THE PROFESSIONAL ASSESSMENT COMMITTEE
PROCEDURES

Department of Curriculum and Instruction
University of Northern Iowa
Cedar Falls, IA 50614-0606

Revised and accepted by C&I PAC vote September 4, 2018

APPROVALS:

Approved by: Dean, College of Education

Head, Department of Curriculum and Instruction

PAC Chair

Date: 9/5/2018

(All PAC Business is Subject to the Appropriate Standards of Confidentiality)
# TABLE OF CONTENTS

## PART 1: Introduction

- Master Agreement
- Membership
- Faculty Assessment
- Purpose of OPAC Assessment
- Chairperson
- Amending the PAC Document

## PART 2: Assessment Procedures for Probationary Faculty Members

- Introduction
- Faculty Mentor
- Probationary Faculty Member’s Assessment Materials
- Student Assessments
- Observations of the Probationary Faculty Member’s Teaching
- Definitions of Professional Performance
- Teaching—Face to Face and Online
- Teaching Face to Face
- Online Teaching
- Scholarship
- Service
- External Review Letters
- Procedures for Assessment of Probationary Faculty Members
- PAC Recommendation
- Clarification Meeting
- Evaluation File Entry
- Grievance
- Early Tenure of an Assistant Professor with Promotion to Associate Professor

## PART 3: Assessment Procedures and Definitions of Professional Performance for Promotion of Tenured Faculty Members to Full Professor

- Introduction
- Faculty Advocate
- Requirements for Promotion to Full Professor
- Alternative Pathways to Full Professor
- Professional Materials
- Procedures to Prepare for Promotion from Associate to Full Professor
- Procedures for Assessment of Candidates for Promotion
- PAC Recommendation
- Clarification Meeting
- Evaluation File Entry
- Grievance
Part 1
Introduction

Membership: All tenured department faculty are members of the PAC. The PAC operates as a committee of the whole.

Faculty Assessment: The PAC shall provide assessment of the teaching, research and professional service of non-tenured department faculty and faculty members wishing to be considered for promotion. Temporary faculty and term faculty will be assessed at the discretion of the Department Head. Department faculty members with assignments in positions of administration will not be assessed by the PAC.

Purpose of PAC Assessment: The purpose of the PAC assessment process shall be narrowly construed as summative assessment of a faculty member’s teaching, research, and service.

Chairperson: A chairperson shall be elected by the membership of the PAC at the last meeting of the spring semester for the next academic year (summer, fall, spring). Duties of the PAC Chairperson shall include:

- Presiding over PAC meetings;
- Developing a PAC membership roster;
- Creation and distribution of the annual calendar;
- Identifying the names of faculty to be assessed for tenure;
- Identifying the names of faculty to be assessed for promotion;
- Developing and distributing PAC meeting agendas;
- Maintaining PAC meeting minutes;
- Initiating periodic review of the PAC document; and
- Other duties as needed.

Amending the PAC Document: The PAC document is subject to change when University policy or implementation and practice within the department make such revision necessary. No changes may be made without approval of the PAC membership, the Department Head, and the Dean of the College of Education.
Part 2
Assessment Procedures for Probationary Faculty Members

Introduction

The Professional Assessment Committee (PAC) shall assess annually the teaching, research, and professional service of each probationary member of the department.

- To be considered for tenure and promotion, a faculty member must have a terminal degree. Exceptions must follow the guidelines of the 2018-2019 UNI Faculty Handbook (see Paragraph 2.033 and Paragraph 3.634).
- Probationary members are those whose contracts state that their position is considered to be "tenure-track." This includes those hired as assistant professors and those hired "ABD" (all but dissertation).
- When faculty members are hired ABD as tenure-track instructors with the agreement that they will complete their doctorates, they are considered as starting the first of their six years of probation at the time of employment, unless a different timeline was negotiated at the time of employment.
- Probationary faculty members are expected to apply for tenure and promotion no later than the fall semester of their sixth year of employment.
- In the Department of Curriculum and Instruction, when a person is recommended for tenure, the PAC will also recommend promotion to Associate Professor.

Faculty Mentor

When probationary faculty members join the faculty, the PAC will request that the department head appoint a mentor.

Mentors will:
- provide guidance to the faculty member about teaching, research, and service activities;
- assist in organization and preparation of materials to be submitted annually to the PAC;
- monitor progress toward tenure; and,
- write the letter to the department head detailing the PAC's assessment of the probationary faculty member's activities, until an advocate is identified.

At some point before the probationary faculty member is considered for tenure and/or promotion, he, she or they will select a colleague (i.e., advocate) from the C &I PAC. The advocate may be the original mentor or another PAC member within the Department.

The advocate will:
- assist with the preparation of materials for the PAC;
• advise on developing a list of external reviewers; and,
• write the letter to the department head detailing the PAC’s assessment of the probationary faculty member’s activities.

**Definitions of Professional Performance**

Professional performance in the areas of teaching, scholarship, and service has been the bedrock of success in the path toward tenure and promotion. The PAC of the Department of Curriculum and Instruction follows the guidelines of the UNI Faculty Handbook regarding teaching (see Section 4.0, Subdivisions 4.1, 4.11, 4.12, 4.13), Scholarship (see Section 4.3, Subdivisions 4.31, 4.32, 4.33, Sections 4.4 & 4.5), and Service (Section 4.6, Subdivision 4.61). Workload for faculty varies by focus and assignment (see UNI Faculty Handbook Subdivision 4.71). Probationary faculty with a standard portfolio are expected to have a workload of 60% teaching, 25% research/scholarship, and 15% service.

**Probationary Faculty Members’ Assessment Materials**

Each year, the probationary faculty member shall present materials to the PAC documenting activities from the previous year. These materials may take the form of a portfolio. They should include:

• a curriculum vitae
• a personal statement describing teaching, research and service activities
• supporting documents for the curriculum vitae and the statement, including publications

When seeking tenure and/or promotion the probationary faculty members’ materials shall include:

• a curriculum vitae
• a personal statement describing his/her/their own perception of readiness for promotion
• supporting documents for the curriculum vitae and the statement, including publications and a chart showing teaching effectiveness data drawn from student assessments

Letters by others written in support of his/her/their tenure and/or promotion may also be included.

**Student Assessments**
As stated in the 2018-2019 UNI Faculty Handbook, student assessments shall be administered for each probationary, term, and full-time temporary faculty member during the fall or spring semester of each year, not counting years on leave or non-teaching assignments (Subdivision 3.22). Student Assessment data will be kept in the probationary faculty member’s departmental personnel file. The data will be made available to the members of the PAC by the Department Head (see UNI Faculty Handbook Subdivisions 3.12 & 3.13)

Tenured Faculty members shall be assessed by students during the fall or spring semester each second (2nd) year, not counting years on leave or non-teaching assignments. (Subdivision 3.23).

When assessments occur, they are to be taken in all sections of all classes taught by the faculty member for that semester.

Additional student assessments may be conducted as requested by the faculty member or as requested by the Department Head in case of documented concerns regarding the faculty member’s teaching. The Department Head is required to consult with the faculty member before scheduling the assessments. (See Subdivision 3.25)

Faculty members may conduct additional assessments of their classes for informative purposes. The administration of such assessments shall be arranged by the faculty member. The University shall process such assessments but no record of the results shall be kept in the evaluation file or any other file maintained by the University. (See Subdivision 3.26)

**Observations of the Probationary Faculty Member’s Teaching**

The teaching of probationary faculty members will be observed each year by one colleague who is a member of the PAC (see Paragraph 3.633). When a probationary faculty member is going up for promotion and/or tenure, two observations of teaching will be conducted by two colleagues who are members of the PAC.

- The probationary faculty member may provide the PAC chairperson with the name(s) of tenured faculty he/she/they would prefer to have observe his/her/their teaching.
- The PAC may, at its option, select from this list or may identify other faculty approved by the PAC.
- Probationary faculty who teach both undergraduates and graduate students should have one observation at each level; faculty who teach both face-to-face and online courses should have one observation of each kind of delivery.
- Times for teaching observations will be arranged by the PAC observers and the probationary faculty member.
- Observations of probationary faculty members shall occur during the calendar year (January-December) prior to the fall PAC assessment meeting addressing the probationary faculty member, with at least one of the two observations occurring during the Fall academic semester.
• All observations will be completed prior to any PAC meeting in which that individual’s assessment is discussed.
• The probationary faculty member will provide the observer a syllabus and a lesson plan prior to the observation.
• The observer and the probationary faculty member may discuss the class session after the observation.
• The PAC observer must write a letter to the PAC chairperson, summarizing his/her/their assessment of the probationary faculty member’s teaching, before the PAC assessment meeting.
• The chairperson will be responsible for the original letter(s) and other materials currently being considered by the PAC. The department head may have access to these materials.

Teaching—Face to Face and Online

Faculty members seeking promotion to the rank of Associate Professor must demonstrate teaching effectiveness regardless of the teaching setting—face to face or online. This evidence should include observation letters, written summaries of classroom visits by the PAC, formal student evaluations conducted each year, and information provided by the candidate found in course syllabi including but not limited to course content, objectives, textbooks, grading procedures, links to professional standards, assignments, activities and references to supplemental professional readings. If classes taught are part of multi-section courses sharing a common syllabus, a determination should be made as to how much ownership the probationary faculty member can and does take.

Teaching Face to Face

The following material defines face to face teacher performance. It is organized around 1) class meeting organization, 2) class climate, 3) instructor interaction with course content, and 4) student participation.

1. Class Organization
   a. Professor identifies goals/purposes of class session.
   b. Professor utilizes a variety of pedagogical practices well suited to students’ learning.
   c. Professor reviews information/experiences from the previous class session.
   d. Professor demonstrates appropriate pacing and timing in carrying out class purposes and procedures.
   e. Professor connects class information/experiences to PPU standards and performance-based outcomes in support of students’ cumulative knowledge base.
   f. Professor connects class information/experiences to previous courses to emphasize the cumulative nature of their educational experience.
   g. Professor connects class information/experiences to required readings.
h. Professor connects class information/experiences to a theoretical orientation.
i. Professor utilizes a variety of technological applications.

2. Class Climate
a. Student-professor interactions provide evidence of rapport.
b. Professor exhibits familiarity with students.
c. Professor provides appropriate and constructive feedback to students.
d. Professor creates a safe environment conducive to risk-taking.
e. Professor provides classroom conditions that support students’ learning.

3. Instructor Interaction with Course Content
- Professor demonstrates evidence of strong content knowledge.
- Professor engages students in in-depth study of content.
- Professor engages students in study of worthwhile, valuable content.
- Professor scaffolds students’ understandings of content, methods, etc.
- Professor exhibits knowledge of current research.
- Professor links content to real world classrooms by sharing stories about real classroom events, children’s work samples, classroom dilemmas, case studies, etc.
- Professor connects content knowledge to field experiences, if appropriate.

4. Student Participation
a. Students’ exhibit attentiveness throughout the class session.
b. Professor provides multiple opportunities for active student participation in large group, small group, and partner work.
c. Professor provides opportunities for quality student participation in class through:
   - Open-ended questions
   - Open-ended activities
   - Evocations (making connections, anticipatory set, setting the stage for new topic)
   - Reflections
   - Other
d. Professor provides multiple opportunities for quality student participation outside of class.

**Online Teaching**

The following material defines online teacher performance. It is organized around 1) class organization, 2) class climate, 3) instructor interaction with course content, and 4) student participation.

These criteria provide a basis for evaluating online teaching. They are adapted from *12 Steps to Online Teaching Success* by Dr. Lawrence C. Ragan, Director of Faculty Development for Penn State’s World Campus:
1. Class organization:
   a. The faculty member knows how to use the learning management system.
   b. The faculty member demonstrates that he/she knows the structure, flow and rhythm of the course and how it is different from other teaching formats.
   c. The faculty member developed a calendar of the course activities and due dates.
   d. The faculty member knows the support resources when problems arise.

2. Class climate:
   a. A routine establishes and maintains a teaching presence in the course.
   b. The faculty member demonstrates that he/she knows learners and their characteristics.

3. Instructor interaction with course content
   a. The course content and expectations establish and communicate clearly.
   b. Student performance expectations are established and communicated clearly.
   c. There is evidence of a personal teaching plan that defines daily, weekly and monthly course teaching activity.
   d. There are procedures for evaluation and student assessment.

4. Student participation
   a. The faculty member personalizes the course so the learner is engaged.
   b. There is evidence the faculty member knows what strategies he/she will use throughout the course to engage the learner.
   c. The faculty member provides multiple opportunities for active student participation through online whole group, small group, and partner work.
   d. The faculty member provides opportunities for quality student participation in class through:
      - Open-ended questions
      - Open-ended activities
   e. Evocations (making connections, anticipatory set, setting the stage for new topic)
      - Reflections
   f. The faculty member provides multiple opportunities for quality student participation through class activities and discussions.

In addition, the University has adopted the Quality Matters Program as a guiding tool for developing and structuring high quality online teaching and learning experiences. The QM rubric is structured around eight main criteria. A version of this rubric with detailed subpoints under each criteria can be found online at http://www.qmprogram.org/files/QM_Standards_2011-2013.pdf. The reviewer is encouraged to refer to this rubric when evaluating online teaching.
The eight criteria include:
   a. Course Overview and Introduction
   b. Learning Objectives (Competencies)
   c. Assessment and Measurement
d. Instructional Materials  
e. Learner Interaction and Engagement  
f. Course Technology  
g. Learner Support  
h. Accessibility  

Suggestions Regarding Observing Online Teaching

Online teaching may be synchronous or asynchronous. In advance of the observation, for either synchronous or asynchronous teaching, the faculty member will provide the observer with a syllabus and will arrange access to the course management site for the course. This is arranged through the instructional designers in the Office of Continuing Education. The observer will review the content and organization of resources available to students on the course management site, considering the alignment of resources to the course goals; extent of content provided to students; clarity of expectations for students; pacing, variety, and quality of learning tasks; clear assessment procedures; and evidence of opportunities for students to engage with the faculty and the content.

In addition, for synchronous instruction, the faculty member will provide the observer with information regarding logging in to a synchronous session, as well as a plan for the session. During synchronous online session observations, the observer should arrange to log in to the course approximately ten minutes before the session begins to ensure that technology is functioning. The observer will need to have a headset and should mute his/her/their microphone after system testing.

Scholarship

Primary Requirements: Peer-reviewed journal articles are considered the most important requirement for tenure and promotion to the rank of Associate Professor. These should be full-length articles, the majority of which should be published in national/international rather than local journals. The journals should be highly respected in their field and indexed in major databases. If the candidate can provide evidence that a masked peer-review process was applied, a peer-reviewed book chapter may be counted as equivalent to a peer-reviewed journal article. The majority of the scholarship submitted for promotion should be composed of peer-reviewed journal articles.

Candidates should target an average of one peer-reviewed journal article per year. If this target is reached it will yield 4 to 6 peer-reviewed journal articles in well-respected national/international journals (see Appendix 7A for more detail about journal quality) by the time the candidate goes forward for a tenure and promotion decision. The candidate should be the first or sole author on some of the publications submitted for promotion. For faculty who, when hired, have been “given x years towards the tenure and promotion decision,” they can count toward
tenure the publications done at the other Institution of Higher Education from which the years toward tenure were given.

See Appendix 7B for a list of stages of progress to full publication. This list was developed so that a probationary faculty member can track a manuscript’s progress from submission to publication. Candidates need to correctly portray the status of any manuscripts on the manuscript itself and in their curriculum vitae when they put these into their PAC binders. This will help the PAC and administrators determine what currently counts and the effort and progress toward obtaining more publications.

In addition to a strong publication record in respected national journals, candidates should demonstrate a research focus that is both programmatic and consistent. The candidate should demonstrate through published scholarship that he, she or they is developing a research program that is focused on one or two areas of inquiry as contrasted by multiple topics with no clear focus.

Publications should also occur consistently over time demonstrating a professional commitment to scholarship. Extended lapses of time between publications should be avoided. For example the candidate should have at least one article accepted for publication by the end of the second year of the probationary appointment and should continue to publish on a regular basis.

Secondary Requirements:

In addition to the peer-reviewed journal articles, other publications will enhance and support the candidate’s record and will demonstrate a professional commitment to scholarship. These may include:

- Journal articles – editorial review
- Book chapters – editorial review
- Major grant proposals that include a literature review in which the proposed project could result in a publication
- Peer-reviewed conference proceedings
- Presentations at international or national conferences
- Presentations at regional or local conferences

These professional publications and activities are important secondary activities and clearly enhance the candidate’s record. But alone they will not be considered sufficient for tenure and promotion to the rank of Associate Professor. The PAC expects that the candidate will regularly present scholarly work at local and national conferences. However, peer-reviewed conference proceedings will not be counted as equivalent to peer-reviewed journal articles.

Service
Service is a requirement for tenure and promotion. In order to develop professionalism and a sense of community, all faculty members should seek out and engage in service activities beginning in the first year of the probationary appointment. Service can be at the level of the department, college, and university including administrative assignments such as division coordinators, center heads, and other administrative roles. Service activities may also include work in community organizations or in local, national, or international professional associations. Engaging in service should be viewed as a key vehicle for professional development of faculty members. Candidates should engage in service at a variety of levels, but it is essential that candidates participate in consistent and ongoing service at the department, college, and/or university levels.

Service activities should extend beyond attendance at professional meetings, for example, and should culminate in documented outcomes. Such documentation may include:

- annual or final reports of committees on which the faculty member has served, demonstrating the candidate’s involvement;
- minutes of committee meetings, demonstrating the candidate’s involvement;
- media documentation of a candidate’s participation in off-campus events;
- reviews of journal articles with accompanying acknowledgment letters by the editors;
- letters of evaluation or acknowledgment from chairs of committees on which faculty members have served;
- certificates of participation;
- flyers of workshops given;
- presentations at local, state and regional conferences;
- grant proposals for service-oriented endeavors that may lead to popular or professional—but not scholarly, peer-reviewed—publication.

Vulnerability of junior faculty dictates that, in the case of particularly contentious and/or political matters requiring debate and votes, tenured faculty would be preferred to serve as senators or delegates. Junior faculty should be encouraged to participate as alternates who can begin to build the background needed for such service in the future.

**External Review Letters**

For candidates seeking tenure and/or promotion, an external review of research and service must be included as part of the assessment.

- The candidate will identify the names, academic rank, addresses, phone numbers and email addresses of five (5) external university faculty members (or persons who have previously held university rank).
- The candidate will also provide a paragraph summarizing each external reviewer’s professional accomplishments supporting the reviewer’s stature and relevance in the field.
The mentor or advocate will present the names and information for each reviewer to the PAC, which will select the names of one to three (1 to 3) reviewers to be contacted by the PAC chair.

Using the model letter contained in the Appendices of this document, the PAC chair will contact reviewer(s) requesting an external review of the candidate’s credentials. The PAC support staff member will send the candidate’s curriculum vitae and publication materials to reviewer(s) who agree to complete a review.

External review letters will be addressed to the PAC chairperson and should be received prior to the PAC assessment meeting in which the tenure and/or promotion request will be considered.

When external review letters are received they are deposited in the candidate’s file in the Department Office.

Professional Materials

- Candidate Assessment Materials Summary
  - CV
  - Personal statement
  - Supporting documents summary

- Supporting Documents
  - Student assessments summary
  - Teaching observation letter(s)
  - Department Head letters
  - External review letter(s)
  - Optional materials

Procedures to Prepare for Promotion from Assistant to Associate Professor

- Candidate prepares his/her/their curriculum vitae (and may wish to discuss the CV with the Department Head).
- Candidate confirms intent to apply for associate professor to the Chairperson of the PAC.
- PAC appoints an advocate.
- Candidate identifies 5 names of possible external reviewers.
- PAC selects 1-3 names from the list and contacts those individuals to request external reviews.
- PAC appoints two PAC members to observe the teaching of the candidate.
- PAC observer and candidate agree upon a date for the observation.
- Candidate provides materials for the PAC observer before the session.
- Candidate creates composites (charts) of teaching evaluations and attaches at the end of the CV.
- Candidate organizes the materials for submission:
  - A binder (1” to 2” in size), or binders, with the following sections and materials:
- Table of contents and introduction
- Curriculum Vitae
- Personal statement about professional activities
- Department head letters
- External review letter(s)
- Teaching (statements with support documents)
- Scholarship (including a few documents with information not included in the CV, such as acceptance and circulation rates of journals and grants, presentations and publications of advisees)
- Service (statements with support documents)
  - A box may be used as supplementary storage, if needed, for items that do not fit into a binder.

**Procedures for Assessment of Probationary Faculty Members**

- All documents and materials will be given to the PAC chairperson no later than the third Friday of the month of October.
- The information will then be made available to the PAC members by the chairperson. Members of the PAC must review the materials prior to the meeting.
- Before the assessment meeting, the department head may be asked to meet with the PAC to provide additional data needed for assessing a specific probationary faculty member.
- At the meeting, the PAC chairperson will have available the current assessment documents for the probationary faculty member who is being assessed:
  - the materials provided by the probationary faculty member
  - annual PAC and Department Head letters, but not the salary letter
  - the letters of the PAC observers
  - data from Student Assessments
  - letters from external reviewers (when tenure and promotion are sought)
- The PAC will review the teaching, the research, publications, writing, non-print projects, and professional service of the candidate, noting the contributions to the profession, the department, the college, the university, and to the individual’s own professional growth.
- PAC members who are not able to attend may forward remarks to the chairperson prior to the meeting.
- Input will be given by the members to the advocate, who will write the recommendation letter to the department head on behalf of the PAC.
- At the following PAC meeting, the recommendation letter will be presented by the advocate and the PAC will vote.
- The written report of the collective judgments of the PAC, together with any concurring or minority reports, shall be transmitted to the probationary Faculty Member, the Department Head, and the Dean, and shall be entered in the evaluation file no later than January 15.
PAC Recommendation

- One of the following recommendations shall be made by the PAC in the letter
  - continued probation
  - continued probation with difficulty
  - tenure
  - dismissal
- PAC members who are present at the assessment meeting in which the letter is presented will vote on the recommendation. Votes or remarks offered after the assessment meeting in which the vote takes place will not be considered.
- The statement is to be signed by each of the participating PAC members.
- If the decision is not unanimous, the minority opinion may be conveyed in a separate letter, signed by the member(s) of the PAC holding the minority opinion.
- Abstentions will normally be accompanied by a statement explaining the reason for the abstention.
- When a letter contains statements of an adverse nature, there should be clear identification of sources/evidence from which those statements evolved.

Clarification Meeting

- A probationary faculty member may, upon receipt of the PAC letter, request a meeting with the PAC for clarification of any statement made in the PAC letter.
- The same request for clarification may be made if the department head’s or dean’s letters of recommendation contain statements attributed to the PAC that need clarification.

Evaluation File Entry

- A probationary faculty member has the right to enter into his/her/their evaluation file a response to any PAC material contained in the file.
- The PAC shall have the authorization to see the probationary faculty member’s evaluation file for purposes of conducting the assessment.

Grievance

- Probationary faculty members may discuss their appointment status with the department head, dean of the college, the vice-president and provost, and/or the president of the university.
- Any probationary faculty member who believes that an incorrect decision has been made in his/her/their case may appeal through the established grievance procedures.
• Such discussion or appeals shall normally begin with the department head.

**Early Tenure of an Assistant Professor with Promotion to Associate Professor**

Purpose: The purpose of early tenure and promotion is to recognize accomplishment, to identify attainment of professional qualifications, and to reward the hard work of an assistant professor. Another purpose is to encourage an exceptional individual to remain at the University of Northern Iowa rather than seek another institution that will recognize the person’s early accomplishments. Generally, it takes a person five years to reach the level of scholarly accomplishment, teaching expertise, and contribution to service that is expected for application and granting of tenure and promotion to the rank of associate professor during the sixth year. An individual who is able to do these things in a shorter time span should be allowed to move forward. Requiring the individual to wait until the sixth year to apply for tenure and promotion because not enough time has elapsed is an outdated idea akin to “serving seat time.”

Timing: Some time is needed for an individual to exhibit consistency of scholarly production, teaching ability, and commitment to service. Therefore, a faculty member may not apply for early tenure and promotion until the beginning of the fourth year of full-time employment as an assistant professor in the Department of Curriculum and Instruction at UNI. Therefore, a person may in this way apply for early tenure and promotion to Associate Professor one or two years early. This timing policy does not apply to the situation of a person with faculty experience at another institution who has been given a number of years of credit toward tenure and promotion. Such situations need to be addressed on an individual basis.

Consequence of Denial of Early Tenure and Promotion to Associate Professor: There is no penalty for denial of early tenure and promotion. Denial of early tenure/promotion will not be viewed with prejudice. An assistant professor who applies for an early tenure or promotion decision and is denied may re-apply for tenure and promotion the next year if the original early application was in the fourth year or wait until the regular time during the beginning of that person’s sixth year as an assistant professor.

Requirements for Early Tenure and Promotion: An assistant professor who qualifies for consideration for early tenure and promotion should exhibit strong skills in scholarship and teaching and should have a record of reasonable service contributions. A person considering early tenure/promotion should consult with his/her/their mentor and the PAC chair for advice. The UNI Faculty Handbook provides specific guidelines for determination of promotion that include a specific number of years at assistant professor rank in order to move forward (see Subdivision 3.62). However, Paragraph 3.637 does provide support for PAC to develop criteria for early Tenure and Promotion procedures.
Guidelines: The following are the Department of Curriculum and Instruction guidelines for assistant professors contemplating early tenure and promotion:

- Scholarship: Strong record of scholarly research publications in refereed national/international journals with at least one in which the person is sole author and two others in which the person is first author. There should be evidence that the person has reached a level of scholarly expertise in which he, she or they takes a lead role in designing research projects with other faculty members, school teachers, or students. Some of the peer-reviewed articles may focus on practice, but some need to present original research findings. Large, externally-funded grants authored by the faculty member may be considered as substitutes for some peer-reviewed journal articles in the area of scholarship at the discretion of the PAC. Similarly, a book chapter that undergoes peer review may also be considered to count as an article. A consistent record of peer-reviewed national/international journal publications or the equivalent publications/grants are recommended. The main consideration is whether the individual is engaged in quality scholarly pursuits that contribute to advancement of the field.

- Teaching: A demonstrated record of excellent teaching evidenced by student evaluations indicating effective teaching, positive peer reviews of teaching, and/or teaching award(s).

- Service: In general, assistant professors are protected from heavy service requirements so that they may focus on teaching and scholarship. Application for early tenure and promotion does not require evidence of exceptional service. However, the person should have some evidence of service such as service on departmental, college, and/or university committees, service learning interactions set up for students with schools or community agencies, service as a reviewer for a professional journal, and/or service on a professional society committee or state committee, etc.
PART 3
Assessment Procedures and Definitions of Professional Performance for Promotion of
Tenured Faculty Members to Full Professor

Introduction

Most faculty members in the Department of Curriculum and Instruction were hired with the
terminal degree at the Assistant Professor level. However, a significant number of faculty in the
Department of Curriculum and Instruction were hired and tenured through the Department of
Teaching and later transferred into the Department of Curriculum and Instruction. As a result,
the professional trajectory of faculty members varies in some cases. Some were tenured without
a terminal degree. Others were tenured and promoted without a terminal degree. Still others
were tenured with the terminal degree but not promoted from Assistant Professor to Associate.

Part 2 of this document couples the recommendation for tenure and promotion. However, for
those faculty who have the terminal degree and tenure but have not received promotion from
Assistant to Associate Professor, the procedures found in Part 3 of this document should be
followed for purposes of promotion. The content in the remainder of this section applies to
tenured faculty who are candidates for promotion to full professor.

Faculty Advocate

At some point before the candidate is considered for promotion, he, she or they will select a
colleague (i.e. advocate) from the C & I PAC. The advocate must be a faculty member at the
rank of Full Professor.
The advocate will:

• Assist with the preparation of materials for the PAC.
• Work with the PAC Chairperson on the External Review Process.
• Identify names of five potential external reviewers to present to the PAC for selection
  of one to three external reviewers who will write letters. (See p. 12 External Review
  Letters for additional information.)
• Assist the candidate in assembling materials to send to reviewers including the
  following:
  o Curriculum Vitae
  o Personal statement describing themes central to the candidate’s work and all
    professional activities associated with each theme.
  o Supporting material for evaluating the candidate’s professional contributions
    (online references and/or print copies).
• Send materials to one to three external reviewers identified by the PAC.
• Write the letter to the department head detailing the PAC’s assessment of the
  candidate’s activities.
Requirements for Promotion to Full Professor

For promotion to the rank of full professor, the candidate should demonstrate continued growth in the areas of teaching, scholarship, and service that extend from the time of promotion to associate professor. Accomplishments since promotion to associate professor as well as the totality of the candidate’s work will be considered for a promotion recommendation.

TEACHING: Faculty members seeking promotion to the rank of Professor must demonstrate teaching effectiveness regardless of the teaching setting—face to face or online. This evidence should include observation letters, written summaries of classroom visits by the PAC, formal student evaluations and other evidence of teaching that may include mentoring of students in publications and presentations. The candidate may also wish to include a statement about teaching and/or a letter(s) of support. (See Part 2 for definition and criteria for effective teaching.)

SCHOLARSHIP: Scholarship: When the candidate seeks promotion to the rank of full professor, he, she or they should present evidence of the quality and the significance of his or her achievements in scholarship. Other evidence of scholarship may include mentoring of students in publications and presentations.

There should be evidence of national and or international recognition relative to his or her professional peers. This evidence could be exhibited by: invited presentations or publications; citation of one’s work in the publications of others; national/international keynote addresses; national/international society awards for scholarly contributions; national/international grants; large grants of $50,000 or more; largely distributed published book.

A strong and consistent record of productivity in one or two focused areas of research should be evident in the professional materials presented to the PAC. (See Part 2 for definitions and basic criteria for scholarship.) A consistent record of productivity is defined as publication of four to six refereed articles in national/ international professional journals during a six-year time span after achieving the rank of associate professor. Other significant scholarly works such as large state or national grants can substitute for some of the journal articles. (See Part 2 for definitions and basic criteria for scholarship.)

SERVICE: In the area of service, accomplishments since promotion to associate professor must reflect a considerable amount of leadership activity. Evidence of leadership might include letters of acknowledgement from administrators or collaborators in leadership activities, as well as agendas or minutes of committee meetings chaired, conference programs, flyers or other documents in which the candidate’s leadership is featured.

Note: Faculty applying for promotion to Full may only be evaluated by Full Professors in the PAC (including PAC members across different COE departments, if needed).
Alternative Pathways to Full Professor

Associate Professors may apply for promotion to full professor because of excellence in one or more of these three areas: scholarship, teaching, or leadership. The traditional path to full professorship has required achievement in all three areas and excellence in scholarship. However, an associate professor may choose to emphasize excellence in teaching or leadership along with a consistent record in scholarship. The evidence for these alternative pathways need to be sustained over a four- to six-year period.

*Excellence in scholarship* is the traditional pathway to attaining full professorship. The process is defined in the preceding section.

*Excellence in teaching* requires evidence of success in teaching. Lines of evidence may include: highly favorable student evaluations; teaching awards; completion of a professional teaching improvement program (e.g., Center for Excellence in Teaching and Learning’s Teach UNI program; Quality Matters professional development and implementation); documented self-study of one’s teaching with improvements made; or other documented teaching improvement.

*Excellence in leadership* requires evidence of success in leadership. Lines of evidence may include: implementation of new education programs with evidence for their excellence and efficacy; influence on effective, innovative or transformational educational policy through local, state, regional, national or international organizations; demonstration of vision through implementing a service learning project that involves preservice teachers or graduate students in benefiting a community; envisioning and leading a large, collaborative event such as a conference that benefits the educational field.

Early Promotion to Full Professor

Normally a person stays in rank as an associate professor for five years before applying for promotion to full professor in their sixth year. The 2018-2019 UNI Faculty Handbook states that an associate professor normally must serve a minimum of six years in rank as an associate professor before advancement to full professor (see Subdivision 3.62). However, evidence of exceptional merit, as demonstrated through teaching, research/scholarship/creative work, and professional service may be considered for early promotion (see Subdivision 3.637).

SUMMARY: Candidates may choose to focus for a period of time on enhancing one of the three professional areas—teaching, scholarship or service. In this case their professional record will reflect this emphasis. This must be described in a personal statement that the candidate makes available to the PAC. However, when the candidate seeks promotion to the rank of full professor, he, she or they should be able to present evidence of achievement in all three areas.
Professional Materials

- Candidate Assessment Materials Summary
  - CV
  - Personal statement
  - Supporting documents summary

- Supporting Documents
  - Student assessments summary
  - Teaching observation letter(s)
  - Department Head letters
  - External review letter(s)
  - Optional materials

Procedures to Prepare for Promotion from Associate to Full Professor

- Candidate prepares his/her/their curriculum vitae (and may wish to discuss the CV with the Dean).
- Candidate sends notice of intent to apply for full professor to the Chairperson of the PAC.
- PAC appoints an advocate.
- Candidate identifies 5 names of possible external reviewers.
- PAC selects 1-3 names from the list and contacts those individuals to request external reviews.
- PAC appoints two PAC members to observe the teaching of the candidate.
- PAC observer and candidate agree upon a date for the observation.
- Candidate provides materials for the PAC observer before the session.
- Candidate creates composites (charts) of teaching evaluations and attaches at the end of the CV.
- Candidate organizes the materials for submission:
  - A binder (1 to 2” in size), or binders, with the following sections and materials:
    - Table of contents and introduction
    - Curriculum Vitae
    - Personal statement about professional activities since tenure
    - Department head letters since tenure
    - External review letter(s)
    - Teaching (very brief statements, possibly with one or two support documents)
    - Scholarship (including a few documents with information not included in the CV, such as acceptance and circulation rates of journals and grants, presentations and publications of advisees)
    - Leadership (featuring very brief descriptions of major leadership activities and, possibly, letters of support for each)
  - A box may be used as supplementary storage, if needed, for items that do not fit into a binder.

21
Procedures for Assessment of Candidates for Promotion

- All documents and materials will be given to the PAC chairperson on the date designated by the PAC.
- The information will then be made available to the PAC members by the chairperson. Members of the PAC must review the materials prior to the meeting.
- Before the assessment meeting, the department head may be asked to meet with the PAC to provide additional data needed for assessing the candidate.
- PAC members who are not able to attend may forward remarks to the chairperson prior to the meeting.
- At the meeting, the PAC chairperson will have available the current assessment documents for the faculty member who is being assessed:
  - the materials provided by the candidate
  - the evaluation file
  - the letters of the PAC observer(s)
  - data from Student Assessments
- Discussion of the faculty member’s materials and candidacy will be held. All PAC members may participate.
- The Advocate will read the first draft of the recommendation letter that he/she/they has written about the candidate.
- After the discussion, PAC members who hold the rank of Professor will hold a short meeting to vote on the recommendation that will be made to the Department Head.
- After the vote, input will be given by the members to the advocate, who will finalize the recommendation letter to the department head on behalf of the PAC.
- The written report of the collective judgments of the PAC, together with any concurring or minority reports, shall be transmitted to the faculty member, the Department Head, and the Dean, and shall be entered in the evaluation file no later than January 15.

PAC Recommendation

- One of the following recommendations shall be made by the PAC in the letter
  - Promote to Full Professor
  - Do not promote to Full Professor
- PAC members who are present at the assessment meeting in which the letter is presented will vote on the recommendation. Votes or remarks offered after the assessment meeting in which the vote takes place will not be considered.
- The statement is to be signed by each of the participating PAC members (Professors).
- If the decision is not unanimous, the minority opinion may be conveyed in a separate letter, signed by the member(s) of the PAC holding the minority opinion.
- Abstentions will normally be accompanied by a statement explaining the reason for the abstention.
- When a letter contains statements of an adverse nature, there should be clear identification of sources/evidence from which those statements evolved.

**Clarification Meeting**
- A candidate may, upon receipt of the PAC letter, request a meeting with the PAC for clarification of any statement made in the PAC letter.
- The same request for clarification may be made if the Department Head’s or Dean’s letters of recommendation contain statements attributed to the PAC that need clarification.

**Evaluation File Entry**
- A candidate has the right to enter into his/her/their evaluation file a response to any PAC material contained in the file.
- The PAC shall have the authorization to see the faculty member’s evaluation file for purposes of conducting the assessment.

**Grievance**
- Candidates may discuss their appointment status with the department head, dean of the college, the vice-president and provost, and/or the president of the university.
- Any candidate who believes that an incorrect decision has been made in his/her/their case may appeal through the established grievance procedures.
- Such discussion or appeals shall normally begin with the department head.
PART 4:
Assessment Procedure for Non-Tenure Track Faculty Members and Non-Terminal Degree Regular Faculty Members

Introduction

As noted in Part 3 of this document, most faculty members in the Department of Curriculum and Instruction were hired with the terminal degree at the Assistant Professor level. However, some faculty in the Department of Curriculum and Instruction were hired and tenured through the Department of Teaching and later transferred into the Department of Curriculum and Instruction. Most were transferred at the rank of Instructor.

Definition of Instructor

An instructor is:

- A member of the faculty who is hired on a term or temporary basis and may or may not hold the terminal degree;
- A member of the regular tenure track faculty who does not hold a terminal degree but who may be tenured or considered for tenure.

Evaluation of Term and Temporary Instructors

At the discretion of the Department Head, term and temporary instructors will be observed by at least one member of the C&I PAC. An observation letter addressing the instructor's teaching will be presented to the PAC and forwarded to the Department Head.

Evaluation of Tenure-track Instructors for Continued Probation or Tenure

Recommendation for continued probation or tenure requires:
1. Demonstrated excellence in teaching consistent with standards applied to other faculty members;
2. Demonstrated service to the institution and profession consistent with standards applied to other faculty members;
3. Demonstrated scholarship and/or research activity consistent with the level of degree earned. Examples of such activity may include but are not limited to:
   a. Consistent record of professional presentations across a variety of venues;
   b. Collaboration with professors or other colleagues in formal research or scholarly activities;
   c. Engagement with reflective practice, as evidenced in portfolio or other forms of documentation, and featuring evidence-driven reflection, action research, or other approaches to the scholarship of teaching.
Evaluation of Tenure-Track Instructors for Promotion

In addition to the above criteria for continued probation or tenure, recommendation for promotion of instructors to the rank of Assistant Professor or higher requires:
1. An earned doctorate;
2. A demonstrated potential for scholarship consistent with the rank being sought.
3. In unusual cases of extraordinary professional achievement, the requirement for the terminal degree may be waived (Paragraph 3.634 UNI Faculty Handbook).
APPENDIX 1:
CURRICULUM VITAE TEMPLATE

NAME
Department of Curriculum and Instruction
University of Northern Iowa
Schindler Education Center
Cedar Falls, IA 50614-0606
Phone: (319) 273-____
E-mail: ________________

EDUCATIONAL BACKGROUND

Date (most recent first) University, Degree, in what
Date University, Degree, in what
Date University, Degree, in what

PROFESSIONAL EXPERIENCE

Teaching

Date--Present (Assistant or Associate) Professor, University of Northern Iowa. Curriculum and Instruction: Division. Courses for graduate and undergraduate students.

Date List other professorial positions.
Identify universities/colleges, locations, full/part-time status

Other Teaching Experience (starting with the most recent)

Dates Assistantships

Dates Instructor Positions (List institutions, locations, positions)

Dates Teaching in private or public schools (List schools, locations, positions)

Administrative and Other Professional Experiences

Dates Educational administrative positions (List institutions, locations, positions)

Dates Other professional experiences (List institutions, locations, positions)

HONORS AND AWARDS

Dates Awards
SCHOLARSHIP

Books (external review)

Professional

College Textbooks

Pre-K-12 Instructional Texts

Chapters in Published Books (external review)

Refereed Journal Articles (external review)

National/International

Submitted to National/International Journal (with masked, peer review)

Conference Proceedings—International (with masked, peer review)

Conference Proceedings—National (with masked, peer review)

State (if peer reviewed)

Submitted—be sure to clearly mark and place last

Other Publications (editor review)

Books

Book Chapters

Articles

National/International

State

Book Reviews

Proceedings

ERIC Documents

Newspapers and Newsletters (editor review)
Grants
(List author(s), title, agency, amount awarded, and date funded. Grants in progress or submitted and awaiting response should clearly be marked as such.) Do not list grant proposals that did not receive awards.

External

Internal

Miscellaneous Scholarship and Creativity (indicate external, editor, or self-review)

Software

Internet Sites

Other

Technical Reports

UNI Publications (internal or self-review)

Books

Proceedings

Monographs

Newsletters

Handbooks

Media Interviews

Research Activities

Date(s) Title, Place Topic and description

PROFESSIONAL PRESENTATIONS (use the following headings)
National/International Presentations
Regional, State and Sectional Presentations

Local Presentations
Workshops

CONSULTING

National/International
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**Graduate Advising**

Total Number of Current Graduate Advisees
MAE _____ Ed.D. _____

Total Cumulative Number of UNI Graduate Advisees:
MAE _____ Ed.D. _____

Chair, Ed.D Dissertation Committees—
Number of Current Advisees _____ Cumulative Number of Advisees: ____

Member, Ed.D. Dissertation Committees—
Number of Current Students _____ Cumulative Number of Students: ____

Member, Ed.D. Thesis Committees—
Number of Current Students _____ Cumulative Number of Students: ____

Chair, Thesis Committees—
Number of Current Advisees _____ Cumulative Number of Advisees: ____
Member, Thesis Committees—
Number of Current Students _____ Cumulative Number of Students: _____

Director, Non-Thesis Papers—
Number of Current Advisees _____ Cumulative Number of Advisees: _____

Reader, Non-Thesis Papers—
Number of Current Students _____ Cumulative Number of Students: _____

Partnerships With Schools

Date Partner, Location, Brief Description

PROFESSIONAL MEMBERSHIPS

DIRECTING AND ADVISING OF RESEARCH

Presidential Scholar Senior thesis Projects

Year
Name of student Title of Paper, etc.

Master of Arts in Education Graduate Research Papers/Projects
Chair and First Reader

In Progress
Year
Name of Student Title of Paper, etc.

Completed
Year
Name of Student Title of Paper, etc.

Master of Arts in Education Graduate Research Papers/Projects
Second Reader

In Progress
Year
Name of Student Title of Paper, etc.

Completed
Year
Name of Student Title of Paper, etc.

Master of Arts in Education Graduate Thesis
Chair

In Progress
Year
Name of Student  *Title of Paper, etc.*

**Completed**
Year
Name of Student  *Title of Paper, etc.*

*Master of Arts in Education Graduate Thesis*
*Committee Member*

**In Progress**
Year
Name of Student  *Title of Paper, etc.*

**Completed**
Year
Name of Student  *Title of Paper, etc.*

*Educational Specialist Degree Thesis*
*Committee Member*

**In Progress**
Year
Name of Student  *Title of Paper, etc.*

**Completed**
Year
Name of Student  *Title of Paper, etc.*

*Doctor of Education Graduate Thesis*
*Chair*

**In Progress**
Year
Name of Student  *Title of Paper, etc.*

**Completed**
Year
Name of Student  *Title of Paper, etc.*

*Doctor of Education Graduate Thesis*
*Committee Member*

**In Progress**
Year
Name of Student  *Title of Paper, etc.*

**Completed**
Year
Name of Student  *Title of Paper, etc.*
Classes Taught at the University of Northern Iowa

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APPENDIX 2:
MODEL PAC LETTER

Date, Year

Dr. ________, Head
Department of Curriculum and Instruction
University of Northern Iowa
Cedar Falls, IA 50614-0606

Dear Dr. ________:

The Department of Curriculum and Instruction Professional Assessment Committee (PAC) has assessed the performance of Dr. (NAME) in consideration of her/his continued appointment as Assistant Professor. Dr. ________ received his/her/their original appointment on date __________ at the rank of __________. Under normal circumstances the PAC anticipates that Dr. ________ would be eligible to apply for consideration for a tenure and promotion decision in the sixth year. This process translates into the following timeline under normal circumstances:

- Dr. ________ was appointed with ________ years toward tenure.
- Dr. ________ will be evaluated by the PAC for six academic years spanning the fall semester of __________ to the fall semester of __________.
- In the spring semester of __________ Dr. ________ will begin the process of preparing professional materials for a PAC tenure and promotion recommendation in the following fall semester.
- In the fall semester of __________ the PAC will make a tenure and promotion recommendation.
- In the following spring semester of __________ the administration will announce a decision regarding tenure and promotion.

The following is a consensus summary of the PAC recommendations. The materials provided by Dr. ________, reports of students and colleagues regarding his or her performance, and the other materials in his/her/their evaluation file were the basis for this assessment.

Teaching:

This section includes a narrative description and summary of the candidate’s teaching online or face-to-face. It should not include itemized lists duplicated from the candidate’s CV. The narrative should address class organization, class climate, instructor interaction with course content, and student participation as defined in Part 2 of the C&I PAC Document. It should also address outstanding achievement such as awards or other notable points of distinction.
Scholarship:

This section includes a narrative description and summary of the candidate's scholarship activities but does not include itemized lists duplicated from the candidate's CV. This section should be organized around the following:

- General Statement: Address the importance of scholarship activities to faculty development as defined in Part 2 of the C&I PAC Document.
- Scholarship Core Requirements: Address how the candidate's performance compares to the standards established by the PAC as defined in Part 2 of the C&I PAC Document.
- Scholarship Secondary Requirements: Address how the candidate's performance compares to the secondary requirements as defined in Part 2 of the C&I PAC Document.

Service:

This section highlights the candidate's service at a variety of levels summarizing the extent to which service activities are consistent and on-going. It includes a narrative description and summary of the candidate's service at the level of the department, college, university or community. As described in Part 2 of the C&I PAC Document, service is also defined as professional activity in local, state, national or international professional organizations.

This section should highlight outstanding achievement such as service awards or other notable points of distinction as described in Part 2 of the C&I PAC Document. It does not include itemized lists duplicated from the candidate's CV but includes references to service-related documentation provided by the candidate as described in Part 2 of the C&I PAC Document.

Closing paragraph:

(Choose one or more optional responses below):

- The members of the PAC wish to commend Dr. (NAME) for . . . .
- However, they are concerned that . . . . and encourage him/her to improve by . . .
- The Professional Assessment Committee (strongly) recommends continued probation (with difficulty) for Dr. (NAME) in the coming year.
APPENDIX 3A:
OBSERVATION GUIDE

A. Introduction

The Professional Assessment Committee (PAC) annually evaluates the teaching, research, and professional service of each probationary member of the department. The PAC evaluation utilizes a process of observation and discussion in order to discern long-term effectiveness of the faculty member. An important part of the evaluation process is the observation of the faculty member’s teaching performances over time. These performances may vary from face to face, blended or online settings. Regardless of the setting, observations are documented and interpreted by means of a letter written by the observer and addressed to the Chair of the PAC Committee. The following provides frameworks for the observations and letter.

B. Face to Face and Online Teaching Performance Observation Guide—Prior to the Observation

The following material should be adapted as appropriate to the face to face or online teaching environments:

1. Arranging a class meeting to observe: Normally, the faculty member being observed will contact the observer and arrange a date, time, and place for the class observation. An important consideration about these observations is that the observer should be able to witness the instructor leading the class through some instructional activity. Simply observing the instructor observing student presentations will not suffice for the purposes of the PAC observation. In addition, the observer is not expected to observe the instructor observe a guest speaker or similar type of activity. The observer should be able to witness the instructor interacting with the students and the course content during the majority of the class meeting time.

2. Observer review of class documents: Prior to the observation, the faculty member being observed should prepare copies of the following documents for review by the observer in order to provide important contextual information related to the course meeting. These documents include the following:
   a. The course syllabus;
   b. A plan or agenda that describes the main instructional events to be observed during the observation and the purposes for those events;
   c. A contextual reference that clearly identifies where in the course content sequence the class meeting being observed fits, and how it relates to previous and subsequent class meetings and topics.
   d. The observer is requested to inspect the syllabus for its alignment with the mission and conceptual framework of the UNI College of Education as well as its alignment with appropriate sets of standards outside of the UNI practitioner preparation unit (PPU). The course syllabus should support the UNI practitioner mission statement.
The syllabus should also make clear the relationships between the practitioner unit standards, applicable national organization standards, and performance-based course objectives.

C. Face to Face Teaching Performance Observation Guide—During the Observation

The observer is asked to record observations and summary thoughts regarding the four main areas related to teaching performances: class meeting organization, class climate, instructor interaction with course content, and student participation as detailed below.

1. Class Meeting Organization
   a. Professor identifies goals/purposes of class session.
   b. Professor utilizes a variety of pedagogical practices well suited to students’ learning.
   c. Professor reviews information/experiences from the previous class session.
   d. Professor demonstrates appropriate pacing and timing in carrying out class purposes and procedures.
   e. Professor connects class information/experiences to PPU standards and performance-based outcomes in support of students’ cumulative knowledge base.
   f. Professor connects class information/experiences to previous courses to emphasize the cumulative nature of their educational experience.
   g. Professor connects class information/experiences to required readings.
   h. Professor connects class information/experiences to a theoretical orientation.
   i. Professor utilizes a variety of technological applications.

2. Class Meeting Climate
   a. Student-professor interactions provide evidence of rapport.
   b. Professor exhibits familiarity with students.
   c. Professor provides appropriate and constructive feedback to students.
   d. Professor creates a safe environment conducive to risk-taking.
   e. Professor provides classroom conditions that support students’ learning.

3. Instructor Interaction with Course Content
   a. Professor demonstrates evidence of strong content knowledge.
   b. Professor engages students in in-depth study of content.
   c. Professor engages students in study of worthwhile, valuable content.
   d. Professor scaffolds students’ understandings of content, methods, etc.
   e. Professor exhibits knowledge of current research.
   f. Professor links content to real world classrooms by sharing stories about real classroom events, children’s work samples, classroom dilemmas, case studies, etc.
   g. Professor connects content knowledge to field experiences, if appropriate.

4. Student Participation
   a. Students’ exhibit attentiveness throughout the class session.
   b. Professor provides multiple opportunities for active student participation in large group, small group, and partner work.
   c. Professor provides opportunities for quality student participation in class through:
i. Open-ended questions
ii. Open-ended activities
iii. Evocations
iv. Reflections
v. Other
d. Professor provides multiple opportunities for quality student participation outside of class.

D. Online Teaching Performance Observation Guide—During the Observation

The observer is asked to record observations and summary thoughts regarding the four main areas related to teaching performances: class organization, class climate, instructor interaction with course content, and student participation.

The following criteria provide a basis for evaluating online teaching. They are adapted from 12 Steps to Online Teaching Success by Dr. Lawrence C. Ragan, Director of Faculty Development for Penn State’s World Campus:

1. Class organization:
   a. The faculty member knows how to use the learning management system.
   b. The faculty member demonstrates that he/she knows the structure, flow and rhythm of the course and how it is different from other teaching formats.
   c. The faculty member developed a calendar of the course activities and due dates.
   d. The faculty member knows the support resources when problems arise.

2. Class climate:
   a. A routine establishes and maintains a teaching presence in the course.
   b. The faculty member demonstrates that he/she knows learners and their characteristics.

3. Instructor interaction with course content
   a. The course content and expectations establish and communicate clearly.
   b. Student performance expectations are established and communicated clearly.
   c. There is evidence of a personal teaching plan that defines daily, weekly and monthly course teaching activity.
   d. There are procedures for evaluation and student assessment.

4. Student participation
   a. The faculty member personalizes the course so the learner is engaged.
   b. There is evidence the faculty member knows what strategies he/she will use throughout the course to engage the learner.
   c. The faculty member provides multiple opportunities for active student participation through online whole group, small group, and partner work.
   d. The faculty member provides opportunities for quality student participation in class through:
      • Open-ended questions
      • Open-ended activities
- Evocations
- Reflections

c. The faculty member provides multiple opportunities for quality student participation through class activities and discussions.

In addition, the University has adopted the Quality Matters Program as a guiding tool for developing and structuring high quality online teaching and learning experiences. The QM rubric is structured around eight main criteria. A version of this rubric with detailed sub-points under each criteria can be found online at http://www.qmprogram.org/files/QM_Standards_2011-2013.pdf. The reviewer is encouraged to refer to this rubric when evaluating online teaching.

The eight criteria include:
1. Course Overview and Introduction
2. Learning Objectives (Competencies)
3. Assessment and Measurement
4. Instructional Materials
5. Learner Interaction and Engagement
6. Course Technology
7. Learner Support
8. Accessibility

E. Organization of the PAC Teaching Performance Observation and Letter

This guide serves three essential purposes. The first purpose is to provide the faculty member and observer with suggested procedures for conducting an observation including a set of expectations for both the observer and faculty member regarding pre-observation preparation, in class activities, and follow-up reporting.

The second purpose is to provide both the observer and faculty member with a descriptive list of classroom qualities, instructional approaches, points of entry for student engagement, and classroom organizational features that represent qualities of effective teaching practices.

These areas are presented under four broad categories:
- Class organization
- Class climate
- Instructor interaction and course content
- Student participation

The listings under these four broad categories are not considered exhaustive. Rather, they represent a common ground and departure points for constructive dialog about, and facilitate reflective deliberation regarding, professional teaching practice. A single observation is not expected to reflect all of the elements of instruction described in this guide. However, it is anticipated that each observation will reveal evidence that the faculty member is employing a
number of these highly effective practices. It is also recognized that simply employing haphazardly a certain set of strategies linked to effective teaching is neither appropriate nor effective.

The third purpose of this guide is to provide structure for composing the observer letter to the PAC chair. While the form of the observer letter will reflect individual style and emphasis differences, each letter should address the four broad categories presented above.

The observer writes a summary letter concisely synthesizing the observation notes. The observer may organize the observation letter to address the four categories delineated in this observation guide. Alternatively, the letter writer may choose to address the various sections within a series of paragraphs that conform to themes or some other organizing framework suggested by the observation. See Appendix 3B for Sample Observation Letter.

It is important to note that this document serves only as a guide. It is not a rubric nor is it intended as a measurement tool of faculty performance. This document is best utilized as a guide for the following:

- Formalizing the observation process to better communicate expectations to faculty members
- Providing structural integrity to the observation process
- Enhancing communication between the observer and the faculty member and among PAC committee members

Individual observations are snapshots of teaching performance. Each offers only limited insight into instructional practice. The best use of observational data is to examine that data over time. This guide intends to facilitate development of a coherent representation of faculty teaching practice across time and setting.
APPENDIX 3B:
FACE TO FACE TEACHING PERFORMANCE OBSERVATION GUIDE
(for note-taking in the classroom)

1. Class Meeting Organization
   a. Professor identifies goals/purposes of class session.

   b. Professor utilizes a variety of pedagogical practices well suited to students’ learning.

   c. Professor reviews information/experiences from the previous class session

   d. Professor demonstrates appropriate pacing and timing in carrying out class purposes and procedures.

   e. Professor connects class information/experiences to PPU standards and performance-based outcomes in support of students’ cumulative knowledge base.

   f. Professor connects class information/experiences to previous courses to emphasize the cumulative nature of their educational experience.

   g. Professor connects class information/experiences to required readings.

   h. Professor connects class information/experiences to a theoretical orientation

   i. Professor utilizes a variety of technological applications.
2. Class Meeting Climate  
   a. Student-professor interactions provide evidence of rapport.  
   b. Professor exhibits familiarity with students.  
   c. Professor provides appropriate and constructive feedback to students.  
   d. Professor creates a safe environment conducive to risk-taking.  
   e. Professor provides classroom conditions that support students’ learning.

3. Instructor Interaction with Course Content  
   a. Professor demonstrates evidence of strong content knowledge.  
   b. Professor engages students in in-depth study of content.  
   c. Professor engages students in study of worthwhile, valuable content.  
   d. Professor scaffolds students’ understandings of content, methods, etc.  
   e. Professor exhibits knowledge of current research.  
   f. Professor links content to real world classrooms by sharing stories about real classroom events, children’s work samples, classroom dilemmas, case studies, etc.  
   g. Professor connects content knowledge to field experiences, if appropriate.
4. Student Participation
   a. Students’ exhibit attentiveness throughout the class session.

   b. Professor provides multiple opportunities for active student participation in large group, small group, and partner work.

   c. Professor provides opportunities for quality student participation in class through:
      - Open-ended questions
      - Open-ended activities
      - Evocations
      - Reflections
      - Other

   d. Professor provides multiple opportunities for quality student participation outside of class.
APPENDIX 3C
SAMPLE OBSERVATION LETTER TO PAC CHAIR

Date:

Dear Dr. PAC Chair:

1. **Introductory paragraph identifying course and student demographics:** In this paragraph the letter writer indicates the course title, section number, and date of the observation. In addition, this paragraph should describe brief demographic information such as total number of students attending the class that day, and any other related information that will provide a context for the observation.

2. **The main body of the letter:** In this part of the letter, the writer’s task is to briefly describe the class meeting according to the following broad categories:
   - Class organization
   - Class climate
   - Instructor interaction and course content
   - Student participation

   The letter should communicate to the PAC chair the essence of the class meeting and the extent to which the instructor exhibited sound professional practice.

3. **The concluding interpretation about the observation:** The observer indicates opinions about strengths or capabilities demonstrated by the faculty member during the observation. In addition, the observer indicates questions or concerns related to the teaching performance during the class meeting. Each letter should contain the following components:
   - Summary of strengths observed during the class session.
   - If there are any areas of serious concern related to teaching, which, if left unaddressed are likely to contribute to a recommendation of “continuation with difficulty,” then these must be clearly documented for the mentor to use to suggest remediation.
   - Otherwise recommendations for improvement can be given in an oral debriefing session with the faculty member after the observation, rather than included in the letter.

Sincerely,

Your name
Professional Assessment Committee Observer
APPENDIX 4:
SUGGESTED ORGANIZATION OF PROFESSIONAL DOCUMENTS
FOR TENURE AND/OR PROMOTION FROM ASSISTANT TO ASSOCIATE PROFESSOR

The professional Portfolio for members of the department of C&I can be arranged according to
the vision of the member in terms of his or her place in the department and in the discipline.

Everyone should have the following four sections for each annual review (pre-tenure, can be
sections of a notebook) and for tenure/promotion (can be one binder as well, with top priority
going to c.v. in C&I PAC format, and additional documentation primarily of scholarly work,
possibly with hanging files or in a box. This should not be seen as a scrapbooking exercise):
1. General Information: Organize the binder in the following manner.
   ○ Table of contents for entire portfolio
   ○ Introduction overall and to the other sections
   ○ Personal Statement: The personal statement from the non-tenured faculty member shall
     be given to the chairperson of the PAC prior to the PAC assessment meeting in which the
     individual is assessed. This statement is intended to permit the non-tenured faculty
     member to present material to the PAC that might not otherwise be available. This
     statement is intended to clearly elucidate to the PAC the individual’s evidence of
     professional accomplishments, activities, and responsibilities. These achievements are
     described in terms of teaching, research, and professional service as he/she perceives
     them. The personal assessment statement is organized in categories that relate to overall
     focus themes, providing a professional overview of the individual’s work. The person
     may present any other evidence of accomplishments, activities, or responsibilities that the
     individual would like the committee to be aware of as it makes its assessment. The non-
     tenured faculty member may ask others to submit letters to the chairperson in
     his/her/their behalf.
   ○ Curriculum vitae in C&I promotion and tenure format (see Appendix 1)
   ○ Letters from C&I Department Head
   ○ Letters from external reviewer(s)
   ○ Honors

Each of the following binders would start by repeating the section of the personal statement for
the related professional area:
1. Teaching
2. Scholarship
3. Service
In assessment of faculty for tenure it is assumed that first priority is given to teaching
effectiveness and that professional growth and activities at the departmental, university, or
community level will not be allowed to take precedence over or interfere with the instructor’s
first responsibility, which is his/her/their students.
**Teaching:** C & I faculty are expected to demonstrate teaching effectiveness. Students should show individual growth and development within the instructor's subject area and have an open-minded approach to new ideas and techniques within the area. Faculty are expected to demonstrate innovation and/or experimentation in their own teaching techniques and a willingness to try new techniques described in professional journals. Faculty are expected to demonstrate the ability to communicate with students and to establish rapport with students, both inside and out of class. Faculty are expected to be knowledgeable about current developments within their own and related fields of specialization and to be able to communicate effectively with their colleagues about such developments.

The teaching section should include a statement that describes the following:
- Philosophy of teaching that guides the pedagogical choices;
- The nature of the contribution to the department's teaching mission (e.g., why teach in C & I rather than Ed Psych or Communication or the English department, etc.);
- The ways in which the member models commitment to reflective practice;

The following must be included:
- Student Assessments of Instructor—rating scale
- Student Assessments of Instructor—written comments

The items below may be included (adapted from Fitzgerald, Deemer & Farstad, 2002):
- Self-reflective writing after class (reflective journal entries)
- Audiotapes after a site visit to a student in a field experience, practicum, Level III
- Practical argument technique with colleagues about a specific practice
- Critical reflection together after classes that are co-taught
- Colleagues observing classes annually
- Ethnographic evaluation of class
- Videotape of teaching with collegial comments
- Evidence of student growth/learning across the term (not just end products of best students)
- Student reflections on their learning--solicited
- Student reflections on their learning--unsolicited
- Graduates' unsolicited communications after getting jobs
- Repeat customers signing up to take a second or third class

**Scholarship:** Faculty members are expected to contribute to their own professional growth and development through undertaking individual research, writing, or non-print projects. These activities must not compete with the responsibilities described in the teaching section above but should enhance the faculty member's ability to articulate and enact best classroom practices.

The Scholarship statement should describe:
- Philosophy guiding the work
• Theme of the work
• The direction of the work (new direction, ongoing work, overview/review, etc.)
• The nature of the contribution
• The significance of the work to the field (and specify the field or discipline)

This part of the statement could then serve as an annotated index to the materials being submitted in the scholarship section of the portfolio materials, and could guide the arrangement of materials to make the review easier in terms of general themes, philosophy, etc.

More information about scholarly materials than just the citation should be included:
a) type of review (masked peer, which counts the most; peer, editorial, invited submission, etc.);
b) the quality of the journal in which the article is published (if not journal impact factor, then things like circulation of the journal or press run of the book or hits on the web page, reflection or acceptance rate (exclusivity measure), etc.)
c) citations (if available, impact factor at the article level, such as Google Scholar)

In addition, only already published or in press publications should be listed in the main part of the c.v. and supporting documents. Evidence of in press would be a letter or other tangible communication from an editor stating clearly that the manuscript will be published. Stages of publication other than already published or in press are left open for the candidate to make an argument and for the PAC to judge.

**Service:** Faculty are expected to assume a reasonable degree of responsibility for participation in professional organizations and to accept committee and/or speaking assignments at the local, state, or national level. These assignments must not interfere with the responsibilities described in the teaching section above. Faculty members are also expected to take an active part in departmental activities. These activities must not interfere with the responsibilities described in the teaching section above. Faculty members are expected to be alert to activities being carried out at the college and/or university level and to be willing to take part in such activities. These activities must not interfere with the responsibilities described in the teaching section above. Faculty members are expected to act as informed, concerned members of the community.

For the service section statement, the candidate will select 2 or 3 activities to feature. Each candidate may decide how to sort the activities. This can be described by audience (national, university, etc.), by theme, or by department connections to service, etc.
APPENDIX 5A:
SAMPLE LETTER FROM PAC CHAIR TO EXTERNAL REVIEWERS (TENURE)

Date

Dr.

Dear Dr. ________:

The University of Northern Iowa, a comprehensive university with a strong reputation in teacher education, is considering the promotion and tenure of Dr. ____________.

To aid us in rendering a wise decision, we seek a thoughtful evaluation of the quality of the candidate’s contribution to his/her/their professional field. You were recommended to us as a person who is in a position to provide such an evaluation, and in a phone conversation or email message to me, you agreed to assist us in this evaluation. Promotion and tenure involve consideration of several criteria. We do not ask you to make a judgment about the promotion and tenure themselves, only about the quality of the candidate’s professional contributions.

Specifically, we are interested in the following:
1. How long and in what capacity have you known the candidate (if at all).
2. Your judgment of the quality and significance of the scholarly productivity of the candidate. Please render a judgment in terms of particular works or sets of works. To aid in this endeavor, I am including Dr. ____________ curriculum vitae and a sample of his/her/their published or currently submitted works for your perusal.
3. Your judgment, if possible, of the quality and effectiveness of the teaching of the candidate. Please render a judgment based on your experiences in presentations, seminars or workshops conducted by Dr. ____________.
4. Dr. ____________’s national (and international) recognition relative to successful people in the same field at approximately the same stage of professional development.

The candidate will have access to the names of all reviewers and their reports. It would be greatly appreciated if you could have your review to us by _______. Please send it to the following address:

Dr. ________________
PAC Chair
Department of Curriculum and Instruction
University of Northern Iowa
Cedar Falls, IA 50614-0606

47
Thank you for your generous assistance to our tenure and promotion process.

Sincerely,

Your name
Professional Assessment Committee Chair
APPENDIX 5B:
SAMPLE LETTER FROM ADVOCATE TO EXTERNAL REVIEWERS (PROMOTION)

Date

Dr. NAME

Dear Dr. NAME:

The University of Northern Iowa, a comprehensive university with a strong reputation in teacher education, is considering the promotion of NAME, Associate Professor of Education.

To aid us in reaching a wise decision, we seek a thoughtful evaluation of the quality of the candidate’s contribution to the field. You were recommended as a person who would be able to render such an evaluation. Thank you for agreeing to assist in this process. While the promotion and tenure decision involves consideration of several criteria, we do not ask you to address the promotion decision itself but rather to assess the quality of the candidate’s professional contributions and activities. The candidate will have access to names of all reviewers and their reports.

Specifically, we are seeking your response to the following:

1. Do you know or have you worked with Dr. ? If so, for how long and in what capacity?
2. Based on your review of particular works or sets of works, what is your judgment of the quality and significance of Dr. ?’s scholarly activities? To aid in this endeavor, I have attached Dr. ?’s curriculum vitae and a sample of her published works for your perusal.
3. How would you describe Dr. ?’s national and/or international recognition relative to her professional peers?

We would greatly appreciate receiving your review by DATE. Please mail your review to:

NAME
Department of Curriculum and Instruction
University of Northern Iowa
Cedar Falls, IA 50614-0606

Thank you for your generous assistance.

Sincerely,

NAME
Professional Assessment Committee
APPENDIX 5C:
SAMPLE EMAIL FIRST CONTACT WITH POTENTIAL EXTERNAL REVIEWER

Dear Dr. :

The University of Northern Iowa, a comprehensive university with a strong reputation in teacher education, is considering the tenure and promotion of Dr., an assistant professor of Education.

To aid us in reaching a wise decision, we seek a thoughtful evaluation of the quality of her contributions to the field. You were recommended as a person who would be able to render such an evaluation. While the tenure and promotion decision involves consideration of several criteria, we do not ask you to address the tenure and promotion decision itself but rather to assess the quality of her professional contributions and activities. Should you be willing to assist us in that evaluation, we would greatly appreciate receiving your review by Friday, October 28.

May we have your permission to send you her curriculum vitae and a selection of her work for you to assess? If so, would you prefer electronic copies by email or hard copy by mail? If by mail, what address would you prefer us to use?

Sincerely,

Dr.
Chair, Curriculum & Instruction Professional Assessment Committee
APPENDIX 6A:
PAC ANNUAL SCHEDULED DUTIES AND TIMELINES

a. The chair elected in Spring semester for the Summer-Fall-Spring academic year calls the first meeting of the PAC for the year. Typically, this meeting will occur in August or near the first week of the academic year.
b. The chair will update the PAC membership roster.
c. The chair or his or her designee will keep minutes for the PAC meetings.
d. A current copy of the PAC document will be signed by the chair, the department head and forwarded to the Dean of the College of Education.
e. The chair will identify two members of the PAC to observe each probationary faculty member during the fall semester.
f. One member of the PAC will be identified to write the PAC letter.
g. The chair will identify observers for PAC members wishing to be considered for promotion to the rank of professor.
h. An advocate for PAC members wishing to be considered for promotion to the rank of professor will be identified.
i. The chair will notify each probationary faculty member identifying the two PAC members assigned to observe them and the PAC member who will write the PAC letter.
j. The chair will notify probationary faculty that their binders and supporting materials are due to the PAC chair by November 1.
k. A meeting schedule for the fall semester will be created by the chair. Observation letters will be presented at the first set of meetings followed by PAC letters in later meetings.
l. All observation and PAC letters will be presented at PAC meetings by December 1.
m. After December 1 PAC letters on PAC members wishing to be considered for promotion to the rank of professor, will be presented to the entire PAC. Only members holding the rank of professor will vote on the decision and sign the PAC letter.
n. All PAC letters will be signed by the members of the PAC by the close of the first semester.
o. Binders and supporting professional materials of each person being considered for tenure or promotion will be forwarded to the Dean’s office by the beginning of the second semester.
p. At the beginning of the second semester the PAC chair will establish an observation schedule for term and temporary full-time faculty.
q. Observation letters on term and temporary full-time faculty will be presented at regular PAC meetings during the second semester.
r. Throughout the academic year amendments to the PAC document may be presented at any time.
s. The last order of business during the final meeting of PAC in the Spring semester is the appointment of a new PAC chair for the next academic year (Summer-Fall-Spring).
APPENDIX 6B:
Timeline for Probationary Faculty--Academic Years 1-5

The probationary faculty member will do the following:

August of Year 1—End of Year 5
• Meet regularly with mentor to ask questions, discuss procedures and consult about
documents and materials to save for Professional Assessment Committee and
department head assessments.
• Keep a folio of documents and materials that provide evidence of professional
activities (see Section 2 of this document for more information).
• Prepare and maintain CV in the format suggested in the PAC document.

In addition, the probationary faculty member will do the following during each of the years prior
to the year in which he/she/they goes up for tenure and promotion:

September
• Make sure CV is in proper format and updated.
• Meet with mentor.
• Begin to ready materials for PAC and department head assessments of professional
accomplishments.
• When contacted by PAC observers, collaborate to schedule dates for observations.
• Provide each observer with the materials required before the session occurs (see
Section 2).

October
• Complete preparations of documents and materials to be submitted to the PAC on
November 1.
• Make documents and materials available to mentor for his/her/their perusal and
feedback.

November 1
• Submit dossier of professional materials to Chair of the Professional Assessment
Committee (deliver to departmental secretary).
APPENDIX 6C:
Probationary Faculty (tenure and promotion year)
Timeline for Probationary Faculty Going Up for Tenure and/or Promotion

The probationary faculty member will do the following:

April (prior to the fall in which the tenure and/or promotion application is submitted)
- Select the departmental colleague that he/she/they wishes to act as advocate (may be original mentor or another tenured faculty member).
- Prepare a document describing potential external reviewers. (See Section 2 for particulars.)
- Meet with the advocate to 1) provide the information about potential external reviewers and 2) discuss the preparation of materials and documents to be submitted in the fall.

April through October 15
- Prepare documents and materials to be submitted with the application for tenure/promotion. (See section 2).

April 30 (or before)
- Notify the chair of the Professional Assessment Committee of intention to apply for tenure and/or promotion.

September
- When contacted by PAC observers, make arrangements for the observations of teaching.
- Well before the observations, provide PAC observers with the required information (see Section 2).

October (or before)
- Share tenure and/or promotion documents and materials with advocate for advocate’s review and feedback.

November 1
- Submit dossier of professional materials to Chair of the Professional Assessment Committee (deliver to departmental secretary).

(See Forms Repository https://java.access.uni.edu/FormsRepository/faces/formList.jspx )
Faculty Request to Extend the Probationary Period for a Seventh Year
For those faculty requesting to extend the probationary period for a seventh year. Questions should be directed to Executive Vice President and Provost's Office.
Faculty Request to Suspend the Probationary Tenure/Promotion Clock
For those faculty requesting to suspend the probationary tenure/promotion clock. Questions should be directed to Executive Vice President and Provost's Office.
APPENDIX 6D:
Timeline for Tenured Faculty Going Up for Promotion to Full Professor

Candidate for promotion will do the following:

April (prior to the fall in which the promotion application will be submitted)
- Prepare curriculum vitae (and may wish to discuss the CV with the Dean)
- Select the departmental colleague that he/she/they wishes to act as advocate (must be a faculty member with the rank of full professor).
- Prepare a document describing potential external reviewers. (See Section 2 for particulars.)
- Meet with the advocate to 1) provide the information about potential external reviewers and 2) discuss the preparation of materials and documents to be submitted in the fall.

April through October 15
- Prepare documents and materials to be submitted with the application for promotion. (See Sections 2 and 3).

April 30 (or before)
- Notify the chair of the Professional Assessment committee of intention to apply for promotion.

October
- When contacted by PAC observer, make arrangements for the observation of teaching.
- Before the observation, provide PAC observer with the required information (see Section 2).

November (or before)
- Share professional documents and materials with advocate for advocate’s review and feedback.

November 20 (on or before)
- Submit completed dossier of professional materials to Chair of the Professional Assessment Committee (deliver to departmental secretary).
APPENDIX 7A:
PUBLICATIONS AND CITATIONS

JOURNAL AUDIENCE. The group of people who generally subscribe to and read the journal.

1. **International or National** Journal: A journal published by a national or international organization or a publishing house with international/national subscribers. The society or publishing house should be noted.

2. **Regional or State** Journal: A journal published by a regional or state society or organization, whose primary audience is that organization. However, if the publication is of sufficient quality, it may build a reputation and circulation on the national/international level. One measure of the audience of an online journal is the affiliation of the associate editors and authors. If these people are broadly nationally/internationally distributed, then the journal may be considered to have attained that presence.

3. **Institutional or Local** Journal: A journal published by an institution or local organization. Although a journal may start out at the local level, if the publication is of sufficient quality, it may build a reputation on the state or national/international level. One measure of the audience of an online journal is the affiliation of the associate editors and authors. If these people are state or regionally or nationally distributed, then the journal may be considered to have attained that presence. However, for a local or state journal to be truly elevated to a higher level, the circulation or audience size of the journal must also increase.

REVIEW FORMAT. The system of decision-making a journal or other publication has for determining acceptance of manuscripts. Types of review formats:

1. **Peer reviewed** or peer refereed: Review of the manuscript by other experts in one’s field.
   Peer review may be **blind** or **masked** in which the author of the manuscript’s name is hidden from reviewers (so that this information does not bias review), or **double-blind** or **double-masked**, in which the reviewers’ names are also withheld from the authors. In some journals, the author’s name is known to reviewers, but reviewers have the option of withholding their names from authors.

   Rationale: authors generally cannot notice every flaw or mistake in their work because most works are complex. Therefore, others who are not so closely involved with the work but who are experts in the field may be able to offer advice on improving the work. The probability that errors or weaknesses are identified and improved, therefore, increases with peer review. Reviewers are often anonymous so that they may give criticism without fear and to avoid cronyism. Review by experts is critical to establishing a reliable body of research and knowledge in a field.

   Some manuscripts are not only reviewed by peers, but in addition are reviewed by associate editors. This is an extension of the peer-review process.
2. **Editor-reviewed**: One or more editors at the journal (with professional expertise in the general area the publication addresses) decide whether or not the manuscript is suitable for publication and what changes need to be made. The manuscript is **not** sent out for peer review by more specific experts in the field.

3. **Invited paper**: Often, editors will invite experts in the field to submit manuscripts on a specific topic for a special themed issue of a journal. It is an honor and an indication of expertise to be invited to submit such a paper. The manuscript may be subjected to peer-review or editor review. If you have an invited paper, be sure to tell if it was peer-reviewed or editor-reviewed.

4. **Reprinted paper**: Sometimes, a state or regional journal will seek permission to reprint a paper of particular interest in their journal. Other times, a special issue of notable past papers related to a theme is published. Alternatively, exemplary papers related to a theme are sometimes reprinted as a book or CD. It is an indication of the quality of the work to have a paper reprinted in any of these formats.

**ACCEPTANCE RATE.** The percent of manuscripts accepted for publication after the first round of review. A low acceptance rate may suggest a more rigorous or stringent review process and reflects a higher quality of published manuscripts. However, many journals with themed issues that invite expert papers have a fairly high acceptance rate.

Information about review format and manuscript acceptance rate is available in one or more of the following sources:

- Online information at the journal’s website.
- Information available in the front inside cover or initial pages of an issue of a journal.
- Personal communication via email with the editor of a journal.

**REPORTING OF JOURNAL DATA.** The following procedure describes how to report journal audience, review format, and acceptance rate. In brackets after each APA citation of one’s work, please list the journal audience, type of review format, and acceptance rate of the journal. This information should be listed on one’s vita and other lists of publications.

**Examples:**


**CITATIONS.** A citation is a reference to a faculty member’s published work by another author in a publication. The number of other people who cite a faculty member’s work is a measure of the usefulness of the work. Self-citations (references to one’s own work in subsequent publications) do not count toward this measure and should not be listed in a citation report. A list of citations begins with the original work (in bold) that has been cited by others (in APA style) followed by an indented list of the journal articles or books that cite the work (also in APA style, but not in bold). A count or tabulation of the number of citations that follow in the list should also be noted.

Example (In this example, Kirman is the faculty member and the other authors have cited his work):


APPENDIX 7B:
LIST OF STAGES OF PROGRESS TO FULL PUBLICATION

This list was developed so that a probationary faculty member can track a manuscript’s progress from submission to publication:

Stage 1) Submitted and under initial review
Stage 2) Submitted with revisions and under re-review
Stage 3) Accepted with major revisions to be completed (editor only re-review)
Stage 4) Accepted with minor revisions AND a due date for those revisions (editor only re-review)
Stage 5) Accepted for publication without (further) revision
Stage 6) in press with tentative publication date from editor
Stage 7) in press with ISBN# or Digital Object Identifier (doi) provided but not yet functional, or galley proofs
Stage 8) published and available via ISBN# or Digital Object Identifier (doi)

PAC expressed general acceptance of this set of stages and this language for describing where in the process before Stage 8 a manuscript might be (but a vote of the full PAC will follow later).

On the curriculum vitae, this information would be used at the end of the section heading: Refereed Journal Articles (external review)
- National/International Journal (with masked, peer review) (*note this edit too*)
- Conference Proceedings—International (with masked, peer review)
- Conference Proceedings—National (with masked, peer review)
- State (if peer reviewed)
- Submitted—be sure to clearly mark and place last

In the parentheses for the APA formatted citation where the date would otherwise go, put the wording that follows the appropriate Stage number (but not “Stage #”).

Stage 5 will count as a publication if the author has a letter from the editor, in writing (email will suffice) that it will definitely be published, even if a date has not yet been assigned.
Stages 6-8 will count as publications in the main body of the Refereed Journal Article list; all others will be under “submitted.”

Candidates need to correctly portray the status of any manuscripts on the manuscript itself and in their resumes when they put these into their PAC binders. This will help the PAC and administrators determine what currently counts and the effort and progress toward obtaining more publications.
Appendix 8

SECTION OF UNI FACULTY HANDBOOK
RELATED TO THE PAC

Section 3.3 Professional Assessment Committee (PAC)
Each academic department shall have a Professional Assessment Committee ("PAC") consisting of the tenured members of the departmental faculty. Any PAC member who is a candidate for promotion shall be excluded from committee deliberation on their candidacy. The Department Head shall not be a member of the Professional Assessment Committee. However, after the Professional Assessment Committee has made its report, either the Department Head or the Professional Assessment Committee shall have the right to call a meeting of the Department Head and the Professional Assessment Committee to discuss the report.

Subdivision 3.31 Assessment Procedures
The committee shall develop written assessment procedures which are not inconsistent with the provisions of this Chapter and which are subject to the approval of the Department Head and the Dean of the College. These procedures may be amended by the Professional Assessment Committee with the approval of the Department Head and the Dean. The procedures may include delegation of responsibility for conducting assessments to a subcommittee, and shall provide for additional of members from outside the department whenever the membership falls below three (3) or whenever the Professional Assessment Committee decides to do so.

Subdivision 3.32 Assessment
At the request of the Department Head or as required by official University policy, the committee shall provide assessment of the teaching, research/scholarly work/creative work, and the professional service of a Faculty Member.

Subdivision 3.33 Committee Report
A written report of the collective judgments of the committee, together with any concurring or minority reports, shall be transmitted to the Faculty Member, the Department Head, and the Dean, and shall be entered in the evaluation file no later than January 15.