

Iowa State University
Part-Time Appointments for Tenure-eligible and Tenured Faculty
Draft Policy
September 2005

(Changed tracked on 12-01-2005)

Approved by Faculty Senate December 6, 2005

Goals of a policy for part-time appointments for tenure-eligible and tenured faculty. This proposed policy on part-time appointments for tenure-eligible and tenured faculty extends Iowa State University's commitment to a flexible system of faculty appointment and review, as exemplified in the current promotion and tenure policy. It also adds to the university's efforts to create an academic climate which will support the recruitment and retention of an excellent and diverse faculty. The *2005-2010 Strategic Plan* calls for ensuring that the "university is a great place to learn and work" and for fostering "an environment in which all members of the university community can contribute their fullest while pursuing satisfying personal lives." This policy will allow Iowa State to remain a leader in defining faculty work.

The proposed policy amends current policy in key moments of faculty life: hiring, position responsibilities, peer and administrative review, and accountability. While the university seeks to find better ways to accommodate the needs of tenure-eligible faculty who have family demands at the same time they face rigorous academic expectations, the policy would benefit all faculty shouldering responsibilities both inside and outside of the university. Like other AAU universities around the country, ISU is reviewing the addition of policies which will make it a competitive academic workplace; we have already put in place a flexible and forward-looking P&T policy as well as a responsible policy for extensions of the tenure-clock. The proposed policy on part-time appointments would extend these policies and should assist in attracting and retaining our best faculty and in allowing more options in the accommodation of dual-career partners.¹

The proposed policy outlines a set of procedures which will ensure that the interests of both individual faculty and departments are served. It has safeguards to prevent abuse by either faculty or administration. It does not replace policies for phased retirement or extension of the tenure clock, but extends the flexibility of those policies for additional faculty.

Development. This draft policy was developed in 2004-2005 by a joint Faculty Senate-Provost Office Taskforce (Claudia Baldwin, Dawn Bratsch-Prince, Susan Carlson, Diane Debinski, Clark Ford, and Constance Post). During spring semester 2005 the policy was reviewed by the Faculty Senate; the Provost's Academic Cabinet; the Department Chair Cabinet; and the University Committee on Women. An open forum was held in April, 2005 to allow for general review and comment. The policy has been revised to incorporate suggestions from these groups.

¹ This proposed policy is in line with the report on "Creating Flexibility in Tenure-Track Faculty Careers" released by the American Council on Education in February 2005. See http://www.acenet.edu/bookstore/pdf/2005_tenure_flex_summary.pdf

Rationale

A policy for part-time appointments for tenure-eligible and tenured faculty at Iowa State University will enhance the ability to recruit and retain excellent faculty. The policy addresses the need of faculty to have flexibility for a variety of purposes:

- To balance work and family needs for the arrival of a child, the care of a child with special needs, elder care, the care of a partner, or for personal circumstances related to the health of the faculty member. In particular, rearing a child requires many years, and part-time appointment policies will make it possible for a parent to balance that need with the demands of the position the person holds at ISU.
- To balance work at ISU with professional practice, for example, a professor who wishes to serve as a consultant in addition to an appointment at ISU; a professor who wishes to engage in entrepreneurial activity outside of university responsibilities; a professor who may run for office for a limited term and wish to reduce the workload at ISU for that period.
- To accommodate partners by allowing the offer of a part-time tenure-eligible or tenured position to the partner of a candidate, or to accommodate the recruitment of two partners.

This policy does not replace phased retirement for which a formal policy at ISU is already in place. Consult the following website: <http://www.hrs.iastate.edu/benefits/phased.shtml>

Categories of part-time appointments

Part-time appointments for tenure-eligible faculty. Before tenure, the request of a full-time tenure-eligible faculty member to be placed on a part-time tenure-eligible appointment would primarily be granted for the purpose of balancing work and family for the arrival of a child, the care of a child with special needs, elder care, the care of a partner, or for personal circumstances related to the health of the faculty member. Ordinarily it would not be granted to a tenure-eligible faculty member wanting to balance work at ISU with professional practice outside of ISU. If, after the point of hire, the faculty member wishes to become part-time, the faculty member and the university will negotiate the percentage of time to be devoted to work and family. Although the percentage of time apportioned to work may vary, it cannot be lower than 50%.

Departments will continue to advertise for full-time tenure-eligible or tenured positions and must have funding for a full-time hire. Advertisements will include information about university policies for flexible appointments.

Part-time appointments for tenured faculty. Following the granting of tenure, a full-time faculty member may request a part-time appointment for any of the reasons listed under “Rationale”. The department member and the faculty member will negotiate the percentage of the appointment apportioned for ISU responsibilities with a minimum of 50%. The percentage will be under 50% only in exceptional circumstances. While this policy encourages departments to accommodate reasonable requests for part-time appointment, part-time appointments are not an entitlement, and requests may be turned down when the faculty member and the department cannot agree to a workable plan.

Proposed changes to *Faculty Handbook*

The following sections contain proposed new language for the *Faculty Handbook* (proposed changes are in **bold type**). **Changes dated 12-01-2005 are shaded.**

3.1. Appointment Policies

Appointments to the faculty are ordinarily made for the nine-month academic year (B-base). Twelve-month A-base appointments are reserved for administrative positions and for persons whose responsibilities require year-round service. 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 ([4.5.1. Vacations and Holidays](#)). **Persons on A-base part-time appointments are expected to maintain their responsibilities to the department, college, and university throughout the entire fiscal year. Persons on B-base part-time appointments are expected to maintain their responsibilities to the department, college, and university throughout the entire academic year.**

B-base faculty members may be appointed for specific assignments in the summer, if warranted by the needs of the department. 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 appointments are ordinarily made on a year-by-year basis. Any commitments for summer 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.

Departments will continue to advertise for full-time tenure-eligible or tenured positions and must have funding for a full-time hire. Advertisements will include information about university policies for flexible and part-time appointments. At the request of the faculty member, the department **chair may appoint the new faculty member on a term or permanent part-time tenure-eligible or tenured basis. After the initial appointment, increases in the part-time appointment are not guaranteed; however, they may be negotiated via request by the faculty and approval by the department chair.**

Requests for conversion from full-time to part-time appointments may only be initiated by the faculty member. Faculty with either A-base or B-base full-time appointments may elect temporarily or permanently to convert their position to a part-time appointment (tenure-eligible faculty may make such an election only for reasons of ~~personal or family care~~ balancing work and family for the arrival of a child, the care of a child with special needs,

elder care, the care of a partner, or for personal circumstances related to the health of the faculty member). A new Position Responsibility Statement (PRS) will be negotiated by the faculty member and department chair. Part-time appointments can be made for any fraction from 0.5 to 1.0 of a full appointment. Only in unusual circumstances and only for tenured faculty will appointments less than 0.5 FTE be considered. The length of term part-time appointments may be made in one-half year segments that may either be consecutive or non-consecutive for no more than a two-year term. Once conversion to a term part-time appointment has been made, terms of the appointment will only be changed via the agreement of the faculty member, the department chair and Dean. At the end of the initial two-year term, a term part-time appointment may be continued for subsequent two-year terms by agreement of the faculty member, the department chair and Dean. Tenure-eligible faculty may request such continued part-time appointment only for reasons of personal or family care, Permanent conversion to a part-time time appointment may be made subject to approval by the department chair and Dean.

Initial appointments may be made to any of the academic ranks - instructor, assistant professor, associate professor, or professor. Appointment to the rank of assistant professor may be for a period of four years or less, with option of renewal for a period up to three years. Initial appointment to the rank of associate professor and professor may be made either for a specified term or it 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. The provost must have an opportunity to meet candidates for a tenured position before approval is requested.

When the appointment will include the responsibility for teaching a course by a non-tenure-eligible 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 chair 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 department chair by a formal vote. Such delegation should be reviewed at the time of reappointment or appointment of a department chair.

3.3.1. Tenure and Tenure-Eligible Appointments

Tenured and tenure-eligible appointments are regularly budgeted positions at any rank and account for most faculty appointments. Tenure-eligible faculty are appointed for a specified period of time (term appointment), and notice of intent not to renew shall be given according to the deadlines specified in the section 3.4 Nonrenewal or Termination of Appointment. A person on a tenure-eligible 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, **except in cases of part-time tenure-eligible appointments and in cases of the approved extension of the tenure-clock**. Recruitment for tenured and tenure-eligible faculty must follow university procedures.

Part-time tenured or tenure-eligible appointments may be made at the time of hiring upon request of the faculty member and approval by the department chair. After hiring, tenured or tenure-eligible appointments may be changed to part-time tenure-eligible or tenured appointments **only** upon request of the faculty member and **with approved approval** by the chair. The reasons for the request should be clearly stated and may include personal or professional issues, including work/life balance. The department **chair** should make a careful assessment of the needs of the department and work with the faculty member requesting the part-time appointment to facilitate this whenever possible. The period for which this part-time appointment is granted shall be clearly stated. See Section 3.1.

If the faculty member and the department chair do not reach agreement on a part-time appointment, the faculty member may request mediation from the chair of the faculty senate appeals committee (or the Ombuds office, if implemented), the dean, or the provost.

Service responsibilities for faculty on part-time appointments are generally seen as proportional to their appointments. Faculty on such appointments are not excused from regular institutional service and university commitments because of the part-time appointments.

Faculty on part-time tenure-eligible or tenured appointments will receive full medical and dental benefits. Office and laboratory space may be adjusted with part-time appointments.

A faculty member's tenure is assumed to be full-time as long as the part-time appointment has a stated term. When a permanent conversion to part-time appointment takes place, the tenure is for a partial appointment.

3.3.1.1 Review of policy for part-time appointments for tenure-eligible and tenured faculty.

The policy on part-time appointments for tenure-eligible and tenured faculty shall be reviewed six years after it is adopted. It will remain in effect unless explicitly amended by the Faculty Senate and university administration.

5.1.1.2. Annual Reviews.

Faculty members are reviewed annually for performance appraisal and development on the basis of their position responsibility statement. (see [Position Responsibility Statement](#)) This review may serve as a basis for determining merit salary increases.

Annual faculty reviews are conducted by the department chair. In some departments it may be desirable for the chair to select other persons from the department to aid in this evaluation.

Following the review, the chair discusses the results with the faculty member, thus providing an opportunity for exchange of ideas that would be of benefit to the individual and the department.

Similar procedures apply to faculty holding administrative positions, such as the department chair and dean. These reviews are conducted by their immediate supervisors.

Faculty with part-time appointments will be reviewed on the normal annual review cycle. For purposes of annual review, the fraction of the appointment must be taken into account when considering the appropriate level of achievement in that year.

5.1.1.3. Preliminary Review of Probationary Faculty.

Probationary faculty members are typically reviewed by their departments in the second or third year of their appointments. The purpose of this review is to provide constructive, developmental feedback to probationary faculty regarding progress in meeting departmental criteria for promotion and/or tenure. This review also informs the decision to reappoint during the probationary period. (see [3. Appointment Policies and Procedures](#))

The review should be based upon departmental criteria and standards used for promotion and/or tenure. The review process must include peer review and an evaluation by the chair. External letters are not normally expected as part of the process. Additional reviews may be conducted at the discretion of the department

Tenure-eligible faculty members with either term or permanent part-time appointments will have a preliminary departmental review during their third year of employment, a review which will include input from departmental faculty. This is intended to provide feedback to the faculty member early in his/her probationary period. This review also informs the decision to reappoint during the probationary period. A second preliminary review will occur in the sixth year of service, unless a promotion/tenure review will take place in the subsequent year. Thus a part-time tenure-eligible faculty member will usually likely have two preliminary reviews. No contract for a tenure-eligible faculty member will exceed four years. Each tenure-eligible faculty member who has had a term or permanent part-time appointment will have his/her schedule of preliminary and tenure review updated each year at annual review.

5.1.1.5. Position Responsibility Statement.

It is the policy of Iowa State University that these evaluations are based on the position responsibilities of faculty members and other activities that relate to faculty appointments. The results of all reviews must be shared with the individual faculty members.

A position responsibility statement is a tool that allows for a flexible and individualized system of faculty review, particularly within the promotion and tenure process. The description itself should be general and only include the significant responsibilities of the faculty member that are important in evaluating faculty accomplishments in the promotion and tenure process. The position responsibility statement shall not violate the faculty member's academic freedom in teaching, in the selection of topics or methods of research, or in extension/professional practice.

The statement must be subject to regular review by the faculty member and his/her chair, and allow for flexibility in responsibilities over time and for the changing nature of faculty

appointments. The statement should allow both faculty members and their administrative and peer evaluators to understand the basis of the academic appointment and to place that into context with the promotion and tenure criteria. The descriptions should be brief but may include detail important to the department and/or faculty member. **If a faculty member and department chair agree to a permanent or term part-time position, the position responsibility statement should be modified to reflect reduced responsibilities of the faculty member during the part-time appointment.** The position responsibility statement cannot be changed unilaterally by either the chair or the faculty member. A department governance document may specify the procedure by which a position responsibility statement can be changed.

At the time of appointment, the chair and the new faculty member will agree on a position responsibility statement that should be based on the job advertisement. **For tenure-eligible faculty,** this should stand for the first three years of appointment. In most cases, this initial statement will remain in effect until the tenure review. Any changes in the expectations for the untenured faculty member must be made in consultation between the chair and the faculty member.

When tenure is granted, the faculty member and his/her chair should review the details of the position responsibility statement and make any necessary changes.

At least every seven years as part of the annual review process, tenured faculty members should re-evaluate their position responsibilities with their chairs. The statement may be reviewed and/or changed more frequently as part of the annual review process, but this is not mandated. Any changes in the statement must be made in consultation between the chair and the tenured faculty member.

5.2.1.3. Terms of Probationary Service.

The date that a tenure-eligible faculty member actually begins the performance of his or her duties at or on behalf of Iowa State University marks the beginning of the probationary period, except for mid-year appointments. The length of the probationary period must be specified at the time of the initial appointment. **The length of the probationary period may exceed seven years only for faculty who have had an extension of the tenure clock or for faculty on part-time appointment for a portion of the probationary period.**

In some instances the beginning date of an appointment does not coincide with the beginning of the academic year. In order to give the probationary faculty member the full opportunity to achieve the credentials required for tenure, the full probationary period for a person whose appointment begins during the academic year may extend a few months beyond seven calendar years. The ending date of the probationary period shall coincide with the end of the academic year in the case of B-base appointments, or the end of the fiscal year in the case of A-base appointments, so that the individual's tenure review can take place during a regular review cycle.

Tenure normally is conferred on an individual after seven consecutive years of continuous faculty service in a regular appointment at Iowa State University. A faculty member, therefore, is

ordinarily reviewed for tenure in the sixth year. Recommendations for awarding of tenure **before the mandatory year** require documentation of truly exceptional accomplishments.

Tenure-eligible faculty members with part-time appointments during the probationary period will be reviewed for tenure in the equivalent of the sixth year of full time service during the regular P&T review cycle. The years of full time service during a part-time appointment will be calculated as the summed duration of the part-time appointment in years multiplied by the fraction of the appointment. After summation of the part-time appointment, a remaining partial year less than or equal to 0.5 years of service will be rounded down to zero years, whereas a partial year greater than 0.5 years will be rounded up to 1.0 years. Therefore, faculty members will ordinarily be reviewed for tenure in the year following completion of a sum of calculated full time service no greater than 5.5 years. Recommendations for awarding of tenure before this schedule require documentation of truly exceptional accomplishments. Under no circumstances, however, will a tenure-eligible faculty member be reviewed for tenure later than during his/her tenth year of service. If denied tenure, a faculty member on part-time appointment has only one year of appointment beyond the denial.

A faculty member may request an additional review during the final year of the probationary period if there has been a substantial change in the record.

5.2.1.4.5 Extension of the Probationary Period for Faculty on part-time appointment.

For faculty members on part-time appointment, extension of the tenure-clock will not be permitted to take faculty past eleven years of service, with mandatory tenure review no later than year ten.

5.2.1.6. Criteria for Awarding Tenure.

It is the policy of Iowa State University that all faculty of the university shall be clearly informed as to the personnel policies of the institution. Personnel policies of the institution are contained in the *Faculty Handbook*, the *Office Procedure Guide*, <http://www.adp.iastate.edu/vpbf/prod/docs/opg/chap3toc.htm>, and in departmental and college governance documents as well as in additional supplemental information provided to departmental administrative officers. For each faculty member, the conditions of employment, including the length of appointment, shall be clearly stated in writing, along with a statement specifying tenure status and length of probationary period.

Tenure eligible faculty not initially hired on part-time appointment may request the conversion of their position to a term part-time appointment. At the time these changes are made, the conditions of employment, including the revised length of appointment and the review schedule, shall be clearly stated in writing, along with a statement specifying tenure review status and length of the revised probationary period.

The criteria by which probationary faculty in a department are evaluated for tenure shall be stated in writing as clearly and specifically as possible as part of the department's promotion and tenure document. A central component of each review is a written position responsibility

statement for each candidate. Criteria will be consistent with a commitment to excellence in scholarship and apply to the position responsibilities of probationary faculty. Such criteria and position responsibilities must not impinge upon the academic freedom of the probationary faculty.

The criteria by which faculty with part-time appointments are evaluated for tenure shall not differ from the criteria by which full time faculty are evaluated. At the time of tenure review, faculty with part-time appointments will have accumulated an equivalent amount of service to those with full time appointments.

5.3.5. Post Tenure Review Policy

Approved by Faculty Senate (3/23/99)

Approved by Faculty Vote (4/30/99)

Approved by Board of Regents (6/16/99)

Faculty in each department are charged with developing and implementing a plan for review of each tenured faculty member in the unit. Such review should be done periodically, at least once every seven years, **for faculty on full-time or part-time appointment**. The review should address the quality of the faculty member's performance in the areas of teaching, research/creative activities, extension/professional practice, and institutional service, consistent with the faculty member's position responsibility statement. Ideally, the review shall result in recommendations for enhancing performance and provide a plan for future development. **The review should also cover the effectiveness of part-time appointments.**

This review does not change the university's commitment to academic freedom, nor the circumstances under which tenured faculty can be dismissed from the university. Grounds for dismissal remain those listed in the Faculty Handbook under [7. Faculty Conduct Policy](#).

The plan for review should designate the following:

- the review participants
- review procedures and timelines
- materials to be reviewed
- distribution and use of the results of the review including communication beyond the department
- mechanisms for the faculty member to respond

The departmental post-tenure review plan shall be reviewed, approved, and revised in accordance with the collegiate governance approval process that applies to departmental promotion and tenure documents.

Notes to Proposal 9/05

•**Costs.** The cost of replacing faculty who move to part-time status would be borne by the salary savings generated. For term part-time appointments, departments would be able to use the salary savings to replace the work of the faculty member on part-time appointment. When a faculty member and a department chair negotiate a permanent part-time appointment, the department and the college would determine the best way to cover the costs of the academic work.

•**Decision to review part-time tenure-eligible faculty under an extended timeline.** The taskforce that drafted this policy has carefully considered the alternative option of having a part-time tenure-eligible faculty member reviewed for tenure in the sixth year (just like a full time tenure-eligible faculty member), with a reduction in the expectations for accomplishments. This would not fit with current practice, however, where the university is already extending the tenure clock for a number of tenure-eligible faculty. The above policy for part-time appointment, with its option for a lengthened probationary period, would complement current policies.

•**Why is this policy necessary?** This policy allows ISU to recruit and retain excellent faculty who need flexibility during a portion of their employment. While many faculty have been able to negotiate partial appointments when needed, this policy would allow all faculty a process to follow in adapting their appointments, if necessary. The policy would clarify and regularize the flexibility already in the system and provide clear methods to evaluate faculty on part-time status.

•**Other recommended changes.** Many of those consulted in the review of this policy have recommended that we consider other methods of adding to our flexibility in faculty recruitment and retention. Most prominent among those ideas was the addition of Research Professor to our list of faculty titles.