

# IOWA STATE UNIVERSITY

## Faculty Handbook Policies and Procedures Fall 1999

### **Appointment Policies and Procedures**

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## **Appointment Procedures**

The head or chair of a department initiates a proposed new appointment after consultation with members of the department. New appointments are recommended on the basis of education; experience; competence in teaching, research and professional practice; recognition in the field; and, in some cases, prior experience at other institutions.

The recommended appointment must then be approved by the dean of the college, the provost, the president, and the Board of Regents before becoming effective. Media announcements concerning such appointments, where appropriate, are made only by the president after the approval process has been completed.

Appointments to the faculty may be made for the twelve-month fiscal year (A-base) or for the nine-month academic year (B-base). Ordinarily, A-base appointments are reserved for administrative positions and for persons whose responsibilities require year-round service. Most appointments to the teaching faculty are made on B-base. As professionals, faculty members and administrators arrange their own work schedules during their appointment periods so as to carry out their on-going responsibilities to the university. Persons on A-base are on duty the entire fiscal year, during which they accrue twenty-four days of paid vacation. Persons on B-base are on duty during the academic year, and they receive no paid vacation (see "Vacations and Holidays").

B-base faculty members may be appointed for specific assignments in the summer, if warranted by the needs of the department. Ordinarily such appointments are to meet departmental teaching needs and are therefore made for the duration of the summer session, but in special circumstances they may be made for other lengths of time. A B-base faculty member may ordinarily be employed by the university for no more than two months during the summer in addition to the academic year appointment. (Exceptions may be made when necessary to carry out the provisions of a grant or contract, provided that the faculty member's support for that period is entirely from nonappropriated funds and the request for an exception is endorsed by the dean and approved by the provost.) Summer salary when paid from state appropriated funds, is based on the individual's B-base salary during the preceding academic year, prorated according to the length of the summer appointment. Summer teaching appointments are ordinarily made on a year-by-year basis. Any commitments for summer teaching appointments extending beyond one year are contrary to university policy and are, therefore, possible only with prior written approval of the dean of the college and the provost.

Initial appointments may be made to any of the academic ranks--instructor, assistant professor, associate professor, or professor--although the ranks of instructor and assistant professor are appropriate for most such appointments. Appointment to the rank of instructor may be made initially for no more than one year, with option of renewal; subsequent appointments may be made for two-year periods. Appointment to the rank of assistant professor may be for a period of three years or less, with option of renewal for a period up to three years. Appointment to the rank of associate professor and professor may be for a specified term or may be continuous, thereby granting the individual academic tenure. Appointments to tenured positions are made only after consultation and special approval of the dean of the college and the provost.

## **Making the Appointment**

An appointment or reappointment is initiated by the department executive officer (DEO), who specifies the conditions of appointment on a form called a Letter of Intent which must also be signed by the dean and, in the case of a regular appointment, by the provost. The person to whom the appointment is offered signs the form, indicating acceptance of the appointment and the specified conditions. These conditions include the academic rank, salary for the first year (in the case of new appointments), the ending date of the probationary period if one is established, the date by which a notification of intent not to renew is to be given if the appointment is renewable, and any special conditions that apply to the appointment.

Once the offer of appointment has been accepted in writing, the DEO initiates an Electronic Personnel Action which, when approved by all appropriate administrators, makes the appointment official and puts the person on the payroll at the specified time. In addition to the Letter of Intent, the Electronic Personnel Action must be accompanied by a Pre-Employment Monitoring Form signed by the university's affirmative action officer, confirming that the required search procedures have been followed in filling the position. The employee is also asked to complete a Personnel Information Form to be submitted with the appointment material.

## **Types of Appointments**

Faculty appointments at any rank may be one of six types. The type of appointment influences such considerations as fringe benefits, tenure status, and renewal procedures.

### **Regular Appointments**

Regular Appointments are regularly budgeted positions at any academic rank and account for most faculty appointments. For those persons appointed for a specified period of time (term appointment), notice of intent not to renew shall be given according to the deadlines specified in the section on "Nonrenewal or Termination of Appointment." A person on a regular appointment for a specified term is considered to be in a probationary period of service leading to tenure. The length of this period is specified at the time of initial appointment, but it may not exceed seven years. Recruitment for a regular appointment must follow the university's affirmative action procedures, including full advertising. A faculty member on regular appointment participates in the university's benefits program.

### **Adjunct Appointments**

Adjunct Appointments are budgeted positions at any academic rank, with the rank preceded by the term "adjunct." This title signifies that the person, because of special personal or departmental circumstances of a clearly unusual nature or character, is neither tenured nor on a tenure-track (i.e., is not considered to be serving a probationary period). A person employed in a Professional & Scientific (P&S) position may also be accorded adjunct faculty status by an academic department to carry out certain faculty responsibilities for that department.

When an appointment will include the responsibility for teaching a course by a non-tenure-track person, departmental/program faculty consultation is required. The consultation procedures shall be specified in departmental/program governance documents. If circumstances prevent obtaining faculty consultation, the DEO may make a one-year term appointment. Reappointment beyond one year requires faculty consultation as described in the pertinent governance document. The faculty of a department/program may delegate their consultation role to the DEO by a formal vote. Such delegation should be reviewed at the time of reappointment or appointment of a DEO.

**Note:** The concept in this paragraph was approved by the Faculty Senate in May 1999.

A person on an adjunct faculty appointment is, in most other respects, considered to be a regular member of the faculty. Adjunct faculty are appointed for terms of one to three years, with the option of renewal; notification of intent not to renew must be given according to the statement on "Nonrenewal or Termination of Appointment." Recruitment to fill an A- or B-base adjunct faculty position must follow the university's affirmative action procedures, including full advertising. A person on adjunct appointment participates in the university's benefits program. Adjunct faculty members are considered to be members of the General Faculty for purposes of voting on university-wide matters, including Faculty Senate elections, and are eligible to serve on the Faculty Senate. Their voting status within their departments, however, is determined by the governance policies of the individual departments.

With the exception of persons on continuous adjunct appointment (see below), a person on a full-time university-funded A- or B-base adjunct appointment may hold faculty rank for no more than seven years. This restriction does not apply to persons whose primary responsibility is properly classified as P&S or administrative or is outside the university, nor does it apply to persons whose primary appointment is not in a college.

Under extraordinary circumstances and with prior approval of the provost, a person on a full-time adjunct appointment may be permitted to have his or her service extended beyond seven years and be considered to have a **continuous adjunct** appointment, subject to termination only for cause. Cause includes not only inadequate performance but also factors such as discontinuation of financial support, lack of need for the role the person has been playing in the department, significant change in the nature of that role, or other circumstances related to the nature of the position within the department. Faculty on continuous adjunct appointment are eligible for review for promotion in accordance with university promotion policies and procedures.

Inasmuch as an adjunct appointment is intended to be made only for special circumstances, all adjunct appointments, whether short-term or continuous, should be accompanied by a statement placed in the individual's personnel file at the time of the initial appointment explaining the special circumstances that justify the adjunct appointment. Adjunct status may not be used as a replacement for tenure-track status for a probationary faculty member who has been denied tenure.

## **Visiting Appointments**

Visiting Appointments are ordinarily intended to provide special input into the teaching or research program of the department. A visitor is usually a member of the faculty of another institution and is appointed at the rank held at that institution. A visitor may, however, also come from business, industry, or government, in which case the appointment is at a rank consistent with the individual's professional experience. A visiting appointment is usually for one academic year, but may be for a shorter period of time. It is not subject to renewal, so no special notification of intent not to renew is necessary. The person is not considered to be tenured at Iowa State, nor is the visiting appointment considered to be service in a probationary period leading to tenure since renewal is not contemplated. If, however, the individual is subsequently given a regular appointment due to changes in circumstances within the department, continuous time up to one year served in a visiting status may be credited toward completion of the probationary period. Since visiting appointments are not renewable, the university's affirmative action procedures do not apply and the position need not be advertised. Visitors appointed for at least nine months may, at their option, participate in the university's benefits program.

## **Temporary Appointments**

Temporary Appointments are short-term appointments, ordinarily not in the budget, made to meet a special staffing need within the department. They may be made at any rank but are usually at the instructor or assistant professor level. They may be for no longer than one year and carry no assumption of renewal, although a person may be given another temporary appointment if the conditions that prompted the original appointment continue to exist. A given individual may be appointed for no more than five years on full-time temporary appointments and may not be appointed again at a later date except by special permission of the provost. This limitation does not apply to a series of part-time appointments, provided that the individual's duties are significantly less than those of persons on full-time appointments. In order to be consistent with the university's affirmative action procedures, departments may advertise for a pool of applicants from which temporary appointments may be made when circumstances require. If such a pool has not been obtained and an emergency situation arises, special permission of the provost is required to waive the usual search period. Since the appointment is not subject to renewal, no special notification of intent not to renew is necessary. A temporary appointment is not considered to be service in a probationary period leading to tenure. If, however, a person on a temporary appointment is subsequently appointed to a regular position in the department, time spent on a temporary appointment may, at the discretion of the individual and the department, be credited toward completion of the probationary period. Persons appointed for less than nine months are not eligible to participate in the university's benefits program; those appointed for nine months are eligible for the program.

## **Collaborators**

Collaborators are persons not employed by the university who are appointed to the faculty with the understanding that they will receive no remuneration for services rendered to the university.

Typically they are persons whose special expertise is deemed useful to the university in connection with a particular teaching or research program. A collaborator appointment may be made at any academic rank and remains in effect as long as it is mutually agreeable to both the department and the individual. A collaborator is not tenured, does not serve a probationary period leading toward tenure, and does not participate in the university's benefits program.

### **Affiliates**

Affiliates are persons appointed to the faculty without financial obligation on the part of the university, to carry out scholarly activities from which the individual as well as the department and the university will benefit. (In order to qualify for a faculty appointment, it is assumed that the individual's scholarly qualifications will be at least equivalent to those of an assistant professor in the department in which the appointment will be made.) Unlike collaborators, affiliates are not employed on a regular basis outside the university. Since an affiliate is not filling a university position for which he or she competed, he or she may not be assigned duties or responsibilities - such as teaching courses or providing research support for other faculty or staff - that would ordinarily be carried out by a person in a faculty or P&S position. If a department desires to assign such responsibilities to a person on an affiliate appointment, that person's appointment status may be converted to an appropriate status by following the university's procedure for filling a faculty or P&S position.

Ordinarily an affiliate appointment is initially made at the rank of assistant professor, although it may be made at another rank more commensurate with the individual's qualifications. It is typically made for at least one year but it may be made for up to three years, and it may be renewed. The conditions of the appointment, including the extent to which the department will provide support services for the individual, are stated in a written agreement signed by both parties at the time of the appointment. If a person on an affiliate appointment obtains financial support from a grant or contract for which he or she is the principal investigator, he or she is paid through the university's payroll system and may participate in the university's benefits programs, provided that all salary and benefit costs are supported by the affiliate's grant or contract. An affiliate is not tenured, and time spent in affiliate status is not considered to be service in a probationary period leading toward tenure. Persons on affiliate appointments are, however, subject to university and faculty policies.

### **Joint Academic Appointments**

A faculty member may hold an appointment in more than one academic department. Initiation of such an appointment --which may be made either coincidental with, or subsequent to, the individual's original appointment --requires the submission of a Letter of Intent signed by the executive officers of both departments and the dean or deans of the college(s) involved. In approving the appointment, the second department should stipulate in writing the role the faculty member will play in that department, including the person's rights with respect to involvement in the governance of the department. One of the departments is designated as the individual's primary department, which is considered to be the faculty member's home department for purposes of initiating personnel actions. Recommendations for promotion and tenure are initiated and submitted by the

faculty member's primary department, with the advice of the secondary department. Ordinarily, the faculty member's tenure is assumed to reside in the primary department only. Joint appointments may involve joint budgeting, but the primary department may also fund the faculty member's entire salary. In the latter case, the appointment in the secondary department is sometimes referred to as a courtesy appointment. In cases where a faculty member's duties and budget are split 50-50, there may not be a primary department. In such cases, the tenure resides in both departments and the departments are equally responsible for the professional development of the faculty member.

**Nonrenewal or Termination of Appointment**

Written notice that a term appointment is not to be renewed shall be given to the faculty member in advance of the expiration of the appointment, according to the following minimum periods of notice:

- not later than March 1 of the first academic year of service at Iowa State, if the appointment expires at the end of that year; or if a one-year appointment terminates during an academic year, at least three months in advance of its termination
- not later than December 15 of the second academic year of service at Iowa State, if the appointment expires at the end of that year; or if an initial two-year appointment terminates during an academic year, at least six months in advance of its termination
- at least twelve months before the expiration of an appointment after two or more years at this institution

In the event of extraordinary financial crisis leading to termination of faculty members with continuous appointment (tenured), notice of termination shall be given not less than twelve months prior to the effective date of termination.

If a member of the faculty desires to terminate an existing appointment at the end of the academic year or to decline a renewal, he or she shall give notice in writing at the earliest opportunity but not later than April 15. A faculty member may properly request a waiver of this requirement in case of hardship or in a situation where he or she would otherwise be denied substantial professional advancement.

A probationary faculty member being considered for reappointment or for tenure shall be given the opportunity, well in advance of the final decision, to present to the departmental committee charged with making the recommendation any evidence he or she believes may be relevant and helpful to his or her case.

A probationary faculty member who is not recommended for reappointment or for award of tenure shall be given an explanation of the action in an informal conference with the department head or chair and, if he or she requests it, shall be given a statement of reasons in writing. A faculty member who is denied reappointment or tenure can secure a review of the decision either through administrative channels or the Faculty Appeals Committee if the faculty member believes that it results from improper procedure, or rests on grounds which violate academic freedom or constitutional rights, or is substantively arbitrary or capricious. In such appeal procedures, the burden of proof is on the faculty member.