

**GOVERNANCE DOCUMENT**  
**Department of Geological and Atmospheric Sciences**  
**Iowa State University**  
**Ames, Iowa**  
**(Revised, 01/19/17)**

**I. PREAMBLE**

1. This document provides a guide to the structures within the Department of Geological and Atmospheric Sciences for faculty participation in the administration process.
  - a. The document identifies various roles and procedures to be followed in formulating decisions and implementing policies.
  - b. The document is subject to all College and University policies as stated in the *Faculty Handbook* and other University and College documents.
  - c. Should conflict arise, University and College policies take precedence over those in this document.
  
2. These definitions apply throughout this document:
  - a. *University* means Iowa State University.
  - b. *College* means the College of Liberal Arts and Sciences (LAS).
  - c. *Department* means the Department of Geological and Atmospheric Sciences.
  - d. *Dean* is dean of the College.
  - e. *Chair* is the chairperson of the Department.
  - f. *Faculty* means those holding regular, College-budgeted faculty appointments in the Department at the rank of Lecturer or above.
  - g. All other units and personnel of the University are referred to by their full name.

**II. MISSION STATEMENT**

**The Department of Geological and Atmospheric Sciences seeks to establish outstanding research and innovative teaching programs that apply fundamental principles of physics, chemistry, biology, and mathematics to cross-disciplinary problems related to the Earth sciences.** As a basis for this mission, the Department maintains strength in fundamental topics of geology, meteorology and hydrology that involve investigating the dynamic nature of the structure, composition and interactive processes of the Earth and its component systems. Study of these systems includes the application of scientific principles to a wide range of environmental, agricultural and natural resource problems, so that through its teaching and research activities, the Department fosters a global perspective on the geosciences. Individual elements of study such as atmospheric circulation patterns, water cycling, geochemical interactions, glacier dynamics and rock formation processes are viewed not only in terms of their own intrinsic value, but also in terms of their role in the evolving Earth system. The Department recognizes that many fundamental advances in the geosciences are occurring at the interfaces with other disciplines and between subdisciplines in the field, so Department Faculty strive to form mutually beneficial research and educational collaborations with other programs at Iowa State University and other institutions around the world by taking a leadership position in solving problems at these interfaces.

### **III. DEPARTMENT ORGANIZATION AND ADMINISTRATION**

#### **A. Department Chair**

1. The Chair has obligations both to the Faculty and to the Administration. Obligations to the Administration are discussed in the *Faculty Handbook*.
2. The primary responsibilities of the Chair are to
  - a. serve as the leading advocate for the Department in its administrative dealings with other organizational units or agencies;
  - b. encourage excellence among the members of the Department in the performance of their duties;
  - c. keep members of the Department informed about policies and expectations of other administrative units or agencies which may affect them;
  - d. ensure that actions of the Department and its members are consistent with Department, College, and University mission statements, and with standards of professional practice in the Department's disciplines; and
  - e. execute Department policies on a day-to-day basis.
3. In the fulfillment of these responsibilities, the Chair shall
  - a. oversee the process of hiring new faculty and technical staff, and participate in the promotion and tenure process, as described in promotion and tenure procedures;
  - b. meet annually with each faculty member to discuss the basis for the Chair's recommendation for salary increase;
  - c. meet regularly with College and University administrators, particularly with the Dean of the College, to keep them informed about the needs, aspirations and ongoing programs of the Department;
  - d. allocate and authorize expenditures from the various Department budgets, in consultation with the Faculty, according to guidelines established by the Faculty;
  - e. see that the routine administrative functions of the Department office are performed in a timely and efficient manner;
  - f. oversee regular communication with Department alumni; and
  - g. perform other duties of the Chair as articulated in the *Faculty Handbook* and other documents in the University's Policy Library.
4. Selection of a New Chair
  - a. The Chair shall normally serve a term of three to five years and may be reappointed by the Dean to serve a second term.
  - b. Under special circumstances and with approval by the Dean and the Faculty, the Chair may serve more than two terms.
  - c. In spring before the start of the Chair's final year, the Faculty shall meet to discuss whether or not to request searching for a candidate outside the University for the next Chair. If the Faculty decide to search outside the University, the Department will solicit College approval for an outside hire and, if permitted, follow hiring procedures under Section 5.
  - d. If no outside candidate is sought, then
    - i. At the start of the fall semester in the outgoing Chair's final year, the Chair appoints a Chair Search Committee with one member of the committee appointed the chairperson of the committee.

- ii. Candidates will be determined in a fashion consistent with procedures established by ISU Human Resource Services.
  - iii. Candidates will provide a written vision for the Department.
  - iv. Faculty will meet before the end of September to consider the candidates.
  - v. During this meeting, candidates will have opportunity to give a brief (5-10 minute) presentation of their vision and answer questions. The Faculty will then vote by secret ballot on the candidates with three choices for each candidate: do not support, support, and strongly support.
  - vi. The Chair Search Committee will then write a report, subject to approval by a majority of the rest of the faculty, that includes procedures followed, list of candidates and their vision statements, an assessment of strengths and weaknesses of each candidate, and the vote outcome.
- e. The outgoing Chair will forward to the Dean the report from the Chair Nomination Committee, along with appropriate personal documentation for each candidate.
  - f. The Dean will select the new Chair.
  - g. Once a new Chair has been selected, and until taking office, the new Chair shall serve as an Associate Chair, sharing the Department administrative responsibilities with the current Chair in a manner that is agreeable to both of them and to the Dean.
  - h. This process (steps 4.c – 4.e) shall be repeated every three years.

## **B. Professor-In-Charge (PIC)**

1. The program (Geology or Atmospheric Science) not represented by the Chair will have a member of the Faculty designated as Professor-in-Charge (PIC) appointed by the Dean on recommendation of the Chair and in consultation with the Faculty.
  - a. Although the Chair is the primary representative to the College and University for all Department programs, the PIC will work with other units in the University on day-to-day operations of the program, as needed and upon consultation with the Chair.
  - b. The PIC will work in close contact with the Chair to ensure that faculty members of his/her program are informed of policies and expectations of other administrative units.
2. The PIC will serve as program liaison to the Chair on fiscal matters and will monitor the monthly status of the program budget.
3. The PIC will serve as the contact person for outreach activities.
4. The PIC will serve as immediate supervisor and performance evaluator for merit, professional, and scientific staff.

## **C. Associate Chair**

1. Professor-in-Charge of the program not represented by the Chair will be the Associate Chair.
2. The duties of the Associate Chair will be determined by the Chair in consultation with the Dean and the Faculty. Duties may include acting on behalf of the Chair when the Chair is out of town or otherwise unable to fulfill specific administrative duties (e.g., signing paperwork).

## **D. Committees**

1. All committees are advisory to the Chair and the Faculty.
2. Standing committees of the Department are the following:
  - a. Faculty Evaluation
    - i. This committee is appointed annually by the Chair.
    - ii. The committee annually issues to the Faculty the Department's Faculty Evaluation forms. The committee reviews each faculty member's submission and prepares a summary of faculty performance as directed by the Chair.
  - b. Curriculum
    - i. The Curriculum Committee works under educational philosophies and guidelines established by the Faculty.
    - ii. The committee or its chair handle routine matters such as required approvals on various University forms, background data collection for necessary reports and studies, etc.
    - iii. The committee may prepare presentations for the Faculty for major curriculum restructuring proposals.
    - iv. The committee prepares catalogue materials as required by the College and University.
  - c. Graduate Application Evaluation
    - i. There shall be one committee for the Geology Program and one committee for the Meteorology Program
    - ii. The Geology Program Graduate Application Evaluation Committee has four geology faculty members, appointed by the Chair.
    - iii. The Meteorology Program Graduation Application Evaluation Committee includes all meteorology faculty members.
    - iv. Each committee evaluates graduate applications to their program according to the entrance the program's requirements and forwards information on acceptances and declines to the appropriate University offices.
  - d. Computers
    - i. There shall be one committee for the Geology Program and one committee for the Meteorology Program.
    - ii. Each committee oversees its programs computing facilities and works to ensure supporting funding for them
3. The Chair shall form additional committees as needed to govern the Department, guided by advice from the Faculty and by staffing levels.

## **E. Individual Positions**

1. Graduate Applications Coordinators
  - a. A Graduate Applications Coordinator will be appointed by the Chair for the Geology Program and for the Meteorology Program.
  - b. The coordinator will arrange for evaluation of applicants and requests for financial aid by the Faculty of the coordinator's Program.
  - c. The coordinator will handle information requests and applications to the coordinator's program.

2. Seminar Coordinators
  - a. A Seminar Coordinator will be appointed by the Chair for the Geology Program and for the Meteorology Program.
  - b. The coordinator will schedule seminars with guidance from the rest of the Program's Faculty
3. Alumni Relations Coordinators
  - a. An Alumni Relations Coordinator will be appointed by the Chair for the Geology Program and for the Meteorology Program.
  - b. The coordinator will prepare and distribute the Program's alumni newsletter with input from the Program's Faculty.
4. Undergraduate advising coordinator
  - a. An undergraduate advising coordinator will be appointed by the Chair for the Geology Program and for the Meteorology Program.
  - b. The advising coordinators will coordinate advising activities within the Department and with the College and University.
5. Other individual positions representing the Department in student affairs and on College, University and national committees shall be appointed by the Chair with consultation from the Faculty.

#### **IV. VOTING ELIGIBILITY AND PROCEDURES**

1. A majority of the eligible Faculty not on leave must participate for a vote to be binding.
2. Restrictions on voting privileges may apply, as described in the procedures for hiring and for promotion and tenure.

#### **V. HIRING PROCEDURES**

1. All hiring of new faculty members must adhere to University and College regulations and procedures.
2. Department Search Committee
  - a. The Chair will appoint a Search Committee for all faculty openings.
  - b. The Chair and Search Committee will advertise for candidates.
  - c. The Search Committee will review and recommend candidates for interviews to the Faculty.
  - d. If the Chair appoints someone to the Search Committee who is not a member of the Faculty, that person will not be able to participate in the Department vote.
  - e. Tenured and tenure-eligible Faculty will vote by secret ballot on the candidates to recommend to the Dean for campus visits.
  - f. Tenured and tenure-eligible Faculty will vote by secret ballot on the candidate to select for an open position, subject to the approval of the Dean.

## **VI. FACULTY APPOINTMENTS**

### **A. Tenure-Eligible and Tenured Faculty**

1. Tenured and tenure-eligible appointments are regularly budgeted positions at any rank and account for most faculty appointments.
2. Tenure-eligible Faculty are appointed for a specified period of time (term appointment), and notice of intent not to renew shall be given according to the deadlines specified in *Faculty Handbook*.
3. A person on a tenure-eligible appointment for a specified term is considered to be in a probationary period of service leading to tenure.
  - a. The length of the probationary period is specified at the time of initial appointment, but it may not exceed seven years, except in cases of part-time tenure-eligible appointments and in cases of approved extension of the probationary period (Section VIII.C).
  - b. In consultation with the candidate, the Chair shall designate a faculty mentor for the candidate at the time of the candidate's appointment.
4. Recruitment for tenured and tenure-eligible Faculty must follow University procedures.
5. Requests for conversion from full-time to part-time appointments may only be initiated by tenured or tenure-eligible Faculty with either A-base or B-base full-time appointments.
6. Tenured Faculty may make such a request for personal or professional issues, including work/life balance.
7. Tenure-eligible Faculty may make such a request only for reasons of balancing work and family for the arrival of a child, the care of a child with special needs, elder care, the care of a partner, or for personal circumstances related to the health of the faculty member.

### **B. Joint Appointments**

1. A faculty member may hold an appointment in more than one academic department.
2. One of the departments is designated as the individual's primary department, which is considered to be the faculty member's home department for purposes of evaluation, review and initiating personnel actions.
3. Recommendations for promotion and tenure are initiated and submitted by the faculty member's primary department, with the advice of the secondary department.
4. Ordinarily, the faculty member's tenure is assumed to reside in the primary department only. Joint appointments may involve joint budgeting, but the primary department may also fund the faculty member's entire salary.
5. The Position Responsibility Statement should clarify the expectations in each department.

### **C. Non-Tenure-Eligible Faculty**

1. Non-tenure-eligible faculty are term appointments eligible for renewal based upon the quality of performance and the continuing needs of the Department.
2. If funding for such positions is derived in any part from tenure-eligible faculty lines, approval from the Faculty must be obtained before advertising the positions.
3. All non-tenure-eligible faculty are subject to annual review following the Department's faculty review procedures and based on their Position Responsibility Statement (PRS).
4. Hiring procedures and appointments are subject to guidelines in the University Policy Library, including the *Faculty Handbook*.
5. All appointments and advancements are subject to approval at the College and University levels.
6. Non-tenure-eligible Faculty members will be invited to regular Faculty meetings as non-voting members.

### **D. Lecturer**

1. A Lecturer is a non-tenure-eligible faculty member hired to fulfill various teaching needs of the Department.
2. The Chair appoints a Search Committee from the Faculty to define and advertise the position and interview and evaluate candidates.
3. The term of a Lecturer's appointment is up to three years.
4. Lecturers teach primarily undergraduate major and non-major courses, or the Geology Summer Field Camp, depending on specific needs of the Department.

### **E. Senior Lecturer**

1. A Senior Lecturer is a non-tenure-eligible Faculty member hired to fulfill various teaching needs of the Department.
2. The rank of Senior Lecturer is achieved through advancement from the rank of Lecturer.
3. The term of a Senior Lecturer's appointment is up to five years.
4. Areas of primary teaching for Senior Lecturers are the same as those for Lecturers above, and depend on Department needs.

### **F. Research Faculty**

1. The Department may occasionally employ self-supporting Research Assistant Professors, Research Associate Professors, or Research Professors.

2. Research faculty are non-tenure-eligible appointments.
3. Funding for these positions will be external to the University, that is, coming from research grants.
4. Persons on these appointments will have the rights to write and submit grant proposals on behalf of the University as specified by University policy.
5. Qualifications and standards for the determination of rank will be the same as for tenured and tenure-eligible faculty with commensurate titles.
6. Persons holding these titles will have a PRS stipulating no less than 90 percent of their time committed to research; up to 10 percent of the time may be assigned to serving on graduate committees or leading research seminars.
7. Research-faculty appointments may be terminated without cause at any time due to lack of external funds to cover salary and benefits.
8. In all other respects, appointments as Research Assistant Professor, Research Associate Professor, or Research Professor will be governed by the College guidelines and the *Faculty Handbook*.

#### **G. Adjunct Faculty**

1. Adjunct faculty are non-tenure eligible appointments.
2. Adjunct appointments are made to support primarily the research needs of the Department's mission, subject to guidelines and restrictions in the *Faculty Handbook*.
3. Adjunct appointments are renewable-term appointments not to exceed five years for each appointment, and require a notice of one year of intent not to renew, except when the appointment is for one year or less.
4. Individuals holding an adjunct position within the Department should hold a Ph.D. (or equivalent) degree.
5. Adjunct positions have one of the following titles: Adjunct Assistant Professor, Adjunct Associate Professor, or Adjunct Professor. The title signifies that the person is neither tenured nor tenure-eligible.
6. Adjunct positions may be used with three groups of people:
  - a. experts who are employed outside the University, but who have research, extension, or professional practice responsibility within the University;
  - b. individuals not employed elsewhere but whose expertise is relevant to the research, extension, or professional practice mission of the Department; or
  - c. individuals who are already employed by the University in non-tenure-eligible P&S positions and who are involved in the research, extension, and/or professional practice mission of the Department.

## 7. Appointment Procedure

- a. Nominations of an individual for an Adjunct Position may be made by any tenured or tenure-eligible member Faculty member.
- b. Nominations should give the desired rank and term of the appointment, the reason for seeking the appointment, the qualifications of the candidate, and the source(s) of funding, if any, to support the appointment.
- c. Following receipt of the nomination, the Chair will appoint an Evaluation Committee from the tenured and tenure-eligible Faculty.
- d. The Evaluation Committee will make a recommendation to the Faculty specifying the nominee, the position title, and the nature and duration of the appointment.
- e. The Faculty will vote by secret ballot and the result will be forwarded to the Chair.
- f. If a majority of the Faculty approve the appointment, the Chair will prepare a cover letter to accompany the documentation provided by the candidate, the Evaluation Committee, and the Faculty, and the Chair will forward the package to the Dean and University Provost for approval. If a majority of the Faculty do not approve the appointment, no further steps will occur.
- g. If appointed, the Appointee and Chair will draft a Position Responsibility Statement outlining the Appointee's specific responsibilities within the Department.

## VII. FACULTY POSITION RESPONSIBILITIES

### A. Policy

1. Evaluation of tenured, tenure-eligible, and non-tenure-eligible faculty is based on their Position Responsibility Statement (PRS).

- a. The PRS allows for a flexible and individualized faculty member's review.
- b. The PRS should be general and only include significant responsibilities in research, teaching, and service, as relevant to a particular individual.
- c. The PRS is normally drafted according to a standardized template provided in the document titled *Position Responsibility Statements* available at the LAS web site.
- d. The PRS is subject to regular review by the faculty member and the Chair, allowing for the changing nature of faculty appointments and Department needs.
- e. Despite brevity, the description may include enough detail important to the Department and a faculty member, reflecting a faculty member's specific interests as well as expectations of the Department.
- f. The PRS cannot be changed unilaterally by either party.

2. PRS details

- a. The text of the initial Position Responsibility Statement, based on the job advertisement, is agreed upon between the Chair and the faculty member at the time of appointment or within the first semester of appointment.
- b. The document is signed and dated by both parties.
- c. For tenure-eligible Faculty, this initial text remains in effect for the first three years or until the tenure review, whichever comes first.
- d. Beyond the first three years or at the time of the tenure review, the statement may be renegotiated as needed.
- e. For tenured Faculty, the PRS will be reevaluated with the Chair at least every five years.
- f. For non-tenure-eligible Faculty, the position responsibility statement may be revised as needed according to changing Department needs at the time of reappointment/advancement.

## **B. Mediation for Tenured/Tenure-Eligible Faculty**

1. If agreement cannot be reached in the PRS, the dispute may be referred to the Department's PRS Mediation Panel for arbitration and resolution.
  - a. The panel will consist of one tenured faculty member selected by the disagreeing faculty, one tenured faculty member selected by the Chair, and a tenured faculty member elected by all Department tenured/tenure-eligible Faculty in the beginning of an academic year.
  - b. The PRS Mediation Panel will review the materials and deliver an opinion within two months.
  - c. If an agreement between the faculty member and the Chair does not then emerge, the matter is referred further to the College and University mediation/arbitration bodies as stipulated by the College and *ISU-Faculty Handbook* guidelines.
  - d. During the time of the mediation process, the existing Position Responsibility Statement will remain in effect.

## **VIII. FACULTY PERFORMANCE EVALUATION**

### **A. Annual Review**

1. Faculty members other than the Chair are reviewed annually for performance appraisal and development on the basis of their position responsibility statement (PRS).
2. This review may serve as a basis for determining merit salary increases.
3. Annual Faculty reviews are conducted by the Chair and assisted by the Faculty Evaluation Committee.
4. The Chair is reviewed separately, following procedures in Section IX.
5. Following the review, the Chair discusses the results with the faculty member, thus providing an opportunity for exchange of ideas that would be of benefit to the individual and the Department.

### **B. Preliminary Review of Probationary Tenure-Eligible Faculty**

1. Individuals new to the University customarily are hired on a three-year probationary appointment.
2. Probationary faculty members are reviewed by the Department during the third year of hire.
  - a. The purpose of this review is to provide constructive, developmental feedback to probationary faculty members regarding progress in meeting Department criteria for promotion and/or tenure.
  - b. The review should be based upon Department criteria and standards used for promotion and/or tenure.
  - c. This pre-tenure review provides the basis for either renewing or denying the individual's appointment for a second three-year term.
  - d. The review process must include evaluation by tenured Faculty and an evaluation by the Chair.
  - e. External letters are not normally expected as part of the process.
  - f. Additional reviews may be conducted at the discretion of the Department.

3. The review will follow these steps:
  - a. By the first of September immediately preceding the third year, the Chair shall inform the candidate that an evaluation is forthcoming.
  - b. The candidate shall prepare a review dossier following the LAS Preliminary Review Dossier Template, with assistance from the candidate's mentor.
  - c. The candidate's review dossier shall be available for review by the tenured Faculty by the start of the spring semester.
  - d. Failure to submit documentation on time shall be evidence that reappointment is not desired.
  - e. The tenured Faculty shall make a recommendation to the Chair on whether to rehire for a second appointment.
  - f. The recommendation of the tenured Faculty and the recommendation of the Chair will be forwarded to the Dean(s) of the appropriate College(s).

### **C. Extension of the Probationary Period**

1. On occasion, a faculty member may request an extension of the probationary period, if special circumstances have occurred that interfere significantly with the faculty member's opportunity to develop the qualifications necessary for tenure in the time allowed.
2. Extension of the Probationary Period shall be governed by the rules in the *Faculty Handbook*.

### **D. Promotion and Tenure Review**

1. The evaluation for promotion and/or award of tenure initially takes place within the Department, with review at each administrative level above the Department.
2. The evaluation procedures shall adhere to policies of the College and the University, as stated in the *Faculty Handbook*.
3. Granting of tenure to a faculty member in the Department is based on
  - a. demonstrated high standards of scholarship and teaching;
  - b. participation in Department, College, and University activities and governance; and
  - c. adequate professional service in local, national, and/or international societies and organizations.
4. The *Faculty Handbook* provides examples of activities that document high standards in each area of faculty responsibility, examples of methods by which scholarship within these areas is communicated and evaluated and further details on the expected qualifications for assistant professors, associate professor (with or without tenure) and full professors.
  - a. Promotion from assistant professor to associate professor generally will be judged on actual accomplishment and potential for growth.
  - b. Promotion from associate professor to full professor will be judged primarily on accomplishments and attainments while in the current rank.

### **E. Promotion and Tenure Procedures**

1. Preliminary steps
  - a. As part of the annual review, the Chair shall discuss with all assistant and associate professors their progress toward promotion and/or tenure and the appropriate timing for such evaluation.

- b. In non-mandatory cases, a faculty member at any time may request in writing to be added or removed from consideration.
  - c. If the candidate is on a joint appointment between two departments, initiation of promotion and tenure procedures is through the candidate's home department. Approval for promotion and/or tenure must be concurred by both departments.
  - d. Consideration is mandatory for an assistant professor in the penultimate year of appointment.
2. Selection of the Department Promotion and Tenure Committee (P&T Committee)
- a. If a faculty member is a candidate for promotion and/or tenure, the Chair shall form an ad hoc P&T Committee to evaluate the candidate's promotion and/or tenure case.
  - b. The P&T Committee shall consist of all tenured Faculty at rank higher than the candidate.
  - c. No faculty member with a perceived conflict of interest, e.g. with family or business relations to the candidate, shall serve on the P&T Committee.
  - d. Faculty members on official leave will be considered committee members if they notify the Chair of their intention to participate fully in the review process.
  - e. The Chair, in consultation with the candidate, shall appoint a chair for the P&T committee. It is the responsibility of the P&T chair
    - i. to become thoroughly familiar with the professional activities of the candidate;
    - ii. to assist the candidate in preparing the documentation;
    - iii. to develop a list of external reviewers and solicit their evaluations; and
    - iv. to later help present the documentation to the senior Faculty.
  - f. When necessary the Chair will appoint one or more additional committee advisors from outside the Department in order to provide better representation of the candidate.
3. Types and sources of information (documentation) for the P&T Committee's review
- a. The candidate is responsible for preparing and submitting by the first of August the necessary documentation (dossier) to be used in promotion and/or tenure decisions.
  - b. The documentation shall consist of a completed LAS Review Dossier (Tabs 1 & 2) and supporting documents.
  - c. Documentation guidelines, including descriptions of the faculty portfolio can be found in the *Faculty Handbook*, the Provost Office's "Guidelines and Best Practices for Promotion and Tenure Process" and the LAS Review Dossier Template (Tabs 1 & 2).
  - d. Candidates are encouraged to add any information that they believe is appropriate to explain fully their contributions and value to the Department, the College, or the University, such as relevant publications and teaching materials.
  - e. The documentation prepared for promotion and/or tenure decisions shall be available for inspection only by the P&T Committee, the Chair, and appropriate College and University committees and administrators.
  - f. Failure to submit documentation on time will be evidence that promotion and/or tenure is not desired.
4. Procedure for External Reviews
- a. External review letters shall be part of the documentation for tenure and/or promotion.
  - b. External review letters shall be solicited from sources outside the University.
  - c. The external review letters should be from sources deemed appropriate based on the candidate's position responsibility statement, and appointment in teaching, research and service.
  - d. External reviewers should not be colleagues with whom the candidate has frequently collaborated. As needed, the P&T Committee may solicit information from these individuals to detail the nature of collaborative projects or to respond to specific questions.

- e. All external review letters are treated as part of the evaluation process and must be forwarded on to College and University review levels (as Tab 5 in the candidate's dossier).
- f. All procedures involving external reviewers shall conform to the "Provost Office's Guidelines and Best Practices for P&T Materials".
- g. To obtain a list of external reviewers:
  - i. The candidate and the Department nominate initial lists of external reviewers.
  - ii. The candidate also provides a list of evaluators with potential conflicts of interest.
  - iii. In consultation with the Chair and the rest of the committee, the P&T Committee chair compiles a final selection of reviewers, who are then asked for an external evaluation of the candidate.
- h. The names of the external reviewers and the verbatim content of their reports shall not be made available to the candidate.
- i. The solicitation of external reviews shall follow University regulations concerning the confidentiality of external reviews.

5. Although not required, additional documentation from Department, College, and University colleagues may be included to provide a fuller understanding of the candidate's activities. This may be appropriate for

- a. activities related to interdisciplinary research and teaching programs;
- b. joint projects; and
- c. services provided to other colleagues.

6. The P&T Committee will review the case and vote on a recommendation to grant or withhold promotion and/or tenure.

- a. Promotion and tenure voting procedures must follow guidelines given in the *Faculty Handbook*, including procedures to avoid double voting.
- b. All votes will be by secret ballot.
- c. Committee quorums consist of two-thirds of the committee membership.
- d. Faculty members with sufficient justification may remove themselves from either committee at any time prior to the review meeting. This action requires notification to the Chair and is considered to reduce the size of the committee for quorum and voting requirements.
- e. A majority vote of the P&T committee in favor of promotion and/or tenure results in a recommendation for tenure and/or promotion to the College.
- f. The P&T Committee will prepare a report containing a positive or negative recommendation to grant tenure (and/or promote) the candidate.

7. Procedures for the notification of the results of the reviews

- a. The Chair will notify each candidate of the status of his/her P&T Committee's action on recommendation for promotion or tenure within one week after the vote.
- b. Candidates not receiving a majority vote from the P&T committee will receive a written summary of the reasons for the failure to be recommended within one week after the vote.
- c. This statement will be drafted by a committee appointed by the Chair and must receive at least a 2/3 vote of approval from the P&T Committee before it is given to the candidate.

8. Appeals

- a. The candidate can appeal the P&T Committee's vote and report by a written statement added to Tab 2 of the candidate's P&T Dossier.
- b. The P&T Committee will review the appeal statement and conduct a second vote.
- c. No further appeals within the Department shall occur.

- d. The candidate may further appeal as allowed by the University and described in the *Faculty Handbook*.
9. Opportunity for the candidate to review factual information
- a. The factual information is Tabs 1 & 2.
  - b. Before a recommendation is forwarded to the College, the candidate shall be given the opportunity to review the factual information to be submitted and inform the Chair of any ways in which the candidate believes this information to be incomplete or inaccurate.
10. The candidate may request that a recommendation not be forwarded to the College even though the Department P&T Committee's review resulted in a majority vote in favor of the recommendation. The Committee will determine if such a request is to be approved.
11. Role of the Chair in the Department promotion and tenure review process
- a. The Chair does not vote on committee actions.
  - b. The Chair will submit a separate evaluation for each candidate, which will be in Tab 3 of the candidate's dossier submitted to the College.
12. Target timetable for procedures to be followed by the Department P&T Committees
- a. End of Spring semester: Candidates for P&T evaluation are determined.
  - b. End of Spring semester: The Chair of P&T Committee is selected.
  - c. End of July: The P&T Committee chair receives formal documentation from the candidate
  - d. End of July: The P&T Committee chair finalizes the list of external reviewers
  - e. By August 15: The P&T Committee chair sends candidate's documentation to the external reviewers
  - f. End of September: The P&T Committee receives letters from external reviewers.
  - g. First week in October: The P&T Committee chair forwards the candidate's documentation (Tabs 1 & 2) and the external review letters (Tab 5) to the P&T Committee and the Chair.
  - h. By the first week in November: The P&T Committee votes by secret ballot on recommendation for or against tenure and/or promotion.
  - i. Within one week after the vote: The Chair informs the candidate of the outcome of the vote.
  - j. Within one week after the vote: The P&T Committee chair and the Chair prepare separate evaluation reports (Tab 3).
  - k. By November 15: The candidate can appeal the P&T Committee's vote.
  - l. By November 15: The factual information in the dossier (Tabs 1 & 2) can be reviewed and amended by the candidate.
  - m. Prior to a date given by the College (typically the Monday after Thanksgiving): The final documents (Tabs 1, 2, 3 and 5) are forwarded to the College Promotion and Tenure Committee.

## **F. Post-Tenure Review**

1. A post-tenure review shall be done at least once every seven years for all members of the tenured faculty on full-time or part-time appointment. Post-tenure review can occur as little as five years from the last review at the faculty member's request or must occur during the year following two consecutive unsatisfactory annual reviews. The post-tenure review schedule is reset by
- a. promotion reviews (e.g., to Full Professor); and
  - b. initial appointments that include tenure (e.g., faculty hired at the Associate or Full Professor level with tenure); both of these are considered post-tenure reviews.

Faculty members are exempted from their scheduled post-tenure review if: 1) they are being reviewed for higher rank during the same year, 2) they are within one year of announced retirement or are on phased retirement, or 3) they are faculty members who serve as department chair or whose title contains the term president, provost, or dean (*Faculty Handbook*, Section 5.3.4.1).

2. The review will be conducted during the Fall and/or Spring semester by a committee of at least three tenured members of the Faculty appointed by the Chair and confirmed by the tenured Faculty.

3. Post tenure reviews will be based on examination of

- a. the most recent annual evaluations;
- b. the faculty member's PRS; and
- c. additional appropriate information the faculty member wishes to include.

4. The post-tenure review committee will evaluate the faculty member's performance in the areas of teaching, scholarship, extension/professional practice, and institutional service, consistent with the faculty member's PRS.

5. The committee's report will consist of

- a. an evaluation for each performance area in paragraph form and with one of the following categorical descriptors: Meeting Expectations or Below Expectations. The report should also include an overall evaluation of performance using these same descriptors.
- b. recommendations for enhancing performance.

6. The post-tenure report will be given to the Chair and the faculty member. If the faculty member accepts the report as is, the following actions will be taken based on the outcome of the post-tenure review, in accordance with the *Faculty Handbook* (Section 5.3.4.2):

- If a "meeting expectations" post-tenure review recommendation includes a determination of "below expectations" performance in any PRS area, then the faculty member will work with the department chair and the chair of the review committee to develop an action plan for performance improvement in those areas. The action plan will be signed by all three parties. If agreement on the proposed action plan cannot be reached, the action plan will be negotiated following the procedures outlined for PRS mediation (Section 5.1.1.5.1 of the *Faculty Handbook*).
- A faculty member may receive a "below expectations" review if their performance in any aspect of the PRS is below expectations. A below expectations post-tenure review recommendation will include specific recommendations for achieving an acceptable performance evaluation. The faculty member will work with department chair and the chair of the review committee to develop an action plan for performance improvement in areas deemed below expectations. The action plan will be signed by all three parties. If agreement on the proposed action plan cannot be reached, the action plan will be negotiated following the procedures outlined for PRS mediation (Section 5.1.1.5.1 of the *Faculty Handbook*). Failure to have the performance improvement plan in place by the time of the next academic year's annual performance review may result in a charge of unacceptable performance as defined in the Faculty Conduct Policy (Section 7.2.2.5.1 of the *Faculty Handbook*).

Any action plan must include the following three parts: 1) a justification for the plan; 2) a specific timetable for evaluation of acceptable progress on the plan; and 3) a description of possible consequences for not meeting expectations by the stipulated timeline.

If the faculty member does not accept the report as is, he or she then asks the evaluating committee to consider additional information and to revise the report.

7. The department chair will take the following actions after receiving the review committee's report, in accordance with the *Faculty Handbook* (Section 5.3.4.3):

- Review the post-tenure review report submitted.
- Provide a cover letter to the dean indicating agreement with the outcome of the report or a detailed explanation if there is disagreement with the report findings. In cases of disagreement, the explanation is also communicated to the post-tenure review committee and the candidate.
- Discuss the post-tenure review report and its recommendations with the reviewed faculty member.
- Work with the reviewed faculty member and the chair of the review committee to develop the action plan for improving performance for those faculty who received a below expectations recommendation. After the action plan is agreed upon, it is the responsibility of the department chair and the faculty member to ensure that the action plan is implemented. It is the chair's responsibility to assess the faculty member's performance in accomplishing the action plan.
- Forward post-tenure review materials to the college.

8. The post-tenure review will otherwise follow The Post-Tenure Review Policy in the *Faculty Handbook*, section 5.3.4.

## **G. Non-Tenure-Eligible Faculty Review**

### **1. Lecturer Reappointment**

- a. Following the term of initial appointment, Lecturers may be considered for renewal, based on Department staffing needs and availability of funds.
- b. Reappointment reviews are conducted by an ad hoc Review Committee.
  - i. Guidelines for the appointing this committee and its chair shall follow those used to form Promotion and Tenure committees in the Department (Section VIII.E.2), except that the committee consists of all tenured and tenure-track Faculty.
- c. The criteria for reappointment at the rank of Lecturer are
  - i. demonstrated teaching success in the areas specified by the PRS with potential for excellence; and
  - ii. evidence of on-going professional development (see VIII.G.2.h).
- d. Lecturers being reviewed for reappointment submit the following documentation:
  - i. current vitae;
  - ii. statement of teaching philosophy;
  - iii. self-evaluation statement (The format of the statement is flexible. For example, the document may include the candidate's perception of achievements and possibly difficulties in courses taught, with plans for future changes/improvements, if any, etc.);

- iv. student evaluations (selected to represent the candidate's teaching assignments during the period of review) and course grading sheets;
- v. letters of support based upon observations of teaching;
- vi. sample syllabi;
- vii. sample assignments; and
- viii. examples of student work (optional).
- e. The Review Committee votes by secret ballot for or against recommendation for reappointment,
- f. The Review Committee produces an evaluative report that specifies strengths and weaknesses and suggests how the candidate might prepare for advancement review.
- g. The results of the vote and the evaluative report are forwarded to the Chair.
- h. The Chair must approve all Lecturer reappointments prior to forwarding them for College and University approval.
- i. The Chair notifies each candidate of the results of the reappointment review.

## 2. Lecturer Advancement

- a. After six years of accumulated service, Lecturers are eligible for advancement to Senior Lecturer.
- b. The Chair may negotiate with each Lecturer any prior years of service to be counted toward the six years.
- c. Normally the advancement review will be during the sixth year.
- d. Recommendations for advancement to Senior Lecturer are based not only upon performance but also upon staffing needs of the Department in curricular areas of specialization.
- e. Advancement is also subject to availability of funds.
- f. Lecturers denied advancement to Senior Lecturer are eligible to reapply in subsequent years.
- g. Advancement reviews for Lecturers are conducted by an ad hoc Lecturer Promotion Committee, that follows the same rules used to form Lecturer Review Committee (Section VIII.G.1.b).
- h. The criteria for advancement to Senior Lecturer are
  - i. demonstrated excellence in the areas of teaching specified by the PRS, based on student evaluations and other achievements;
  - ii. satisfactory evidence of on-going professional development (e.g., attendance at professional meetings, participation in the Center for Teaching Excellence forums, etc.); and
  - iii. evidence of teaching-related institutional service (e.g., committees, undergraduate advising, ad hoc work groups, extra-departmental University service, etc.).
- i. For advancement reviews, the candidate must submit
  - i. documentation following the latest LAS Non-Tenure-Track Advancement Dossier Template, available at the College web site;
  - ii. letters of support, including observations of teaching, professional development, and service (At least one letter should be from a tenured or tenure-eligible member of the Department.);
  - iii. sample syllabi and sample assignments;
  - iv. course grading sheets; and
  - v. examples of student work (optional).
- j. The Promotion Committee follows the same procedures as the Review Committee for reappointment of Lecturers (Section VIII.G.1) to produce a recommendation for or against promotion and an evaluative report, both of which the Promotion Committee gives to the Chair.
- k. The Chair must approve all advancements to Senior Lecturer prior to forwarding them for College and University approval.
- l. The Chair notifies each candidate of the results of the advancement review.

## 3. Senior Lecturer Reappointment

- a. Reappointment reviews for Senior Lecturers are conducted during the final year of their contract by an ad hoc Senior Lecturer Review Committee that follows the same rules used to form Lecturer Review Committee (Section VIII.G.1.b).
- b. Reappointment will depend on Department programmatic needs and availability of funds.
- c. The criteria for reappointment at the rank of Senior Lecturer are the same as those for Lecturer's advancement (Section VIII.G.2.h).
- d. For Senior Lecturer reappointment reviews, the candidate submits the following documentation:
  - i. current vitae;
  - ii. statement of teaching philosophy;
  - iii. self-evaluation statement (three pages maximum) (cf. Section VIII.G.1.d);
  - iv. student evaluations (selected to represent the candidate's teaching assignments since the last review) and course grading sheets;
  - v. letters of support, including observations of teaching, professional development, or service;
  - vi. sample syllabi and sample assignments; and
  - vii. examples of student work (optional).
- e. The Senior Lecturer Review Committee follows the same procedures as the Review Committee for reappointment of Lecturers (Section VIII.G.1) to produce a recommendation for or against reappointment and an evaluative report, both of which the Review Committee gives to the Chair.
- f. The Chair must approve all Senior Lecturer reappointments prior to forwarding them for College and University approval.
- g. The Chair notifies each candidate of the results of the reappointment review.

#### 4. Research Faculty Promotion

- a. Persons holding the title of either Research Assistant Professor or Research Associate Professor may be considered promotion to higher rank.
- b. The candidate for promotion submits documentation following the LAS Research Faculty Advancement Dossier template.
- c. In all other respects, the Research Faculty advancement review and procedures are the same as outlined in Section VIII.E.

#### 5. Adjunct Faculty Reappointment

- a. Following the term of initial appointment, adjunct faculty may be considered for renewal.
- b. Reappointment reviews are conducted by a Review Committee of three tenured or tenure-eligible members of the Faculty appointed by the Chair.
- c. Adjunct faculty members being reviewed for reappointment submit a dossier demonstrating productivity in research.
- d. Format of the dossier should follow that of the research section of the dossier submitted by faculty undergoing evaluation for promotion and/or tenure, as specified in Section VIII.E.
- e. Although adjunct faculty are generally expected to have only minor duties at most in teaching, where relevant, such responsibilities should similarly be documented by materials matching those provided by faculty undergoing evaluation for promotion and/or tenure.
- f. The Review Committee will base its recommendation on Department needs and resources and on the performance by the candidate of the duties outlined in the PRS.
- g. The procedure of vote and approval of this recommendation by the Faculty and Chair is the same as for Lecturer's reappointment (Section VIII.G.1).

## 6. Adjunct Faculty Promotion

- a. Persons holding the title of either Adjunct Assistant Professor or Adjunct Associate Professor may be considered for promotion to higher rank.
- b. Advancement criteria are based on demonstrated excellence in the area of responsibility as outlined in Section VIII.D. The candidate for promotion submits documentation following the latest LAS Non-Tenure-Track Advancement Dossier Template. In all other respects, the Adjunct-Faculty advancement review and procedures are the same as for Lecturer's advancement outlined in Section G.2.

## **IX. EVALUATION OF THE CHAIR**

1. The Chair is evaluated annually by Faculty Evaluation Committee which evaluates all faculty on the basis of his or her administrative responsibilities and accomplishments.
2. The focus of the evaluation shall be on the performance of the Chair and his/her administrative units, considering:
  - a. the Department mission statement and strategic plan;
  - b. leadership in developing, articulating and implementing improvements in Department teaching, research and outreach programs;
  - c. relationships with Department faculty, staff and students
3. The review and evaluation shall consist of
  - a. a self-assessment by the Chair that is distributed to the Faculty;
  - b. input solicited from the Faculty; and
  - c. a report produced by the Evaluation Committee that focuses on the performance evaluation of the Chair. The Faculty will first meet to discuss the content of the report. The committee will subsequently write an evaluation report, seek editorial input from the faculty, and produce a final version. The committee will then provide the report to the Chair and discuss the results with the Chair. A final copy of the report will be held in the Chair's personnel file.

## **X. DEPARTMENT RECORDS, DOCUMENTS, AND WRITTEN REPORTS**

### **A. General Rules**

1. In all matters, the question of access or confidentiality is subject to the provisions of the Iowa Code.
2. The Chair is custodian of all Department records.

### **B. Minutes of Faculty Meetings**

1. The Chair is responsible for ensuring that a copy of the minutes of Department meetings is saved in a permanent Department file.
2. Minutes of Faculty meetings are open to the Faculty.

### **C. Records of Committees**

1. The chairs of committees are responsible for maintaining a record of their respective committee's work.

2. The records of a committee will be transferred to the succeeding committee chair or, at the discretion of the Chair, be placed in a Department file.

#### **D. Evaluation Vitae and Supporting Materials**

1. Materials prepared and submitted by a candidate for evaluation, promotion, tenure, and/or retention will be retained in the Department.

- a. Copies of publications may be returned to the individual after they are no longer needed.
- b. Confidential recommendations will be maintained in a separate file.

#### **E. Evaluations of Courses by Students**

1. Evaluations of courses by students will be retained in the Department office.

2. The files will be open to members of the Faculty.

3. Digital files shall be the documents of record.

#### **F. Personnel File**

1. Personnel files of each member of the Faculty will be maintained under the supervision of the Chair.

- a. This file will include relevant reports and materials involving faculty evaluations, promotion and tenure, and reviews by the Chair
- b. The faculty member may submit documents to be part of his or her personnel file.
- c. Confidential recommendations shall be held in a separate, confidential file open only to the Chair.
- d. The personnel file will be open only to the individual faculty member, the Chair, and other appropriate administrators.

#### **G. Student Records**

1. Student records will be maintained in the Department office or other office as designated by the Chair.

2. Information in the student records will be used only for official University business.

3. Except for confidential recommendations, the record will be open to the individual student.

### **XI. GRIEVANCE PROCEDURES**

1. The Department follows the grievance procedures stipulated in the *Faculty Handbook* and other documents in the University Policy Library.

2. Procedures involving students shall be consistent with those described in the student *Information Handbook* under "Appeal of Academic Grievances."

## **XII. PROCEDURE FOR AMENDING THE GOVERNANCE DOCUMENT**

1. Any member of the Department can propose an amendment or revision to this document.
2. The Chair shall call a meeting of the Department within one month to discuss and vote by secret ballot on the proposal.
3. The proposal is approved if it receives at least a  $2/3$  affirmative vote of the Faculty.
4. Faculty on official leave have the right to vote on the proposal if they notify the Chair of their intention to participate.