

PROCEDURES FOR TENURE AND PROMOTION DECISION-MAKING

COLLEGE OF LAW, UNIVERSITY OF IOWA

Adopted by the Faculty on May 19, 2005 (Appendix B revised on May 10, 2007)

(Section II.A.3 amended March 13, 2008)

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PROCEDURES FOR TENURE AND PROMOTION DECISION-MAKING

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Adopted by the faculty on May 19, 2005

I. Introduction

- A. The procedures presented in this document (the "Law School Procedures" or "Procedures") implement for the College of Law, the University's "Procedures for Tenure and Promotion Decision-Making at The University of Iowa" (9/07/04) ("University Procedures").

This document is strictly procedural. The College of Law policies and standards regarding the substantive criteria for tenure and promotion awards are found in "College of Law Tenure Standards" (May 1975; replaced by Standards for Tenure, Promotion, and Merit Pay; University of Iowa College of Law, May 17, 2001). The standards contained in that document inform the faculty's judgments on the strength and sufficiency of a candidate's record and are not affected by these Procedures.

Although these guidelines incorporate significant portions of the University Procedures, they do not include all their potentially relevant provisions. Accordingly, candidates should also familiarize themselves with the University Procedures.

1. These Procedures rely upon several principles: (a) Decisions granting or denying tenure or promotion should be based on a written record of achievement, (b) The content of the record that will be relied upon should be known by the candidate and the decision-makers, (c) Except for variation related to the nature of the candidate's academic activity, the content of the record should be the same for all candidates, (d) The governing procedures should be (1) the same for all candidates, and (2) applied consistently to all candidates.
2. These Procedures use the term "promotion" to refer to both promotion and tenure, except where they clearly distinguish between them. The "Promotion Record" refers to all the items listed in I.B., below, while the "Report" of the Promotions and Tenure Committee, described below, embraces the items in Section I.B. (1-5(a)-(d)).
3. Unless otherwise indicated, the responsibilities assigned to the Departmental Executive Officer under the University Procedures shall be carried out by a three-person Promotion and Tenure Committee (PTC)

appointed by the Dean during the candidate's second year on the tenure track.

- B. The qualifications of a candidate for promotion will be determined on the basis of the Promotion Record, which will include the following:
1. the candidate's educational and professional history;
 2. a section on the candidate's teaching, including:
 - a. the candidate's personal statement on teaching,
 - b. documentation of peer and student evaluation of the candidate's teaching,
 - c. other materials related to the candidate's teaching, and
 - d. an evaluation of the candidate's teaching prepared by the Promotion and Tenure Committee (PTC) described below;
 3. a section on the candidate's scholarship, including:
 - a. the candidate's personal statement on scholarship,
 - b. documentation of external and internal peer evaluation of the candidate's scholarship,
 - c. other materials related to the candidate's scholarship, and
 - d. internal and external reviews of the candidate's scholarship compiled by the Promotion and Tenure Committee described below;
 4. a section on the candidate's service, including:
 - a. the candidate's personal statement on service,
 - b. documentation of peer evaluation of the candidate's service,
 - c. other materials related to the candidate's service, and
 - d. an evaluation of the candidate's service prepared by the Promotion and Tenure committee described below;
 5. candidate letter(s) (if any) responding to (a) the PTC's evaluations of the candidate's teaching and service, (b) internal peer reviews of the candidate's scholarship, (c) external reviews of the candidate's

scholarship when the candidate's access to those reviews is authorized (d) the PTC's summary report of the faculty peer group discussion concerning the candidate's qualifications, and (e) the Dean's letter making a recommendation to the Provost when the candidate's access to that letter is authorized;

6. supplementary material added to the Promotion Record as expressly provided in these Procedures or the University Procedures;
7. summary of the discussion of the law faculty peer group prepared by the PTC and the peer group ballots;
8. the "Recommendation for Faculty Promotion" cover sheet (see Appendix A); and
9. the Dean's letter making a recommendation to the Provost.
10. supplementary material to be added to the Promotion Record as expressly provided for in the University Procedures, entered in the appropriate section of the Record. Materials added to the original dossier or materials in the original dossier that are amended, should be labeled as such, including the date when added or amended and with amendments clearly marked.

II. Creation of the Promotion Record

A. Notifications and Deadlines

1. It is the responsibility of the Dean to inform the candidate in writing—in the year of appointment to a tenure-track position, in the year of any contract renewal, and at the end of the academic year prior to the year in which the promotion decision will be made—of the material that must be included in the promotion dossier, and of the candidate's responsibility to compile and submit the dossier by September 1 in the academic year of the promotion decision. However, candidates are expected to submit their published work to the PTC upon publication to facilitate its internal and external reviews, unless there is good cause to defer those reviews until a later date. In addition, substantive material may be submitted after September 1, if there is sufficient time for the materials to be included in the candidate's dossier, and in the case of additional scholarship published or completed, there is sufficient time to obtain external and internal reviews. Appendix D presents a timetable for the law college's tenure and promotion process, provided that modifications and extensions may be allowed for good cause.

2. It is the responsibility of the PTC to advise and assist the candidate in compiling the dossier in a manner that ensures, to the greatest extent possible, that it serves as a fair and accurate evaluation of the candidate's strengths and weaknesses, and is not purely a record of advocacy for the candidate.
3. The University Operations Manual authorizes candidates to request early tenure review. If a candidate wishes early review, the candidate is encouraged to submit a written request to the chair of the tenure committee and to the Dean by March 1 of the academic year preceding the academic year in which review is sought so that the candidate's tenure can be considered according to the normal timeline established by Appendix D of these procedures. It is recognized, however, that candidates may sometimes wish to request early review at different times and under varying timetables.
4. University Procedures authorize a candidate's withdrawal of his or her dossier from further consideration at any point before the Provost has made his/her final decision regarding tenure and/or promotion. See University Procedures, General Principles, Sec. III, for a discussion of the implications and mechanics of such a withdrawal.

B. The Candidate's Dossier

1. The dossier will contain the following in the order listed unless otherwise noted:
 - a. the "Recommendation for Faculty Promotion" cover sheet, with the section that is to be filled out by the candidate completed (see Appendix A);
 - b. a record of the candidate's educational and professional history consisting of the following sections in the order listed:
 - i. a list of institutions of higher education attended, preferably from most to least recent, indicating for each one the name of the institution, dates attended, field of study, degree obtained, and date the degree was awarded;
 - ii. a list of professional and academic positions held, preferably from most to least recent, indicating for each one the title of the position, the dates of service, and the location or institution at which the position was held; and

- iii. a list of honors, awards, recognitions, and outstanding achievements, preferably from most to least recent;
- c. a record of the candidate's teaching at The University of Iowa, including:
 - i. the candidate's personal statement on teaching (consisting of a summary and explanation—normally not to exceed three single-spaced pages—of the candidate's accomplishments and future plans concerning teaching, and comments on these accomplishments and plans and on other items included in the dossier related to teaching);
 - ii. a list of the candidate's teaching assignments on a semester-by-semester basis, preferably from most to least recent;
 - iii. a list of individual students supervised, (for example, tutorials, externships, independent research) including each student's name, degree objective (if relevant), and outcomes;
 - iv. a list of other contributions to instructional programs;
 - v. copies of course materials, including syllabi, instructional Web pages, computer materials, etc.; and
 - vi. as an appendix to the dossier, copies of all teaching evaluations by students for each course taught. It is the responsibility of the candidate to preserve teaching evaluations for all courses taught, including the summary sheet of numerical ratings and the individual student comment sheets);
- d. a record of the candidate's scholarship, including:
 - i. the candidate's personal statement on scholarship (consisting of a summary and explanation—normally not to exceed three single-spaced pages—of the candidate's accomplishments and future plans concerning scholarship, and comments on these accomplishments and plans and on other items included in the dossier related to scholarship);
 - ii. a list, preferably from most to least recent, of the candidate's publications or creative works (with, for each multi-authored work or coherent series of multi-authored works, a brief statement of the candidate's contribution to the work or series of works);

- iii. a list of all published reviews of scholarship of which the candidate has knowledge;
 - iv. a list of any grants received by the candidate;
 - v. a list of invited lectures and conference presentations;
 - vi. a list of pending decisions that might affect the promotion deliberations, including grant proposals, book contracts, and other publishing decisions anticipated in the near future; and
 - vii. as an appendix to the dossier, copies of the candidate's published work (plus completed work that has been accepted or submitted for publication), indicating where each work has been or will be published.
- e. a record of the candidate's service, including:
- i. the candidate's personal statement on service, consisting of a summary and explanation of the candidate's accomplishments and future plans concerning service; and
 - ii. a list of offices, editorships, and service on panels and committees, and other contributions (e.g., relevant community involvement and/or service to the State of Iowa).
- f. any other information relevant to the candidate's record in teaching, scholarship, or service that is deemed to be important in the candidate's judgment.
2. Where the volume of material of a particular kind, which is required to be included in the dossier is large and potentially unmanageable, a candidate, in consultation with the PTC, may select and identify representative portions of the required material for special attention. Only the material selected as representative will become part of the Promotion Record and will be transmitted to successive participants in the promotion decision-making process. Required materials segregated from the representative material will be available for review and will be located in a readily accessible location under the Dean's custody. If the PTC, faculty peers, or the Dean rely upon initially segregated material in their assessments of the candidate's qualifications, that material should be added to the Promotion Record, the fact of that addition and the manner of its use should be noted in the record, and the candidate should be notified in writing of the addition at the time it is made.

C. Evaluation of Teaching

1. It is the candidate's responsibility to cooperate in obtaining peer evaluation of his or her teaching by participating in the College of Law's peer review of teaching program, which is described in Appendix B of this document.
2. In the observation of teaching activities by faculty peers, it is the responsibility of the Dean, the teaching reviewers (under the College's peer review policy), and the applicable PTC's to ensure that:
 - a. uniform standards are used for (1) developing the record on which peer judgments will be based, and (2) developing and applying the substantive criteria for assessing the quality of each candidate's teaching performance;
 - b. the review process does not (1) impose an undue burden on either the observed candidate or the teaching reviewers, or (2) cause an undue disruption of any observed class or other teaching situation.
3. The PTC will not solicit additional student teaching evaluations beyond those regularly completed at the end of each semester. However, section I. B. (3) (f) of the University Procedures contemplates that a candidate may submit additional student evaluations that he or she "deems to be important." If the candidate submits additional student evaluations, the PTC may solicit evaluations from a broader sample of respondents, as it deems appropriate to ensure a representative sample of opinions.
4. The peer evaluation of the candidate's teaching will be prepared by the PTC and contained in the section of its report dedicated to the history and evaluation of the candidate's teaching. The committee's evaluation will be based on (a) the record established in the peer review of teaching program, as provided by law college policy, and (b) the student teaching evaluations. The PTC's evaluations will include a comparative analysis of the quality of the candidate's teaching in the context of the law college; a summary analysis of the student teaching evaluation data, including law college average comparisons data where possible; a description and assessment of any academic advising responsibilities; and a consideration of any special circumstances concerning the faculty member's teaching performance.

D. Evaluation of Scholarship

1. External Reviews

- a. Selection of external evaluators of scholarship will be completed no later than September 1st of the academic year in which the promotion decision will be made;
- b. Consistent with the long-standing tradition in the College of Law, separate lists of potential external reviewers will be developed by the PTC in order to designate three or four external reviewers for each item of scholarship, up to three substantial items. In addition, in the event that the candidate has also produced (a) more than three substantial items of scholarship (of whatever scope and number) and/or (b) a number of less than substantial items, the PTC will arrange for external reviews of the additional items. After consultation with the candidate, the PTC will determine the number of separate reviewers and the number of separate additional items to be reviewed by each reviewer as is appropriate in light of the scope and number of the additional items of scholarship.
- c. The PTC will solicit from the candidate a list of appropriate external reviewers from peer institutions (e.g. AAU, Big Ten, CIC, major public), or other institutions in which the law school or individual evaluator is of peer quality. The candidate should submit the list by April 1. Upon its receipt of the candidate's list, the PTC will suggest additional names;
- d. The PTC will give this list to the faculty members who have been designated by the PTC as internal peer reviewers of the candidate's scholarship; those faculty members may add other potential external reviewers to the list. The PTC may also consult experts in other peer institutions about potential reviewers, in which event the external experts so consulted will be selected in the same manner as the external reviewers of scholarship;
- e. The PTC will share the completed list of potential external reviewers with the candidate. If the candidate feels that any potential external reviewer on the list might be unfair or otherwise biased, the candidate may prepare a written objection and give it to the PTC which will take the objection into account in the selection process;
- f. In identifying potential external reviewers, all participants in the selection process will take into account the standing of the prospective reviewer in the discipline, the likely knowledge of the reviewer of the material to be reviewed, the apparent impartiality of

the reviewer, and the contribution of the reviewer to achieving an overall "balanced" review among the reviewers on any criterion for which there might be a range of perspectives. It is critical to avoid a situation in which a personal and/or professional relationship (including advising, mentoring, co-authoring, etc.) between the candidate and a prospective reviewer could undermine the reviewer's apparent impartiality;

- g. On the basis of the criteria listed in paragraph (f) above, the PTC will determine which of the potential external reviewers will be asked to provide a letter of review;
- h. The Chair of the PTC, using a form letter which substantially conforms to the sample letter contained in Appendix C, will ask the reviewers identified in paragraph (g) above to provide an assessment of the quality and quantity of the candidates scholarship;
- l. After or in anticipation of an invitation to an external reviewer to evaluate the candidate's published work, neither the candidate nor any other faculty member other than the chair of the PTC will communicate with the reviewer concerning the subject of the review or the review process;
- j. The PTC will keep a record of:
 - i. the list of suggested reviewers,
 - ii. the names of persons invited to review,
 - iii. the names of actual reviewers,
 - iv. comments submitted by the candidate, the members of the PTC, and the internal faculty reviewers, and
 - v. correspondence and other communications between the chair of the PTC and invited reviewers and actual reviewers;
- k. All letters received from external reviewers will be entered by the PTC into the Promotion Record in the section dedicated to the history and evaluation of the candidate's scholarship, along with:
 - i. a list of all invited reviewers--indicating whether the reviewer was suggested by the candidate, the PTC, the internal faculty reviewers or someone outside the university--and a brief explanation of why any invited reviewer declined the invitation;

- ii. the candidate's written objection to any potential external reviewer on the basis of unfairness or bias, and if a letter was solicited from that reviewer over the candidate's written objection, the reasons why the candidate's objections were disregarded;
 - iii. a copy of the letter or letters of solicitation to each external reviewer;
 - iv. a copy of the reviewer's C.V.;
 - v. a statement of how the reviewer knows the candidate's work, if it is not obvious from the reviewer's letter; and
 - vi. if the reviewer is not from a peer institution, but from an institution where the corresponding law school or individual evaluator is of peer quality, an explanation of why the reviewer was chosen;
- I. In a form that will facilitate the segregation of the confidential external reviews from the material that will be available to the candidate before recommendations are made by faculty peers and the Dean (see III.K. below), the PTC will include in its report the full text and summaries of the external reviews in an unredacted form, plus any materials relating to them.

2. Internal reviews

- a. Long-standing tradition in the College of Law calls for the internal peer review of scholarship by colleagues with expertise in the candidate's area of scholarship. Accordingly, one or two internal reviews will be solicited for each item of scholarship, depending upon the number of qualified faculty members in the college. Individual members of the PTC may serve as internal reviewers in their capacity as colleagues with relevant expertise. All internal reviews will be prepared without reference to any external reviews that may have been submitted on the scholarship being reviewed. The internal reviews will be signed by each peer evaluator and will be shared with the candidate upon their submission to the PTC. The PTC will request the submission of internal reviews to the committee, especially those prepared by members of the PTC, before the return date of the external reviews. The candidate may prepare a written response to any internal review within 10 working days of the receipt of such a review, and

- b. The internal peer evaluations of the candidate's scholarship will be summarized by the PTC in its report. The full text of the reviews will also be contained in the PTC's report, along with any responses to the reviews submitted by the candidate.
- 3. The PTC's report
 - a. The PTC will include in the portion of its report dedicated to the candidate's scholarship both the full text and summaries of the internal reviews and the unredacted external reviews. See II. D1(l) & 2(b) above. The committee's report will also indicate the norms for publication, a brief description of the quality of journals or other forums in which the candidate's work has appeared, and a brief description of the norms of authorship and co-authorship in the field to the extent they are applicable.

E. Evaluation of Professional and Community Service

- 1. It is the responsibility of the candidate to prepare a record of his or her service to the department, college, university, profession, and community, including:
 - a. the candidate's personal statement on service (consisting of a summary and explanation--normally not to exceed two single-spaced pages--of the candidate's accomplishments and future plans concerning service, and comments on these accomplishments and plans and on other items included in the dossier related to service); and
 - b. a categorized list, preferably from most to least recent, of: offices held in professional organizations; editorships of journals or other scholarly publications; service on review panels; service on departmental, collegiate, or university committees; departmental, collegiate, or university service positions; relevant community involvement and service to the State of Iowa; and other contributions.
- 2. Peer evaluation of the candidate's service will be conducted by the PTC, with written input solicited by the PTC from other faculty members, in the law college and elsewhere, who have special expertise concerning areas of the candidate's service. Such faculty members will be identified by the committee and the candidate in the same manner as external reviewers of scholarship are selected.

3. The PTC's evaluation of the candidate's service will be contained in the portion of its report dedicated to service and will include a comparative analysis of the quality and quantity of the candidate's service in the context of the expected service contributions in the law college and the profession.

III. Decision-Making Responsibilities

- A. For each pending promotion decision, the Dean shall appoint a three-person Promotion and Tenure Committee (PTC) for the purpose of compiling the Promotion Record and preparing separate evaluations of the candidate's teaching and service, which will become a part of its report. The PTC will include in the section of its report devoted to scholarship, summaries and the full text of both the internal and external reviews of the candidate's scholarship. The PTC will not prepare internal reviews of the candidate's scholarship. Nor shall the committee's report include a recommendation on the ultimate question of promotion.
- B. Upon its completion the PTC's report shall be kept in the Dean's office as a confidential file and shall, for no reason, be removed from the Dean's office, except as required to inform voting faculty peers not in residence in Iowa (see para. F.1 below).
- C. All or part of the PTC's report thus compiled, shall be duplicated in sufficient copies to facilitate its availability for inspection, by each higher-ranking member of the peer group, which is referred to in the University Procedures as the "departmental consulting group." (The reference in these procedures to that body as the "peer group" is intended to avoid confusion given that the law college has no departments.) For the purposes of the tenure decision, the term "higher-ranking faculty member" of the peer group shall include only tenured faculty members of equal or higher professorial rank than the candidate's present rank. For the purposes of a promotion decision to a higher academic rank, the peer group shall include all faculty members of higher professorial rank. The peer group does not include the Dean who exercises an independent judgment on each candidate based on the Promotion Record and the recommendation of the peer group.
- D. As the PTC completes its separate evaluations of the candidate's teaching and service, the chair of the committee, who shall be appointed by the Dean, will deliver to the candidate each evaluation along with the portions of the Promotion Record on which it is based. Upon final completion of the PTC's report, the candidate will have 5 working days in which to submit a written response to the evaluations he or she has received.

- E. The PTC's report shall be signed by all PTC members and shall include the following:
1. A brief summary of the candidate's professional background before joining the Iowa Faculty, with a current CV presented in an appendix.
 2. A brief overview of the candidate's service at Iowa, with the candidate's full educational and professional history (II B.1.b) presented in an appendix.
 3. A record of the candidate's teaching at Iowa (II.B.1.c.) followed by a description and the PTC's evaluation of teaching, with supporting materials included in appendices.
 4. A record of the candidate's scholarship (II.B.1.d) followed by a description of the scholarship and summation of the internal and external reviews, with the full text of the reviews in appendices of the PTC report. The candidate's scholarly products will be included in an appendix. The summaries and the full text of the external reviews, in both the text and appendices for the PTC report, will be in a severable format that permits a limitation of the candidate's access to them prior to the peer group vote, as required by university policy (see III.J. below). Biographical information of the external reviewers, e.g., CV's, will be included in an appendix.
 5. A record of the candidate's service (I.B.4) followed by a description of the PTC's evaluation of the candidate's service, with any supporting materials included in appendices.
 6. All candidate responses to the PTC's report (I.B.5) will be included in the report.
- F. Following a fair opportunity to inspect the PTC's report, a general meeting of the peer group will be convened and chaired by the chair of the applicable promotion and tenure committee to discuss the merits of each candidate's record. The Dean may attend the meeting, but his or her participation will not include evaluative comments about the candidate's record and will be limited to answering factual inquiries about the candidate's contract, annual reviews, administrative and teaching arrangements, and similar matters. Except as otherwise approved by the Provost, faculty associate deans holding administrative appointments of 50% or greater shall participate in the Tenure and Promotion process solely at the decanal level—i.e. as consultants and advisers to the Dean—and not as members of the peer faculty group. All collegiate-level faculty administrators not participating at the decanal level shall participate in the Tenure and Promotion process strictly as faculty members. Provost-level faculty administrators shall participate at the

provostial level except in rare and special circumstances, at the discretion of the Provost.

1. To facilitate the PTC's preparation of a comprehensive and detailed summary report of the faculty discussion, faculty peers may, prior to the meeting, tender to the PTC discussion comments. When feasible, these comments will be distributed to faculty peers in advance of the peer group meeting and made a part of the promotion record, provided, however, that the names of such contributors will be redacted if the candidate seeks access to the promotion file following the vote of the peer group.
2. Within 5 working days of the peer group meeting, the PTC will circulate to the peer group a draft of its summary report of the faculty discussion and faculty peers will have two working days in which to submit to the PTC, in writing, corrections of any alleged errors of fact or interpretation in the summary report. The PTC will consider any such submissions and revise its summary of the faculty discussion, as it deems appropriate. The PTC will maintain in its files copies of all such submissions by faculty peers. The PTC's summary report of the faculty discussion will maintain the anonymity of the peers who participated in the faculty discussion and submitted written discussion comments. The PTC summary report should not merely reiterate the content of peer reviews but should highlight the aspects of the internal and external review that appear to have been significant in the peer group discussion. The PTC will enter its summary of the faculty discussion into the Promotion Record as an Appendix to the PTC's report presented to the Dean and circulate the summary to all peers.
3. Within two days of the submission of the summary report to the peer group, members of the peer group will, by secret written ballot, vote separately on the candidate's tenure and promotion. The dean's office will administer the distribution and collection of the secret ballots, which, upon receipt will be delivered to the chair of the PTC. The PTC will make the ballots a part of the record.
4. Voting members may vote for or against promotion, or abstain. Voting peer group members are encouraged, but not required, to state the reasons for their votes on their ballots. All peer group members who have had timely access to the report of the PTC will be permitted to vote, whether or not they are in residence in Iowa City. A simple majority of the votes cast is required to constitute a positive recommendation of the peer group.

5. The PTC will timely report the peer vote to the peer group and make available to peers a typed transcription of each ballot, including peer comments explaining their votes, which will also be made a part of the record. The original ballots with handwritten comments will be preserved under seal.
- G. The results of the peer group vote reported on the Faculty Promotion Cover Sheet, the summary report of the peer group discussion, and the typed transcription of the ballots will be transmitted to the Dean as part of the candidate's Promotion Record. The PTC will give the candidate written notice of this transmittal, and thereafter the candidate will have 5 working days in which to review and respond to the Promotion Record, subject to the limitation on access to the external reviews contained in sections II.D.1.I and III.J. However, for good cause shown, additional time may be granted by the PTC as long as the extension does not interfere with the Dean's review of the record and the preparation of his/her recommendation to the Provost. Any such response made by a candidate will be made a part of the Promotion Record by the PTC.
- H. After the candidate has responded to the Promotion Record or waived the right to do so, the Dean will recommend that promotion be granted or denied in a separate letter to the Provost for each candidate. The Dean will base his or her recommendation on the Promotion Record and his or her independent judgment of the strength of the candidate's record.
1. The Dean's letter to the Provost will explain her or his reasons for recommending for or against promotion, and when the vote of the peer group is not followed, the letter will explain why the contrary recommendation is being made. The letter will also address any disagreement between the Dean's evaluation of the candidate and (a) the evaluation of the peer group as reflected in the summary report of the peer group's discussion, (b) the PTC's evaluations of the candidate's teaching, service, and (c) the internal and external evaluations of scholarship.
 2. If the Dean recommends that the candidate be promoted, the Dean's letter to the Provost will address any negative aspects of the Promotion Record; and, if tenure is recommended, the Dean will indicate in the letter to the Provost how the candidate has met the criteria for tenure.
 3. A draft of the Dean's letter will be available for review and comment by the faculty for at least five days before it is submitted to the Provost.
 4. The Dean's final letter will be transmitted to the Provost as part of the candidate's Promotion Record and will be available to the faculty.

- I. At the same time as the Promotion Record is submitted to the Provost, the Dean, if his or her recommendation is negative, will provide the candidate with a copy of the Dean's letter to the Provost. The candidate will be allowed 5 working days to further access the Promotion Record, and an additional 5 working days to review and respond to the Dean's letter (subject to the limitations contained in section II.D.1.I and III.J. on access to the external reviews of scholarship). However, for good cause shown, additional time may be granted by the PTC, so long as the extension does not unduly delay the Dean's transmittal of the record to the Provost. If the candidate submits a letter of response to the Dean's letter, the Dean will either include it in the Promotion Record or forward it to the Provost for inclusion in the Promotion Record, as the case may be. The Promotion Record transmitted to the Provost by the Dean will not include appendices to the PTC's report containing student evaluations and publications.

- J. When the candidate is given access to the promotion Record under subsection G., it shall be subject to the following limitations: (1) the candidate will have access to the external reviews of the candidate's scholarship only if (a) the Dean recommends against promotion, (b) the candidate requests them, and (c) the reviews have been redacted to protect the confidentiality of reviewers; and (2) any comments in the Promotion Record referring to external reviews of the candidate' scholarship will be redacted as appropriate to protect the confidentiality of reviewers.

Appendix A: Faculty Promotion Cover Sheet
The University of Iowa College of Law
Recommendation for Faculty Promotion

To be completed by the candidate:

1. Name: _____ Social Security Number: _____

2. Primary Appointment: _____
College

3. Secondary Appointment: _____
College, Department

4. Date of Initial Appointment (Assistant Professor or above at The University of Iowa): _____

5. Present Rank: _____ With Tenure Date attained: _____
_____ Without Tenure

To be completed by the Dean/Promotion and Tenure Committee:

1. Proposed Rank: _____ With Tenure Date Effective: _____
_____ Without Tenure

2. If proposed rank is without tenure, indicate term of appointment.

This is a ___ one year ___ two year ___ three year appointment
beginning _____ and ending _____
(mo. day yr.) (mo. day yr.)

3. Vote of Law College Peer Group:

For Tenure: _____ Against tenure: _____ Abstained: _____

For promotion: _____ Against promotion: _____ Abstained: _____

Recommendations:

4. Dean, College of Law ___ Recommend ___ Do not recommend _____
Dean (signature)

5. Secondary Department(s):

___ Recommend
___ Do not recommend

___ Recommend
___ Do not recommend

Executive Officer (signature)

Dean (signature)

6. Provost: ___ Recommend ___ Do not recommend _____
Provost (signature)

Appendix B: Peer Review of Untenured Faculty Members' Teaching
The University of Iowa College of Law
(Adopted by the faculty May 16, 1996, amended May 14, 1998;
September 18, 2003; May 19, 2005; and May 10, 2007)

I. General

- A. Peer review of untenured faculty members' teaching applies to all tenure-track faculty members.
- B. Peer review is intended both to supply evaluative information to the faculty members' tenure committee, and to support and assist the faculty member.
- C. Peer review begins in the faculty member's second year of teaching and continues until the conclusion of the tenure process.
- D. Mentor review of untenured faculty members' teaching, unconnected with the tenure review process and intended solely to support and assist the faculty member, shall be made available under a procedure devised by the dean.

II. Teaching Reviewers

- A. Each academic year in which at least one untenured, tenure-track member of the faculty is assigned to teach, the dean shall appoint two tenured members of the faculty as teaching reviewers. Together with the reviewer(s) referred to in the next paragraph, they shall perform the peer review of all untenured faculty members' teaching during that academic year. The dean may reappoint a teaching reviewer for additional academic years.
- B. Each untenured faculty member shall select a third reviewer from among the tenured faculty to join the reviewers appointed by the dean in carrying out the peer review of his or her teaching for a particular academic year. The faculty member may select the same reviewer for additional academic years.

III. Observation of Teaching

- A. The teaching reviewers shall observe at least one class taught by the faculty member each semester, beginning in his or her second year of teaching. Where the teaching of a discrete subject-matter segment extends over a series of consecutive class periods, observation of the series is generally preferred.
- B. The classes to be observed shall be designated by the faculty member. Additional classes may be observed from time to time if requested or agreed by the faculty member.
- C. The reviewers may conduct their observations in person or by viewing a videotape, in the discretion of the faculty member. If observation is done in person, the faculty member and reviewers shall mutually decide how many

reviewers shall be present in a given class. The faculty member may decide whether to videotape classes observed by the reviewers in person.

- D. The reviewers shall discuss each class observation with the faculty member. The reviewers shall also prepare and sign a memo summarizing their thoughts and suggestions. The faculty member may respond to the memo if desired.

IV. Review of Writing Instruction

- A. Beginning in the faculty member's second year of teaching, each semester that he or she teaches a class in which student papers are required (whether first-year small section assignments or upper division papers), the teaching reviewers shall review the faculty member's evaluation of student writing.
- B. The faculty member shall select and submit to the reviewers photocopies of at least three student papers, including his or her marginal or electronic comments and suggested revisions, and any accompanying memos, evaluation sheets, etc., that the faculty member has supplied to the authors of the papers.
- C. The reviewers shall discuss with the faculty member his or her evaluation of student writing. The reviewers shall also prepare a memo summarizing their thoughts and suggestions. The faculty member may respond to the memo if desired.

V. Use of Material

- A. Videotapes (if any) of observed classes, documents relating to evaluations of student writing, reviewers' memos, and any responses by the faculty member shall be preserved as part of the Promotion Record. Prior to the distribution of the tenure committee's report to the tenured faculty, these materials (unless the faculty member chooses to make them available to the tenured faculty generally) shall be disclosed only to the faculty member, the teaching reviewers, the tenure committee (for the sole purpose of preparing its report), the dean, and (in the dean's discretion) the associate dean. Upon distribution of that report, these materials shall be made available to the tenured faculty as part of the tenure candidate's Promotion Record. The candidate may include in the record, written comments on any of these materials.
- B. The faculty member is entitled to include in the Promotion Record any additional videotapes or other material relevant to his or her teaching or evaluation of student writing.

**Appendix C: Sample Letter from Chair of the College of Law
Promotion and Tenure
Committee to External Reviewers**

The letter of the chair of the Promotion and Tenure Committee to solicit an external evaluation will:

1. be neutral in tone;
2. indicate the rank for which the candidate is being considered and whether the promotion includes an award of tenure;
3. explicitly state what portion of the candidate's work the reviewer is being asked to assess;
4. request that the reviewer not communicate with the candidate or with faculty other than the chair of the promotion and tenure committee;
5. state that the reviewer's response will be protected as confidential; and
6. request a resume of the reviewer if one has not been obtained through another source.
7. indicate the length of the Iowa law college tenure track and when the tenure clock began to run for the candidate.

The following is a sample letter:

Dear _____:

As I mentioned to you on the telephone [or by e-mail] on [date], _____ will be considered for tenure and promotion to [proposed rank] in University of Iowa College of Law during this academic year. I am grateful to you for agreeing to serve as an external evaluator.

Enclosed with this letter are Professor _____'s curriculum vitae and a copy of the publication you have agreed to review: [state title].

The Law College has a five-year tenure track, which for Professor _____ commenced in the fall/spring of ____ when he/she joined our faculty.

We would like you to critique the quality of this work and, if possible, to assess its quality in comparison to the work of others in this discipline at comparable stages in their careers. We would particularly appreciate your evaluation of the contribution that the candidate's scholarship has made to the field, starting with the work that is enclosed, but potentially embracing any other of the candidate's scholarship of which you are aware.

If you feel competent to do so, we would additionally appreciate your judgment concerning the quantity of the candidate's scholarly output, given her/his years in the academy, on the basis of the scholarly work you are reviewing and the other scholarly work, completed or in progress, as listed on the candidate's C.V.

Finally, we would also be interested in any other insights you might have about Professor _____'s scholarly accomplishments.

If you have any questions about Professor _____'s scholarship or experience, please contact me directly. In accordance with our governing procedures, we must ask you not to communicate with either the candidate whose work you are reviewing or other members of the University of Iowa College of Law concerning your evaluation or the review process.

Your letter will be available to the tenured faculty of the law college as well as to the Dean and Provost, who makes the final promotion recommendation to the Board of Regents within the University of Iowa. Beyond that, we will regard your letter as a confidential document. This means that your evaluation would be made available to the candidate only upon both a negative decision and his/her explicit request, and then only after your name and other identifying information have been removed.

Finally, it would help us if you could send with your review a copy of your C.V. Although our law school colleagues know you and your work well, the Provost would find your biographical sketch helpful when considering your letter.

Again, thank you for your willingness to help us with this important review process.

Sincerely yours,

John Doe
Chair
Promotion and Tenure Committee

Appendix D: Timetable for College of Law Promotion and Tenure Process

STAGE	<i>(DEADLINE)</i>
1. Candidate submission of proposed external reviewers to PTC.	<i>(April 1)</i>
. Candidate submission of completed dossier to PTC.	<i>(September 1)</i>
. Confirmed participation of external and internal reviews of scholarship, with requested return by October 15.	<i>(September 1)</i>
. PTC evaluation of teaching and service, submitted to candidate, with a response within ten working days.	<i>(October 15)</i>
. Completion of the PTC Report.	<i>(2nd week of November)</i>
. Meeting of the peer group to discuss the candidate's record.	<i>(Monday of the 1st week after conclusion of fall term classes)</i>
. PTC preparation of summary of peer group discussion, circulation to faculty peers for a two-day comment period, and addition of the summary to the record.	<i>(Middle of the 1st week after conclusion of classes)</i>
. Secret balloting by faculty peers.	<i>(End of 1st week after conclusion of classes)</i>
. PTC submission of the record to Dean (including the transcribed faculty ballots and a Faculty Promotion Cover Sheet).	<i>(Beginning of 2nd week after conclusion of classes)</i>
. Dean's letter of recommendation available for review and comment by faculty peers for at least five days prior to its submission to the Provost.	<i>(2nd week after conclusion of classes)</i>
11. Submission of the Dean's letter to the Provost. If the Dean's recommendation is negative, the candidate will be given a copy of the letter and have five working days to access the record and an additional five working days to respond to the Dean's letter.	<i>(3rd week of December)</i>