

IOWA STATE UNIVERSITY

Academic Appointments 101

WorkCyte
Where Your Workday Begins

Agenda

- Objectives
- Tips for Success
- Housekeeping
- Overview and Content (12 focus areas)

Objectives

1. Understand Faculty appointment types
2. Understand Faculty specific policies
3. Understand Faculty specific processes, and best practices
4. Understand unique characteristics of Faculty as employee

Tips For Success

- Ask questions when in doubt
- Participate in discussion
- Take notes
- Review available learning resources

Housekeeping

- Be courteous of instructor(s)
- Turn phones to silent or vibrate
- Restroom and emergency exit locations

SHARED GOVERNANCE

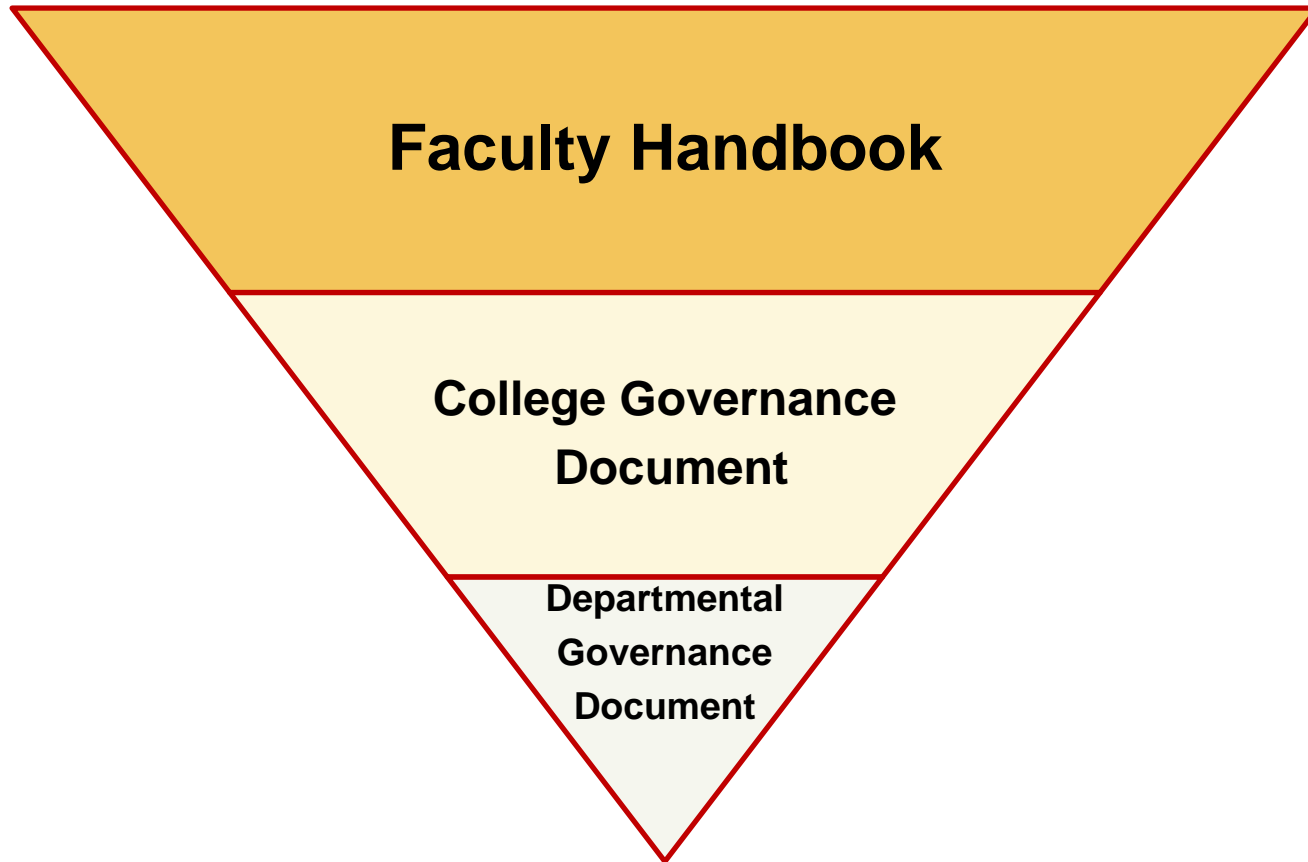


In this module, we cover:

- Faculty Governance
- Faculty Senate
- AAUP
- The Academic Department
- Centers, Institutes and Programs
- The College

Faculty Governance

- **Governance Documents** for various bodies of faculty have been developed by representative members of the faculty
- The Governance Document is the official statement of the College or Department, and includes the shared intent of faculty regarding the policies, practices, and governance of the unit



Each governance document must comply with the higher level document; in the case of a discrepancy, the higher level prevails

- The General Faculty is responsible for....
 - admission requirements
 - graduation requirements
 - curriculum and course revisions
 - new degree programs
 - grading procedures
 - candidate recommendations for diplomas, degrees, and certificates to be conferred by the president
- Per college and departmental governance documents, faculty vote on such things as faculty hires, Promotion & Tenure, Post-Tenure Review (and other peer review matters, including changes in the departmental structure or offerings)

- The Graduate Faculty
 - handles admission and classification of graduate students
 - establishes requirements for advanced degrees
 - has charge of instruction and research at the graduate level
 - all graduate courses taught for credit are taught by Graduate Faculty or Graduate Lecturers
 - serves on Program of Study (POS) committees
 - directs work of masters and doctoral students
- Must have faculty rank (Academic Appointment) first, then record of Graduate Faculty status is maintained by the Graduate College
- Directors of Graduate Education (DOGE)

Faculty Senate

- The Faculty Senate was established by the General Faculty to act as its representative body and to conduct the business of the General Faculty
 - Constitution and Bylaws
- Made up of 82 representatives elected by the General Faculty, and divided into caucuses representing each of the seven colleges
- The Faculty Senate has legislative responsibility for general academic and educational policy, serving to facilitate communication among faculty, students, and administration
- Executive Board: President-Elect, President, Past-President

American Association of University Professors (AAUP)

- ISU Chapter
- Tenure protects Academic Freedom
- ISU subscribes to AAUP guidelines and standards for part-time and term faculty
 - FH 3.3.2.1 Guidelines for Term Faculty Percentages: AAUP recommendation that part-time and term faculty appointments be limited to no more than 15% of the total instruction within the university, and no more than 25% of the total instruction within any given department

<https://www.provost.iastate.edu/faculty-and-staff-resources/hiring/faculty-appointment-types/nfte-percentage-limits>

The Academic Department

- All members of the faculty are affiliated with at least one academic department (primary rank/tenure)
- All tenured faculty hold tenure in an academic department
- The Department Chair, typically a faculty member in the department, is appointed by the Dean to manage the department, including the hiring and performance review of all faculty in the department in addition to general administrative duties
- Larger academic departments may have one or more Associate Chairs responsible for teaching assignments and other administrative duties
- 58 academic Departments, plus two Schools at ISU

Centers and Institutes / Programs

- Faculty active in research often participate in research Centers or Institutes (e.g., Institute for Transportation)
- Centers or Institutes report to a College, or to the Vice President for Research
- Centers and Institutes have Directors

- Programs (e.g., Women's and Gender Studies) vs. Departments – Directors
 - “..... depends upon the work of university-wide faculty who cross the boundaries of their disciplines to contribute to the development and diffusion of knowledge and activism within this field of study”
- Interdisciplinary Programs (e.g., Bioinformatics and Computational Biology) – led by supervisory committee

The College

- Seven ISU academic colleges (plus the Graduate College and the Library)
- The Dean is a Professor holding tenure within one of the academic departments of the college
- The Dean, reporting to the Senior Vice President and Provost, is responsible for leading the college and managing all programs and resources of the college
- The leadership team of the college includes one or more associate deans and sometimes an assistant dean(s) – generally each member of the leadership team is a tenured faculty member
- Dually administered departments

FACULTY APPOINTMENTS

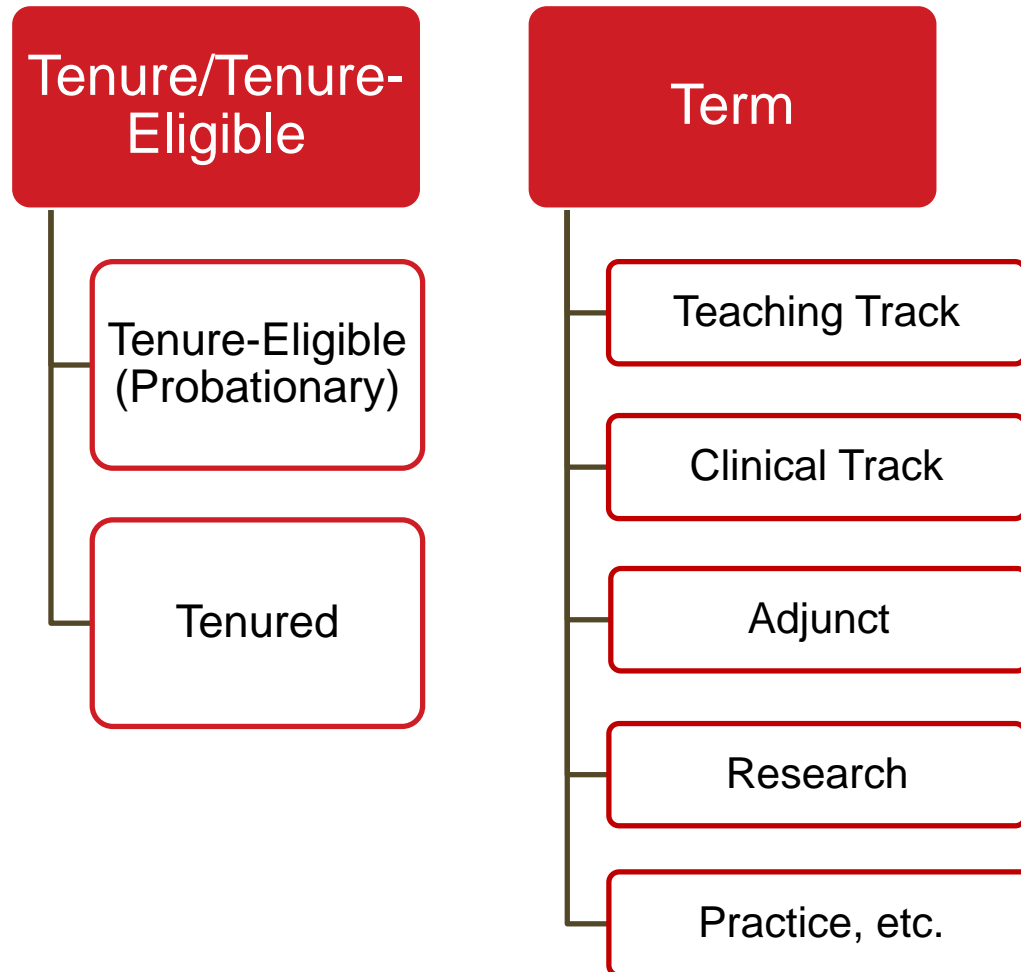
In this module, we cover:

- Faculty Appointment Types
 - Tenured/Tenure-Eligible Faculty
 - Term Faculty
- Position Responsibility Statement (PRS)
- P&S Rank Only
- Academic Affiliates

FACULTY - “A Career, not a Job!”

- Duties codified in Position Responsibility Statement (PRS)
 - Faculty rank awarded by an Academic Department
 - Primary rank; may have secondary and tertiary rank dept
 - Tenure resides in a primary College and Department
 - Annual Work Period (AWP):
 - 9 month (academic year) – default hiring is 9 month
 - 12 month (fiscal year) – generally used to recognize Extension duties (E&O), or care for plants/animals (CALS), or for clinical duties (VM)
 - Base conversion (exception request)
 - Teaching Load: no standard teaching load University-wide
- <https://www.provost.iastate.edu/administrator-resources/recruitment>

Two Categories of Faculty



Tenure-Eligible (Tenure-Track) Faculty – FH 3.3.1

- Tripartite mission of University includes Research, Teaching, and Extension/Professional Practice, as well as Service
- Junior faculty hired as Assistant Professor typically - though may be hired as Associate Professor (without tenure)
- Probationary Period not to exceed seven years
 - Four year initial contract, renewal for an additional three years
 - Year 3 is preliminary review (contract renewal)
 - Terminal year if non-renewed

Tenured Faculty – FH 3.3.1

- Tripartite mission of University including Research, Teaching, and Extension/Professional Practice, as well as Service
- Senior faculty hired as Associate Professor or Full Professor with Tenure, OR
- Tenure awarded after a six year probationary period (in the mandatory, or penultimate year; also may be “early”) for Tenure-Eligible faculty with review based on:
 - Scholarly merit
 - Peer review
 - External validation

Term Faculty – FH 3.3.2

- Focused responsibilities (e.g., Teaching Track or Clinical Track)
- Term appointment with possibility of renewal
- FH 3.3.2.3 Ranks and Lengths of Term Faculty Appointments
- Written notice of Non-Renewal required
- Policy Change: NTE to Term (FH update Jan 2019)
 - Implementing new Term titles July and August 2019
 - NEW: Teaching Track and Professor of Practice Track

Term Faculty, cont.

- Adjunct: Adjunct Assistant Professor, Adjunct Associate Professor, and Adjunct Professor
- Clinical Track: Clinical Assistant Professor, Clinical Associate Professor, and Clinical Professor
- Professor of Practice Track: Assistant Professor of Practice, Associate Professor of Practice, and Professor of Practice
- Research Track: Research Assistant Professor, Research Associate Professor, and Research Professor
- Teaching Track: Lecturer, Assistant Teaching Professor, Associate Teaching Professor, and Teaching Professor
- Visiting Faculty (paid): Visiting Assistant Professor, Visiting Associate Professor, and Visiting Professor

Position Responsibility Statement (PRS) – FH 3.4

- PRS for faculty is akin to PD for staff
- Required for all faculty, and should contain % of effort in each focus area
- Basis for all reviews (performance, PTR, etc.)
- Negotiated between Department Chair and faculty member, and signed by both parties
- If there is disagreement, FH allows for mediation of PRS through peer committee review process
- In Workday, BP contains both percentages and narrative, and generates document for DocuSign

P&S “Rank Only” Faculty

- Primary appointment as Professional and Scientific with P&S policies that govern employment
- Secondary, as faculty “rank only”
- Term faculty rank as appropriate per FH
- In recognition of teaching credit courses, supervising graduate students, or other faculty-like duties
- Awarded by Academic Department only, with support of home department supervisor
- See “Offering Faculty Rank to P&S Employees” (and P&S Council guidance)

<https://www.provost.iastate.edu/administrator-resources/recruitment>

- Post Docs may also hold “Rank Only” appointment

Non-Salaried Faculty

- Affiliate Faculty (FH 3.3.3.1)
 - Affiliate Assistant Professor, Affiliate Associate Professor, and Affiliate Professor
 - Federal Employees (e.g., USDA, NVSL, etc.)
 - Former ISU faculty who resigned and “back on appointment” to finish a graduate student
 - Other – to recognize a collaboration with ISU faculty
- Visiting Faculty – unpaid (FH 3.3.4)

Academic Affiliates

- Not an employee, however has an academic relationship with university and holds an academic appointment in an Academic Unit (AU)
- Academic rank can only be offered by an Academic Department
- Term appointments
- Affiliation Agreement rather than PRS
- May also be Contingent Worker (JM Supr Org) – due to Assets or PI/Co-PI status

FACULTY POLICIES - GENERAL

In this module, we cover:

- Faculty Handbook
- Flexible Faculty Policies
- COIC Management
- Effort Reporting and Certification

Faculty Handbook

- The *Faculty Handbook* is the official statement of Iowa State University policy governing the rights, responsibilities, and performance of faculty
- The SVPP Office and Faculty Senate share responsibility for updates to the *Faculty Handbook* (updated biannually – January and July)

<https://www.provost.iastate.edu/faculty-and-staff-resources/faculty-handbook>

Flexible Faculty Policies

- Extension of the Tenure Clock
- Faculty Modified Duties Assignment (FMDA)
- Part-Time Appointments (Conversion to Part-Time)
 - FH 3.3.1.1 - Requested for a variety or professional or personal reasons; may be approved for a specified term and at no less than .5 FTE
- Dual Career Resources
- ADVANCE Program

<https://www.provost.iastate.edu/faculty-and-staff-resources/hiring/flexible-faculty-policies>

Extension of the Tenure Clock

- Policy (FH 5.2.1.4) allows a faculty member to request an extension of the standard probationary period in a range of special circumstances; changes contract/probationary dates
- A tenure-eligible faculty member is eligible for an automatic one-year extension of the probationary period for the birth or adoption of a child
- Request initiated by faculty member and requires approval of Chair, Dean, and SVPP Office; policy for timing of request
- Extends mandatory review date, and may extend preliminary review date
- No more than two extensions during probationary period
- Workday request process

Faculty Modified Duties Assignment (FMDA)

- Supports the work-life balance of tenure-eligible and tenured faculty by temporarily reconfiguring duties, as in PRS, for one semester as associated with the birth of a child, the adoption of a child, or the foster care placement of a child
- Faculty member is eligible for a one semester FMDA only twice in the course of ISU employment
- If both caregivers are ISU employees, FMDA in different semesters
- Request initiated by faculty member and requires approval of Chair, Dean, and SVPP Office

<https://www.provost.iastate.edu/faculty-and-staff-resources/hiring/flexible-faculty-policies/fmda>

Dual Career Resources

- Managed by the SVPP Office, aims to provide spouses/partners of Faculty and senior administrators with support in identifying employment opportunities both on campus and in the community
- In collaboration with colleges and departments, for on-campus accommodations salary support is split 1/3 each
 - 30-40% of all T/TE faculty hires entail a partner/spouse
- Assistance in exploring existing non-faculty employment opportunities on campus through individual consultation with UHR
- Career Coaching – Terri Deems
- Central Midwest HERC

<https://www.provost.iastate.edu/administrator-resources/recruitment/dual-career>

ADVANCE Program

- Originally funded (from 2006-2011) by a National Science Foundation transformation grant of \$3.3M
- Goal of helping recruit, retain, and promote female & underrepresented faculty in STEM
- Since 2011 has expanded presence and impact to all 8 colleges
- Overarching success in institutionalizing positive change in ISU policies, practices, and structures

<https://www.provost.iastate.edu/faculty-and-staff-resources/development/isu-advance>

Conflicts of Interest and Commitment Management (and Disclosure)

- Iowa State encourages active participation of university personnel in external activities that promote the university's mission, enhance professional skills, expand knowledge, and/or contribute to public service.
- Possible adverse effects of activities:
 - Failure to make decisions objectively and in the best interests of the university
 - Inappropriate use of university or state resources
 - Insufficient time and attention dedicated to university duties to perform them satisfactorily

<https://www.policy.iastate.edu/policy/conflict>

COIC, cont.

- Procedures, Applications, and Guidance (PAG)
- Professional Activity Leave (PAL): Consulting in area of expertise related to ISU responsibilities
- Outside Employment
- Service to Government and Associations
- Disclosures required annually or when situation changes
- Management Plan
 - VPR/Office of Research Integrity for research COI
 - Departmental (time commitment, consulting, etc.)

<https://www.provost.iastate.edu/faculty-and-staff-resources/coic>

Effort Reporting and Certification Policy

- Effort reporting is a process required by the federal government to verify that direct and indirect labor charges and cost share efforts to *federally sponsored projects* are reasonable and reflect actual effort performed
- Faculty Salary to align with effort
- Best Practices:
 - No more than 90% charged to federal funds at any one time
 - Buy-out on grants during AY, vs. Summer Salary

Policy: <https://www.policy.iastate.edu/policy/effort>

SVPP Office website and procedures:

<https://www.provost.iastate.edu/faculty-and-staff-resources/effort-reporting>

FACULTY DEVELOPMENT



In this module, we cover:

- FPDA Program
- Pre-Tenure Course Release
- Other Prestigious, External Leaves (e.g., Fulbright)
- IPA Assignment

Faculty Professional Development Assignment (FPDA)

- Regents' approved sabbatical program – to conduct research or scholarship, to obtain new or specialized training, or to participate in an international program
- Peer review of proposed FPDA, with administrative review and approval by Department Chair and Dean
- Timeline: October due in SVPP Office, December approval by BOR for FPDA to begin the following academic year
- All faculty employed half-time or more are eligible
- Salary and Benefits: Max of 6 months salary; full benefits
- Report due at end of FPDA and submitted to BOR

<https://www.provost.iastate.edu/faculty-and-staff-resources/development/fpda>

Pre-Tenure Course Release

- Tenure-Eligible faculty offers often guarantee reduced teaching load in early probationary years to allow for committed time for research start-up (research support)
- A teaching release semester may be negotiated between Department Chair and the faculty member for professional development
- Not a sabbatical; expectations for teaching, research, professional practice, or service
- Tenured faculty may “buy-out” of courses per college- or department-specific policy

Fulbright and Other Prestigious Leaves

- The Fulbright Program is the flagship international educational exchange program sponsored by the U.S. government
 - Competitive selection process
 - Faculty may propose FPDA dependent on Fulbright award
 - Stipend directly paid by Fulbright to faculty member
 - ISU guidelines available at <https://www.provost.iastate.edu/faculty-and-staff-resources/development/fulbright>
- National Endowment for the Humanities (NEH) Fellowship
- Other research assignments as approved by Dept Chair

Intergovernmental Personnel Act (IPA)

Assignment - NSF

- Assignments may be made to or from federal agencies and the following: state and local governments, or private and public colleges and universities
- ISU faculty “on loan” to NSF
 - Remain on ISU payroll (retain ISU benefits)
 - Visiting Scientist Program – paid directly by NSF (and retain ISU benefits)
- Formal agreement between NSF and ISU
 - Department Chair and College informed
 - OSPA manages process (4XX funding for payroll)

FACULTY LEAVE

In this module, we cover:

- Vacation Accrual/Usage and Work Period
- Sick Leave and FMLA
- LWOP

Vacation Accrual/Usage and Work Period

- 12 month AWP faculty accrue vacation on a monthly basis of two days (16 hrs) as do P&S staff
- 9 month AWP faculty do NOT accrue vacation
(Due to this, *conversion of salary* is 9/11, or 11/9)
- Expectation for usage/reporting (Time Off)
 - Team Absence in Workday
- 9 month AWP faculty may arrange their responsibilities so that they are absent from campus for personal reasons for limited periods when classes are in session
- All faculty are required to be on duty during the AY on those days when classes are in session and the two working days before the first day of classes of fall and spring semesters
- Unused, banked vacation paid out at time of separation

Sick Leave

- All faculty members, regardless of appointment base, accrue sick leave at the rate of one and one-half days for each full month of employment
- Expectation for usage/reporting
- FMLA eligibility and hours worked
- Consistent with the FH language regarding 9 month AWP faculty responsibilities, a medically-related absence for a semester involves sick leave usage for: *Days when classes are in session (excluding the University holidays, the week of Thanksgiving, and the week of Spring Break) and two days prior to the start of each semester*
- Accrual for summer supplemental pay

Leave of Absence Without Pay – FH 4.5.3

- LWOP may be granted for research or similar professional activity or for compelling personal reasons
- A request for a leave is initiated by the faculty member and requires the approval of the chair, dean, and senior vice president and provost; See LWOP Principles at

<https://www.provost.iastate.edu/administrator-resources/recruitment>

- Leave may be granted for one year or less
- Tenured faculty who accept positions elsewhere
- Management Plan for an External Scholarly Affiliation with Partial Appointment (reduced ISU appointment)

<https://www.provost.iastate.edu/administrator-resources/model-documents>

FACULTY ORIENTATION AND MENTORING

In this module, we cover:

- Fall New Faculty Orientation
- Onboarding
- Mentoring

New Faculty Orientation

- SVPP Office offers a full day new faculty orientation each Fall, and a similar, brief orientation in January for faculty that start mid-year
 - Introduce new faculty to important policies, programs, and information that support their success
 - Connect faculty with key administrators and staff
 - Provide resources to assist new faculty transition to their new roles at ISU
 - Nurture networking and a sense of community among our new faculty cohort
 - Specific resources offered regarding research and teaching/learning

<https://www.provost.iastate.edu/faculty-and-staff-resources/new-faculty-orientation>

Onboarding

- Departments and Colleges offer faculty-specific onboarding and orientation
- VPR new faculty orientation
- CELT Teaching Symposium for New Faculty

Mentoring

- Iowa State's formal mentoring program pairs new tenure-eligible faculty members with senior colleagues, typically from the same department
- Mentors provide guidance through the tenure process, with a particular focus on the formal third-year review
- Mentoring contract between mentor and mentee

<https://www.provost.iastate.edu/faculty-and-staff-resources/development/mentoring>

FACULTY AWARDS AND RECOGNITION

In this module, we cover:

- University Wide Awards
- Prestigious External Awards

University Wide Awards

- SVPP Office manages annual University-wide award nomination and selection process for faculty and staff
- Distinguished Professor, University Professor, and Morrill Professor - recognizing most prominent and excellent faculty – results in base salary increase
- University-wide Teaching, Research, Extension/Professional Practice, Advising awards for faculty and P&S staff – awardees receive stipends

<https://www.provost.iastate.edu/faculty-and-staff-resources/awards>

Prestigious External Awards

- Faculty Honors and Awards Hub: staff coordinator encourages and supports the nomination process
- National Academies of Sciences, Engineering and Medicine (ISU recipients: Eight current faculty)
- AAU rankings

<https://www.provost.iastate.edu/faculty-and-staff-resources/faculty-awards-hub>

ADMINISTRATIVE APPOINTMENTS

In this module, we cover:

- Administrative Appointment

Administrative Appointments

- Faculty serve as President, Senior Vice President and Provost, Vice President, Associate Provost, Dean, Associate Dean, Assistant Dean, Department Chair, DOGE, Director, and Associate Director
- External or Internal recruitment
- Term appointment as faculty administrator with possibility of renewal based on renewal review
- Service is At-Will
- Administrative salary increment (Allowance)
- 12 month or 9 month AWP

NAMED PROFESSOR

In this module, we cover:

➤ **Named Professor Appointment**

Named Faculty Positions

- Iowa State University encourages the establishment of named positions to be created by private gifts to the university through the ISU Foundation; such gifts recognize and augment support for outstanding faculty and academic units External or Internal recruitment
- Term appointment as Named (or Endowed) Chair, Professor, or Fellow
- May include salary supplement as Named Professor Allowance
- Guidelines and process

<https://www.provost.iastate.edu/faculty-and-staff-resources/hiring/named-faculty>

FACULTY DATA - DATA INTEGRITY

In this module, we cover:

- Academic Data Integrity
- Dashboards in Workday
- Academic Analytics

Academic Data

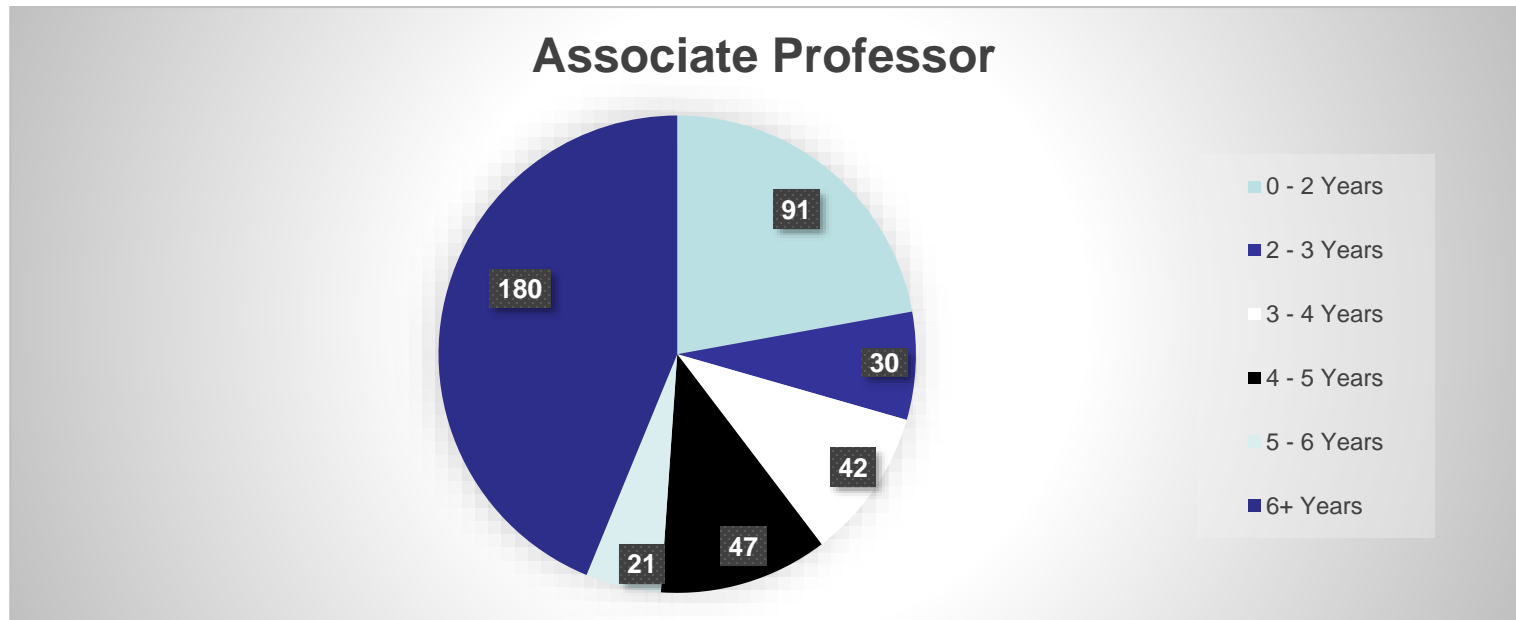
- Importance of accurate data for faculty records
- Add / Update Academic Appointment
 - Role of HR Coordinator
 - Review by HR Partner
- Current State
 - Manual entry and review via Academic File
- Future State
 - BPs capture data and replace manual entry
 - Reports and Dashboards in Workday
 - Notifications for review/renewal due date



Academic Dashboards in Workday

Two views of dashboard – Time in Rank

Time in Rank - All Academic Ranks							
Assistant Professor							
Rank	0 - 2 Years	2 - 3 Years	3 - 4 Years	4 - 5 Years	5 - 6 Years	6+ Years	Number of Academics
Assistant Professor	106	39	87	68	25	24	349
(Blank)	2	0	0	0	0	0	2
Total	108	39	87	68	25	24	351



Academic Analytics

- Iowa State University subscribes to Academic Analytics which is a vendor that provides comparative, standardized data for faculty; the data is used to provide strategic decision support for academic administrators
- Deans utilize the data in performance evaluation, for nomination of faculty for awards, etc.

FACULTY COMPLAINTS

In this module, we cover:

- Faculty Conduct / Misconduct Complaints
- Grievances and Appeals

Faculty Conduct Complaints – FH 7.2.5

- Investigation and management of allegations of faculty misconduct as described in FH 7.2
- A formal complaint is submitted to the SVPP Office and if determined to be properly filed (by SVPP and Faculty Senate President) then a Faculty Review Board (FRB) is formed – FRB is peer-review process
- Investigation by FRB results in a report and recommendation (either no finding, recommend Minor Sanction, or recommend Major Sanction) to the SVPP
- Discipline in cases where Minor or Major Sanction is recommended, and the decision of the SVPP

Faculty Conduct, cont.

- A letter of Non-Disciplinary Corrective Action is appropriate for some minor issues and is developed by the Department Chair (with assistance of the HR Coordinator or HR Partner) and delivered to the faculty member
 - Not punitive, rather a corrective action requested

Faculty Grievances and Appeals – FH 9

- Faculty who believe they have been treated unfairly concerning various employment matters may file an appeal
- Two routes to file:
 - Administrative Channel (may appeal up through Dean, SVPP, and President)
 - Faculty Senate Committee on Appeals (Ad Hoc Investigative Committee does investigation and makes recommendation to SVPP)
- Must describe policy that was violated, and request a specific remedy

FACULTY LIFE CYCLE

In this module, we cover:

- Faculty Resignations
- Faculty Retention Guidelines
- Faculty Retirements
- Emeritus Faculty
- Post Retirement Employment

Faculty Resignations

- Resignations from faculty on 9 month AWP should be effective at the end of a semester
- Effective date may be June 30 or July 31 if paid summer salary
- Resignations should be processed as early as possible
 - Chair should request and accept the resignation in writing
 - Off-boarding (especially regarding close out or transfer of grant, etc.) and faculty exit interview are timely
- Faculty Exit Survey conducted by CSSM for SVPP Office; data, results (reason codes) reported to Board Office

Faculty Retention

- Retention Guidelines provided by SVPP Office
 - Counter offers for high-performing faculty, and preemptive retention efforts
 - Standards and process described in “Guidelines for Faculty Retention” document
 - Retention packages may include an increase in base salary, a named professorship, summer salary support, a change in the PRS, space, equipment, or other funding support

[https://www.provost.iastate.edu/sites/default/files/uploads/administrator%20resources/recruitment%26retention/Faculty%20Retention%20Guidelines%20September%202018%20\(002\).pdf](https://www.provost.iastate.edu/sites/default/files/uploads/administrator%20resources/recruitment%26retention/Faculty%20Retention%20Guidelines%20September%202018%20(002).pdf)

Faculty Retirements

- Notice of full retirement shall be provided to Department Chair well in advance of effective date
 - Chair should request/accept the retirement in writing
- Emeritus – FH 6.4
 - Retirement at rank of Professor after 10 years of service at ISU – automatic designation as Emeritus Professor
 - Exception requests/process for Emeritus – both Tenured and Term faculty
- Phased Retirement Program
 - Faculty may propose one semester on, one semester off (50% FTE and annual effort)
- Post-Retirement Employment Policy (rehires)

QUESTIONS?

Thank You!

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WorkCyte

Where Your Workday Begins

WorkCyte Training Team

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