

GOVERNANCE DOCUMENT
Department of Geological and Atmospheric Sciences
Iowa State University
Ames, Iowa
(Revised, 05/04/2022)

I. PREAMBLE

1. This document provides a guide to the structures within the Department of Geological and Atmospheric Sciences for faculty and staff participation in the administration process. This document should be reviewed (at least every other year) and updated regularly to reflect current practices and procedures.
 - a. The document identifies various roles and procedures to be followed in formulating decisions and implementing policies when such policies are not already established by higher level documents. In many instances, policies and or guidance regarding promotion, tenure, advancement, and hiring, for example, are already in place above the Departmental level and need to be followed.
 - 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 regularly budgeted tenured and tenure-eligible (TTE) and term faculty holding primary appointments in the Department.
 - g. All other units and personnel of the University are referred to by their full name.
 - h. There are some departmental committees, service, decisions, and activities where program affiliation are to be considered. Faculty will have at least one primary program affiliation in the Department to be negotiated between the Chair and the faculty member and specified in the institutional service section of the faculty member's PRS.

II. STATEMENT OF VALUES

The Department values the concepts of shared governance, freedom of expression, maintaining collegiality and promoting inclusiveness. All faculty share the responsibility of participating in Department and Program meetings and working to improve the Department, the College, and the University. While conducting our work at the University and within the Department, we will adhere to the Principles of Community and our Department's [Diversity, Equity, and Inclusion \(DEI\) Plan](#).

The Department is committed to building, supporting, and maintaining a diverse, equitable, and inclusive environment. We seek to value the contributions of diverse individuals within our department with regards to race, ethnicity, religious beliefs and national origin, gender identity and expression, sex, sexual orientation, age, class, veteran status and body type, and acknowledge that diverse identities can intersect in individuals. We believe that a more inclusive and diverse department will

make us stronger and more effective at achieving our mission. Achieving an inclusive departmental environment involves valuing diverse perspectives and inviting diverse contributions.

All faculty members have obligations that derive from common membership in the community of scholars. Civility in all interactions is required. Faculty members do not exploit, intimidate, harass, or discriminate against others. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas, faculty members show due respect for the opinions of others. They strive to be objective in their professional judgment of colleagues. Faculty members accept their share of responsibilities for fulfilling the teaching, research, and service missions of the Department.

III. 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 interdisciplinary problems related to the Earth sciences. As a basis for this mission, the Department maintains strength in fundamental topics of geology, meteorology and climate science 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 and its climate. 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.

IV. 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 professional and scientific staff, and participate in the promotion and tenure process, as described in promotion and tenure procedures;
- b. 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;
- c. responsibly manage the Departmental budget and expenditures from the various Department accounts, and keep the Faculty informed about the state of the Department's finances;
- d. see that the routine administrative functions of the Department office are performed in a timely and efficient manner;
- e. oversee regular communication with Department alumni;
- f. maintain a confidential archive of Chair and Department documents that will form a record of Chair decisions and activities and assist subsequent chairs to carry out the responsibilities of the position; 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.
- b. If the Chair wishes to serve another term, they will inform the Dean and the Faculty in the spring prior to the final year of appointment. Typically, the Dean will visit the Department and seek input for extending the term of the Chair.
- c. If the Chair does not wish to extend their appointment, the Faculty will be informed in the spring before the start of the Chair's final year. The Faculty shall then meet to discuss whether or not to request searching for a candidate outside the University for the next Chair.
- d. The Department follows College and University Human Resources (UHR) guidance for searching and selecting the next Chair.
 - i. A Chair Search Committee will be appointed with one member of the committee appointed the chairperson.
 - ii. Candidates will be determined using procedures established by UHR.
 - iii. Candidates will have the opportunity to present their vision for the Department and answer questions.
 - iv. Collection of Faculty input will be coordinated by the Search Committee under the direction of the College.
- e. The Dean will select the new Chair.

B. Associate Chairs

1. Two Associate Chairs, along with the Chair, will form the leadership team of the Department.
2. The primary responsibilities of the Associate Chairs include, but are not limited to:
 - a. assist the Chair to advance goals and initiatives of the Department consistent with the Department's Mission Statement;
 - b. assist the chair with the day-to-day operations of a program(s) in the Department, as needed and upon consultation with the Chair;
 - c. serve as Acting Chair when the Chair is unavailable, as requested by the Chair;
 - d. serve as ex officio members of the Faculty Evaluation Committee.

3. Selection of the Associate Chairs:
 - a. The Associate Chairs serve as representatives of all the academic programs in the Department. Thus, each Associate Chair must have appropriate experience with at least one program and Associate Chairs must be selected such that each program has representation on the leadership team.
 - b. The Chair will nominate the Associate Chairs and faculty will confirm the nomination by vote.
 - c. Associate Chairs shall serve a renewable three-year term.

C. Committees

1. Standing committees of the Department are the following:
 - a. Faculty Evaluation
 - i. This committee shall consist of four members. The committee consists of two TTE faculty members and one term faculty member nominated by the Chair and confirmed by vote of the Faculty. One of the Associate Chairs is included as an ex officio member.
 - ii. If the nominated committee does not receive a majority approval from the Faculty, the Chair will propose a new committee, which shall then be presented to the Faculty for confirmation on, etc.
 - iii. Nominated members serve one- to two-year terms on a staggered schedule such that at least one person rotates off the committee each year. The ex officio member (Associate Chair) will serve two years and then rotate with the other Associate Chair.
 - iv. This committee updates the Departmental Faculty Evaluation Form, reviews each faculty member's annual Faculty Evaluation Form, and prepares a brief summary of faculty performance as directed by the Chair. This committee also advises the chair on term faculty reappointment.
 - b. Curriculum
 - iii. The Curriculum Committee is charged with general oversight of curriculum for all academic programs within the Department and works under educational philosophies established in the Departmental Mission Statement.
 - iv. This committee shall consist of six faculty, with each of the Department's academic programs represented among the members.
 - v. The committee members will be selected by the Chair and the Faculty will confirm the committee at least every three years or when committee membership changes, whichever is sooner. If the committee does not receive a majority approval from the Faculty, the Chair will propose a new committee, which shall then be presented to the Faculty for confirmation, etc.
 - vi. The committee or its chair handles routine matters such as required approvals on various University forms, background data collection for necessary reports and studies, catalog edits, etc.
 - vii. For major changes to a specific academic program - e.g. decisions regarding change in credit hours required for a major; changes in degree requirements; addition or removal of courses - the committee must, at a minimum, consult the Faculty affiliated with that program and any Faculty member whose course assignment may be impacted by the decision. If the impacted Faculty member disagrees with the committee decision, a meeting shall be called of the Faculty to hear the issue and a vote will be held.
 - viii. Any major changes in programs or policies that impact the department broadly – e.g. addition or deletion of a certificate or degree program – must be brought to the Faculty for a vote.

- ix. Any faculty member shall have the right to present a particular curriculum issue of their concern to the committee and, in case of disagreement, to the Faculty for a vote.
- c. Diversity, Equity, and Inclusion (DEI)
- i. The committee shall consist of a Chair nominated by the Department Chair, and faculty representation from all programs, and should include student (graduate and/or undergraduate) representatives.
 - ii. The committee facilitates the development and implementation of departmental, college, and university strategies to increase, support, and maintain diversity, equity, and inclusion within the department.
 - iii. The committee Chair will serve as a coordinator and liaison with other Department, College, and University diversity committees; will advocate for the Department at College and University DEI meetings; and will communicate with the Department regarding College and University DEI initiatives and campus events related to DEI.
 - iv. The committee will serve as advisors to the Chair and other committees to ensure that departmental activities and policies comply with the requirements of the University's [Policy Library](#), and the DEI policies in the [Faculty Handbook](#), as well as adhering to the Department's [DEI Plan](#).
- 2. The Chair shall form additional committees as needed to govern the Department.
 - 3. All committees will report a summary of committee activities to the Faculty at least once per academic year and more frequently as necessary.

D. Individual Positions

- 1. Director of Graduate Education (DOGE)
 - b. A DOGE shall be appointed for each graduate program by the Chair and must be a member of the graduate faculty.
 - c. Responsibilities of the DOGE include: coordinating and overseeing the administration of their assigned graduate degree program, acting as a liaison between the Graduate College and the graduate program, and relaying relevant information from the College and the Graduate College – e.g. scholarships; policy changes, etc. - to the faculty and graduate students as needed.
 - d. The DOGE ensures that graduate students meet the academic requirements of the program. This includes approval of program of study committee (POSC) forms, and assuring that faculty advisers complete the annual graduate student evaluations for students enrolled within the program(s) under the DOGE's responsibility.
 - e. For additional policies and responsibilities regarding the DOGE see Section A.1.3 of the [Graduate College Handbook](#).
- 2. The Chair shall assign other individual position as needed to govern the Department or represent the Department in stakeholder affairs and on College, and University committees.

V. VOTING ELIGIBILITY AND PROCEDURES

1. A majority of the Faculty not on leave must participate for a vote to be binding. Faculty on official leave have the right to participate in Departmental votes if they notify the Chair of their intention to participate.
2. Except where otherwise specified, all voting outcomes are determined by a simple majority.
3. Term faculty are eligible to vote on all Departmental matters except those related to the evaluation of faculty with a research appointment (e.g., promotion and tenure of TTE faculty) in accordance with College and University policies.

VI. HIRING PROCEDURES

1. Hiring of all Faculty must adhere to University and College policies and procedures and guidelines provided by University Human Resources.
2. Department Search Committee
 - a. The Chair will appoint a Search Committee for all faculty openings.
 - b. The Search Committee will develop a position description in consultation with the Department Chair and University Human Resources.
 - c. The Chair and Search Committee will advertise for candidates.
The Search Committee will review all applicants following University guidelines.
 - d. For candidates receiving multi-year contracts:
 - i. The committee shall recommend to the Faculty a slate of candidates for interview by the Department. The Faculty will vote by secret ballot on the slate of candidates for interview. If the majority vote on the slate is negative, the chair of the Search Committee will elicit the reasons for the negative vote. A new slate of candidates for interview will then be assembled and will be voted on by the Faculty. This process will continue until a suitable slate of candidates is identified.
 - ii. Following interviews, Faculty will vote by secret ballot to rank the candidates for an open position. The highest ranked candidate will be offered the position, subject to the approval of the Dean.
 - iii. Any member of the Search Committee who is not a member of the Faculty will not be able to participate in the Department vote.
3. For candidates receiving contracts of one-year or less duration, the Search Committee and the Chair shall choose the slate of interviewees, conduct the interviews, and forward a recommendation to the Dean.
4. Partner/opportunity hires will follow procedures outlined at <https://www.provost.iastate.edu/faculty-success/work-life/partner-spousal-accommodation>.
 - a. The position description for partner/opportunity hires will be presented to the Faculty for confirmation prior to the formal interview of the candidate.
 - b. Following the interview, Faculty will vote by secret ballot to support or oppose hiring the candidate. The results of the vote will be forwarded to the Dean by the Chair.

VII. FACULTY APPOINTMENTS

A. Tenured and Tenure-Eligible Faculty

1. Tenured and tenure-eligible appointments are regularly budgeted positions at any rank and account for most faculty appointments. The minimum qualification for tenured and tenure eligible faculty appointments is a Ph.D. degree.
2. Candidates who do not meet these minimum standards will not be considered for a faculty appointment unless the Department deems it necessary to seek a waiver for a candidate who does not have the stated minimum qualifications. The search committee and the Department Chair will determine whether or not a waiver should be sought and, if so, will submit the question to the Department. If a majority of the Faculty vote in favor, the Chair will forward a waiver request to the Dean. In the case of faculty appointments where no search committee was used, the Department Chair, and the Associate Chairs will meet to consider whether to proceed with the request for a waiver. If a majority of that group decides to proceed, the request will be made, with a justification for the waiver, to the Dean. The Dean may recommend to the Provost that a waiver be granted.
3. 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 the [Faculty Handbook](#).
4. A tenure-eligible appointment for a specified term is a probationary period of service leading to tenure.
 - a. The length of the probationary period is specified at the time of initial appointment, but may not exceed seven years, except in cases of part-time tenure-eligible appointments and in cases of approved extension of the tenure-clock.
 - b. In consultation with the candidate, the Chair shall designate a faculty mentor for the candidate at the time of the candidate's appointment.
 - c. For other policies regarding tenured and tenure-eligible appointments are covered in section 3.3.1 of the [Faculty Handbook](#).

B. Joint Appointments

A faculty member may hold an appointment in more than one academic department. For policies regarding joint appointments, see Section 3.3.5 of the [Faculty Handbook](#).

C. Term Faculty

1. Term faculty are non-tenure-eligible faculty eligible for renewal based upon the quality of performance, available funding, and the continuing needs of the Department.

2. Term Faculty are those individuals employed by Iowa State University who hold limited term, full, or part-time renewable appointments that are not eligible for tenure and are subject to approval by the department, college, and provost.
3. All term faculty appointments are subject to guidelines from the College and in the University Policy Library, including the [Faculty Handbook](#). Section 3.2 describes aspects of term faculty appointments.
4. Term faculty titles available for use by the Department are:
 - a. Teaching faculty
 - b. Practice Faculty
 - c. Research Faculty
 - d. Adjunct Faculty
5. Teaching Faculty
 - a. Teaching faculty contribute primarily to the teaching mission of the university and must devote at least 75% of their time to instruction, advising, curriculum coordination and other responsibilities related to the teaching mission. Consequently, no more than 25% of their time can be devoted to all other responsibilities including scholarship. This limit does not apply to summer funding.
 - b. The minimum qualifications for Term Teaching Faculty is an M.S. degree. Candidates who do not meet the minimum qualifications will not be considered for a faculty appointment unless the Department deems it necessary to seek a waiver for a candidate who does not have the stated minimum qualifications. The search committee and the Department Chair will determine whether or not a waiver should be sought and, if so, will submit the question to the Department. If a majority of the Faculty vote in favor, the Chair will forward a waiver request to the Dean. In the case of faculty appointments where no search committee was used, the Department Chair, and Associate Chairs will meet to consider whether to proceed with the request for a waiver. If a majority of that group decides to proceed, the request will be made, with a justification for the waiver, to the Dean.
6. Practice Faculty
 - a. The Department may occasionally employ Assistant Professors of Practice, Associate Professors of Practice, or Professors of Practice. Professor of Practice faculty must have significant relevant professional experience outside of academia that qualify them to make a contribution to instruction and/or advising.
 - b. Additional policies and guidelines regarding practice faculty can be found in Section 3.3.2 of the [Faculty Handbook](#).
7. Research Faculty
 - a. The Department may occasionally employ Research Assistant Professors, Research Associate Professors, or Research Professors. Appointments as Research Assistant Professor, Research Associate Professor, or Research Professor will be governed by the College guidelines and the [Faculty Handbook](#).
 - b. Minimum Qualifications. Individuals holding a research position within the Department must hold a Ph.D. (or equivalent) degree.
 - c. Additional policies and guidelines regarding research faculty positions can be found in Section 3.3.2 of the [Faculty Handbook](#).

8. Adjunct Faculty
 - a. The Department may occasionally employ Adjunct Assistant Professors, Adjunct Associate Professors, or Adjunct Professors.
 - b. Minimum qualifications. Individuals holding an adjunct position within the Department must hold a Ph.D. (or equivalent) degree.
 - c. Appointments under this category may be appropriate in facilitating the University's quest to hire and retain excellent faculty, including dual-career couples, as well as to carve out new areas of academic expertise, and attract experts on extramural grants and contracts. Adjunct faculty are typically not focused on one area of faculty responsibility.
 - d. Additional policies and guidelines regarding adjunct faculty positions can be found in Section 3.3.2 of the [Faculty Handbook](#).

VIII. FACULTY POSITION RESPONSIBILITIES

A. Policy

1. Each Faculty member shall have a Position Responsibility Statement (PRS) drafted in accordance to guidelines provided by the College and outlined in Section 3.4 of the [Faculty Handbook](#). The PRS is normally drafted according to a standardized template provided by the College.
2. The PRS can be reviewed at any time by the faculty member and the Chair and modified to allow for the changing nature of faculty appointments and Department needs.
3. Formal review of every PRS will occur at the interval specified by the College or the Office of the Vice President and Provost, and outlined in the [Faculty Handbook](#), typically every five years.
4. Modifications of the PRS must be done in accordance with the [Faculty Handbook](#).
5. The PRS cannot be changed unilaterally by either party.

B. PRS Mediation

Procedures outlined in the [Faculty Handbook](#) Section 3.4.4 shall be followed if an agreement cannot be reached regarding a PRS dispute.

IX. FACULTY PERFORMANCE EVALUATION

A. Annual Review

1. All faculty members (tenured, tenure-track, term, whether fulltime or part-time) except the Department Chair will be evaluated annually for performance appraisal and development on the basis of their Position Responsibility Statement as per Section 5.1.1.2 of the Faculty Handbook.
2. Annual Faculty reviews are conducted by the Chair and assisted by the Faculty Evaluation Committee.
3. Each faculty member will use the Department's Faculty Evaluation Form to report their

productivity for the review period and to provide evidence of their performance in areas of their PRS.

4. Faculty with a research appointment on their PRS will document their effort on publications, proposals, and grants, which may include (but not be limited to): conceptualization, writing, analysis, project administration, student supervision, etc.
5. The Chair and Faculty Evaluation Committee are responsible for updating the Faculty Evaluation Form and providing it to the Faculty by the start of the spring semester. .
6. The Faculty Evaluation Committee assists the Chair in evaluating each faculty member's performance in the areas of their PRS. It is the Chair's responsibility to assess whether the faculty member's performance is satisfactory or unsatisfactory.
7. 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. The annual evaluation meeting may include a review of the faculty member's PRS and any action plans from the previous post-tenure review or annual performance evaluation. The review should also include a discussion of whether the faculty member is ready to apply for tenure and/or promotion, if relevant.
8. The Chair is reviewed separately, following procedures in Section IX.

B. Preliminary Review of Probationary Tenure-Eligible Faculty

1. Individuals new to the University customarily are hired on a three-year probationary appointment and typically reviewed by the third year of their appointment as outlined in Section 5.1.1.3 of the [*Faculty Handbook*](#).
 - 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. The preliminary 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. A second preliminary review will occur in the sixth year unless a P&T review will take place in the subsequent year.
2. The review will follow these steps:
 - a. By beginning of fall semester of the candidate's third full 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 faculty 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. 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 follows section 5.2.1.4 of the [Faculty Handbook](#).

D. Promotion and Tenure Review

1. The evaluation for promotion and/or tenure initially takes place within the Department, with review at each administrative level above the Department.

2. The evaluation procedures shall adhere to section 5.2.4 of the [Faculty Handbook](#) and policies and best practices developed by the College.

3. University-wide standards for P&T are outlined in section 5.2.2 of the [Faculty Handbook](#). Examples of methods by which scholarship within each area of faculty responsibility communicated and evaluated are provided there, but are expanded upon here based on the nature of scholarly work in the Department.

- a. Evaluation of a faculty member for promotion and/or tenure is based primarily on evidence of scholarship in the faculty member's teaching, research/creative activities, and/or extension/professional practice. Extension/professional practice is generally not a part of PRS in the Department.
- b. A key tool in the promotion and tenure review process is the individual's current PRS, which is used by evaluators to interpret the extent, balance, and scope of the candidate's scholarly achievements.
- c. Scholarship results in a product that is shared with others and is subject to the criticism of individuals qualified to judge the product.
 - i. In the Department, scholarly research products are generally peer-reviewed publications and supporting one's research program with grants.
 - ii. In the Department, scholarly teaching products are generally credit courses, directing undergraduate and graduate research and/or theses, serving on graduate students' committees, and mentoring undergraduate and graduate students, and/or post-doctoral associates.
- d. To be promoted and/or tenured, faculty members are expected to have been involved in institutional service. The Department expects the candidate to demonstrate professional service in local, national, and/or international societies and organizations.

4. The [Faculty Handbook](#) section 5.2.3 details the qualifications for assistant professors, associate professor (and/or tenure) and professors.

E. Promotion and Tenure Procedures

1. The Department follows Procedures for Promotion and Tenure Review outlined in section 5.2.4 of the [Faculty Handbook](#). The Provost Office maintains a [library of best practices](#) for P&T for candidates and departments. The College regularly updates its Documents Library, which includes the LAS Review Dossier Template (Tabs 1 & 2), LAS policies and procedures for P&T, as well as best practices for P&T. In all cases, evaluation for promotion and tenure needs to consider the individual's PRS when evaluating performance in scholarship following standards described in the Faculty Handbook Section 5.2.2.2.1 and the LAS Governance Section 4.2.

2. Selection of candidates for P&T

- 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.

3. 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, in consultation with the candidate, an *ad hoc* P&T Committee to evaluate the candidate's promotion and/or tenure case, present the case to the eligible voting faculty, and draft the departmental report.
- b. The P&T Committee shall consist of three members of the tenured faculty at a rank higher than the candidate. Whenever possible, at least one member should be selected outside the candidate's main area of expertise. For tenure-eligible faculty at the assistant level, the P&T Committee shall be formed within the first year of employment, with one member being the candidate's faculty mentor. For tenure-eligible faculty at the associate level, the committee shall be formed in the semester preceding the promotion review. At the request of the candidate, the committee member, or Chair, the membership of the P&T Committee can be altered at any time prior to the promotion review by the Department.
- c. No faculty member with a perceived conflict of interest according to University policies and procedures shall serve on the P&T Committee.
- d. In cases of promotion with tenure, the chair of the committee will be the faculty mentor. In cases of promotion from associate to full, the chair of the committee will be selected by the Chair in consultation with the candidate.
- e. It is the responsibility of the P&T committee, led by the committee chair, to:
 - i. become thoroughly familiar with the professional activities of the candidate;
 - ii. seek teaching evaluations to be included in the candidate's file;
 - iii. advise the candidate in preparing the documentation;
 - iv. develop a list of external reviewers in consultation with the department chair, and solicit their evaluations; and
 - v. present the documentation and the committee's assessment to the eligible voting faculty.
- f. When necessary, the Chair will appoint one or more additional P&T committee members from outside the Department in order to provide better representation of the candidate.

- f. To obtain a list of external reviewers:
 - i. The candidate provides a list of potential external reviewers to the Chair and P&T Committee.
 - ii. The candidate also provides a list of evaluators with potential conflicts of interest.
 - iii. The P&T Committee develops an initial list of external reviewers taking into consideration the candidate's list. Suggestions for external reviewers may also be solicited from the eligible voting faculty.
 - iv. In consultation with the Chair, the P&T Committee 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.

7. P&T review meeting of the eligible voting faculty

- a. Promotion and tenure voting procedures must follow sec. 5.2.4.1 in the [Faculty Handbook](#), including procedures to avoid double voting.
- b. The chair will call a meeting of the eligible voting faculty at which the eligible voting faculty will review the case and vote on a recommendation to grant or withhold promotion and/or tenure. The chair of the P&T committee will lead the meeting.
- c. Eligible voting faculty are expected to attend the P&T meeting unless on leave and a quorum is required at the P&T meeting for the process to continue. If a faculty member is unable to attend the meeting, he/she must inform the Chair of the expected absence well in advance of the meeting. Whether present at the meeting or not, all eligible faculty (including faculty on leave who choose to participate in the vote) are expected to vote on promotion cases within 24 hours of the meeting.
- d. For promotion and tenure decisions, a quorum is defined as two-thirds of the eligible voting faculty.
- e. For the purposes of determining quorums, reporting the voting outcome, and the faculty's assessment of the candidate, the P&T committee members shall be included within the eligible voting faculty membership.
- f. Faculty members with sufficient justification may remove themselves from the 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.
- g. All votes will be collected by anonymous survey, which includes options such as paper ballots or electronic surveys. Voting results will be verified by both the Chair and the chair of the P&T Committee.
- h. A majority vote of the eligible voting faculty in favor of promotion and/or tenure results in a recommendation for tenure and/or promotion.
- i. The P&T Committee will prepare a report containing a positive or negative recommendation to grant tenure (and/or promote) to the candidate along with sufficient justification. This report will be provided to the eligible voting faculty for input. The final report will be forwarded to the Chair by a deadline designated by the Chair.

8. Role of the Chair in the Department promotion and tenure review process

- a. The Chair does not vote with the eligible voting faculty.
- b. The Chair will submit a separate evaluation for the candidate, which will be in Tab 3 of the candidate's dossier.

- c. The Chair shall submit the dossier to the College by the designated deadline.
9. Procedures for the notification of the results of the reviews
 - a. The Chair will notify each candidate of the results of the eligible voting faculty's review and vote within one week after the vote.
 - b. Candidates not receiving a majority positive vote from the eligible voting faculty 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 the P&T committee and must receive at least a 2/3 vote of approval from the eligible voting faculty (combined P&T committee and eligible voting faculty) before it is given to the candidate.
 - d. The chair shall conduct an independent review of the case and inform the candidate of his/her decision for recommendation for or against promotion and/or tenure prior to submitting the package to the College.
 10. Appeals
 - a. The candidate can appeal the vote of the eligible voting faculty 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 meeting with the eligible voting faculty to obtain 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](#) section 5.2.4.4.5.
 11. 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.
 12. The candidate may request that a recommendation not be forwarded to the College.
 13. Timeline should always follow university policy and is therefore subject to change. The Chair shall set deadlines for submission of P&T materials according to deadlines set by the College, Provost, and the Board of Regents and notify the candidate of the relevant deadlines as soon as possible in the semester preceding the tenure and promotion review. The following is an approximate timeline for the P&T process:
 - a. Mid Spring semester prior to P&T review year: Candidates for P&T evaluation are determined.
 - b. Mid Spring semester prior to P&T review year: The P&T Committee and committee chair are informed of the candidate's desire to be reviewed for promotion (See Section E.3 for committee selection).
 - c. End of April: the candidate provides a list of potential external reviewers and reviewers with potential conflicts of interest.
 - d. Early May: The P&T Committee chair finalizes the list of external reviewers.
 - e. Mid July: The P&T Committee chair receives LAS Review Dossier (Tabs 1 & 2) and supporting documents from the candidate.
 - f. By August 1: The P&T Committee chair sends candidate's documentation to the external reviewers.

- g. By end of September: The candidate presents a research seminar as part of the department's seminar series. The seminar should be designed to inform the faculty of the candidate's research focus and accomplishments.
- h. September 1: The P&T Committee receives letters from external reviewers.
- i. 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 eligible voting faculty and the Chair.
- j. By the first week in November: Eligible voting faculty meet to discuss the case and vote by secret ballot on recommendation for or against tenure and/or promotion.
- k. Within one week after the vote: The Chair informs the candidate of the outcome of the vote.
- l. Within one week after the vote: The P&T Committee prepares an evaluation report (Tab 3).
- m. By November 15: The candidate can appeal the eligible voting faculty's vote.
- n. By November 15: The factual information in the dossier (Tabs 1 & 2) can be reviewed and amended by the candidate.
- o. Prior to a date given by the College (typically the Monday after Thanksgiving): The Chair prepares a separate evaluation report and informs the candidate about the outcome of his/her evaluation.
- p. Prior to a date given by the College (typically the Monday after Thanksgiving): The Chair forwards the final documents (Tabs 1, 2, 3 and 5) 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 (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.

3. Post tenure reviews will be based on examination of

- a. the most recent annual evaluations;
- b. the faculty member's Faculty Evaluation Forms spanning the review period;
- c. the faculty member's PRS during the review period;
- d. the faculty member's CV; and
- e. additional appropriate information the faculty member wishes to include (e.g., copies of scholarship, narratives of teaching and research, etc).

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 as determined by the faculty member's PRS.

5. In accordance with the [Faculty Handbook Section 5.3.4.2](#), 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 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):
 - a. Review the post-tenure review report submitted.
 - b. 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.
 - c. Discuss the post-tenure review report and its recommendations with the reviewed faculty member.
 - d. 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.
 - e. Forward post-tenure review materials to the college.

7. 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):
 - a. 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](#)).
 - b. 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](#)).
 - c. 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.

8. The post-tenure review will otherwise follow The Post-Tenure Review Policy in the [Faculty Handbook](#), section 5.3.4.

G. Teaching Term Faculty Reappointment

1. Criteria for renewal

The criteria for renewal of term faculty appointments are positive performance of the responsibilities identified in the PRS, continuing departmental need, and availability of funds. When evaluated for re-appointment, term faculty shall have teaching evaluated with the same methods and metrics as those used to evaluate teaching for TTE faculty.

2. Renewal Procedure

a. Renewal Procedure for One Year Contracts.

Lecturers are appointed for one year or less. Contracts are renewable for up to three years of continuous service with approval of the College.

- i. During a lecturer's first two contract years, the Chair (or a designee), in consultation with the Associate Chairs, may make a renewal recommendation to the College taking into account the criteria for renewal.
- ii. Lecturers may only be renewed for up to three years of continuous service. After three years of continuous services, lecturers may be offered a three-year contract as Assistant Teaching Professors based on Department staffing needs, availability of funds, positive performance reviews, and majority approval of the faculty.

b. Renewal Procedure for Multiyear Contracts.

Term faculty at the Assistant Rank or higher are appointed and renewed for multiyear contracts with the approval of the College.

- i. Term professors at all ranks are reviewed for reappointment by the Faculty Evaluation Committee and the Chair as follows:
 - a. The committee reviews the candidate's material.
 - b. The committee votes for or against recommendation for reappointment based on performance in the area of teaching as defined in the candidate's PRS.
 - c. The committee prepares a written report summarizing the performance assessment, vote, and recommendation regarding contract renewal.
 - d. The report is forwarded to the Chair.
 - e. The Chair conducts a separate evaluation taking into account the committee's recommendation, the faculty member's performance, ongoing need of the department, and availability of funds.
 - f. The Chair forward a recommendation for or against renewal to the College.
 - g. The Chair notifies the candidate of the results of the review.
- ii. Reappointments of term professors to a contract of duration greater than the most recent appointment requires an additional vote by the voting faculty not already serving on the committee. In such cases, the Faculty Evaluation Committee shall provide to the faculty a summary of the performance assessment, the candidate's annual Faculty Evaluation forms spanning the period of review, and peer evaluations of teaching. The Chair shall take both votes into consideration.

3. Timing of notification of renewal or non-renewal

In accordance with the University Policies and Procedures as outlined in the [Faculty Handbook](#), the department chair must notify term faculty of renewal or non-renewal of their appointment as follows:

- a. Lecturers must be given a three-month notice of intent not to renew when in the first or second year of continuous employment.

- b. Lecturers must be notified of an intent to renew or not renew by February 15 during their third year of continuous employment.
- c. Assistant and Associate Teaching Professors have contracts of three years and must be reviewed in the second year of their contract. Assistant and Associate Teaching Professors must be notified of an intent to renew or not renew by the end of their second year.
- d. Teaching Professors have contracts of five years and must be reviewed in their fourth year. Teaching professors must be notified of an intent to renew or not renew by the end of their fourth year.

4. Material

- a. Term teaching professors of all ranks being reviewed for renewal to another multi-year contract should submit the following materials in the early spring of the penultimate years of their contracts, or as directed by the Chair:
 - 1) Current vitae
 - 2) Annual Faculty Evaluation forms
 - 3) Annual performance evaluation memos from the department chair
 - 4) Peer reviews of teaching. Peer reviews of teaching should provide an assessment of in-class effectiveness, clarity of syllabus and Canvas, a review of appropriateness of class assessments.
 - 5) Narrative of teaching effort, effectiveness, and impact (optional)

Items 2-5 must be selected to represent the candidate's assignments during the period of review.

- b. Lecturers being reviewed for renewal to another one-year term, shall submit the following in early spring of the penultimate year of their contracts, or as directed by the Chair:
 - 1) Most recent annual Faculty Evaluation form.
 - 2) Student course climate surveys covering the period of review.
 - 3) Annual performance evaluation memos from the department chair covering the period of review.

H. Teaching Term Faculty Advancement to Associate Teaching Professor and Teaching Professor

1. Term Faculty Advancement Committee

- a. All faculty (tenured and term) at the rank at or above the rank being considered shall serve on the Term Faculty Advancement Committee (FH 5.4.1.3).

2. When evaluated for advancement, teaching term faculty shall have teaching evaluated with the same methods and metrics as those used to evaluate teaching for TTE faculty.

3. Advancement to Associate Teaching Professor or Teaching Professor

- a. Assistant and Associate Teaching Professors are eligible for advancement according to the timeline and criteria described in the [Faculty Handbook](#) and LAS Governance (Section 5.3.2).
- b. Advancement requires review by the Term Faculty Advancement Committee.
 - i. The candidate shall ask for a faculty mentor to assist the candidate in the review process.
 - ii. The faculty mentor presents the candidate's dossier to the advancement committee.

- c. For advancement, the candidate must address the criteria outlined in the [Faculty Handbook](#) and LAS Policy on Term Faculty and include in their dossier appropriate documentation:
- d. Documentation following the latest LAS Term Faculty Advancement Template, available at the College web site.
 - i. Peer reviews of teaching. Peer reviews of teaching should provide an assessment of in-class effectiveness, review of syllabus, course content within the LMS, and a review of appropriateness of class assessments.

4. Voting and Approval

- a. Committee votes by secret ballot for or against recommendation for advancement.
- b. The committee, led by the faculty mentor, produces an evaluative report of the promotion case. In the event the vote is negative, the committee will suggest how the candidate might prepare for a future promotion review.
- c. The results of the vote and the evaluative report are forwarded to the Chair.
- d. The Chair must approve all advancements prior to forwarding them for College and University approval.
- e. The Chair notifies the candidate of the results of the review.

I. Reappointment and Advancement for Research, Adjunct and Practice Faculty

1. Research, Adjunct, and Practice Faculty Reappointment

- a. Reappointment of term faculty is based on performance according to the PRS, availability of funding, and continuing need.
- b. For reappointment, the candidate must demonstrate productivity commensurate with Faculty of the same rank in the areas defined in their PRS. The candidate should submit for review their annual productivity reports, curriculum vitae, and any additional information they deem appropriate to demonstrate their contributions to the Department, the College, or the University, such as relevant publications and external funding, consistent with their PRS.
- c. Reappointment reviews are conducted by the Faculty Evaluation Committee. The committee will base its recommendation on Department needs and resources and on the performance by the candidate of the duties outlined in the PRS. Recommendation for or against renewal is forwarded to the Chair.

2. Research, Adjunct, and Practice Faculty Advancement

- a. Persons holding the title of either Research, Adjunct, or Practice Faculty at the ranks of Assistant Professor or Associate Professor may be considered advancement to higher rank according to the timeline and criteria described in the [Faculty Handbook](#) and LAS Governance (Section 5.3.2).
- b. The Term Faculty Advancement Committee shall consist of all Faculty at rank higher than the candidate. Cases in which the candidate's PRS includes research responsibilities, only Faculty with a research appointment will serve on the advancement committee as per LAS policy.
- c. The candidate for advancement submits the LAS Term Faculty Advancement Template.
 - i. The candidate shall ask for a faculty mentor to assist the candidate in the review process
 - ii. The faculty mentor presents the candidate's dossier to the advancement committee

3. Voting and Approval

- a. The advancement committee votes by secret ballot for or against recommendation for advancement.

- b. The committee, led by the faculty mentor, produces an evaluative report of the promotion case. In the event the vote is negative, the committee will suggest how the candidate might prepare for a future promotion review.
- c. The results of the vote and the evaluative report are forwarded to the Chair.
- d. The Chair must approve all advancements prior to forwarding them for College and University approval.
- e. The Chair notifies the candidate of the results of the review.

X. ANNUAL FACULTY FEEDBACK TO THE CHAIR

1. The Chair is evaluated annually by the Dean.
2. The Faculty provide annual feedback to the Chair on the basis of the Chair's PRS and the Chair's activities in the past calendar year.
3. The Faculty Evaluations Committee will produce a written report of the annual faculty feedback to the Chair based on:
 - a. a self-assessment by the Chair that is distributed to the Faculty;
 - b. the Chair's PRS and percentages that are distributed to the Faculty;
 - c. anonymous survey of the Faculty;
 - d. a meeting of the Faculty to discuss the quantitative survey results and summary of comments and determine the contents of the report;
 - e. editorial input on the report from the Faculty.
4. The committee will provide the report to the Chair, as well as quantitative survey results, and discuss the faculty suggestions with the Chair. A final copy of the report will be forwarded to the Dean and held in the Chair's Departmental personnel file. The unedited anonymous survey comments will be shared with the Dean.
5. Individual faculty are welcome to write their own minority reports or request to meet with the Dean regarding the Chair's performance.

XI. 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. Evaluations of Courses by Students

1. Electronic copies of course evaluations by students will be retained in a Department file.
2. The files will be open to members of the Faculty at the discretion of the Chair.

E. 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.

F. Student Records

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

XII. GRIEVANCE PROCEDURES

1. The Department follows the grievance procedures stipulated in Chapter 9 of the [Faculty Handbook](#) and other documents in the [University Policy Library](#).
2. Procedures involving students shall be consistent with those described in the student section of the [University Policy Library](#).

XIII. PROCEDURE FOR AMENDING THE GOVERNANCE DOCUMENT

1. Any faculty 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 (during the academic year) to discuss the proposal and approve by anonymous vote.

3. The proposal is approved if it receives at least a $2/3$ affirmative vote of the Faculty.