

Contact: Diana Gonzalez

PROPOSED NON-TENURED RESEARCH PROFESSOR TRACK POLICY
AT THE UNIVERSITY OF IOWA

Action Requested: Consider approval of the request by the University of Iowa to establish a non-tenured research professor track.

Executive Summary: The proposed policy will allow the University of Iowa to appoint and promote non-tenured research-track faculty. The policy sets parameters within which individual colleges can develop policies and procedures that permit the hiring of non-tenured research-track faculty. The proposed policy responds to the University's need for flexibility to adjust its programs to meet its changing needs and to remain competitive. This request has been reviewed by the Board Office and the Council of Provosts and is recommended for approval. This report addresses the Board of Regents Strategic Plan strategy (1.1.3) to "expand educational experiences for Iowa's future workforce and foster cultural understanding by recruiting and retaining a highly qualified and diverse faculty, staff, and administration."

Background:

- ◇ Non-tenured research-track faculty shall hold positions through which they will contribute primarily to the research mission of the University and hold faculty rank as assistant professor, associate professor, or professor.
- ◇ Non-tenured research-track faculty shall devote almost all of their time to performing externally-supported research and shall be expected to submit or assist in the submission of research grants. Teaching is an essential function of all faculty, but in the case of non-tenured research-track faculty, it will occur predominantly in the form of service on doctoral committees with the approval of the Graduate College.
- ◇ Research-track faculty shall not be eligible for tenure.
- ◇ Non-tenured research-track faculty members shall be able to participate in internal college governance by the approval of the tenured/tenure-track faculty but shall not be able to vote on the hiring of tenured/tenure-track or clinical-track¹ faculty.
- ◇ Non-tenured research-track faculty shall not be able to participate in the University of Iowa Faculty Senate and will not be appointed to any committees of the Senate or to University charter committees as faculty representatives.

¹ Clinical-track faculty hold service positions through which they contribute to the service, teaching, and/or outreach missions of the University. Clinical track faculty are not eligible for tenure.

- ◇ Every college that plans to offer non-tenured research-track faculty appointments must develop its own written policy statement consistent with University policy. College policy must address each of the following:
 - Participation of non-tenured research-track faculty in collegiate faculty governance.
 - Procedures for appointment, reappointment, and promotion of non-tenured research-track faculty.
 - Criteria for appointment, reappointment, and promotion of non-tenured research-track faculty.
 - Criteria for application to open positions in the tenure track by non-tenured research-track faculty.
- ◇ Each college that adopts a non-tenured research-track faculty policy shall fix the size of its total salaried faculty that may hold non-tenured, research-track appointments.
- ◇ The limit on the number of non-tenured research-track faculty in any college shall be the greater of eight faculty members or 10% of the tenured/tenure-track faculty (computed in FTEs) of that college.
- ◇ Procedures for recruiting, hiring, and promoting non-tenured research-track faculty shall occur according to the rules established by the appointing college with central administration review of collegiate recommendations.
- ◇ Support for non-tenured research-track faculty, including all start-up costs, shall be funded exclusively by grants, contracts, clinical income, and private donations, and not with general education funds.
- ◇ Initial appointments for non-tenured research-track faculty are 1-3 years. After three years or sooner if a promotion is contemplated, a full-scale, departmental-collegiate review shall occur.
- ◇ Non-tenured research-track faculty will be reviewed on a schedule commensurate with their appointments, according to written standards of competence and performance defined by their college and departments.
- ◇ This policy shall be reviewed by a committee of the Faculty Senate appointed by the Faculty Senate President in consultation with the Executive Vice-President and Provost not later than five years following its implementation; the review shall be completed within one academic year. Immediately following the review, the Faculty Senate shall vote on whether to renew the policy. If it is not renewed, the non-tenured research-track shall be abolished.

The proposed policy is attached.

UNIVERSITY OF IOWA
Proposed Research Track Policy

10.x RESEARCH TRACK POLICY.

Preamble. Consistent with the University's need to retain the flexibility to adjust its programs to meet the changing needs of the modern research university, non-tenured research-track faculty may be appointed and promoted as provided below. This policy sets parameters within which individual colleges can develop policies and procedures that permit the hiring of research-track faculty. Operationally, that collegiate policy would amplify this policy.

- a. Definitions.** Research-track faculty hold positions through which they contribute primarily to the research mission of the University and hold faculty rank as assistant professor, associate professor, or professor. Research-track faculty are not eligible for tenure. Research-track faculty members can participate in internal college governance by the approval of the tenured/tenure-track faculty but cannot vote on the hiring of tenured/tenure-track or clinical-track faculty. In addition, research-track faculty cannot participate in the University of Iowa Faculty Senate and are not to be appointed to any committees of the Senate or to University charter committees as a faculty representative. They can qualify for awards and can compete for internal research grants in the same manner as research scientists who are professional and scientific staff.
- b. Role of Research-Track Faculty.** Research-track faculty will devote almost all of their time to performing externally supported research and are expected to submit or assist in the submission of research grants. Teaching is an essential function of all faculty, but in the case of the research-track faculty it would occur predominantly in the form of service on doctoral committees with the approval of the Graduate College. Research-track faculty cannot be chairs of doctoral defense committees because this is the role of the tenured/tenure-track faculty. Research-track faculty cannot be assigned to teach courses, but they could be assigned, as needed, to provide auxiliary lectures on areas of knowledge relevant to their research or to engage in other teaching as may be required by the terms of their research grant or contract. Research-track faculty cannot be assigned to perform administrative functions with little or no research obligations as that assignment would be inconsistent with this policy.
- c. Collegiate Policies and Changes; Size of Research Faculty**
 - (1) Every college that plans to offer salaried, non-tenured research-track faculty appointments must develop its own written policy statement with respect to such appointments consistent with all the terms of this policy. Any policy must address each of the following:
 - (a) Participation of research-track faculty in collegiate faculty governance, including the appointment, re-appointment, promotion and peer review of other research faculty. Research-track faculty may not participate in any personnel decisions relating to the appointment, re-appointment, promotion, and peer review of tenured/tenure-track or clinical-track faculty.

- (b) Procedures for appointment, reappointment, and promotion of research-track faculty.
 - (c) Criteria for appointment, reappointment, and promotion for research-track faculty.
 - (d) Research-track faculty members may apply for open positions in the tenure track, but they may only be appointed to the tenure track one time during their career at the University of Iowa. Colleges may further define their own policies related to track switching.
- (2) Each college adopting a research-track policy shall fix the size of its total salaried faculty that may hold research-track appointments. The limit on the number of research faculty in any college shall be the greater of eight faculty members or ten percent (10%) of the tenured/tenure-track faculty (computed in FTEs) of that college.
 - (3) Support for research-track faculty, including all start-up costs, shall be funded exclusively by grants, contracts, clinical income, and private donations, and not with general education funds.
 - (4) The initial policy to create a research track in a college and any proposal made at any time to change that policy within a college must obtain both the approval of a majority of the tenured/tenure-track faculty within the college and the approval of a majority of the research-track faculty within the college by a vote supervised by the Associate Provost for Faculty. Any proposal to adopt or to change a college's research-track policy must be approved by the University of Iowa Faculty Senate, the Executive Vice President and Provost, and the President. Any collegiate policy must be wholly consistent with this policy.
- d. Terms of Appointments.** Research-track faculty are sought and appointed through recruitment processes used to appoint tenure-track faculty.

Initial appointments for research-track faculty are one to three years in duration. After three years or prior to that if a promotion is contemplated, a full-scale, departmental-collegiate review will be made. This review should take into account the research-track faculty member's effectiveness in fulfilling the research mission and the ability of the research-track faculty member to obtain and sustain extramural salary support. It should also include an evaluation of the departmental, collegiate, and University research goals and the likely role of the research-track faculty member in the future in achieving those goals. To assure adherence to standard procedures, a full central administration review of the departmental-collegiate recommendation is necessary.

After approval of the departmental-collegiate review, research-track faculty will receive terms of appointment consistent with established procedures for non-tenure track university employees; however, appointments cannot be for a period longer than current external support for that faculty member.

Research-track faculty will be reviewed on a schedule commensurate with their appointments, according to written standards of competence and performance defined by their college and departments. Re-appointments are only to be made if the research faculty member has a demonstrated record of successfully obtaining external support to fund the research-track faculty member's research.

- e. Qualifications for Specific Ranks.** The ranks of research-track faculty shall be assigned as defined below, and in accordance with collegiate policies.
- (1) Assistant Professor.
 - (a) Terminal degree (or its equivalent) appropriate to the field
 - (b) Evidence of productive scholarship
 - (c) Evidence of ability to fulfill relevant responsibilities in the research enterprise
 - (2) Associate Professor.
 - (a) Terminal degree (or its equivalent) appropriate to the field
 - (b) Record of productive scholarship, including evidence of sustained extramural research funding and salary support
 - (c) Fulfillment of important responsibilities in the research enterprise
 - (3) Professor.
 - (a) Terminal degree (or its equivalent) appropriate to the field
 - (b) Record of research excellence, including an established record of continued sustained research funding
 - (c) Unmistakable evidence of national or international recognition by peers
- f. Titles.** All titles of research-track faculty shall contain the term "research" as a modifier. Exact titles must be stipulated in college procedures and approved by the Executive Vice President and Provost.
- g. Promotion.** The question of promotion of research-track faculty may be brought up during any regular promotions cycle. Promotion of research-track faculty will follow University and collegiate "Procedures for Research-Track Promotion Decision Making at the University of Iowa." All recommendations for promotion of research faculty are submitted to the Board of Regents for approval.

h. Termination and Non-renewal.

- (1) Termination of research-track faculty during the term of the appointment must be for failure to meet written standards of competence and performance established by the unit and the University. Each college's written standards must include a description of the role of salary support in the decision to renew or terminate appointments. Limited bridge funding may be available from the department or college from funds other than general education funds but is not guaranteed.
 - (2) A decision not to renew an appointment of a research-track faculty member may be for failure to meet written standards of competence and performance established by the unit and the University, or for changed economic circumstances or program needs such that the position itself is terminated. Non-renewal for changed economic circumstances or program needs may only occur at the conclusion of an appointment and must carry appropriate notice.
 - (3) Notice of non-renewal of appointment, or of intention not to recommend reappointment after a stated period has elapsed, is given in writing in accordance with the following standards:
 - (a) Not later than March 1 of the first year of service, 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.
 - (b) Not later than December 15 of the second year of service, if the appointment expires at the end of that year; or the appointment terminates during an academic year, at least six months in advance of its termination.
 - (c) At least twelve months before the expiration of an appointment after two or more years of service in the institution.
 - (4) A decision for termination or non-renewal of research-track faculty is subject to the provisions of the Faculty Dispute Procedures (See III-29).
- i.** This policy shall be reviewed not later than five years following its implementation by a committee of the Faculty Senate appointed by the President of the Faculty Senate after consultation with the Executive Vice President and Provost and the review shall be completed within one academic year. Immediately following such review, the University of Iowa Faculty Senate shall vote on whether to renew this policy. Subject to subsection (h) (relating to termination and non-renewal), if the policy is not renewed, the research track shall be abolished.