilities, p. 2)

AMES LABORATORY

COLLEGE

UNIVERSITY

OTHER

## RESEARCH SUMMARY

NAME

Date

Research:

## PROFESSIONAL ACTIVITIES

SUMMARY OF PAPERS AND PUBLICATIONS (See attached lists.)

<b>Date</b>	<b>Refereed Publs. In Print</b>	<b>Books/ Chapters</b>	<b>Invited Papers/Talks</b>	<b>Contributed Papers</b>	<b>Other</b>

<sup>a</sup>Refereed Publications in Process

CITATIONS (LAST 4 YEARS FROM SCIENCE CITATION INDEX)

19 # plus # self-citations

PAPERS AND PUBLICATIONS DETAILS

Books, Chapters.

EDITORIAL ACTIVITIES

HONORS, AWARDS

PROFESSIONAL INVOLVEMENT

NAME

INVITED PAPERS, TALKS

(Underline name of presenter.)

CONTRIBUTED PAPERS

(Underline name of presenter.)

REFEREED PUBLICATIONS IN PRINT

(These include only articles printed in Refereed Journals)

REFEREED PUBLICATIONS IN PROCESS