G. ISU ADVANCE Department Enhancement Project

Department Report: Natural Resource Ecology and Management

Spring 2015

ISU ADVANCE Department Enhancement Project
Focal Department Report: NREM (Spring 2015)

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Natural Resource Ecology and Management
Focal Department Report
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Prepared by Anastasia Prokos and Sharon Bird

1 Introduction

INTRODUCTION

The NREM Department was one of two "fifth round" (2014-15) focal departments in the ISU Department Enhancement project. The Department Enhancement (DE) project began in 2006 as part of a larger program funded by the National Science Foundation called ISU ADVANCE. The goal of the ISU ADVANCE Program is to enhance the recruitment, retention and promotion of women faculty and underrepresented minority faculty in the fields of science, technology, engineering and mathematics (STEM). The DE project, which is now supported by the ISU Office of the Senior Vice President and Provost and includes academic departments across all disciplines, is designed to provide each participating department with a clearer understanding of the aspects of their department that are most and least conducive to faculty scholarly success; to assist departments in ensuring equity among faculty in opportunities for advancement; and to assist the department in preparing for an external program review. The DE process involves "mirroring back" to faculty in each participating department aspects of their own workplace climate and to provide a catalyst for further faculty discussion and planning about how to address issues that the faculty believe will enhance departmental success.

The department was asked to participate in focus groups or individual interviews in fall 2014 as part of the DE process and in preparation for external review. The department chair was interviewed separately. Focus group and interview questions focused on faculty recruitment, advancement, and quality of work environment. Seventy-seven percent (77%) of NREM instructional faculty (including non-tenure-track, tenure-track, and tenured faculty) participated in the data collection phase. The focus group and interview data were analyzed and are the basis for this report. This report presents key findings.

Sections two and three of this report contain department background information and findings based on the analyzed data. Section four provides strategies for enhancing departmental practices, structures, and cultures. These recommendations are derived partly from NREM department members who participated in focus groups and interviews and partly from the researchers' analysis of the focus group and interview data. The final section provides further details about the research methods used.

Multiple strategies approved by the ISU Office of Research Assurances were used to ensure participants' confidentiality. Names were purged from transcripts prior to data analyses. The department itself is identified. Positions (but not names) such as chair and dean are specified for purposes of this report because of the relative importance of these positions to the analyses. Any future reporting and aggregate analyses will not permit individuals in these administrative positions to be linked to their specific administrative roles.

2 Department Background

The Iowa State University Natural Resource Ecology and Management Department became a department in 2002, when the former Animal Ecology and Forestry Departments merged. The department is administered by CALS, and offers undergraduate majors in Animal Ecology and Forestry, as well as M.S. and Ph.D. degrees in Wildlife Ecology, Fisheries Biology, and Forestry.

As of fall 2014 the department had 24 total faculty, including six Non-Tenure Eligible (NTE) faculty members. The department has had several recent hires. In fall, 2014 NREM had 484 undergraduate students, making it one of the highest enrolled in CALS. The department also enrolls approximately 36 students in M.S. and Ph.D. programs.

The administration of the NREM department is led by the Department Chair. The NREM Governance Document outlines procedures for the each of the following aspects of department operations: department personnel descriptions; faculty and chair responsibilities; voting policies; department committees; recruitment and hiring of tenure-, non-tenure-track, and non-tenure-eligible faculty; faculty and staff review (performance evaluations); and policies for performance, tenure, promotion and post-tenure review; joint appointments; and grievance procedures.

3 Study Findings (2014-2015 academic year)

OVERVIEW: STRUCTURES, CULTURE, AND PRACTICES

Structures: The NREM department, including administrative and faculty offices, is located in Science II. Administration of the NREM department is primarily the responsibility of the Chair, who is appointed by the Dean of the College of Agriculture and Life Sciences, in consultation with department faculty and staff. NREM's departmental structure has remained consistent in recent years. Faculty report little to no turnover in committee chairs or members. Current departmental standing committees, as listed in the Governance Document, include Academic Affairs and Orientation; Advisory Council Planning Committee; Awards; Chair Advisory Committee; Computer Facilities; Curriculum and Catalog; Errington Lecture; Graduate Affairs; Promotion and Tenure Review; Safety and Facilities; Scholarship; and Staff Welfare. University guidelines prescribe that members of the P&T committee include Full and tenured members.

Practices: NREM faculty note several routine practices that characterize the department. Normative departmental practices include formal monthly faculty meetings and a number of informal meetings between various faculty members. Informal meetings include interactions such as chance meetings in the hallway, impromptu conversations in faculty offices, and similar. Such meetings, by definition, include small subsets of faculty and may exclude certain members. Faculty across ranks support the department chair's success at uniting and stabilizing the department. Faculty assignments and responsibilities vary significantly within the department, which is in part related to faculty specialization as well as rank.

Culture: The culture of the NREM department is characterized by collegiality and cooperation among faculty. Focus group and interview data suggests that many faculty members work in their offices on campus, and have an open door policy for each other and for students. The culture of the department is strongly supportive of intensive, high-quality teaching, as well as collaborative research.

MAJOR FINDINGS

Four core findings are outlined below. The first three represent issues most central to stated faculty interests, and each is comprised of two or three sub-themes. The final finding represented issues that are in some ways beyond the scope of the department; however, it may be helpful in preparation for the departmental review.

3.1   Departmental Trajectory

Faculty discussed the trajectory of NREM in two distinct ways. Faculty expressed a strong appreciation for the stability that has been provided by having a permanent department chair, and at the same time expressed the need to work together as a faculty to develop a vision and plan for the future direction of the department.

3.1.1 Change of Culture

Faculty across ranks noted that the culture of the NREM department has improved under the current Chair. By fostering a collective "NREM culture" across Forestry and Animal Ecology the department has gained greater unity, vibrancy and focus. One faculty member stated the "revolving door of chairs" had previously kept the department from pursuing important strategic goals. Now that a permanent NREM Chair is in place, faculty stated the department has the consistent leadership they need to be successful in their work. Faculty at all ranks generally felt there is support for accomplishing strategic initiatives such as curricula revision, additional teaching and research support, and advocacy for NREM at the College and University level.

Faculty also commented that under previous NREM leadership, Animal Ecology and Forestry were culturally separate and tended to act autonomously, despite being one

department. Although there were sometimes tensions between faculty and staff from different previous program areas, over time the department has formed a new merged culture. This was especially true for Associate and Assistant Professors. Faculty mentioned various reasons for the culture change in NREM. For instance, faculty recognized the current Chair's efforts in providing resources to both programs more equitably. A few faculty members mentioned, in a positive way, that the current Chair is an "outsider" and that her status as an outsider helps to maintain the perception of equitable treatment of all faculty and staff. Newer faculty members have joined the department who did not experience earlier tensions, which helps create a common departmental culture.

Faculty in all ranks stated the congenial nature of the NREM faculty helps them do their best work. Many commented on the friendly environment of NREM; there is frequent collaboration among colleagues working together to support each other and NREM students. Faculty stated the department had an "open door" culture, and they did not hesitate to approach their colleagues with questions or concerns. A few faculty members commented that the collegiality of NREM was especially important in supporting junior faculty to do their best work.

3.1.2 Strategic Planning

Faculty indicated that there is a need for more strategic planning, goal setting, and departmental prioritization in NREM. Many faculty admitted that in the past, the lack of a permanent departmental Chair has deterred the department from conducting long-term planning. They expressed hope that with a permanent NREM Chair the department will have the stability needed for more goal-oriented strategic planning.

Specifically, faculty expressed a need for more effective curriculum planning. The current NREM Chair has encouraged faculty discussions about the curriculum, but further action is needed to ensure effective delivery of the curriculum in the long term. Faculty would like for the department to examine the curriculum holistically to ensure that the needs of the teaching programs are being effectively met. Faculty stated that in some instances new courses were being added to the curriculum without full faculty planning, in turn creating some unintended consequences. In the absence of a holistic approach to curriculum changes, faculty explain, the department runs the risk of offering new courses even when teaching needs in core courses are not being fully met.

Faculty members believe that with consistent faculty input, timely follow-through, and collaborative strategic planning the department would be even better positioned to effectively fulfill its teaching, research and extension responsibilities. Some faculty noted the central role that the department Chair plays in facilitating strategic planning processes and acknowledged that because the current Chair has primary leadership responsibilities in two departments, following up on NREMs strategic goals can be very challenging. Faculty nonetheless indicated that regular follow-up on strategic initiatives is necessary to move the department forward.

3.2 Communication and Decision-Making

Faculty members described NREM as having strong informal communication processes, and several good mechanisms in place for conveying departmental decisions. However, faculty also expressed the belief that access to information about departmental policies and practices and faculty ownership of important departmental decisions could be enhanced.

3.2.1 Departmental Communication (Generally)

Communication within the department, like faculty interaction, is generally characterized by respectful and friendly exchange. Much of faculty communication happens through informal interaction, in addition to departmental meetings. Although the chair and faculty are happy to share information, the informal nature of much communication leaves "blind spots" in some situations. There was some acknowledgement that if someone was not physically in the department or at a particular function, or included in a particular communication network, they may not be up-to-date on departmental matters.

Additionally, faculty explained that formal communication about faculty appointments, departmental resources, strategic planning meetings, and other departmental operations could be improved. Faculty comments suggest that increasing faculty members' understanding of how and why key departmental decisions are made will help the department to operate in a more unified way in pursuit of shared goals.

3.2.2 Clarity of Faculty Expectations, Roles, and Responsibilities

Faculty perceptions about roles and responsibilities to the department were varied. Most tenure-line faculty were relatively clear about the expectations for promotion as well as their research and teaching responsibilities. For some faculty, knowledge about teaching responsibilities, committee service, promotion for NTE faculty (lecturers and adjuncts), and the role of the new associate chair position was less clear.

Opinions on clarity of roles and responsibilities among the faculty were mixed: some stated they clearly understood the roles and expectations of their positions, while others expressed some confusion. Faculty who expressed confusion over their roles and responsibilities within the NREM department stated this was because of the variation in responsibilities among their ranks. For instance, some adjunct professors stated they "felt like" tenure-track NREM faculty, and modeled their progress as such, but were unsure of what all of the actual expectations of their positions were. For example, one faculty member expressed concern that there may be responsibilities NTE faculty were unaware they had. Another faculty member expressed some confusion about what specific percentages for teaching responsibilities mean in a context where the nature of courses varies quite a bit (especially because of differences between lab courses and those without labs).

For the faculty who stated they understood what was expected of them in terms of research, teaching, and service, most attributed this clarity to effective informal mentorship within the department. Tenured faculty expressed that departmental expectations for tenure and promotion, while not particularly specific, were nevertheless relatively easy to gauge.

Clarity among faculty about departmental committee expectations was mixed. Committee chairs were generally clear about the work for which they were responsible, but committee *members* were not always fully aware of committee progress. Faculty who were less active with committee work (as committee members but not the chair) explained that the benefit of this arrangement was having relatively light departmental committee responsibilities. We note that the possible drawback of this practice is that some faculty members may be unsure of how committees operate, and how the work of the committee is delegated and completed.

A final theme related to departmental communication was clarity surrounding faculty and administrative roles within NREM. Several faculty, especially among Associate, Assistant, and Adjunct ranks, noted a lack of communication within the department regarding expectations of other departmental staff, and specifically the responsibilities associated with the new Associate Chair position. Faculty stated they sought clarity regarding the role of the new Associate Chair. Some faculty also expressed concern, especially in regard to this positions' potential responsibility for teaching assignments and performance evaluations.

3.2.3 New Departmental Hires

The department has been successful recently at obtaining new positions and hiring new faculty. In general, faculty are pleased that the department has new positions, but expressed a desire for more faculty input in the process of developing positions, serving on hiring committees, and search outcomes.

Overall, faculty felt their role in the hiring process for new faculty positions has diminished over time, from the creation of new faculty positions to recruitment and the selection process of new faculty. The faculty recognized the need for the Chair to develop new positions quickly when the opportunity for hires within the college arises, and that the need for a rapid response does not always lend itself to broad input. Not all faculty, however, were unified in their views about whether the right balance had yet been struck between developing proposals for new positions quickly and soliciting input from the faculty about departmental teaching and research needs.

The selection and representation of faculty on search committees was also discussed. Faculty desired more communication and transparency about selection to serve on search committees. Faculty also commented on the importance of faculty search committees having diverse representation, including junior NREM faculty and faculty outside of the department. Faculty also stressed the responsibility of the search committees to communicate on the search process with the larger NREM faculty, which several faculty felt was not currently being conveyed adequately.

Finally, faculty members expressed a need for greater faculty input on the selection of new hires. Faculty sensed a lack of transparency in the selection process, even when they themselves were actively involved in a search. Faculty explained that the extent of faculty input into hiring processes was less than what they would expect. A few faculty members wondered whether this is a structural issue having to do with University-level changes-- noting their frustrations with Human Resources about the release of candidates' information and documents to search committees. All of these factors contribute to the perception among the faculty that the hiring process has become more "top-down," controlled by administration with inadequate faculty participation.

3.3   Mentoring, Evaluation, and Promotion

The NREM Chair emphasized the need for monitoring the professional progress of and setting promotion and tenure goals for all faculty members, regardless of rank. Setting professional goals was also deemed to be important by faculty. Faculty considered how mentorship, professional development resources, and the promotion process contributed to their career advancement.

3.3.1 Mentoring and Professional Development

The importance of mentorship and professional development were relevant to faculty in charting their career progress. Faculty expressed that the culture of the department supported professional development, but that much of the knowledge about these practices was gained through informal practices.

Mentorship was a common theme. As described in "Faculty Expectations and Roles" above, faculty commented on a rich culture of informal mentoring in NREM because of the collegial nature of the department. Faculty members also stated that they do not hesitate to consult their peers for advice regarding promotion and tenure; they know they would get the help they need if they asked for it. However, a few stated that it is the responsibility of the more junior faculty member to seek out the information from others. The lack of a formal University-level mentoring program was seen as problematic by several faculty members. A formal mentoring program, they stated, would provide the safety and structure for faculty to get the advice they need to progress in their careers.

Several faculty members also had the perception that there is a culture of valuing professional development in NREM, and in some cases faculty development is supported by departmental funding. Some faculty believed that professional development funds,

such as stipends to travel to professional and academic conferences, have become more available in recent years. However, faculty also felt that information about the availability of funds is not clearly communicated. Faculty were either not always aware that certain professional development funds were available, or stated they have in some cases learned about the availability of funds or resources through informal mechanisms.

3.3.2 Evaluating Faculty Performance

Evaluation of faculty performance was also a common theme. Faculty spoke to the review criteria as well as the review process. Some confusion about the application of evaluation criteria surfaced.

The NREM Chair indicated her intent to use data about faculty productivity and assignments to allow faculty to compare their productivity (anonymously) against their departmental peers. Faculty agreed that quantifying their productivity is a useful benchmarking tool, and that it is an attempt to clarify expectations of productivity within the department. Nevertheless faculty expressed some confusion over how their individual performance was evaluated for review, and whether these particular data were related to performance evaluations.

Additionally, several faculty members suggested that the specific benchmarks for performance evaluations were unclear. In particular, they were unsure about what constituted "exceeding expectations" versus "meeting expectations" on their annual reviews. This perception existed across faculty ranks.

Furthermore, faculty expressed a desire for more qualitative, goal-oriented (formative) feedback as part of the annual review process. The Chair also indicated the need to provide written feedback for performance evaluations in a more substantive way. Related to this aspect of the review, many faculty members felt that the time and energy they put into the annual review documents and process was not proportional to the benefits of the review process. These faculty members suggested that their review meeting time would serve their professional needs better if the meeting were very specifically focused on the substance of their achievements, professional goals, and progress.

3.3.3. Promotion and Tenure

Most tenure-line faculty conveyed that they were relatively clear about the expectations for attaining tenure and promotion, and that feedback from the review process was consistent with their tenure expectations. However, some non-tenure eligible (NTE) faculty members were less clear about the requirements for promotion (e.g., to senior lecturer). It was also unclear how promotion for NTE faculty members would benefit them or the department, although the recent promotion of an NTE faculty member has begun to make the process more clear.

3.4 Resources and Increasing Demands

3.4.1 Departmental Resources

Faculty members indicate that resources are currently distributed equitably among all faculty members, which has helped to improve the departmental culture. They praised the current Chair for being an advocate for NREM, "fighting for our department" at the College level for additional resources. Faculty stated teaching resources, such as lab equipment and educational technology, as well as financial support for graduate students, has greatly improved. Faculty specifically cited increased teaching assistant support as an area where they felt the department has improved in terms of resources. The support of the NREM staff was seen as a valuable departmental resource; faculty acknowledged they could not do their jobs well without staff support.

3.4.2 Class Sizes

Faculty frequently commented on class sizes of undergraduate NREM courses. While faculty acknowledged their teaching demands have increased due to the growth in enrollment, many stated having more teaching assistants has helped alleviate some of the additional workload. Increased enrollment, nonetheless, has become an issue in regard to adequate classroom and lab space. Faculty members were worried that they will be asked to continue to increase the enrollment capacity of their courses; they acknowledged that increased class sizes will not only be a challenge logistically, but would also have an effect on the quality of instruction. Faculty also expressed concern about the imbalance of student enrollments between the Forestry and Animal Ecology programs, and some saw the need for greater balance in the student to faculty ratio in the two programs.

Faculty members explained further that lab course capacity is limited by the capacity limits of university vans. The logistics surrounding reserving and managing class vans was a source of stress. Faculty were concerned that adding more students to courses that have planned excursions off campus will only increase the amount of time and energy they spend arranging for class vans, or reduce the capacity to provide this type of learning experience.

3.4.3 Space Needs (Office, Classroom, Lab, Storage)

Although the need for additional space is beyond the purview of the department, it was an issue of great concern to many NREM faculty members. NREM faculty expressed a need for more and higher quality space for offices, classrooms, labs, storage, and parking for vans. New space that is currently being constructed may alleviate many of these issues in several years. Nevertheless, the need for space is a pressing current issue. Faculty members note that the current lack of space limits their ability to perform at their best both in the classroom and in their research.

Faculty indicated that the quantity and quality of departmental space has increased over time, but that there is still a need for more and for specific kinds of spaces. Many faculty

felt their space concerns are being heard and addressed, and are hopeful that reorganization and building renovations will continue to improve space issues. Many appeared optimistic that in the near future they will have the space they need to perform their jobs well.

Nevertheless, key spaces are currently lacking in the department, and these include storage space, lab space, classroom space, and parking space. Faculty need more adequate and convenient storage space for their equipment; some faculty gave accounts of storing bulky and necessary equipment in labs or offices. Others stated that more and higher quality classroom space was a priority because of increasing enrollment. Labs that were built to accommodate fewer students are now over-capacity; one faculty member expressed concern about whether classroom capacity was in violation of the fire code. A few faculty members stated there is not enough space for graduate students to congregate and create community.

One core space need where faculty felt their space concerns could be more effectively addressed was parking space for lab vans. Faculty from various ranks provided accounts of parking the vans used for classroom excursions illegally because there is no legal space to park the vans near the building. The lack of adequate legal parking for vans is a source of stress for many faculty members who use university vans and equipment for their work. They stated that having a few parking spaces near the building reserved for loading students and equipment would substantially improve their work lives.

4 Suggestions and Primary Discussion Points

4.1 Departmental Trajectory

NREM faculty members appreciate the gains that have been made in recent years to stabilize and unite the department and the collegiality present in the department. Participants also recognized that the department was growing quickly and needed to adapt to a changing university environment.

The department may wish to consider the following:
- Continue emphasis on "one NREM" culture.
- Continue regular faculty meetings and fall retreat.
- Revise the faculty governance document through an ad hoc committee or a standing committee, both to reflect recent changes in the Department and University to include new information, including that about NTE faculty and promotion and evaluation processes as well as the roles and responsibilities of the Associate Chair position.
- Create structures that would encourage faculty participation and follow-through on strategic planning initiatives, including built in formal mechanisms for allocating time for planning and benchmarks for progress.
- Set aside time in the department schedule when faculty members are not teaching for departmental committee meetings in addition to full faculty meetings.

4.2 Communication and Decision-Making

The communication between faculty, and with the NREM department chair, is strong in many respects. In particular, the available opportunities for informal interaction faculty members have helped them to access important information about the department. Many faculty members also described limitations in access to information about departmental policies and practices, as well as limitations in faculty ownership of important departmental decisions.

In general, the department may wish to consider the following:
- Continue strong chair support and open-door policy about discussing promotion.
- Continue and potentially build on the success of the departmental seminar series.
- Examine the communication structures currently in place to ensure that they convey all important department decisions and matters to all members of the department via formal mechanisms.
- Create an annual Departmental Committee list including chairs and members.
- Rotate faculty members on departmental committees, including hiring committees, so that all faculty members are more aware of committee scope and work.
- Ensure that all faculty members are aware of the files that are contained in the departmental dropbox, and consider including faculty meeting minutes, timelines, forms, and the current governance document in the box.

4.3   Mentoring, Evaluation, and Promotion

NREM provides adequate support for untenured tenure-track faculty during the promotion and tenure (P&T) process. The changing university context for promotion and tenure means that departmental members may want to consider the following as the department moves forward:

Regarding mentorship, the department may wish to consider the following:
- Consider formal arrangements by creating dedicated space and time for mentor/mentee meetings. For example, a senior faculty member could take junior faculty to lunch once per semester to discuss topical career issues. NREM may also wish to establish annual or bi-annual meetings among departmental mentors to share information about mentoring and mentoring strategies.
- Consider developing or participating in mentor/mentee training opportunities, either through ISU or within the department.
- Maintain strong informal practices.

In terms of professional development, the department may wish to consider the following:
- Continue providing professional development funds.
- Make opportunities for professional development funds known to all faculty members by sharing budget information related to professional development funds with the full department regularly.
- Share information regarding professional development resources and similar matters through shared e-mail messages or other formal avenues, which promotes the ethic of fairness and transparency.
- Routinize the use of a formal matrix for comparing faculty members' responsibilities and that is made available to the all departmental faculty and disconnect it from review assessments.

Specific to Promotion and Tenure, the department may wish to consider the following:
- Consider ways to collect faculty information for performance reviews that could reduce the burden on faculty for preparing the materials, while still providing necessary information.
- Consider ways of incorporating qualitative and goal-oriented components in reviews to further conversations and strategies about how to accomplish professional goals.
- Share university materials about promotion processes for NTE faculty and make them more visible (see attached).
- If the department would like to enhance mentoring practices for Associate professors, the department may wish to explore different options for mentoring Associate professors regarding promotion to Full professor:
  - Explore options for developing department-level mentoring groups or pairs specifically for Associate professors. (Some departments across campus are already engaged in this practice.)

4.4   Resources and Increasing Demands

Many of the issues the department faces related to resources and departmental demands stem from university transitions. The department's ability to maintain high standards in teaching, research and extension may be jeopardized unless new teaching resources are allocated and effective strategic planning is implemented. The department may wish to consider the following practices in order to increase faculty productivity and satisfaction in a sustainable way:

- Continue practices and policies that unify the department and advocate for the department as a whole.
- Include class and classroom size limitations in discussions about curriculum to ensure that faculty across specializations understand limitations and needs of colleagues.
- Consider creative solutions to problems related to the storage and transport of equipment.
- To alleviate parking problems, consider using departmental resources for Departmental Reserved stalls and an adequate number of Departmental Parking Permits to cover the number of faculty teaching courses requiring van transportation (http://www.parking.iastate.edu/online-forms/impermit/).
- To further advocate for needs related to parking and lab courses, consider nominating a department member to sit on the University Transportation Advisory Council. The seat from Agriculture and Life Sciences is currently vacant (http://www.committees.iastate.edu/comm-info.php?id=15).

5   Data Collection and Methods of Analysis

The ISU Department Enhancement model is based on the "dual agenda approach" developed and first implemented by organizational scholars in the U.S. (Bailyn, Fletcher and Kolb 1997). This approach emphasizes the enhancement of both quality of work and workplace equity; it also has been adopted by other institutions in the United States pursuing the National Science Foundations "ADVANCE Institutional Transformation" grant program goals. ISU DE was developed previously as part of the ISU ADVANCE Program. The DE departmental process involves the collection of data from faculty members and department Chairs for use in the development of projects aimed at increasing faculty job satisfaction, commitment, and productivity; improving the recruitment, retention and promotion of faculty; and preparing departments for external program reviews. Departmental Enhancement projects utilize findings from systematically collected and analyzed focus group and interview data. The actions that departments then choose to take are tailored to each department in accordance with the department's culture, practices, and structures. Previous research indicates that by changing work-related practices, structures and cultures in ways that improve departmental climate, all faculty report higher levels of job satisfaction (Callister 2006).

Data for this report were collected in fall, 2014. Before interviews and focus groups were conducted, the faculty and department Chair received information about the project via a presentation to the department at the department's annual faculty retreat. The Chair and faculty also received an informed consent document that outlined participants' rights (as participants), issues of confidentiality, the focus of the collaborative transformation data collection process,

and details about whom to contact for more information or concerns regarding the project. Faculty and academic advisors of all ranks were invited to participate in departmental focus groups (and interviews, if requested). Only those department members who signed consent forms participated in focus groups and interviews. Dr. Anastasia Prokos first interviewed the department Chair, who also provided Prokos with a copy of the department's governance document.

Prokos then met with NREM faculty in focus groups and interview sessions. These sessions were organized by rank of the faculty participants. Dr. Prokos conducted a total of eight focus group or interview sessions, for a total of 17 department members in either a focus group or interview session (out of 22). Most focus group and interviews session lasted approximately 1.5 hours, though a few were somewhat longer or shorter. Interviews and focus groups were audio-recorded and transcribed.

Transcriptions of focus group and interview sessions use the terms *Full professor*, *Associate professor*, *Assistant professor* and *non-tenure track faculty* to refer to individual rank. "Faculty members" refers to groups or subgroups of faculty. Information that identifies particular individuals (with the exception of the department Chair) is not attached in the qualitative data to quotes. Similarly, extensive quotes that contain identifying information and/or information not pertinent to the issue being discussed (i.e., jokes, tangents, etc.) were eliminated from quotes. Instances in which the elimination of words or phrases from quotes occurs were denoted by "[…]." Exchanges between individual faculty members during focus group sessions were indicated by placing a number after the rank (e.g., Full professor) of the speaker. The number "(1)" was assigned to the first faculty member to speak, then number "(2)" to the second, and so forth. No faculty member, however, was assigned the same number in any form of reporting.

Focus group and interview transcripts were initially analyzed using a process of *open coding*. Open coding refers to the process of identifying (naming) properties (concepts) within the data or the first level of abstracting the data (Strauss & Corbin, 1990). Prokos then analyzed the same focus group data, interview data (including the department Chair interview), and related departmental documents (e.g., governance documents and web sites) during fall 2014 using both open and focused coding. Focused coding refers to a second level of abstraction whereby relationships between concepts ("themes") are identified within the data. Focused coding involves combining similar data points in order to identify trends and themes (Coffey & Atkinson, 1996). Codes and patterns from the transcripts were also compared to coded governance documents and research notes, allowing for triangulation and further evidence for findings. No issue was reported as a "theme" unless faculty members from at least three separate focus groups or interviews identified the issue as important to the departmental climate and working conditions of the faculty. A theme, it is important to note, may represent a highly positive aspect of the department, a mundane and routine aspect of the department, or an area in which the department needs to improve. In those instances where faculty identify a salient issue and have different views on the issue, the variations are reported.

Three faculty members representing the NREM department then reviewed drafts of the department's report to ensure that findings are reported clearly, in a helpful manner, and with

respect for department members. The NREM department reviewers' suggested changes were examined in light of the data collected and incorporated into the report where warranted.

References

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Callister, Ronda Roberts. 2006. "The Impact of Gender and Department Climate on Job Satisfaction and Intention to Quit for Faculty in Science and Engineering Fields." *The Journal of Technology Transfer* 31(3): 367-375.

Strauss, Anselm, and Juliet Corbin. 1990. *Basics of Qualitative Research: Grounded Theory Procedures and Techniques*. Newbury Park, CA: Sage.

Appendices

Documents included or linked:

1. Template for Program Review document (20 page limit)
2. Mentoring Programs for New Tenure-Eligible Faculty document: Early Career Faculty Events document
3. Advancement Review for Non-Tenure-Eligible (NTE) Faculty (http://www.provost.iastate.edu/help/promotion-and-tenure/nte-advancement-review)
4. ISU Fact Book information about the NREM Department (online at http://www.ir.iastate.edu/FB15/dept15.html)
5. CALS Strategic Plan
6. Template: Grids for comparing and valuing different faculty accomplishments (examples of individual and average grids)
7. President's memo: Student Experience Enhancement Council (online at http://www.president.iastate.edu/13/pdf/seec.pdf)
8. President's memo: President's Committee on Enhancing Intuitional Excellence (online at http://www.president.iastate.edu/13/pdf/pceie.pdf)
9. Division of Academic Affairs: Goals and Key Progress Indicators (October 2013) (online at http://www.provost.iastate.edu/sites/default/files/uploads/budget-development/fy15/KPIs%20for%20academic%20affairs%20division%2010.25.13.pdf)

Appendix 1.
Example Department External Review Document
(based on the Psychology Department template)

NOTE: ISU guidelines for external program reviews specify that the review document must be limited to 20 pages, and must focus on the program's mission, quality and planning for the future (http://www.provost.iastate.edu/help/program-review/policies/external-report).

The following template provides a starting point for discussing the department's approach to presenting information to the external review team, college leaders, and the Office of the Senior Vice President and Provost.

PROGRAM REVIEW CONTENTS

I. OVERVIEW of Department
        a. Mission
        b. Descriptive Information
        c. General Issues—Major themes that provide the context for this review
                i. FTEs, SCHs, and Majors
                ii. NREM and the ISU KPIs

II. RESEARCH
        a.   NREM's national prominence
        b.   NREM's research foci
        c.   Research Productivity
                a.   KPIs emphasize Web of Science impact scores
        d.   Future Directions in the College of Agriculture and Life Sciences signature themes and how they connect to NREMs strengths

III. INSTRUCTION: OVERVIEW
        Graduate Education
        a. Mission
        b. Program Quality
            i.   Key Changes Since Last Review
            ii.   Future Directions
        Undergraduate Education
        a. Mission
        b. Description of Majors
        c. Curriculum
            i.   Program courses
            ii.   Program internships and clubs
        a. Other Aspects of the Undergraduate Program
        b. Undergraduate Program Outcomes
        c. Program Quality
            i.   Key changes since the last review
            ii.   Future Directions

V. PROFESSIONAL PRACTICE and INSTITUTIONAL SERVICE
        a. Joint Appointments and Collaboration with other programs
        b. Department Service
        c. College, University and National Service
        d. Future Directions

Professional Development Opportunities for New Tenure-Eligible Faculty document

Early Career Faculty Events 2013-2014
Office of the Senior Vice President and Provost
Iowa State University

University Teaching Seminar
August 20, 2013 (Tuesday)
New Tenured and Tenure-eligible Faculty participate in a series of teaching-related workshops
8:00 – 4:00 p.m., Memorial Union

New Faculty Orientation
August 21, 2013 (Wednesday)
New Tenure-Eligible Faculty Orientation
7:45 a.m. – 4:30 p.m., Reiman Gardens

Professional Development Programs for Researchers
A series of workshops sponsored by the Office of the Vice-President for Research
and Economic Development.

WRITE WINNING GRANT PROPOSALS
October 3, 8:30-5:00 (lunch on your own from 12:00-1:00)
Sun Room – Memorial Union
For more information and to register online: http://iowastategrants.eventbrite.com/

LUNCH WITH THE VICE PRESIDENT FOR RESEARCH AND STAFF
October 16, 11:30-1:00
Campanile Room – Memorial Union
To register online: http://vprednewfaculty.eventbrite.com/
If questions, contact Laurie Engleen at lengleen@iastate.edu

***DOING SCIENCE AND DOING GOOD: 50 YEARS OF COMMUNITY ENGAGED RESEARCH
AT THE JUNIPER GARDENS CHILDREN'S PROJECT***
October 28, 10:00-1:00 (includes lunch)
Campanile Room – Memorial Union
Registration opens in early September.

DEVELOPING RESEARCH PROJECTS AROUND SPECIFIC THEMES
October 29, 9:00-12:00
Cardinal Room – Memorial Union
Registration opens in early September.

HOW TO WRITE A SUCCESSFUL CAREER GRANT PROPOSAL
February 5, 2014, 3:30-5:00
142 Curtiss Hall
Registration opens closer to date.

BUILDING A SUCCESSFUL INTERDISCIPLINARY RESEARCH TEAM
March 2014

Registration opens in spring
Mentoring Survey
Late September/Early October
An electronic mentoring survey will be conducted to gauge expectations for the mentoring experience. Watch for a link to be sent to you via e-mail. The information collected from this survey will guide the rest of the year's programming. Your opinion counts!

For additional information contact:
Office of the Senior Vice President and Provost at 294-6410 or jwatson@iastate.edu

Advancement Review for Non-Tenure-Eligible (NTE) Faculty

(http://www.provost.iastate.edu/help/promotion-and-tenure/nte-advancement-review)

Recommendation materials for the advancement of non-tenure-eligible faculty are due from the colleges to the Office of the Senior Vice President and Provost on **March 1**. Department chairs should check with their college to determine earlier college-level submission deadlines.

Who is covered? The following advancements are covered under this process: Lecturer to Senior Lecturer; Clinician to Senior Clinician; Adjunct Assistant Professor to Adjunct Associate Professor *(except continuous adjunct);* Adjunct Associate Professor to Adjunct Professor *(except continuous adjunct).*

Those not covered by this process are: collaborating faculty, affiliate faculty, and non-tenure-eligible research faculty. All of these are reviewed according to the process outlined for tenure-eligible and tenured faculty.

Materials: Colleges should submit one (1) copy of the following materials for review by the Office of the Senior Vice President and Provost:

- Cover sheet
- Updated CV of NTE faculty member and all position responsibility statements (PRS) from the review period.
- A summary of the review process (including information on the department faculty review committee conducting the review).
- Evidence of review by faculty and any votes. In some departments there is a review committee report that should be forwarded.
- Reasons for recommending advancement, including a summary of how the candidate meets the criteria for advancement.
- Department chair review (may include some or all of the items listed above).
- Endorsement memo from college.
- Portfolio materials (optional). Materials could include a summary of teaching evaluations, teaching materials, sample course documents, peer review of teaching, etc. These materials should not exceed 15 pages.
- *PLEASE NOTE:* External review letters are NOT part of the process.

Process. The Senior Vice President and Provost will notify colleges of our decision on advancement by April 1. A new LOI should not be initiated until after you receive notification of advancement from our office. NTE faculty approved for advancement will begin in new titles at the beginning of the next academic year (e.g., August 16 for B-based appointments). A base-salary advancement increment is funded by the College. This increment is *in addition*to the merit increment for the year.

Policy issues related to non-tenure-eligible faculty appointments and evaluation. Please consult the <u>Faculty Handbook</u> sections on NTE faculty appointment and evaluation, including sections 3.3.2.1, 3.4.1, 5.4.1, 5.4.1.1 and 5.4.1.2.

- Appointments to Lecturer and Clinician no longer have a limit on the length of time someone may hold that title.
- A Lecturer or Clinician must have served "a minimum of six years or 12 semesters of employment (full or part time)" to be reviewed for advancement to Senior Lecturer or Senior Clinician.
- All non-tenure-eligible faculty will receive annual reviews.
- Evaluations of Lecturers, Clinicians, Senior Lecturers, Senior Clinicians, and Adjunct Faculty will be based on the individual's PRS.
- A "faculty committee" will evaluate the performance of Lecturers, Clinicians, Senior Lecturers, Senior Clinicians, and Adjunct Faculty *"at least every six semesters of employment"* for anyone being considered for future re-appointment.
- A "faculty committee" will also be involved in evaluating the performance of Lecturers, Clinicians, and Adjunct Faculty being considered for advancement.
- Review of Lecturers and Clinicians for possible advancement to Senior Lecturers and Senior Clinicians will have three possible outcomes: "recommendation for advancement to Senior Lecturer or Senior Clinician; continuation of appointment as Lecturer or Clinician; or non-renewal of contract." Individuals not recommended for advancement "are eligible to reapply in subsequent years."

History: departmental data from the ISU Fact Book

Year	Headcount*	Faculty FTE*	SCH/FTE
2010/11	25	10.38	203
2011/12	22	8.43	353
2012/13	22	8.67	320
2013/14	22	8.26	408
2014/15	24	9.42	448

*Headcount and Faculty FTE include Lecturers and Adjuncts.

Figure 1. The number of NREM majors and BS degrees awarded, 2010-2014
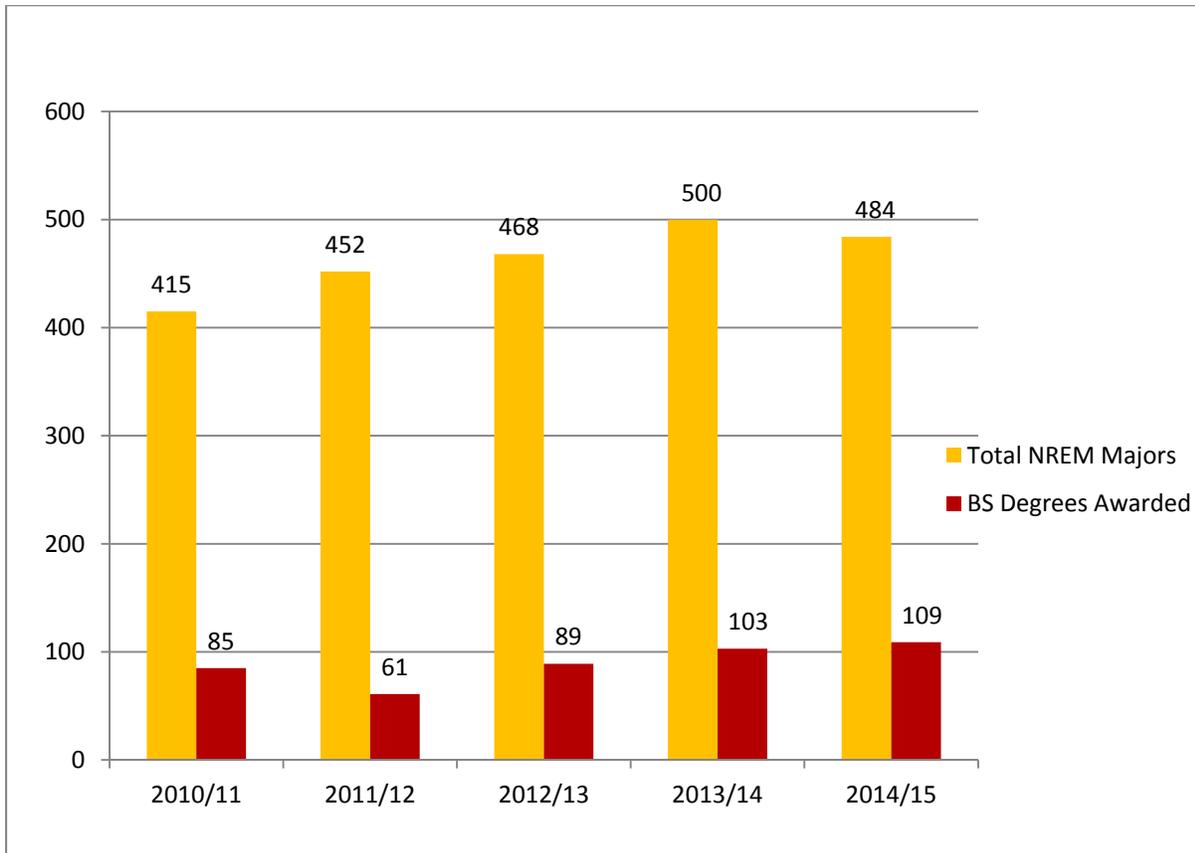
Source: ISU Fact Book Academic Departments and Programs

College of Agriculture and Life Sciences Strategic Plan, 2011-2016
(http://www.cals.iastate.edu/about/strategic-plan)

Mission. Educate future leaders, conduct mission-oriented basic and applied research and share new knowledge for the betterment of Iowa and the world.

We embrace our critical role in addressing challenges in food security, food safety, climate change, environmental stewardship, renewable energy and human health. We must produce civic-minded, globally oriented graduates who are well-prepared to address society's challenges as leaders in agriculture and life sciences. We must enhance relationships that result in scholarships, internships and successful careers. We will enable students to explore diverse career paths available through agriculture and life sciences. We will help broaden students' perspectives through exposure to diverse people, ideas and cultures. We must ensure students understand both the fundamentals of their chosen discipline and the importance of interdisciplinary work. We will ensure students are engaged with global issues through study-abroad and other programs. We will find new ways to partner with K-12 and community colleges to produce successful college graduates.

We must inspire faculty and staff to work together, guided by mission, to enhance quality of life in Iowa and for the world. We will recognize and reward excellence in teaching, research and extension. We must manage resources wisely and collaborate strategically to provide the infrastructure and the opportunities for faculty to achieve at the highest level of their abilities.

Our research, extension and educational programs will promote economic growth and job creation. We must help faculty, staff and students succeed in transforming innovations into entrepreneurial activities. We will excel at transdisciplinary programs. We will excel in competing successfully for grant awards.

We must tell our story, in the voices of faculty, staff and students, to promote our successes. Our extension and outreach must engage alumni, friends, stakeholders and partners. Working together, we will enhance the vitality and sustainability of Iowa communities and the well-being of Iowans.

Vision. The College of Agriculture and Life Sciences will lead the world in "science with practice" that shapes the future and improves lives and livelihoods.

Our College is one of the world's leading institutions of agriculture and related sciences, building on more than 150 years of excellence. The College's leadership in science, education and extension are vital to the future of Iowa, the nation and the world. Our research and extension programs provide the innovation and science-based foundation needed for decisions about our future. We look forward to building on a legacy of many strengths and taking on new, exciting opportunities.

Priorities:

Attract outstanding students seeking to make a difference in the world through their chosen careers in agriculture and life sciences.

Goals:

- Recruit, support and graduate outstanding and diverse students.
- Produce graduates well-prepared as leaders in addressing complex societal challenges.
- Provide high-quality distance education programs that showcase College strengths in science and technology.

Expectations: *Excellent academic programs. Students sharing diverse ideas and perspectives. Numerous educational opportunities, in and out of the classroom, in Iowa and around the world. Close partnerships with K-12 schools and community colleges. Highly successful transfer students.*

Support diverse, outstanding faculty and staff who are dedicated to improving quality of life.

Goals:

- Recruit and retain people committed to excellence and leadership in their fields.
- Increase the proportion of women and minorities in faculty and administrative positions.
- Foster an environment that inspires collaboration, rewards achievement and provides for a satisfying work-life balance.
- Provide cutting-edge physical and cyber infrastructure, while encouraging collaborations with external partners to leverage infrastructure resources.

Expectations: *A culture of creating, sharing and applying knowledge. Strong linkages and collaborations with strategic Iowa and global partners. Interdisciplinary programs. Knowledgeable and frequent use of campus work-life balance policies. High retention rates for valued faculty.*

Be known worldwide for addressing global challenges of the 21st century.

Goals:

- Produce and disseminate basic and applied research results that address food security, food safety, climate change, natural resources, renewable energy and human health.
- Enhance programs that promote economic growth and entrepreneurship
- Translate discoveries into viable technologies, products and services to strengthen the economy.
- Build and enhance extension, outreach and global partnerships that expand the impact of College programs.

Expectations: *Transformational, creative research. Entrepreneurial faculty, staff and students. Expanded sponsored funding efforts. Research and extension that enhance economic development. Faculty and graduate students recognized internationally for research progress. Insightful analysis that informs policy development.*

Be valued as a treasured resource for Iowans and people of the world.

Goals:

- Clearly and broadly communicate contributions of the College's students, faculty, staff and alumni.
- Involve citizens in collaborative interactions through extension, outreach and engagement to improve quality of life and sustainable communities.

Expectations: *College's successes are top-of-mind. Programs helping make Iowa communities vital and Iowans resilient. Students sharing their stories publicly. Engaged and supportive alumni, friends and stakeholders. Caring for environment a shared responsibility.*

Example Faculty Performance Grid 1: Individual Performance Tracking*

Faculty Member	Teaching & Advising			Research Group		Published Research (invited lectures/ exhibits/ posters/proceedings) **high impact		Extramural Funding		Service to Profession, University, College, etc.		
	Course/% of course	Credit hours	# of Students (in classes /advisees)	Undergrads	Grads & Post Docs	Sole or main author/group member of original works (peer reviewed)	Reviews/ Chapters/ textbooks	Grant (indicate new or ongoing)	Direct costs	Editorial boards	Grant panels	Committees (Professional societies, university, etc.)
Name												
Name												
Name												
Name												
Name												
Name												

*Faculty may fill out the grid each year for themselves prior to meeting with the department chair/program director/unit leader for their annual performance reviews. The academic unit leader may then review the faculty members' assessment of self-performance (as indicated on the grid and in the faculty member's vita) with the faculty member.

**Indicates that publications are high impact (e.g., published in top disciplinary journal, large number of citations, major publishing house).

Faculty Performance Grid 2: Departmental Averages*

<table>
<tr>
<td colspan="13">Cumulative Totals and Values/FTE for Salaried Department Faculty
(Fictitious figures are shown below)</td>
</tr>
<tr>
<td rowspan="2"></td>
<td colspan="3">Teaching & Advising</td>
<td colspan="2">Research Group</td>
<td colspan="2">Published Research</td>
<td colspan="2">Extramural Funding</td>
<td colspan="3">Service to Profession, University, College, Etc.</td>
</tr>
<tr>
<td>Credit Hours</td>
<td># of Students in classes</td>
<td># of Undergrad Advisees</td>
<td>Undergrads</td>
<td>Grads & Post Docs</td>
<td>Sole or main author/group member</td>
<td>Reviews/ Chapters/ Textbooks</td>
<td>New grants/ Ongoing grants</td>
<td>Direct Costs</td>
<td>Ed boards</td>
<td>Grant panels</td>
<td>Committees</td>
</tr>
<tr>
<td>Total</td>
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<td>Avg</td>
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</tr>
</table>

*Department chairs or evaluation committees may be responsible for collecting and averaging data.