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Guidelines for Clinical Track Promotion Decision-Making

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College of Pharmacy
University of Iowa

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Approved by the Faculty, _____, 2005

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I. Introduction

The guidelines presented in this document implement the University’s “Clinical Track Policy” (Operations Manual, III.10.9, Regents enacted 2/15/95, amended 7/00 and 1/02) and are consistent with the University of Iowa Procedural Guidelines for Clinical-Track Promotion Decision-Making [Revisions approved by University of Iowa Faculty Senate 09-07-04]

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

These Guidelines rely upon several principles:

1. decisions granting or denying promotion should be based on a written record of achievement,
2. the content of the record that will be relied upon should be known by the candidate and the decision-makers,
3. 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,
4. the governing procedures should be the same for all candidates and applied consistently to all candidates.

General Guiding Policies for the College of Pharmacy.

1. The faculty will be compliant with all University of Iowa policies, regulations and mandated procedures as appropriate and relevant to the issues of promotion.
2. The faculty recognize that all promotion recommendations will be made by persons that have achieved (at least) the rank/status sought.
3. Clinical track faculty are not voting members on matters of promotion and tenure regarding tenure track faculty.
4. Each faculty member will be allowed to vote only once for each candidate during a specific, defined promotion cycle.
5. The academic divisions of the College of Pharmacy will operate as “departments,” as defined by the University of Iowa in matters of promotion. The academic division head shall serve as Departmental Executive Officer.
6. Directions at the time of the initial appointment and during continued appointment to the College faculty by the Dean and/or the Division Head concerning the individual’s focus of effort, time commitment to service work and other activities, and specific written performance expectations are to be honored when the faculty member is considered for promotion.
7. Assistant and Associate Deans participate only in the role of faculty in their respective Divisions.

Terminology

Clinical Track Collegiate Consulting Group (CT-CCG): the College-wide faculty promotion committee.

120 **Clinical Track Division Consulting Group (CT-DCG):** the committee from the
121 candidate's academic division

122 **Promotion Manager/Division Head** (defined as the Departmental Executive
123 Officer in the University's Guidelines): the individual who assists the
124 candidate in the promotion process, writes the division head's
125 recommendation, and presents the promotion case to the CT-CCG.
126 Usually the individual is the candidate's academic division head, except in
127 cases of conflict of interest. In cases of conflict of interest, the Dean will
128 appoint a tenured full professor from the candidate's academic division to
129 serve as the Promotion Manager/Division Head. In this document the term
130 "Promotion Manager/Division Head" will be used.

131
132 **Promotion Record:** The qualifications of a candidate for promotion will be
133 determined on the basis of the Promotion Record, consisting of the
134 following material, in this order:

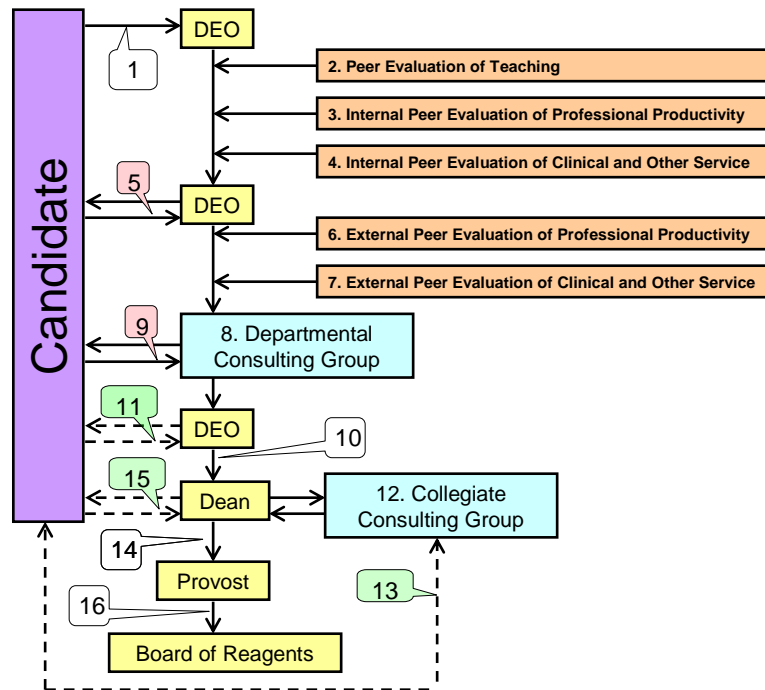
- 135 1. the "Recommendation for Faculty Promotion" cover sheet (see Appendix
136 A);
- 137 2. the Dean's letter of recommendation on the promotion to the Provost;
- 138 3. the summary report of the discussion and the vote of the CT-CCG
139 prepared by the chair;
- 140 4. the Division Head's letter making a recommendation to the Dean;
- 141 5. the summary report of the discussion of the candidate's teaching,
142 professional productivity, clinical and other service and the vote of the
143 CT-DCG as prepared by the chair;
- 144 6. the candidate's letter correcting errors in the internal peer evaluations of
145 the candidate's teaching, professional productivity, and service; the
146 candidate's letter following receipt of a negative recommendation of the
147 Division Head and the recorded vote and summary report of the CT-DCG;
148 and the candidate's letter following receipt of a negative recommendation
149 of the Dean and/ or the negative recorded vote and summary report of the
150 CT-CCG, if the candidate has submitted any such letters;
- 151 7. candidate's CV in the college's standard format which documents the
152 candidate's educational and professional history;
- 153 8. a section on the candidate's teaching, including:
 - 154 i. the candidate's personal statement on teaching,
 - 155 ii. documentation of peer and student evaluation of the candidate's
156 teaching,
 - 157 iii. other materials including publications and presentations related to the
158 candidate's teaching, and
- 159 9. a section on the candidate's professional productivity, including:
 - 160 i. the candidate's personal statement on professional productivity,
 - 161 ii. documentation of internal peer evaluation of the candidate's
162 professional productivity,
 - 163 iii. external reviews of the candidate's professional productivity compiled
164 by the CT-DCG described in III.F.;
 - 165 iv. other materials related to the candidate's professional productivity,
- 166 10. a section on the candidate's clinical service including:
 - 167 i. the candidate's personal statement on clinical service,

- 168 ii. documentation of internal peer evaluation of the candidate’s clinical
169 service,
170 iii. external reviews of the candidate’s clinical service compiled by the
171 CT-DCG described in III.F.;
- 172 iv. other materials related to the candidate’s clinical service;
- 173 11. a section on the candidate’s other service including:
- 174 i. the candidate’s personal statement on other service,
175 ii. documentation of internal peer evaluation of the candidate’s other
176 service,
177 iii. external reviews of the candidate’s other service compiled by the CT-
178 DCG described in III.F.;
- 179 iv. other materials related to the candidate’s other service;
- 180 12. supplementary material added to the Promotion Record as expressly
181 provided in these guidelines (see III.B.4. [Other materials](#)).
182

183 **Joint Appointments**

184
185 In the case of a joint appointment candidacy for promotion, the departments/divisions
186 involved will follow the procedures described in Appendix D of the Guidelines for
187 Clinical Track Promotion Decision Making at The University of Iowa.
188

Figure 1 Overview of Promotion Decision-Making Procedure



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193

Sequential Development of Promotion Record through Decision-Makers:
1. Candidate and DEO compile dossier
2. Peer evaluation of teaching
3. Internal peer evaluation of professional productivity
4. Internal peer evaluation of clinical other service
5. Candidate's opportunity to respond
6. External peer evaluation of professional productivity
7. External peer evaluation of clinical and other service
8. Departmental Consulting Group's vote and report
9. Candidate's opportunity to respond
10. Divisional Executive Officer's letter to Dean
11. Candidate's opportunity to respond, if DEO's recommendation is negative
12. Collegiate Consulting Group's vote and summary report
13. Candidate's opportunity to respond, if recommendation is negative and contrary to DEO or DCG recommendation
14. Dean's letter to Provost
15. Candidate's opportunity to respond, if Dean's recommendation is negative
16. Provost's recommendation to the Board of Regents

194 **II. Collegiate Procedures**

195 **A. Clinical Track Division Consulting Group (CT-DCG)**

196 **1. Membership**

197 All tenured, tenure track and clinical track faculty members from the academic division
198 of the candidate at or above the rank being sought by the candidate are voting members
199 of the Committee, except the Division Head, the Collegiate Consulting Group members
200 the collegiate Dean and Provost and any faculty member with a disqualifying conflict of
201 interest. The Division Head is a non-voting, ex officio member of the CT-DCG. Faculty
202 members from the Division who are on the Collegiate Consulting Group are excluded
203 from all activities of the CT-DCG. The CT-DCG shall elect a chair from the voting
204 membership to conduct the discussions, to write the report of the CT-DCG assessment,
205 and transmit the report to the Promotion Manager/Division Head. The Chair must also
206 hold a Clinical Track appointment.

207
208 If the CT-DCG has less than the required four faculty members, including at least two
209 Clinical Track faculty from the division, the Division Head, with the approval of the
210 Dean, will appoint qualified College of Pharmacy faculty from other divisions to the CT-
211 DCG. The CT-DCG members from external divisions will not participate in the peer
212 observation of teaching. The Division Head is ex officio to the CT-DCG and does not
213 count toward the required four members.

214 **2. Duties**

215 The CT-DCG, acting as a committee of the whole, will review the candidate's teaching,
216 professional productivity, clinical service and other service from the information in the
217 candidate's dossier. The CT-DCG Committee will draft each section of the CT-DCG
218 report. The section on the internal review of candidate's teaching, professional
219 productivity, clinical service and other service must be written and transmitted to the
220 Promotion Manager/Division Head prior to the voting members of the CT-DCG reading
221 the external letters concerning teaching, professional productivity, clinical service and
222 other service. The candidate, after receiving a copy of the internal review, will be
223 allowed in the timeframe indicated to submit a letter to the Promotion Manager/Division
224 Head correcting any factual errors in the internal peer evaluation. This letter will be
225 added to the Promotion Record and be made available to the CT-DCG. After the external
226 letters have been read, a discussion of the external review will be made. The CT-DCG
227 Committee will draft a summary of the external review. Differences in the internal and
228 external reviews of teaching, professional productivity, clinical service and other service
229 must be explained as part of this section of the CT-DCG report.

230
231 Upon completion of the CT-DCG report sections on the internal reviews of teaching,
232 professional productivity, clinical service and other service plus the external review of
233 teaching, professional productivity, clinical service and other service, a secret vote will
234 be taken on the motion to recommend the candidate for promotion to the rank being
235 sought. A simple majority is necessary for a positive recommendation for promotion.
236 The vote tally will be included in the report. All voting CT-DCG members must have the

237 opportunity to review the CT-DCG report/recommendation before it is finalized, signed
238 by all members, and sent to the Promotion Manager/Division Head.

239 ***B. Promotion Manager/Division Head***

240 The Division Head serves as the promotion manager for candidates from his/her
241 academic division except in cases of conflict of interest. The Division Head is an ex
242 officio member of the Division Consulting Group.

243 **1. Duties**

- 244 a. Based on the Promotion Record, the Division Head will recommend that
245 promotion be granted or denied in a separate letter to the collegiate Dean for
246 each candidate.
- 247 b. The Division Head's letter to the Dean will explain her or his reasons for
248 recommending for or against promotion, stating how the candidate has or
249 has not met the relevant criteria for promotion and, when the
250 recommendation of the CT-DCG is not followed, will explain why a
251 contrary recommendation is being made and will address any disagreement
252 between the Division Head's evaluation and the evaluation of the CT-DCG
253 as reflected in the summary report of the CT-DCG's discussion.
- 254 c. If the Division Head recommends that the candidate be promoted, the
255 Division Head's letter to the Dean will address any negative aspects of the
256 Promotion Record.
- 257 d. The Division Head's letter will be transmitted to the Dean as part of the
258 candidate's Promotion Record.
- 259 e. The Division Head will notify the CT-DCG of the Dean's recommendation
260 to the Provost, and will also inform the candidate if the Dean's
261 recommendation is positive.
- 262 f. The Division Head will inform the CT-DCG of the Provost's
263 recommendation after being notified by the Dean.

264 ***C. Clinical Track Collegiate Consulting Group (CT-CCG)***

265 **1. Membership**

266 For the purpose of Clinical Track faculty promotions the Committee will include three
267 individuals. Members of the Group will include the Chair of the CCG, or a Dean
268 appointed member of the CCG when the Chair of the CCG is from the candidate's
269 division, a CCG member from the academic division of the candidate, and a Clinical
270 Track faculty member at or above the rank sought by the candidate. The Clinical Track
271 faculty member on the CT-CCG will be elected by the Clinical Track faculty in the
272 College. All members of the Committee will be approved by the Dean. The election of
273 new members to the CT-CCG will be held between January 1 and February 1. If, in the
274 event the Clinical Track member is not approved by the Dean or is unable to serve, the
275 Clinical Track faculty must conduct another election immediately. The Division Heads
276 and the Dean are not eligible for CT-CCG membership. The Dean will select the chair of
277 the Clinical Track Collegiate Consulting Group from the members. Membership on this
278 committee is for a three-year term. Committee members are not eligible for re-election
279 and must wait at least three years before serving again on the CT-CCG.

280

281 The Dean shall attend the meetings of the CT-CCG, but may not vote or contribute to any
282 written report summarizing its discussion.

283 **2. Duties**

284 The CT-CCG chair supervises the promotion process on behalf of the Dean of the
285 College. The CT-CCG reviews the candidate's dossier including all appendices, the CT-
286 DCG report and the Promotion Manager/Division Head recommendation, and response
287 from the candidate, if present, concerning the CT-DCG's recorded vote and summary
288 report with recommendation and the letter of recommendation of the Division Head to
289 the Dean. After a discussion of the aforementioned items, a secret vote will be taken on
290 the motion to recommend the candidate for promotion to the rank being sought. A simple
291 majority is necessary for a positive recommendation for promotion. The CT-CCG chair
292 drafts the CT-CCG recommendation, which includes the vote tally plus an explanation of
293 differences, if any, from the CT-DCG recommendation and/or the Division Head
294 recommendation. Comments on the candidate's response to either the CT-DCG report or
295 a negative Promotion Manager/Division Head recommendation if applicable must be
296 included. Each CT-CCG member must have the opportunity to review the CT-CCG
297 recommendation before the members sign it and send it to the Dean of the College.
298

299 If the CT-CCG finds it necessary for clarification or supplementation of the Promotion
300 Record, the CT-CCG may submit to the CT-DCG and/or the Division Head a written
301 request for additional information. The CT-CCG will enter any information thus
302 obtained into the Promotion Record.

303 **D. Dean**

304 **1. Duties**

- 305 a. It is the responsibility of the Dean to inform the candidate and the
306 candidate's academic division head in writing by March 1 that a promotion
307 decision will be made in the academic year beginning July 1 and that she/he
308 must submit a promotion dossier.
- 309 b. When any materials which were not available at the time of the
310 departmental action are forwarded by the Division Head to the Dean, the
311 Dean will make a determination whether it is likely that the new material
312 would have substantially altered the departmental evaluation of the
313 candidate's record by the CT-DCG and/or the Division head. If, in the
314 Dean's judgment, a substantial change in the departmental evaluation is
315 likely, the Dean will return the case to the Division Head for any appropriate
316 supplementary action so that the Dean will be able to act in the light of an
317 accurate indication of departmental judgment.
- 318 c. Based on the Promotion Record, the collegiate Dean will recommend that
319 promotion be granted or denied in a separate letter to the Provost for each
320 candidate.
- 321 d. The Dean's letter to the Provost will explain the Dean's reasons for
322 recommending for or against promotion stating how the candidate has or has
323 not met the relevant criteria for promotion.

- 324 e. When the Dean's recommendation is contrary to the vote of the CT-DCG,
325 the recommendation of the Division Head, and/or the vote of the CT-CCG,
326 the Dean's letter will explain why the contrary recommendation is being
327 made.
- 328 f. The Dean's letter will be transmitted to the Provost as part of the candidate's
329 Promotion Record.
- 330 g. At the same time that the Dean's letter is submitted to the Provost, the Dean
331 will inform the Division Head of the recommendation that has been
332 forwarded to the Provost.
- 333 h. The Dean will transmit to the Provost one copy of the Promotion Record for
334 each candidate in the college.
- 335 i. At the same time the Promotion Record is submitted to the Provost, the
336 Dean will provide the candidate with a copy of the Dean's letter to the
337 Provost if the Dean issues a negative recommendation.
- 338 j. The Dean will inform the candidate in writing of the Provost's
339 recommendation to the Board of Regents and, in the case of a
340 recommendation against promotion will inform the candidate of the
341 availability and enclose a copy via certified mail of the official Faculty
342 Dispute Procedures in the University Operations Manual (section III.29.1-
343 III.29.4, III.29.6).
- 344 k. Upon receipt of the Provost's recommendation on candidate promotion, the
345 Dean will inform the Division Head of the Provost's recommendation.

346 **III. Promotion Decision-Making Procedure**

347 **A. Notifications, Responsibilities and Deadlines**

- 348 1. It is the responsibility of the Promotion Manager/Division Head to inform the
349 candidate in writing in the year of appointment to a salaried clinical track
350 position, in the year of any contract renewal, and at the beginning of the academic
351 year in which the promotion decision will be made of the material that is required
352 to be included in the promotion dossier, and of the candidate's responsibility to
353 compile and submit the dossier by September 1 in the academic year of the
354 promotion decision.
- 355 2. It is the responsibility of the Dean to inform the candidate and the candidate's
356 academic division head in writing by March 1 that a promotion decision will be
357 made in the academic year beginning July 1 and that she/he must submit a
358 promotion dossier.
- 359 3. In the event that a College of Pharmacy clinical track candidate seeks an earlier
360 review, the candidate must give written notification to the Dean before March 1
361 that she/he wishes a promotion decision to be made.
- 362 4. It is the responsibility of the Promotion Manager/Division Head to advise and
363 assist the candidate in compiling the dossier in a manner that ensures, to the
364 greatest extent possible, that it serves as a fair and accurate evaluation of the
365 candidate's strengths and weaknesses, and is not purely a record of advocacy for
366 the candidate.

- 367 5. Following the delivery of the CT-DCG internal review it is the responsibility of
368 the candidate to submit a letter to the Promotion Manager/Division Head
369 correcting any factual errors.
- 370 6. Following the delivery of the CT-DCG recorded vote and the summary report it
371 is the responsibility of the candidate to submit to the Promotion Manager/Division
372 Head a letter correcting factual errors about the candidate's record in the CT-DCG
373 summary report.
- 374 7. Following the delivery of the Division Head's negative letter of recommendation
375 it is the responsibility of the candidate to:
- 376 a. request access to the Promotion Record, with the following provisions:
 - 377 b. the candidate will have access to external reviews and student evaluations
378 of the candidate's teaching which were added to the Promotion Record by
379 the Division Head only:
 - 380 i. if the candidate requests them within 5 working days, and
 - 381 ii. after they have been redacted to protect confidentiality;
 - 382 c. any comments in the Promotion Record referring to external reviews or
383 otherwise identifying any individual must be redacted to protect
384 confidentiality.
 - 385 d. The candidate will have until November 24 to submit a letter of response
386 to the Division Head's negative letter of recommendation. This letter will
387 be submitted to the Dean, with a copy to the Division Head, as well as any
388 additional information for inclusion in the Promotion Record.
- 389 8. Following the delivery to the candidate of the CT-CCG's summary report to the
390 Dean which is negative and contrary to that of the CT-DCG or Promotion
391 Manager/Division Head recommendation, it is the responsibility of the candidate
392 to:
- 393 a. request access to the Promotion Record, with the following provisions:
 - 394 i. if the candidate requests them within 5 working days
 - 395 ii. the candidate will have access to external reviews and student
396 evaluations of the candidate's teaching which were added to the
397 Promotion Record by the Division Head only:
 - 398 1. after they have been redacted to protect confidentiality;
 - 399 iii. any comments in the Promotion Record referring to external
400 reviews or otherwise identifying any individual must be redacted
401 to protect confidentiality.
- 402 9. The candidate will have until December 31 to submit a letter of response to the
403 CT-CCG negative letter of recommendation. This letter will be submitted to the
404 Dean.
- 405 10. Following the delivery to the candidate of the Dean's negative recommendation
406 to the Provost it is the responsibility of the candidate to:
- 407 a. request access to the Promotion Record, with the following provisions:
 - 408 b. the candidate will have access to external reviews and the student
409 evaluations of the candidate's teaching which were added to the
410 Promotion Record by the Division Head only:
 - 411 i. if the candidate requests them within 5 working days
 - 412 ii. the candidate will have access to external reviews and student
413 evaluations of the candidate's teaching which were added to the
414 Promotion Record by the Division Head only:

- 415 1. after they have been redacted to protect confidentiality;
416 iii. any comments in the Promotion Record referring to external
417 reviews or otherwise identifying any individual must be redacted
418 to protect confidentiality
- 419 c. The candidate will be allowed until February 1, to submit a letter of
420 response to the Dean's recommendation and any additional information
421 for inclusion in the Promotion Record. This letter will be submitted to the
422 Provost, with a copy to the Dean.
- 423 11. Summary of deadlines for the promotion process. All activities must be
424 performed on or before these dates:
- 425 July through February prior to initiation of the promotion process. As
426 necessitated by the candidate's teaching schedule the candidate
427 initiates the peer observation process by informing the Promotion
428 Manager/Division Head in writing. The Promotion Manger/Division
429 Head notifies the CT-DCG Chair. The CT-DCG Chair appoints two
430 voting members, one of whom must be a full professor and one of
431 whom must be a Clinical Track faculty member, to observe and
432 evaluate the candidate's teaching and to write the report regarding the
433 candidate's teaching. Other peers as specified in III.E.1.b. may
434 perform components of the teaching evaluation.
- 435 Before March 1: Candidates seeking an early promotion decision must
436 notify the Dean in writing of their intention.
- 437 March 1: Candidates for whom a promotion decision is expected in the next
438 academic year are notified in writing by the Dean.
- 439 March 15: Every candidate for promotion on the clinical track must make
440 an appointment to meet with their Promotion Manager/Division Head
441 to discuss the promotion process and begin the process of selecting
442 names of potential external reviewers.
- 443 April 1: The CT-DCG meets and elects a voting member with a Clinical
444 Track appointment to be the chair. The chair establishes the meeting
445 schedule.
- 446 June 1: Every candidate for promotion on the clinical track must submit to
447 the Promotion Manager a list of potential external reviewers
448 (maximum of eight) and a CV in standard format plus candidate-
449 prepared statements on professional productivity, clinical service and
450 other service for use by the external reviewers.
- 451 June 1. Every candidate for promotion on the clinical track may , if
452 applicable, submit to the Promotion Manager a list of potential co-
453 workers or colleagues (non-faculty peer reviewers) capable of judging
454 the candidate's clinical and other service, including teaching in
455 programs external to the College.
- 456 July 1: The Promotion Manager/Division Head writes to the invited
457 external reviewers, using as a basis the form letter in the guidelines,
458 (Appendix C) seeking participation in the promotion process. The
459 Promotion Manager/Division Head is encouraged to call potential
460 external reviewers in advance to assess their willingness to serve and
461 to request a CV of the reviewer.

462 September 1: Candidates for promotion present their dossiers to the
463 Promotion Manager/Division Head.

464 September 15: The Promotion Manager/Division Head distributes the
465 following items to the CT-DCG Chair: the candidate's dossier, the
466 report resulting from the CT-DCG internal review of teaching, the
467 external reviewer materials (a list of persons from whom letters were
468 requested, copies of letters received, and CVs of letter writers).

469 September 20: The CT-DCG meets to review the promotion dossier and the
470 evaluation of teaching report and writes the internal evaluation of
471 teaching, professional productivity, and clinical service and other
472 service. The internal reviews are completed before the CT-DCG
473 members read the external reviews of teaching, professional
474 productivity, and clinical and other service.

475 September 25: The internal evaluation completed by the CT-DCG is given
476 to the Promotion Manager/Division Head who will immediately send a
477 copy to the candidate.

478 October 2: The candidate will have submitted, if desired, a letter correcting
479 factual errors in the internal peer evaluation of the candidate's
480 teaching, professional productivity, and clinical service and other
481 service to the Promotion Manager/Division Head.

482 October 10: The CT-DCG members read the external reviews of professional
483 productivity, and clinical and other service, along with any factual
484 corrections to internal review provided by the candidate and votes.

485 October 10: The CT-DCG chair transmits the CT-DCG summary report
486 including the vote and the promotion record to the Promotion
487 Manager/Division Head. The Promotion Manager/Division Head uses
488 these items to write his/her recommendation. The CT-DCG chair
489 transmits a copy of the summary report to the candidate. This copy of
490 the report will be redacted as needed to protect the confidentiality of
491 any individual contributions.

492 October 17: The candidate will have submitted, if desired, a letter
493 correcting factual errors in the CT-DCG summary report. This letter is
494 submitted to the Promotion Manager/Division Head and entered into
495 the promotion record.

496 October 24: The Promotion Manager/Division Head delivers the
497 candidate's entire Promotion Record, including the CT-DCG recorded
498 vote and summary report with recommendation, the Division Head's
499 letter of recommendation, and any letters from the candidate correcting
500 factual errors in the record to the Dean.

501 October 24: The Promotion Manager/Division Head hand delivers a copy of
502 the Division Head's recommendation to the candidate if the
503 recommendation is negative. If a request for Promotion Record is to
504 be made, the candidate will inform the Promotion Manager/Division
505 Head within five working days so that the candidate has sufficient time
506 to read the letters and write a response prior to November 24.

507 November 24: The CT-CCG chair receives the promotion dossier prepared
508 by the candidate, with appendices (materials documenting professional
509 productivity and student teaching evaluations, including those student

510 teaching evaluations added to the Promotion Record by the Promotion
511 Manager/Division Head), the CT-DCG report, and the Division head's
512 recommendation plus any candidate-generated response to the CT-
513 DCG and the Promotion Manager/Division Head recommendations.
514 The CT-CCG makes and distributes copies of all documents to the CT-
515 CCG members.

516 December 7: The CT-CCG meets to discuss the promotion case. The
517 Promotion Manager/Division Head presents the case of the candidate
518 and provides additional information to the CT-CCG. The CT-CCG
519 chair writes the CT-CCG report including the recommendation, its
520 basis, and the results of the secret vote of the committee members. A
521 minority report, if present, should be attached.

522 December 15: The CT-CCG summary report and vote is delivered to the
523 Dean. If the CT-CCG issues a recommendation that is negative and
524 contrary to that of the CT-DCG or the Promotion Manager/Division
525 Head for the promotion of the candidate, the CT-CCG report will be
526 provided to the candidate. The candidate will then have 5 working
527 days to request a copy of the promotion record.

528 December 31: The candidate, having received a negative recommendation
529 by the CT-CCG, must provide any written response to the Dean. This
530 written response will be placed in the Promotion Record by the Dean.

531 January 15: The Dean writes his/her recommendation and sends it to the
532 Provost. If recommending against promotion, the Dean will provide
533 the candidate with a copy of the Dean's letter to the Provost.

534 February 1: The candidate may write a response to the Dean's negative
535 recommendation and any additional information to be included in the
536 Promotion Record. This letter is sent to the Provost with a copy to the
537 Dean on or before February 1.

538 **B. The Candidate's Dossier**

- 539 1. The dossier will contain the following, in the order listed unless otherwise noted:
 - 540 a. the "Recommendation for Faculty Promotion" cover sheet with the section
541 that is to be filled out by the candidate completed (see Appendix A);
 - 542 b. a record of the candidate's educational and professional history, consisting
543 of the following sections in the order listed:
 - 544 i. a list of institutions of higher education attended, preferably from
545 most to least recent, indicating for each one the name of the
546 institution, dates attended, field of study, degree obtained, and date
547 the degree was awarded;
 - 548 ii. a list of professional and academic positions held, preferably from
549 most to least recent, indicating for each one the title of the position,
550 the dates of service, and the location or institution at which the
551 position was held; and
 - 552 iii. a list of honors, awards, recognitions, and outstanding achievements,
553 preferably from most to least recent.
 - 554 c. a record of the candidate's teaching at The University of Iowa which must
555 include the following:

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- i. the candidate’s personal statement on teaching (consisting of a summary and explanation — normally not to exceed three pages — of the candidate’s philosophy, accomplishments including innovations, and future plans concerning teaching at the professional, and graduate levels, 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 clinical teaching as it occurs in the context of the delivery of professional services to individuals, patients or clients, preferably from most to least recent;
 - iii. a list of the candidate’s teaching assignments on a semester-by-semester basis, preferably from most to least recent;
 - iv. a list of graduate students supervised, including each student’s name, program or degree objective, and outcomes;
 - v. a list of residents, fellows or other postdoctoral students supervised if any, including each student’s name and outcomes;
 - vi. a list of other contributions to instructional programs;
 - vii. copies of course materials, including syllabi, instructional Web pages, computer-based materials, laboratory materials, etc.;
 - viii. summarized teaching evaluations by students for each professional and graduate course taught, as appropriate.
 - ix. and, as an appendix to the dossier, copies of teaching evaluations by students (the candidate will include all student teaching evaluations in her or his custody for each course taught);
- d. a record of the candidate’s professional productivity including:
- i. the candidate’s personal statement on professional productivity (consisting of summary and explanation — normally not to exceed three single spaced pages — of the candidate’s accomplishments including innovations, and future plans concerning professional productivity, and comments on these accomplishments and plans and on other items included in the dossier related to professional productivity);
 - ii. a list of invited lectures, seminars and conference presentations;
 - iii. a list of conferences for which the candidate has organized symposia, workshops, and so forth;
 - iv. a list of journals for which the candidate has been a member of the editorial board or served as editor;
 - v. a list, preferably from most to least recent, of the candidate’s publications or creative works with type of article (research, review, books, chapters, electronic publications, abstracts or other — specify), review process (peer, editor, or other — specify) status of unpublished citations (accepted, submitted, or other — specify), 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;
 - vi. a list of attained support including grant applications [title, granting agency, principal investigator, candidate’s role (percentage of effort), amount, dates], grants received [title, granting agency,

- 604 principle investigator, candidate's role, amount, dates], and other
605 relevant information, or like information relating to acquiring funds
606 to support clinical practice or service.
- 607 vii. a list of all published reviews of scholarship of which the candidate
608 has knowledge;
 - 609 viii. a list of presentations at regional, national, and international
610 meetings;
 - 611 ix. a list of pending decisions regarding the candidate's professional
612 productivity that might affect the promotion deliberations, including
613 grant proposals, book contracts, and other publishing decisions
614 anticipated in the near future;
 - 615 x. and, as an appendix to the dossier, copies of the candidate's
616 published work (plus completed work that has been accepted or
617 submitted for publication), indicating where each work has been or
618 will be published;
 - 619 xi. research or creative scholarship is not required for promotion on the
620 clinical track; however, other types of research, creative activity or
621 relevant items not specified above may provide evidence of
622 professional productivity.
- 623 e. a record of the candidate's clinical service and other service to the academic
624 division, college, university, profession, and community, including:
- 625 i. the candidate's personal statement on service including both clinical
626 service and other types of service (consisting of a summary and
627 explanation — normally not to exceed three pages — of the
628 candidate's accomplishments including innovations, and future plans
629 concerning clinical service and other service including as appropriate
630 a discussion of the scope and extent of clinical service or patient care
631 activities, and comments on these accomplishments and plans and on
632 other items included in the dossier related to clinical service and
633 other service)
 - 634 ii. a list, preferably from most to least recent, of clinical service
635 positions held including a description of the position, and
 - 636 iii. a list, preferably from most to least recent, of clinical service
637 activities in each of the years since the last promotion,
 - 638 iv. a list, preferably from most to least recent, of other academic
639 divisional, collegiate, or university committees or service positions,
 - 640 v. a list, preferably from most to least recent, of relevant community
641 involvement,
 - 642 vi. a list, preferably from most to least recent, of offices held in
643 professional organizations,
 - 644 vii. a list, preferably from most to least recent, of service on review
645 panels; and
 - 646 viii. a list, preferably from most to least recent of other service
647 contributions not listed elsewhere, such as reviewerships of journals
648 or other scholarly publications or academic divisional, collegiate, or
649 university service publications.
- 650 f. within the appropriate section(s) of the dossier as listed above, other
651 information relevant to the candidate's record in teaching, professional

- 652 productivity, or clinical or other service that is deemed to be important in
653 the candidate's judgment.
- 654 2. Where the volume of material of a particular kind which is required to be included
655 in the dossier is large and potentially unmanageable, a candidate, in consultation
656 with the Promotion Manager/Division Head may select and identify
657 representative portions of the required material for special attention. Only the
658 material selected as representative will become part of the Promotion Record and
659 will be transmitted to successive participants in the promotion decision-making
660 process. Required materials segregated from the representative material will be
661 available for review and will be located in a readily accessible location under the
662 Promotion Manager/Division Head's custody. If any participant in the promotion
663 decision-making process relies upon initially segregated material in preparing a
664 written evaluation of the candidate's qualifications, that material should be added
665 to the Promotion Record, the fact of that addition and the manner of its use should
666 be noted in the written evaluation, and the candidate should be notified in writing
667 of the addition at the time it is made.
- 668 3. The candidate's work in progress that is not completed by the specified date but
669 that is anticipated to be completed in the fall — early enough for full and
670 deliberate evaluation, as determined by the Division Head — may be identified at
671 the time the dossier is submitted and added to the dossier if and when it is
672 completed
- 673 4. Other materials that could not have been available by the specified data but which
674 are completed early enough for full and deliberate evaluation may be added to the
675 promotion dossier by the candidate through the Division Head.

676 **C. Evaluation of Teaching**

- 677 1. It is the candidate's responsibility to cooperate in obtaining peer evaluation of his
678 or her teaching by participating in the College of Pharmacy peer review of
679 teaching program, which is described in Appendix B of this document.
- 680 2. The CT-DCG will not solicit additional student teaching evaluations beyond those
681 regularly completed in each professional course each semester (the College of
682 Pharmacy "ACE" forms and student evaluations made in graduate courses).
683 However, section III.B.1.f. of these Guidelines contemplates that a candidate may
684 submit additional student evaluations that he or she "deems to be important." If
685 the candidate submits additional student evaluations, the CT-DCG may solicit
686 evaluations from a broader sample of respondents as deemed appropriate to
687 ensure a representative sample of opinions.
- 688 3. The peer evaluation of the candidate's teaching will be prepared by the CT-DCG
689 appointed reviewers and appended to the dossier. The committee's evaluation
690 will be based on
- 691 a. the record established in the peer review of teaching program, as provided in
692 Appendix B,
- 693 b. a teaching evaluation solicited from each of the teaching reviewers and
694 c. the student teaching evaluations.
- 695 4. If the candidate does significant teaching to other groups such as clinical or
696 didactic teaching of other health care professionals, teaching evaluations may be

697 solicited from supervisors or colleagues in those settings to contribute to the
698 evaluation of other service as specified below in F.1.-10.

699 5. Overall evaluation of teaching will be compared to written expectations of
700 teaching as defined for the candidate by their Division Head upon initial
701 appointment and as modified in yearly performance evaluations.

702 **D. Evaluation of Professional Productivity**

703 1. Internal Review

704 a. The CT-DCG will write an evaluation based upon those relevant items from
705 the dossier (see III.B). This evaluation will be entered into the section of the
706 Promotion Record that is dedicated to the history and evaluation of the
707 candidate's professional productivity. The following points will be
708 considered in relation to the usual collegiate standards (unit norms) for
709 promotion at the particular rank:

- 710 i. the quality and quantity of professional productivity,
- 711 ii. the continuity of productivity,
- 712 iii. progress toward a record of professional productivity beyond clinical
713 service (in promotion to Associate Professor) or an established
714 record of professional productivity beyond clinical service (in
715 promotion to Professor),
- 716 iv. the significance of the candidate's contributions to their area of
717 practice or involvement,
- 718 v. the role of the candidate in the publications,
- 719 vi. creative work or endeavors to innovate in collegiate or practice site
720 programs,
- 721 vii. any activity and success in applications for extramural funding of the
722 candidate's scholarship or attaining reimbursement for clinical
723 practice contributions,
- 724 viii. successful direction of graduate and postdoctoral students,
725 residents or fellows,
- 726 ix. the results of external peer-evaluation of the candidate's professional
727 productivity, and
- 728 x. an explanation of any disagreement between the internal and external
729 reviews.

730 b. Overall evaluation of professional productivity will be compared to written
731 expectations for professional productivity as defined for the candidate by
732 their Division Head upon initial appointment and as modified in yearly
733 performance evaluations.

734 c. For promotion to the rank of Associate Professor (Clinical), professional
735 productivity during the candidate's appointment as an Assistant Professor
736 (Clinical), will be considered. For promotion to Professor (Clinical),
737 professional productivity since promotion to Associate Professor (Clinical)
738 is the primary factor for evaluation, although the candidate's total
739 productivity will be taken into consideration.

740 2. External Review: See III.F.

741 **E. Evaluation of Clinical Service and Other Service**

742 1. Internal Review

- 743 a. The CT-DCG Committee will write an evaluation of the candidate's clinical
744 service and other service based on the relevant section from the dossier (see
745 III.B) and other materials relative to clinical service and other service
746 provided by the candidate. This evaluation will be entered into the section
747 of the Promotion Record that is dedicated to the history and evaluation of
748 the candidate's clinical service and other service. The following points will
749 be considered in relation to the usual collegiate standards (unit norms) for
750 promotion at the particular rank.
- 751 i. the quality and quantity of clinical service and other service,
 - 752 ii. attainment of best practice criteria in clinical practice setting,
 - 753 iii. the continuity of clinical service and other service,
 - 754 iv. the significance of the candidate's clinical service and other service
755 to their area of practice or involvement,
 - 756 v. the role of the candidate in the clinical service environment;
 - 757 vi. innovativeness in clinical service and other service,
 - 758 vii. attainment of reimbursement for clinical service provision,
 - 759 viii. successful incorporation of professional students and postdoctoral
760 students, residents or fellows into clinical practice,
 - 761 ix. the results of external peer-evaluation of the candidate's clinical
762 service and other service, and
 - 763 x. an explanation of any disagreement between the internal and external
764 reviews.
- 765 b. If the candidate provides service in direct patient care or clinical pharmacy
766 practice or does significant teaching to other groups such as clinical or
767 didactic teaching of other health care professionals, these service or teaching
768 evaluations, if applicable, may be solicited from other non-faculty peers
769 (supervisors or colleagues) in those settings to contribute to the internal
770 service evaluation. A maximum of three evaluations of candidate's clinical
771 and other service, including teaching in programs external to the College , in
772 combination, can be requested by the Promotion Manager/Division Head. In
773 circumstances when the review cannot be made entirely by faculty peers, the
774 candidate must receive written approval from the Provost for the use of non-
775 faculty peer reviewers. The request for approval must be justified by and
776 contained in a written request from the Dean.
- 777 c. Overall evaluation of clinical service and other service will be compared to
778 written expectations for clinical service and other service as defined for the
779 candidate by their Division Head upon initial appointment and as modified
780 in yearly performance evaluations.
- 781 d. For promotion to the rank of Associate Professor (Clinical), clinical service
782 and other service during the candidate's appointment as an Assistant
783 Professor (Clinical), will be considered. For promotion to Professor
784 (Clinical), clinical service and other service since promotion to Associate
785 Professor (Clinical) is the primary factor for evaluation, although the
786 candidate's total clinical service and other service will be taken into
787 consideration.

788 2. External Review: See III.F.

789 **F. External Reviews of Professional Productivity and Clinical Service and**
790 **Other Service**

- 791 1. Final selection of potential external evaluators of professional productivity and
792 clinical service and other service will be made by the Promotion
793 Manager/Division Head no later than July 1 of the academic year in which the
794 promotion decision will be made (see section III. Promotion Decision-Making
795 Procedure, A. Notifications, Responsibilities and Deadlines).
- 796 2. The candidate for promotion will submit the names of potential external reviewers
797 (maximum of eight with addresses, phone/fax numbers and professional
798 positions). The candidate will provide a CV for use by the external reviewers,
799 which will include normal biographical information plus candidate-prepared
800 professional productivity and clinical service and other service data, and
801 candidate statements on professional productivity, and clinical service and other
802 service. At least two persons on the list must be nationally or internationally
803 recognized experts in the focus area of the candidate's professional productivity
804 and clinical service and other service, and at least two letters must be received
805 from persons who the CT-DCG faculty would consider independent reviewers.
806 The candidate may seek advice from other faculty members in generating the list.
- 807 3. The Promotion Manager/Division Head will discuss the names with the candidate
808 and will add additional names after consultation with Clinical Track Consulting
809 Group members.
- 810 4. The Promotion Manager/Division Head will make the final selection of external
811 reviewers and will share the completed list of at least eight external reviewers
812 with the candidate. If the candidate feels that any potential external reviewer on
813 the list might be unfair or otherwise biased, the candidate may prepare a written
814 objection and give it to the Promotion Manager/Division Head with a copy to the
815 CGG chair. Every effort must be made to generate a list of reviewers acceptable
816 to both the candidate and the Promotion Manager/Division Head.
- 817 5. In identifying potential external reviewers, all participants in the selection process
818 will take into account the standing of the prospective reviewer in the discipline,
819 the likely knowledge of the reviewer of the material to be reviewed, the apparent
820 impartiality of the reviewer, and the contribution of the reviewer to achieving an
821 overall "balanced" review among the reviewers on any criterion for which there
822 might be a range of perspectives. It is critical to avoid a situation in which a
823 personal and/or professional relationship (including advising, mentoring, co-
824 authoring, etc.) between the candidate and a prospective reviewer could
825 undermine the reviewer's apparent impartiality.
- 826 6. The Promotion Manager/Division Head, using a form letter which substantially
827 conforms to the sample letter contained in Appendix C, will ask the external
828 reviewers to provide an assessment of the quality and quantity of the candidate's
829 professional productivity, and clinical service and other service.
- 830 7. After or in anticipation of an invitation to an external reviewer to evaluate the
831 candidate's professional productivity and clinical service and other service,
832 neither the candidate nor any other faculty member other than the Promotion

- 833 Manager/Division Head will communicate with the reviewer concerning the
834 subject of the review or the review process.
- 835 8. The Promotion Manager/Division Head will keep a record of:
- 836 a. the list of suggested reviewers,
837 b. the names of persons invited to review,
838 c. the names of actual reviewers from whom letters were received,
839 d. comments submitted by the candidate, the Promotion Manager/Division
840 Head and members of the CT-DCG, and
841 e. correspondence and other communications between the Division Head and
842 invited reviewers and actual reviewers.
- 843 9. All letters received from external reviewers will be entered by the Promotion
844 Manager/Division Head into the Promotion Dossier in the section dedicated to the
845 history and evaluation of the candidate's professional productivity and clinical
846 service and other service, along with:
- 847 a. a list of all invited reviewers — indicating whether the reviewer was
848 suggested by the candidate, the Promotion Manager/Division Head, or the
849 CT-DCG — and a brief explanation of why any invited reviewer declined
850 the invitation,
851 b. the candidate's written objection to any potential external reviewer on the
852 basis of unfairness or bias, and if a letter was solicited from that reviewer
853 over the candidate's written objection, the reasons why the candidate's
854 objections were disregarded,
855 c. a copy of the letter or letters of solicitation to each external reviewer,
856 d. a brief description of each external reviewer's qualifications or a copy of
857 the reviewer's C.V.,
858 e. A statement of how the reviewer knows the candidate's work, if it is not
859 obvious from the reviewer's letter. The statement should identify and
860 address any circumstances which might call into question the impartiality
861 of the reviewer. and
862 f. if the reviewer is not from a peer institution, but from an institution,
863 organization or professional body where the corresponding department of
864 individual evaluator is of peer quality, an explanation of why the reviewer
865 was chosen.
- 866 10. The external reviewer letters are given to the CT-DCG Chair by the Promotion
867 Manager/Division Head, but are seen by the CT-DCG members only after the
868 internal review of teaching, clinical and other service and professional
869 productivity portion of the CT-DCG report has been written. The CT-DCG
870 members read the external review letters and draft a summary of the external
871 review for the CT-DCG report. Finally, the CT-DCG members discuss and draft
872 a section resolving the conflicts between the internal and external review of
873 teaching, clinical and other service and professional productivity.

874 IV. University Level Procedure

875 A. *Provost*

- 876 1. The Promotion Record available to the Provost will consist of the Promotion
877 Record available to the Dean, the Dean's letter, and the candidate's letter of

878 response (if any) following receipt of the negative recommendation of the Dean.
879 Although the appendices to the Promotion Record (consisting of student teaching
880 evaluations and publications) are part of the Promotion Record, they normally
881 will not be moved physically to the Provost's custody unless the Provost requests
882 them.

- 883 2. When any materials that were not available at the time of the departmental or
884 collegiate action are forwarded to the Provost, the Provost will make a
885 determination whether it is likely that the new material would have altered
886 substantially the evaluation of the candidate's record. If, in the Provost's
887 judgment, a substantial change in the departmental or collegiate evaluation is
888 likely, the Provost will return the case to the Division Head or college Dean for
889 any appropriate supplementary action, including additional review by the Dean if
890 appropriate, so that the Provost will be able to act in the light of an accurate
891 indication of departmental and collegiate judgment.
- 892 3. On the basis of the Promotion Record available to the Provost, the Provost will
893 make a decision that promotion should be granted or denied, and will recommend
894 that the Board of Regents grant promotion to those candidates determined to be
895 deserving.
- 896 4. In making the promotion decision, the Provost may, at the Provost's discretion,
897 consult with others, including but not limited to the associate provosts and the
898 collegiate deans.

899 **B. Final Notifications**

- 900 1. The Provost will inform the Dean in writing of the Provost's recommendation to
901 the Board of Regents.
 - 902 2. The Dean will inform the candidate in writing of the Provost's recommendation to
903 the Board of Regents and, in the case of a recommendation against promotion will
904 inform the candidate of the availability and enclose a copy via certified mail of
905 the official Faculty Dispute Procedures in the University Operations Manual
906 (section III.29.1-III.29.4, III.29.6).
 - 907 3. The collegiate Dean will inform the Division Head of the Provost's
908 recommendation who, in turn, will inform the departmental faculty.
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Appendices

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Appendix A

CT Faculty Promotion Cover Sheet
The University of Iowa College of Pharmacy
Recommendation for Clinical Track Faculty Promotion

To be completed by the candidate:

Name: _____ Employee Number: _____

Primary Appointment: _____
College Department

Secondary Appointment: _____
College Department

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

Present Rank: _____ Date attained: _____

To be completed by the Departmental Executive Officer:

Proposed Rank: _____ Date effective: _____

Indicate term of appointment.

This is a _____ year appointment beginning _____ and ending _____
(mo. day yr.) (mo. day yr.)

Vote of Departmental Consulting Group:

Primary Appointment: For promotion: _____ Against promotion: _____ Abstained: _____

Secondary Appointment: For promotion: _____ Against promotion: _____ Abstained: _____

To be completed by the Dean:

Is there a summary report from the Collegiate Consulting Group? Yes No

Vote of Collegiate Consulting Group:

Primary Appointment: For promotion: _____ Against promotion: _____ Abstained: _____

Secondary Appointment: For promotion: _____ Against promotion: _____ Abstained: _____

Recommendations:

Primary Department:

Recommend Recommend
 Do not recommend Executive Officer Do not recommend Dean

Secondary Department:

Recommend Recommend
 Do not recommend Executive Officer Do not recommend Dean

Provost:

Recommend
 Do not recommend Provost Provost Date

966 **Appendix B CT Peer Review of Teaching by the Division Consulting**
967 **Group, Including Instructions, Timetable, and Evaluation of Teaching**
968 **Forms**

969
970 Peer Review of Teaching by the Clinical Track Division Consulting Group.

971 The candidate and Division head will agree on two division consulting group members who will
972 provide observational data on teaching. The Dean will mediate any lack of agreement on the selection of
973 two individuals. These two individuals will constitute the peer review of teaching subcommittee.

974 The candidate will select two teaching activities to be reviewed by each peer reviewer. The
975 activities can be either a didactic settings or if applicable, a clinical teaching activity at the candidate's
976 practice setting.

977 The candidate and the teaching reviewers shall agree on the dates and times of review. This will
978 allow the candidate to provide observation of their "best teaching" practices.

979 Each reviewer will use the appropriate observation document for the activity observed as prepared
980 by the College of Pharmacy Curriculum Committee. They **may** add additional observations and comments
981 as appropriate.

982 An evaluative summary of the observations of teaching shall be submitted by the peer review of
983 teaching subcommittee to the Division Head/Promotion Manager and transferred to the Clinical Track
984 Division Consulting Group to be included in the dossier of the candidate.

985 The University of Iowa
986 College of Pharmacy

987 Procedures for Peer Observation of Classroom Teaching

988 Successful candidates for promotion at The University of Iowa must demonstrate an
989 acknowledged record of teaching success, as described in University and College of Pharmacy Guidelines
990 for Clinical Track Promotion Decision Making.

991 Peer observation is a required element of the evaluation of teaching. This document explains the
992 College of Pharmacy procedures proposed to satisfy this requirement for clinical track promotion, and
993 illustrates forms created to report the results of peer observation of classroom and clinical teaching during
994 the promotion and tenure decision year. Classroom teaching and clinical teaching were selected as the
995 types of teaching for observation because clinical track faculty have different teaching assignments,
996 priorities and strengths.

997 Documentation of the results of peer observation during the decision year can be accomplished
998 with the aid of the attached forms, "Decision Year Peer Observation of Classroom Teaching," or "Decision
999 Year Peer Observation of Clinical Teaching," which would become part of a candidate's dossier. These
1000 forms are designed to assist an observer to evaluate a peer's live teaching. The forms are NOT designed for
1001 formative evaluation of teaching. The College of Pharmacy recognizes, as stated in the University
1002 'Guidelines for Clinical-Track Promotion Decision-Making,' Appendix D, I.D., that "the minimal
1003 procedures specified here for evaluation of teaching are not assumed to be adequate for purposes of
1004 mentoring and teaching-improvement." For this reason, the attached forms are intended to be used *only* to
1005 document that peers in the College of Pharmacy judge a candidate's classroom teaching behaviors to be
1006 "Acceptable" or "Not Acceptable" at the time of observation during the decision year.

1007 In the College of Pharmacy, a faculty member may teach as a member of a team during a portion
1008 of a single academic term, or only have students on clinical rotations during defined periods during the
1009 year. Furthermore, most courses in the College are offered only once during the academic year. To allow
1010 adequate opportunities for fair and thorough peer observation of classroom teaching, the candidate may
1011 initiate the peer observation process during the July 1st through June 30th time period immediately
1012 preceding the academic year during which a promotion decision will be made. This provision is hereafter
1013 referred to as "early peer observation" and is limited to the July 1st through June 30th time period
1014 immediately preceding the academic year in which a promotion decision will be made. Early peer
1015 observation is not intended to alter any other part of the decision year timetable or any other requirement
1016 for preparation of the promotion dossier. Table 1 depicts the relationship of the early peer observation
1017 procedure timetable to the decision-year timetable specified in the College of Pharmacy *Guidelines for*
1018 *Clinical-Track Promotion Decision-Making*.

1019 Early peer observation is recommended when the candidate's teaching responsibilities occur
1020 primarily during the spring and/or summer academic terms. Those faculty members who teach primarily in

1021 the fall semester may elect to follow either the early peer observation procedure or may begin the peer
1022 observation process as late as July 1st of the decision year, as specified in the College of Pharmacy
1023 *Guidelines for Clinical-Track Promotion Decision-Making*.

1024 When the candidate initiates the process, he or she must inform the Promotion Manager/Division
1025 Head (*i.e.* the Division Head) in writing that peer observation is desired. The CT-DCG chair must appoint
1026 two voting members, one of whom must be a full professor (clinical) and the other at or above the rank
1027 being sought by they candidate, to observe the candidate's teaching and to report the observation evaluation
1028 with the attached form/s. The CT-DCG chair must inform the candidate of the observers' appointments to
1029 this task in writing. The elapsed time period between the candidate's request for early peer observation and
1030 the appointment of observers should not exceed 30 days.

1031 Responsibility for selection of specific class periods or clinical teaching sessions for observation
1032 rests entirely with the candidate and may be in any course taught by the candidate, regardless of program.
1033 The candidate must select two class periods or clinical teaching sessions to be observed and must notify
1034 observers of the specific dates and times. Both observers must be present during each of these sessions. In
1035 the event that one observer is unable to be present, the candidate may arrange for videotaping of the session
1036 for later evaluation by one or both observers. However, evaluation of a videotaped class session should
1037 occur only after attempts have been made to arrange observation of a live session at which both observers
1038 can be present simultaneously.

1039 The observers must meet with the candidate prior to the first observation. Ideally, this visit should
1040 occur within 1 week of the observation. The purposes of the pre-conference meeting are to allow the
1041 observers to :

- 1042 Discern the context of the teaching that will be observed.
- 1043 Become acquainted with the candidate's philosophy of teaching.
- 1044 Learn the candidate's instructional goals for the session.
- 1045 Learn how the candidate plans to conduct the session.
- 1046 Ask questions to facilitate a thorough observation and a fair report.

1047 The following questions are suggested to guide the observers during the pre-observation conference¹.

- 1048 1. What will be happening in the session to be observed?
- 1049 2. How will this session relate to previous classes?
- 1050 3. What is the goal for this session? How is it related to the goals for the course?
- 1051 4. What will students do during the session?
- 1052 5. How will students reach your goals?
- 1053 6. How will you connect material in this session to pharmacy practice?
- 1054 7. What must students do to prepare for the session?
- 1055 8. How would you describe your style of teaching?
- 1056 9. Will your presentation be typical of your style of teaching? If not, how will it be different?
- 1057 10. How would you describe your philosophy of teaching?
- 1058 11. How will this session exemplify your philosophy?

1059 Prior to the pre-observation conference, the candidate **must** supply the observers with a copy of
1060 the course syllabus and any handouts for the session. The candidate may supply other materials, such as
1061 slides or overhead transparencies, at his or her discretion or as requested by the observer. If a second
1062 session will be observed within 2 weeks of the first observation, the second pre-observation conference
1063 may be omitted by mutual agreement between the candidate and both observers. In any case, observers
1064 must conduct at least one pre-observation conference.

1065 Each observer must complete the appropriate attached form independently, observing carefully
1066 and rating each area, , as "Acceptable" or "Not Acceptable," according to the observer's judgment. The
1067 bulleted items listed in each section on the classroom form provide examples of desirable teaching
1068 behaviors. Each observer's overall rating and any narrative must be produced independently, without
1069 consultation with the other observer. Both forms will be placed in the promotion dossier.

1070

¹ Adapted from Sorcinelli MD. An approach to colleague evaluation of classroom instruction. *Journal of Instructional Development*. 7(4):14, 1984 as reprinted in Keig L and Waggoner MD. *Collaborative peer review: The role of faculty in improving college teaching*. ASHE-ERIC Higher Education Report No. 2. Washington, DC: The George Washington University, School of Education and Human Development, 1994. p. 45.

1071	Table 1. Candidate Deadlines from COP Guidelines for Clinical-Track
1072	Promotion Decision-Making
1073	Pre-Decision Year
1074	
1075	JULY through FEBRUARY
1076	The candidate initiates the peer observation process by informing the Promotion Manager in writing.
1077	
1078	The Promotion Manager notifies the Clinical Track-Division Consulting Group Chair.
1079	
1080	CT-DCG Chair appoints 2 observers and notifies the candidate directly, in writing.
1081	
1082	Candidate selects 2 class periods/teaching sessions between CT-DCG chair's notification and September 1 st
1083	of the Decision Year for observation and communicates specific dates and times to observers.
1084	
1085	Observers evaluate the candidate using the "Decision Year Peer Observation of Classroom Teaching" or
1086	the "Decision Year Peer Observation of Clinical Teaching," form. Evaluation results are forwarded to the
1087	Promotion Manager.
1088	
1089	MARCH 1
1090	The Dean notifies candidate of impending decision year. Candidate seeking early promotion decision
1091	notifies Dean.
1092	
1093	After March 1st, the candidate follows the timetable in the COP clinical track guidelines except for
1094	dates that apply to peer observation of teaching procedures.
1095	
1096	MARCH 15
1097	Candidate meets with Promotion Manager.
1098	
1099	JUNE 1
1100	Candidate submits list of external reviewers, CV and related materials to Promotion Manager.
1101	Candidate submits a list of potential non-faculty peer reviewers to Promotion Manager
1102	
1103	Decision Year
1104	
1105	JULY 1
1106	Official start of the decision year.
1107	
1108	SEPTEMBER 1
1109	Candidate presents dossier to Promotion Manager.
1110	SEPTEMBER 25
1111	Promotion Manager delivers CT-DCG internal review to candidate for correction of factual
1112	errors.
1113	
1114	OCTOBER 2

1115 Due date for candidate delivery of letter to Promotion Manager/Division Head correcting factual
1116 errors in CT-DCG internal review report.
1117
1118 **OCTOBER 10**
1119 The CT-DCG transmits their appropriately redacted summary report and vote to the candidate. If
1120 desired, a request for redacted letters by external reviewers must be made to the Promotion
1121 Manager/Division Head by the candidate within five working days
1122 **OCTOBER 17**
1123 Due date for candidate delivery of letter to Promotion Manager/Division Head correcting factual
1124 errors in CT-DCG summary report
1125 **OCTOBER 24**
1126 Promotion Manager gives and Division Head's recommendation to candidate, in negative. If
1127 desired, a request for the Promotion Record must be made to the Promotion Manager/Division
1128 Head by the candidate within five working days
1129
1130 **NOVEMBER 24**
1131 Deadline for candidate to submit a response to the Promotion Manager/Division Head
1132 recommendation.
1133
1134 **DECEMBER 15**
1135 CT-CCG delivers the CT-CCG report to the candidate if they have issued a recommendation that
1136 is negative and contrary to that of the CT-DCG or the Promotion Manager/Division Head. If
1137 desired, a request for the Promotion Record must be made to the CT-CCG chair by the candidate
1138 within five working days .
1139 **DECEMBER 31**
1140 Deadline for candidate response to the CT-CCG negative recommendation to be delivered to the
1141 Dean .
1142
1143 **JANUARY 15**
1144 Dean delivers a copy of his/her recommendation to the candidate if against promotion.
1145
1146 **FEBRUARY 1**
1147 Deadline for candidate response to the Dean's recommendation to be delivered to the Provost
1148 with a copy to the Dean. Also the deadline for any additional information to be included in the
1149 Promotion Record.
1150
1151 **MARCH/APRIL**
1152 The decision is announced to the candidate.
1153
1154

The University of Iowa College of Pharmacy

Decision Year Peer Observation of Classroom Teaching

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Use this form only for observation of classroom teaching behaviors. Carefully observe the candidate's teaching. Rate each of the four areas as "Acceptable" or "Not Acceptable," referring to the bulleted items for examples of desirable teaching behavior in each category.

Candidate _____ Date of observation _____

A. General Teacher Classroom Behaviors

The candidate

- Began class on time in an orderly, organized manner.
- Was prepared with all materials needed for class.
- Effectively gained students' attention to begin the class.
- Was able to use classroom equipment needed for the presentation

A.

- Acceptable
- Not Acceptable

B. Content

The candidate

- Chose content of appropriate breadth and depth for the level of the course and the group of students.
- Related the material covered to the syllabus and the goals of the course.
- Explicitly stated how the content is related to pharmacy practice, as appropriate.
- Presented materials in a way that links theory to problem-solving.
- Defined new terms or concepts.
- Used illustrations or examples to clarify ideas.
- Explicitly stated relationships among topics.
- Explained terms, concepts, or problems in more than one way, when appropriate
- Provided a balance between up-to-date and background content.
- Emphasized a conceptual grasp of material when appropriate.

B.

- Acceptable
- Not Acceptable

C. Presentation

The candidate

- Followed a well-organized handout or outline.
- Used clear and easy to read presentation materials.
- Spoke clearly and with sufficient volume for all students.
- Spoke at a rate that permitted note-taking at a comfortable pace.
- Established and maintained eye contact with the audience.
- Presented content in a logical sequence.
- Varied vocal rate and tone.
- Used smooth transitions within the presentation.
- Periodically summarized important ideas.
- Insured that demonstrations, if included, were visible to all students.

C.

- Acceptable
- Not Acceptable

D. Rapport and Interaction with Students

The candidate

- Used humor positively and appropriately.
- Encouraged students' questions or debate, as appropriate.
- Responded to students in a respectful manner.
- Answered questions clearly and directly.
- Treated class members equitably, in accord with University policy.¹
- Responded to distractions constructively.
- Asked questions to stimulate thought, gain attention, and/or encourage participation.
- Allowed ample time for students to respond to questions.
- Refrained from belittling student ignorance or misunderstanding of content.
- Provided opportunities for or encouraged class discussion.
- Recognized when students did not understand.
- Solicited student feedback.
- Used authority in the classroom to create an environment conducive to learning

D.

- Acceptable
- Not Acceptable

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See reverse side

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The result of the observation must be an overall assessment of a peer's classroom teaching as either "Acceptable," or "Not Acceptable." Each observer's overall rating and any narrative must be produced independently, without consultation with the other observer. **COMPLETED OBSERVATION FORMS SHOULD BE FORWARDED DIRECTLY TO THE PROMOTION MANAGER/DIVISION HEAD AND THEN TO THE CHAIR OF THE CLINICAL TRACK DIVISION CONSULTING GROUP.**

Use this space to describe the strengths and weaknesses observed during the candidate's teaching.

I find this candidate's classroom teaching behaviors to be

- Acceptable.
- Not acceptable. See above narrative.

Observer (Print name.): _____

Signature: _____

Date: _____

The University of Iowa prohibits discrimination in employment and in educational programs and activities on the basis of race, national origin, color, creed, religion, sex, age, disability, veteran status, sexual orientation, gender identity, or associational preference.

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The University of Iowa College of Pharmacy

Decision Year Peer Observation of Clinical Teaching

1221 Use this form for observation of clinical teaching behaviors for a defined (major) aspect of the clinical
1222 teaching at the site (working rounds, clinic period, consultations, teaching rounds, etc).

1223

1224 Candidate _____ Date of Observation _____

1225 Practice Site _____ Teaching Session _____

Instructor behaviors:	Unacceptable	Acceptable	N/A
Exhibited interest/enthusiasm in teaching			
Actively involved students.			
Integrated and engaged students in practice setting.			
Asked questions appropriate for the level of learner.			
Provided adequate direction for students in the clinical setting. (structured educational setting)			
Provided an appropriate amount of observation and supervision for students. (gives student the appropriate amount of responsibility)			
Directly modeled professional practice. (activities and behavior, interactions with other HC providers)			
Created an environment conducive for student learning at the site.			
Shown respect and interest in students, colleagues and patients			
Listened			
Supported student in the environment			
Interacted with other health professions to create learning opportunities for students			
Provided opportunity for students to observe and participate in clinically relevant activities			
Responded to questions in a clear and non-threatening way.			
Presented content at an appropriate level of complexity			
Presented conflicting views (if appropriate)			
Demonstrated appropriate clinical problem solving			
Explained rationale for clinical decision-making			
Modeled evidence-based decision making for students.			
Clearly explained instructions for completing required tasks.			
Provided appropriate feedback (quality and quantity)			
Helped students define their strengths and addressed their weaknesses in the practice setting.			
Identified and utilized the teachable moment.			
Utilized appropriate faculty role for the student encounter. (direct instruction, collegial interaction, mentor, etc.)			
Left enough time for response to questions			
Used eye contact effectively			
Restructured student questions and gives back to students			
Challenged students to think critically and solve problems independently			
Established context of pharmacist role in the practice setting.			
Motivated student to learning in practice setting.			
Encouraged students to self reflect on learning			

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The result of the observation must be an overall assessment of a peer's clinical teaching as either "Acceptable," or "Not Acceptable." Each observer's overall rating and any narrative must be produced independently, without consultation with the other observer. **COMPLETED OBSERVATION FORMS SHOULD BE FORWARDED TO THE PROMOTION MANAGER/DIVISION HEAD AND THEN TO THE CHAIR OF THE CLINICAL TRACK DIVISION CONSULTING GROUP.**

Use this space to describe the strengths and weaknesses observed during the candidate's teaching.

I find this candidate's clinical teaching behaviors to be

- Acceptable.
 Not acceptable. See above narrative.

Observer (Print name.): _____

Signature: _____

Date: _____

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1281 **Appendix C CT Sample Letter from Promotion Manager to External**
1282 **Reviewers**

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The University of Iowa College of Pharmacy

1285

Guidelines for Clinical Track Promotion Decision Making

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Sample Letter from Promotion Manager to External Reviewers

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1290 The letter of the Promotion Manager to solicit an external evaluation will:

1291

- be neutral in tone;

1292

- indicate the rank for which the candidate is being considered and that the promotion does not include the awarding of tenure;

1293

1294

- explicitly state what portion of the candidate's work the reviewer is being asked to assess;

1295

1296

- request that the reviewer not communicate with the candidate or with faculty other than the Promotion Manager/Division Head;

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1298

- state that the reviewer's response will be protected as confidential as described in the Sample Letter, unless the reviewer indicates that

1299

1300

confidentiality is not necessary; and

1301

- request a resume or brief biographical sketch if one has not been obtained through another source.

1302

1303

1304

1305 The following is a sample letter:
1306

1307 Dear _____:
1308

1309 As I mentioned to you on the telephone on [date], [candidate's name] will be considered
1310 for promotion to [proposed rank (Clinical)] in University of Iowa College of Pharmacy during
1311 this academic year. This rank does not include tenure at the University of Iowa. I am grateful to
1312 you for agreeing to serve as an external evaluator.
1313

1314 Enclosed with this letter is Professor _____'s curriculum vitae and copies of
1315 the material you have agreed to review. [list]
1316

1317 We would like you to critique the quality of the candidate's professional productivity and
1318 clinical service or other service and, if possible, to assess its quantity and quality in comparison to
1319 the work of others in this discipline at comparable stages in their careers. We would particularly
1320 appreciate your evaluation of the contribution that the candidate's professional productivity has
1321 made to the field. The attached page lists examples of professional productivity and service
1322 applicable to candidates in the clinical track at the University of Iowa. We would be interested in
1323 your judgment of the quality of any published materials and the importance of the venues through
1324 which Professor _____ has communicated his/her work. We would also be interested, of
1325 course, in any other insights you might have about Professor _____'s accomplishments.
1326

1327 If you have any questions about Professor _____'s materials or experience,
1328 please contact me directly. In accordance with our governing procedures, we must ask you not to
1329 communicate with either the candidate whose work you are reviewing or other members of the
1330 University of Iowa College of Pharmacy faculty concerning your evaluation or the review
1331 process.
1332

1333 Your letter will be available to the Clinical Track Division Consulting Group and the
1334 Clinical Track Collegiate Consulting Group members as well as to the Dean and the Provost.
1335 Beyond that, we will regard your letter as a confidential document. Unless you let me know that
1336 you do not desire your letter to be confidential, your evaluation would be made available to the
1337 candidate only upon a negative decision and his/her explicit request, and then only after your
1338 name and other identifying information have been removed.
1339

1340 [Only if it is not possible otherwise to obtain a short statement of the reviewer's
1341 qualifications, add the following paragraph:] Would you please send me a brief biographical
1342 statement when you send your letter? Although our departmental faculty know you and your
1343 work well, the Dean and the Advisory Committee would find your biographical sketch helpful
1344 when considering your letter. If you have had substantial personal contact with the candidate, it
1345 would also be helpful if you would directly address issues of impartiality as they relate to your
1346 assessment of the candidate. Again, thank you for your willingness to help us with this important
1347 review process.
1348

1349
1350 [Signature of Division Head/Promotion Manager]
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The University of Iowa College of Pharmacy
Examples of Clinical Track Service and Professional Productivity

Service

- coordinating, providing or supporting patient care services
- coordinating divisional or collegiate programs
- serving on academic divisional, collegiate, or university committees
- directing a College of Pharmacy service division
- advising of students
- advising student organizations
- providing pharmacy continuing education
- assuming leadership positions in professional organizations
- attaining membership and involvement in professional organizations
- serving as an editor or on an editorial panel of journals or other scholarly publications
- serving as a reviewer of journals or other scholarly publications
- serving as a reviewer of grant applications
- contributing to academic divisional, collegiate, or university service publications
- participating in community service
- consulting

Professional Productivity

- documented innovations in clinical practice or clinical service
- presenting at local, regional, national and international meetings
- presenting invited lectures and seminars
- authoring peer-reviewed and non peer-reviewed professional literature
- authoring of books and book chapters and other innovative instructional or patient care related technology or methodology
- directing or participating in research projects
- attaining funding to support service, professional, teaching or scholarly work

1386 **Appendix D CT Review Procedures for Joint Appointments for Clinical**
1387 **Track Faculty**

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1389 1. *Promotion reviews.* The participating units form a joint internal review committee,
1390 roughly proportional in its makeup to the percentage of faculty effort in each unit for all annual,
1391 reappointment, and promotion reviews (see 1.4 below). Units or the faculty member may seek
1392 approval of the dean(s) for an alternative structure in exceptional circumstances, including cases
1393 of marked discrepancy between percentage effort and percentage salary support across the two
1394 units. This committee reports, both in writing and at (a) meeting(s), to each unit consulting
1395 group.

1396
1397 1.1. The participating units may form a joint consulting group, if mutually agreed upon by the
1398 faculty member and the units. In such a case, the units may submit either joint or separate votes
1399 and reports.

1400
1401 1.2. If a joint consulting group is formed, the executive officers may submit either a joint
1402 letter or separate letters reporting the deliberations and making the recommendation(s) for
1403 promotion.

1404
1405 1.3. When standard review procedures differ between units (e.g., delegation of review of
1406 teaching, professional productivity, and clinical and other service to separate subcommittees vs.
1407 using a single internal review committee for all three areas), a joint decision shall be made
1408 establishing procedures that are mutually acceptable to the faculty member and the units in
1409 advance of deliberations of the review committee[s].

1410
1411 1.4. When a faculty member holds a 0% joint appointment in a unit, that unit may take a
1412 subordinate consultative role in the promotion process, as mutually agreed upon in a letter of
1413 agreement (see #3).

1414
1415 2. *Appointments.* A letter of agreement between the faculty member and the participating
1416 units concerning terms of appointment, and approved by the dean(s) shall specify review
1417 procedures. The letter shall specify, at a minimum, the faculty member's privileges and
1418 responsibilities with respect to the units and the expected activities in each unit in teaching,
1419 professional productivity, and clinical and other service. Differences in unit policies and
1420 procedures should be recognized and resolved in the letter of agreement. Sample letters are
1421 available for review at: [http://www.uiowa.edu/~provost/facapt/offer_letters.htm#Joint Letter](http://www.uiowa.edu/~provost/facapt/offer_letters.htm#Joint Letter Offer)
1422 [Offer](http://www.uiowa.edu/~provost/facapt/offer_letters.htm#Joint Letter Offer)

1423
1424 2.1.1. For appointments new to the University, an agreement about review procedures shall be
1425 made either in the letter of appointment, or as part of a more comprehensive letter further
1426 detailing the terms of the appointment within the first year of the appointment.

1427
1428 2.1.2. For appointments from within the University faculty, review procedures shall be included
1429 in the letter of agreement concerning terms of appointment.

1430
1431 2.2. The letter of agreement should be reviewed at each reappointment. It may be revised at
1432 any time by mutual consent of the faculty member and the participating units, and with the
1433 approval of the dean(s).

1434
1435 3. *Annual and reappointment reviews.* The same procedures described above shall be followed
1436 for annual and third-year reappointment reviews with the one exception that written report(s)

1437 from the internal review committee and unit consulting group(s) are optional. Absent a written
1438 report from the internal review committee, at least one member of each unit must participate in
1439 the oral committee report to each unit consulting group.

1440

1441 4. *Timetable.* No later than the end of the academic year before a promotion review, an
1442 appropriate timeline should be established to enable gathering of information, reasonable
1443 committee review, the faculty member's response to the committee report, and consulting group
1444 deliberations.

1445

1446 5. *Exception.* In the unusual case in which two units are contemplating a joint but non-
1447 interdisciplinary appointment, such that joint review may be inappropriate, the units may petition
1448 for an alternative review structure. Such a petition should be presented to the Dean(s) who will
1449 seek final approval from the Provost.