

Department of Plant Pathology, Entomology, and Microbiology Governance Document (Feb2022)

This document establishes the basic rules for governance within the Department of Plant Pathology, Entomology & Microbiology. In the event that the rules and policies in this document conflict with those of the College of Agriculture and Life Sciences (CALs), Iowa State University (ISU), or Board of Regents (BOR), the policies of CALs, ISU and/or BOR shall prevail.

I. DEPARTMENTAL VISION STATEMENT

Vision: Improve the quality of life in Iowa and the world through the plant, microbial, and entomological sciences

Mission: Discover, educate, and provide outreach on new knowledge in plant, microbial, and entomological sciences

Core values:

- Commit to developing and improving scholarly competence;
- Commit to translating and transmitting knowledge and discoveries to a breadth of audiences;
- Foster a diverse and inclusive culture for education and research;
- Promote intellectual honesty and an environment of free debate and discussion; and
- Share the responsibilities of governance within the department and broader community.

II. DEPARTMENT ADMINISTRATION

The faculty has the authority and responsibility to establish policies governing the administration of the department, including but not limited to, procedures for the hiring and evaluation of personnel, allocation of departmental resources, and the administration of the academic programs.

A. Administrative structure

The authority to decide departmental issues and implement the decisions shall be shared among departmental faculty, staff/postdocs, students, and Department Chair, and is embedded in the administrative structure of the department, as described below:

1. Departmental Executive Officer, who will hold the title of Department Chair.
2. Associate Chair, who will assist the Department Chair in matters related to research and infrastructure.
3. Academic Program Leaders (directors of graduate and undergraduate programs within the department).
4. Standing Committees (appointed by the Department Chair): Curriculum; Infrastructure; Diversity, Equity, and Inclusion; Awards and Honors; Seminars and Lectures; Safety; Social; and Communications.

5. Departmental leaders/representatives (appointed by the Department Chair, as needed): Postdoc Contact and representatives to college committees (e.g., Academic Affairs; Curriculum; Diversity, Equity and Inclusion; P&S Council) and university committees (e.g., Student Accessibility Services; Library Liaison; and University Catalog).
6. Both graduate students and staff shall each have a representative on each of the department's Standing Committees and at least one representative at faculty meetings (graduate student organization(s) and P&S Council representative(s), respectively).
7. Ad hoc (temporary) Committees (formed by the Department Chair, faculty, staff/postdocs or students).
8. Search and Promotion & Tenure Committees (appointed by the Department Chair, as needed).

B. Administrative policies

1. Voting on policies

Policies may be established or modified by a two-thirds affirmative vote of faculty with the right to vote. If the policies involve non-faculty personnel, the faculty should get input from the affected personnel prior to any vote on the policy. Unless otherwise specified in the standard operating procedures (SOPs) of a committee, all members of a Standing Committee or Ad hoc Committee are voting members of the committee. Committees may restrict student members from voting on issues for which access to confidential files is necessary because student access to those files would be inappropriate.

2. Committee membership

Membership on all committees may include faculty, students, staff, postdocs, affiliates, and others as appropriate. Unless otherwise stated, the term of faculty and staff membership on committees is three years, with no limit on the number of renewals. The term of student and postdoc membership on committees is one year, with no limit on the number of renewals.

Standing Committee Chairs must be ISU employees and will be appointed by the Department Chair. Members of Standing Committees are appointed by the Department Chair in consultation with the Committee Chair.

Ad hoc committees can be formed by the Department Chair, faculty, staff, postdocs, or students. The Chair and members of an Ad hoc Committee will be determined by the person or group forming the committee.

3. Committee operations

The purpose of departmental committees is to provide an organizational framework, decision-making guidance, and recommendations to the members of the department.

- a. *Standing Committees*: Each Standing Committee must have a written SOP that specifies the authority and responsibilities of the committee, the person or group to whom the committee

reports, and which recommendations or actions of the committee must be approved by the Department Chair or faculty before action can be taken. Each SOP must be approved by two-thirds of the faculty with the right to vote and must not be in conflict with any other applicable departmental, college, or university policies.

b. *Ad hoc Committees*: Each Ad hoc Committee is responsible for making recommendations to the person or group forming the committee and have the authority to act on their behalf if so requested. Unless specified otherwise in this Governance Document, the SOP for Ad hoc Committees will be determined by the person or group forming the committee. The SOP must not be in conflict with any applicable departmental, college, or university policies.

c. *Search and P&T Committees*: Committees that are involved in making recommendations related to the selection, tenure or promotion of faculty, or the selection of permanent non-clerical staff, require SOPs to assure consistency and fairness in the handling of these sensitive personnel issues. SOPs for such committees shall be created by the faculty and approved by two-thirds of the faculty with the right to vote.

d. *Standard Operating Procedures (SOPs)*

All SOPs should include the following information:

1. Committee composition.
2. Committee purpose or function.
3. Name of the person or group to whom the committee reports.
4. Responsibilities of the committee.
5. The recommended or required frequency of meetings (for Standing Committees).
6. The authority of the committee to make decisions or take actions affecting the department, or to interact in an official capacity with any outside persons, groups or offices.
7. Policies detailing what happens to recommendations brought forward by the committee if the committee has an advisory role.
8. The authority of the Department Chair to act without consulting the committee.
9. The authority of the committee chair to act without consulting the committee, and the authority of the committee to act if the committee chair is not available.
10. Requirements for maintaining records and for confidentiality.

e. *Documentation of policies*

All policies will be described in the Departmental governance document. Committee SOPs will be collated and provided as appendices to the governance document.

4. Committee Restructuring

The Department Chair, the faculty and the committees may initiate the addition, removal, restructuring or review of departmental committees. Decisions regarding changes will be made jointly by the Department Chair and the faculty. If subjected to a vote by eligible faculty, changes will be approved by a simple majority.

III. DEPARTMENT FACULTY PERSONNEL

Faculty appointments are made as tenured, tenure-eligible or term faculty. All types of appointments include the ranks of assistant professor, associate professor and professor, and term faculty also include the rank of lecturer. Term faculty are those individuals employed by ISU who hold limited-term appointments, either full time or part time, which are renewable but are not eligible for tenure, and are subject to approval by the department, college, and university.

- A. **Tenured/Tenure Eligible Faculty:** The types of appointments and policies regarding these appointments are as outlined in sections 3.1 through 3.3.1 of the ISU Faculty Handbook.
- B. **Term Faculty:** Types of term faculty appointments, as well as titles and policy regarding these appointments, are as outlined in section 3.3.2 of the ISU Faculty Handbook. Minimum qualifications for these positions are as described in the ISU College of Agriculture and Life Sciences governance document section titled “Policies for Appointment, Evaluation, Reappointment, and Advancement of Term Faculty”.
- C. **Affiliate faculty:** Affiliate faculty are not salaried or employed by the university but provide academic service to the university in furtherance of the research or graduate education mission of the university. Affiliate faculty are typically employed elsewhere, and in some instances, have their affiliate appointment formally recognized via a cooperative agreement, such as with a government agency (e.g., USDA). Recommendation for the appointment is initiated within the department and must be approved by a simple majority of eligible faculty following a vote, the department chair, and the dean. Appointments may be made for a term of up to five years, and renewal is possible. The conditions of the appointment, including the extent to which the department will provide support services for the individual, are stated in a written Affiliation Agreement signed by both parties at the time of the appointment (this is in lieu of a PRS). An affiliate is not considered to be tenured, and time spent in affiliate status is not considered to be service in a probationary period leading toward tenure. An affiliate faculty member cannot be the instructor of record for a class, but may supervise graduate students if they are members of the Graduate Faculty.
- D. **Visiting faculty:** Visiting faculty are usually faculty at another institution and are appointed at the rank held at that institution; however, visiting faculty may come from business, industry or government. Recommendation for appointment is initiated in the department and must be approved by a simple majority of eligible faculty following a vote, the Department Chair, the Dean, and when appropriate, the International Students and Scholars Office. A visiting faculty appointee may be unpaid or paid. A paid, visiting faculty appointee is an employee of the university, and is generally performing services such as teaching at the university. An employment background check is required for paid, visiting appointments. The initial term of an unpaid or paid visiting appointment is one year or less, with renewal possible for a second and final year. No notification of intent not to renew is required. The person is not considered to be tenured at Iowa State University, nor is the visiting appointment considered to be service in a probationary period leading to tenure. If, however, the individual is subsequently given a regular

appointment following an open recruitment process, continuous time up to one year served in a visiting status may be credited toward completion of the probationary period. Persons holding a paid visiting appointment of one-half time (0.5 FTE) or greater and for nine months duration may, at their option, participate in the University's benefits program.

- E. **Joint Academic Appointments:** Faculty members may hold an appointment in more than one academic department. This appointment requires an offer letter signed by the Department Chairs of both departments, the appropriate Dean(s) and the Senior Vice-President and Provost. One department must be designated as the individual's primary department, with the primary department considered as the home department for purposes of evaluation, review and initiating personnel actions. The role in the secondary department must be stipulated in writing and include a description of the individual's rights with respect to involvement in the governance of the department. Recommendations for promotion and tenure are initiated and submitted by the faculty member's primary department, with the advice of the secondary department. Joint appointments may involve joint budgeting, but the primary department may also fund the faculty member's entire salary. In the latter case, the appointment in the secondary department is sometimes referred to as a courtesy appointment. The PRS should clarify the expectations in each department.
- F. **Courtesy Faculty:** Courtesy appointments are informal appointments in which a faculty member in one department arranges an affiliation with a second department. Recommendations for these appointments are initiated within the department and must be approved by a simple majority of eligible faculty following a vote and by the Department Chair. Courtesy faculty may supervise departmental graduate students if they are members of the Graduate Faculty.

IV. POSITION RESPONSIBILITY STATEMENTS

A. Requirements for a PRS

Each tenured, tenure-eligible, and term faculty member must have a written Position Responsibility Statement (PRS) that describes the responsibilities of the position. For tenured and tenure-eligible faculty, the Department Chair and faculty member should agree on a PRS within six weeks of the first day of work, and it should be based on the job advertisement. This PRS should stand for the first three years of the appointment, and in most cases, will remain in effect until the tenure review. For salaried term faculty, the Department Chair and the faculty member should agree on a PRS that is signed upon the initial appointment, and it should indicate the specific duties for which they are hired.

The PRS should be general and include only the significant responsibilities of the position that are important in evaluating performance, including accomplishments related to the promotion and tenure process or the advancement process. The PRS should allow for flexibility in responsibilities over time and for the changing nature of appointments. The PRS shall not violate the faculty member's academic freedom. If the parties agree to more specific language beyond a general description of areas of position responsibilities, that specific language shall not be understood to be a checklist or constraint on the faculty member's freedom to choose areas and methods of inquiry appropriate to the discipline. The PRS should allow for all parties to understand the basis of the academic appointment and to place that into context within criteria for advancement, promotion and tenure. The PRS should be reviewed on a regular basis and can be changed at any time. Any changes in the PRS must be made in consultation between the Department Chair and the faculty member; the PRS cannot be changed unilaterally by either party. The PRS must be signed and dated by both the faculty member and the Department Chair. The signed and dated copy will be on file in the faculty member's personnel file.

The Department Chair should have a PRS, written by the Department Chair and the Dean, describing the administrative and other departmental responsibilities of the position. This PRS should allow for flexibility in responsibilities over time, should be reviewed on a regular basis, and can be changed at any time in consultation between the Department Chair and the Dean, but cannot be changed unilaterally by either party. The PRS must be signed and dated by both the Department Chair and the Dean, with the signed and dated copy kept on file in the Dean's office. This PRS should be reviewed at least every five years as a part of the annual review process.

V. VOTING PRIVILEGES

A. Continuous voting rights

All tenured, tenure-eligible and salaried full-time term faculty within the department are automatically granted the right to vote on departmental issues ("continuous voting rights"), except as restricted by the department promotion and tenure policies (Section XI). These voting rights are automatically rescinded when a faculty member retires, transfers out of the department, or otherwise ceases to hold a salaried appointment within the department. Voting rights may be granted (or renewed) to other faculty (e.g., Affiliate faculty) within the department for a five-year term. In such cases, these rights will not extend to hiring or budget decisions. Because decisions of the department can have a significant impact on the welfare of its members, the right to vote should not

be granted indiscriminately, but only to those faculty who demonstrate continuing activity within the department and dependence on the department for their professional development.

B. Term voting rights

Affiliate or Courtesy faculty desiring voting rights for a limited term (“term voting rights”) must submit a request in writing to the Department Chair containing their reasons for wanting the right to vote, documentation of their activity within the department, and documentation of their dependence on the department for their professional development. All motions to grant or renew voting rights must be announced at least two weeks before the call for votes. Granting or renewal of voting rights requires an affirmative vote of two-thirds of all faculty with continuous voting rights.

Term voting rights do not include the right to vote on decisions regarding hiring, budgetary matters, promotion or tenure. Term voting rights may be rescinded before the end of a term if a faculty member ceases active participation in departmental activities for a period in excess of 12 months. Rescinding voting rights requires a two-thirds affirmative vote of all faculty with continuous voting rights.

VI. FACULTY MEETINGS

The Department Chair will schedule at least one departmental faculty meeting per month, with additional meetings called as needed, by the Department Chair or by faculty petition. All faculty and staff and student representatives shall be informed about faculty meetings in a timely manner.

To vote on an issue at a faculty meeting, at least half of the faculty with the right to vote (a quorum) must be present. If a quorum is not present, the meeting cannot be called to order. Before an issue can come to a vote, a motion must be made, seconded, and discussed. A paper ballot, electronic ballot, or voice vote may be used to decide issues discussed at faculty meetings.

Motions may be passed by a majority affirmative vote of the faculty responding to the call for votes, except as specified otherwise in this Governance Document.

Minutes of each meeting shall be recorded and distributed prior to the next regularly scheduled meeting. The minutes must be approved by simple majority of eligible faculty at the beginning of the next regularly scheduled faculty meeting and retained for five years.

VII. DUTIES OF THE DEPARTMENT CHAIR

The Department Chair has the authority and responsibility to implement departmental policies, assign teaching, administer the departmental budget, act as a liaison with other administrative units and external stakeholders, assign the use of departmental space and facilities, and lead, support, and mentor faculty and departmental staff. In dealing with issues for which no policy has been established, but which are likely to affect the welfare of departmental personnel, the Department Chair shall consult with

the personnel likely to be affected by the decision. In the absence of the Department Chair, the Associate Chair shall be given signature authority and the right to preside over faculty meetings. If the absence exceeds one month, the Associate Chair or a representative must either be approved by a majority vote of the faculty with the right to vote, or be appointed by the Dean as an Interim or Acting Department Chair. In the latter case, the faculty as a group or individually have the right to forward to the Dean their recommendation for the Interim or Acting Department Chair.

VIII. LONG-RANGE/STRATEGIC PLAN

- A. The Department shall keep on file a long-range/strategic plan that will guide the department in the execution of its mission. The Department Chair will facilitate the development of a long range/strategic plan for the department that is updated regularly and is used to guide departmental priorities.
- B. The strategic plan will be reviewed at least every seven years.

IX. HIRING AND APPOINTMENT PROCEDURES

For new faculty appointments, both tenured and tenure eligible, the Department Chair initiates a proposal for a new appointment after consulting with the members of the department. Upon receipt of approval from the Dean, the department follows university search procedures and sets up a Faculty Search Committee, as described below (section VIII.B).

If a formal search for a term faculty position is conducted, the search process will use the recruitment, application, and hiring procedures described for the appointment of tenure-eligible faculty positions of commensurate rank. If a term faculty appointment will include the responsibility for teaching a course, and circumstances prevent the Department Chair from obtaining faculty consultation, the Department Chair may make a one-year term appointment. Reappointment beyond one year requires faculty consultation.

A. Faculty Search Committee

1. Purpose:

The purpose of the faculty search committee is to assist the faculty and Dean in the search for new faculty. This includes writing a position description, advertising the position, recommending applicants for interview and facilitating the interview process.

2. Membership:

Appointments to a faculty search committee shall be made by the Department Chair. At a minimum, the committee shall include the following:

- a. At least three departmental faculty comprising, if possible, at least one representative from each faculty rank. One of these faculty shall be appointed by the Department Chair to serve as chair; the chair may be of any rank. To assure a diversity of viewpoints, the current

responsibilities of at least one of these faculty should be unrelated to those of the position being filled.

- b. One graduate student representative.
- c. Any additional persons, inside or outside of the department or University, as desired by the Department Chair.

3. Hiring Procedures and Responsibilities of the Committee (unless specified otherwise, all actions below are those of the committee):

- a. Contact Human Resources (HR) to determine current University policies and procedures governing the hiring of faculty. These include rules pertaining to affirmative action as well as diversity, equity, and inclusion. Modify or amend the list of activities below as needed to assure compliance with all applicable rules; this includes obtaining any training required from Human Resources that is specific for members of faculty search committees. All committee members must complete the equity training that is provided by the College before any committee activities can begin. To ensure that the pool of candidates is as diverse as possible, committee members should draw upon resources created for this purpose, as appropriate, including from the Provost's office (<https://www.advance.iastate.edu/initiatives/search-committee/resource-guide>).
- b. Write a position description and submit it to the faculty for approval.
- c. Give the approved position description to the Department Chair to obtain necessary College approvals.
- d. Decide on an application procedure, including documents to be submitted by applicants.
- e. In consultation with the Department Chair, select printed and/or electronic media to be used for advertising the position with the goal of maximizing the diversity in the applicant pool.
- f. Advertise the position.
- g. While the position announcements are active and applications come in, the committee develops a robust and complete evaluation rubric that assesses each of the required and preferred qualifications listed in the advertisement. The evaluation rubric must be approved by the College and HR.
- h. The departmental administrator collects and acknowledges receipt of applications and supporting documents, responds to referees indicating the receipt of letters of reference, and informs applicants of missing documents.
- i. The committee drafts a statement detailing their efforts to recruit diverse candidates, including comparison of the applicant pool to the national pool of prospective applicants in the discipline (with the assistance of HR). This statement should be submitted to the College and to HR for approval, which will include an assessment of whether additional recruitment efforts are needed.
- j. Once this is approved and the application deadline has passed, the committee will be granted access to the applications and will individually score each applicant using the evaluation rubric. Treatment of incomplete applications or applications arriving after the deadline has passed is at the discretion of the committee but must abide by equity policies as specified by HR.

- k. The search committee meets to discuss the applicants and develops a short list of the top candidates. A candidate should be included on this list if at least one voting member of the committee feels that they are competitive for the position.
- l. The search committee solicits letters of reference for those candidates on the short list. Letters should be sought from the lists of referees provided by the candidates.
- m. After receiving the letters, the faculty meet to identify finalists to be interviewed from the short list top candidates. All applicant files, including reference letters, will be made available only to those faculty who have completed the requisite diversity and confidentiality training. The number of candidates that may be interviewed will be determined by the Department Chair in consultation with the search committee. If necessary, a pre-screening via phone or virtual platform can be used to narrow the pool of candidates, but the process and questions must be standardized for all applicants.
- n. The Department Chair or Search Committee Chair submits the list of finalists to be interviewed to the College. After approval of the candidates to interview is received from the College, the Department Chair or search committee chair will contact the candidates and invite them to interview.
- o. In consultation with the Department Chair, the committee determines a standard interview format and identifies people with whom each candidate should meet. Each interview must include a departmental seminar and interviews with appropriate college administrators. The committee should ensure that all individuals scheduled to interact with the candidates are aware of questions that should not be asked of candidates, as detailed by the Provost's office (<https://www.advance.iastate.edu/initiatives/search-committee/resource-guide>).
- p. The committee arranges and coordinates the interviews.
- q. At the conclusion of the interviews, the Department Chair shall call a special meeting of the faculty and search committee including student representative(s) and non-departmental member(s) to discuss the qualifications of the candidates.
- r. Candidates shall be ranked by a vote of the faculty. Each faculty member with the right to vote (as determined by the departmental governance document) shall, by secret ballot, indicate the acceptability or unacceptability of each candidate and rank the acceptable candidates. This information will be collated by the search committee to create a ranked list of candidates. If the faculty so desire, it may request that the committee re-advertise the position and/or bring additional candidates for interview.
- s. At this point, the committee should contact at least two persons not listed as referees for the top ranked candidate, but who are familiar with the candidate's professional performance, and solicit their views on the suitability of the candidate for the position. Any information which might adversely affect an applicant's candidacy should be confirmed
- t. Once the faculty have identified one or more candidates suitable for the position, the Department Chair shall forward the list of interviewees to the Dean (along with rankings and acceptability votes) and seek permission to hire the top ranked candidate.
- u. Once permission to hire a candidate is given by the Dean, the Department Chair shall make an offer to the candidate and negotiate the terms of employment. Including a list of considerations for negotiation is recommended.

- v. If the first candidate does not accept the position, the Department Chair shall meet with the faculty and the faculty shall decide whether to request the Dean's permission to make an offer to an additional candidate or to re-open the search.
- w. Once the position is filled, the Committee Chair shall inform the unsuccessful applicants of the results of the search.
- x. Deliver all applications and relevant correspondence to the Department Chair. The files shall be returned to applicants, destroyed or returned to HR.
- y. After the position is filled, the committee meets a final time to evaluate the search process, provide advice for future searches, and communicate this advice to the Department Chair and/or faculty. The faculty will consider whether changes should be made to the Governance Document, and if so, make them. The committee is then disbanded.

B. Staff Search Committee

1. Purpose:

The purpose of the staff search committee is to assist the Department Chair in the search for permanent P&S or Merit employees whose responsibilities are to provide general service to the department or service to multiple programs within or outside of the department. The Department Chair is the formal supervisor of such employees, although individual faculty or committees may be assigned responsibility for advising the employees or managing them on a daily basis. The Department Chair has the authority to decide whether a position constitutes general service rather than service to a particular program.

2. Membership:

Appointments to a staff search committee shall be made by the Department Chair. The committee shall include the following:

- a. At least two faculty of any rank. Included shall be a representative from any program or committee to whom the Department Chair anticipates assigning advisory or managerial responsibilities for the position. One of the faculty shall serve as Chair of the committee.
- b. One staff member of the same classification (that is, P&S or Merit) as the position to be filled.
- c. Any additional persons within or outside of the department as desired by the Department Chair.

3. Responsibilities of the Committee (unless specified otherwise, all actions below are those of the committee):

- a. Contact Human Resources to determine current University policies and procedures governing the hiring of staff, including rules pertaining to Affirmative Action and Diversity, Equity and Inclusion. Modify or amend the list of activities below as needed to assure compliance with all applicable rules.
- b. Once permission to hire is obtained from the College, write a position description and submit to the Department Chair for approval. Decide on the documents to be submitted by applicants.
- c. Send position description to the Human Resources Office for classification.

- d. At the discretion of the Department Chair and committee, advertise the position in excess of University requirements, and advertise the position to maximize diversity in the applicant pool.
- e. Complete the evaluation matrix, submit to HR for review. Based on the acceptable applicants, recommend to the Department Chair a short list of top candidates. At the same time, inform faculty and relevant staff of the recommendation and, except for applicants desiring that their applications be kept confidential, make all application materials available for examination by the faculty and relevant staff as allowed based on the current confidentiality policy of the Human Resource Office. Seek input of the faculty and relevant staff.
- f. Recommend to the Department Chair applicants to interview. The Department Chair has final responsibility for selecting candidates for interview.
- g. Establish interview format.
- h. Arrange and coordinate the interviews. The committee should ensure that all individuals scheduled to interact with the candidates are aware of questions that should not be asked of candidates, as detailed by the Provost's office (<https://www.advance.iastate.edu/initiatives/search-committee/resource-guide>).
- i. Recommend the candidate to hire to the Department Chair. The Department Chair may choose to seek additional input from the faculty and staff. The Department Chair will make the final decision on whom to hire.
- j. Department Chair will make an offer to the successful applicant and negotiates the terms of employment.
- k. Committee informs unsuccessful applicants of the results of the search.
- l. Deliver all applications and relevant correspondence to the Department Chair to be returned to applicants, destroyed or returned to HR.
- m. After the position is filled, the committee meets a final time to evaluate the search process, provide advice for future searches, and communicates this advice to the Department Chair and/or faculty. The faculty will consider whether changes should be made to the Governance Document, and if so, make them. The committee is then disbanded.

X. FACULTY MENTORING

Effective mentoring can be important to the success of pre-tenure faculty. Their professional growth and development may be enhanced through guidance early in their career. Mentoring of Associate Professors by more senior faculty also may have a positive impact on faculty performance, promotion, and retention, and can be particularly important for faculty hired at this level and new to the Department. Peer mentoring, particularly sharing experience, information, and resources, at all levels can contribute to our overall productivity and excellence. The Department is committed to successful mentoring in each of these contexts and has established the following policies:

A. Mentoring of pre-tenure faculty:

1. Faculty choose their own mentors with the assistance of the Department Chair.

2. Pre-tenure faculty will each have one or two mentors. At least one should be a member of the Department. Mentors may be chosen to provide balanced guidance in different areas of the mentored faculty member's PRS, and where appropriate to provide perspectives of particular relevance deriving, for example, from shared gender, ethnicity, nationality, or personal circumstances that factor into success and job satisfaction.
3. For faculty new to the Department, mentors should be chosen within the first four months.
4. Within a month of establishing the relationship, mentored faculty and their mentors prepare an agreed upon mentoring plan and submit it to the Department Chair and the College. The plan should be individualized, but articulate objectives, strategies for obtaining those objectives, and measures of success. Plans may include regularly scheduled meetings (recommended to be at least quarterly) to discuss specific topics, expectations of time commitment for informal meetings, mentor critique of the mentored faculty member's work, social and professional activities, and other concrete means of guidance, engagement, and advocacy that the mentor might provide and which will benefit the mentored faculty. In particular, the mentor is strongly encouraged to review of the mentee's Annual Report of Faculty Activity prior to submission to the Department Chair. The Provost Office at ISU has guidelines and activities at <https://www.provost.iastate.edu/faculty-success/development/all-faculty/mentoring> that faculty may consider for successful mentoring.
5. Mentors and mentees enter and remain in the relationship voluntarily, but should commit to its success and follow the agreed upon mentoring plan, subject to mutually agreed upon modifications, of which the Department Chair should be notified. If a mentoring relationship terminates, the Department Chair will assist the faculty member in finding a new mentor.
6. The Department Chair holds group meetings, at least once per semester, with pre-tenure and new faculty to discuss mentoring needs, concerns, and suggestions.
7. The Department Chair holds group meetings, at least annually, with mentors to communicate the needs, concerns, and suggestions articulated by their mentees, and to discuss, as a group, best practices, ideas, and information, including the Department Chair's expectations and criteria for evaluation, to help the mentors provide consistent and effective guidance. This is particularly important with regard to mentor feedback on the mentee's Annual Report of Faculty Activities.
8. Mentored faculty and their mentors are encouraged to describe mentoring effort and outcomes each year in their Annual Report of Faculty Activities. In evaluating faculty performance, the Department Chair should take into account the importance of successful mentoring to the Department, and recognize effort in this area.

B. Mentoring of Associate Professors:

1. Mentoring may extend through promotion to the rank of Full Professor, and thus it may be appropriate to continue existing mentoring relationships or to establish new ones.

2. Faculty hired at the Associate Professor level should choose a mentor and establish a mentoring relationship within the first four months.
3. Mentoring plans, agreed upon by the mentor and mentee, should be articulated in writing and followed, but need not be submitted to the Department Chair.
4. Mentors of Associate Professors are encouraged to participate in annual meetings of mentors for pre-tenure faculty with the Department Chair.
5. Mentoring efforts in this context, as with pre-tenure faculty mentoring, should be described in the Annual Report of Faculty Activities and recognized by the Department Chair.

C. Mentoring of Term faculty:

1. Mentoring may be provided to Term faculty following an oral or written request to the Department Chair.
2. Term faculty can request and choose a mentor at any point after being hired.
3. Mentoring plans, agreed upon by the mentor and mentee, should be articulated in writing and shared with the Department Chair.
4. Mentors of Term Faculty are encouraged to participate in annual meetings of mentors of pre-tenure faculty with the Department Chair.
5. Mentoring efforts in this context should be described in the Annual Report of Faculty Activities and recognized by the Department Chair.

D. Peer Mentoring

1. Pre-tenure faculty are encouraged to meet as a group to discuss shared concerns and strategies for success. While not expected to participate, the Department Chair should, to the extent possible, facilitate this important type of peer mentoring by funding a lunch outing or similar informal gathering.
2. Senior faculty members are encouraged to make their promotion and tenure documents available to the Department faculty to assist others in preparing successful packages of their own.
3. A culture of candidness and cooperation is a foundation for the success of the department. Requests from individual faculty members to the faculty as a whole for guidance on particular administrative forms, grant proposal formats, or the like, are welcomed.

4. All faculty are strongly encouraged to participate in department-sponsored social events. Such informal settings can break down barriers and provide opportunities for peer mentoring in the form of sharing information, ideas, and advice that help equip all faculty to succeed and contribute to the department.

XI. REVIEW AND REAPPOINTMENT OF FACULTY

A. Annual Performance Review

All tenured, tenure-eligible and salaried term faculty will be evaluated annually by the Department Chair. In this review, the Department Chair will appraise their performance and development. The Department Chair may select others to aid in this evaluation. Faculty members submit a written document (annual report of faculty activities) summarizing their accomplishments, relative to each aspect of their current Position Responsibility Statement (PRS), with respect to goals that they have established in previous reviews. This summary includes a statement of goals for the coming year and may also include suggested or requested changes in the faculty member's PRS. This document is due early in each calendar year.

The Department Chair reviews these summaries and meets with each reporting faculty member by the end of March. Following the meeting, the Department Chair prepares a written evaluation and presents it to the faculty member. The faculty member may add their comments to the evaluation. The evaluation is then signed by both the Department Chair and the faculty member and placed in the department's confidential personnel files. The faculty member receives a copy of the completed evaluation form.

B. Review and Reappointment of Probationary Faculty

Each tenure-eligible faculty member will have their schedule of preliminary and tenure review updated each year at their annual review. Tenure-eligible faculty members will have a preliminary review by the department in time to meet the appointment termination date stated on their Letter of Intent. The purpose of this review is to provide constructive, developmental feedback to probationary faculty regarding progress in meeting departmental criteria for promotion and tenure. This review also informs the decision to reappoint during the probationary period. Most faculty will have this preliminary review before the end of the third year of service. No contract for a tenure-eligible faculty member will exceed four years.

Faculty members may request that their probationary appointment and tenure evaluation be extended because of special circumstances. A written request to the Department Chair, outlining the unusual circumstances and proposed tenure evaluation date, initiates the process. Positive recommendations will be forwarded to the Dean. Further evaluation will occur at the Dean's level. Positive recommendations from the Dean will be forwarded to the provost.

Preliminary reviews of probationary faculty should be based upon the departmental criteria and standards used for promotion and tenure as described under Promotion and Tenure (section XI of this document). The review process will include the following:

1. The formation of a probationary review committee (PRC) that consists of at least three members from the department. The Department Chair will instruct the probationary faculty member to select one person to serve as chair of the PRC. The Department Chair will appoint the other two committee members. All committee members must be at the rank of associate professor, or higher, and must have the right to vote on departmental issues as determined by the department governance document.
2. The PRC chair informs the probationary faculty member to prepare an updated resume and other documentation of their performance. These materials should be in the format used for evaluation for promotion and tenure.
3. The PRC chair, in consultation with the Department Chair and the probationary faculty member, establishes a time frame for the review.
4. The probationary faculty member submits their materials to the PRC chair for review.
5. The PRC chair shares the materials with the committee and consults with the faculty member on any matter pertinent to the review. The PRC may provide guidance on assembling this documentation and may seek relevant information from other sources for review of the candidate, as long as confidentiality is maintained. External reviews are not required for this review.
6. The PRC prepares a written evaluation of the performance of the probationary faculty member with respect to their trajectory toward meeting departmental criteria for promotion and tenure, with an emphasis on providing constructive, developmental feedback. The evaluation should be analytical, and not just a review of process, recitation of the CV, or a summary statement. The evaluation should point out, discuss, and analyze strengths and weaknesses in the case. It is a best practice to put concerns up front and deal with them directly and clearly. The evaluation should reflect the views of all members of the PRC.
7. The PRC shares its feedback with the probationary faculty member both verbally and in the form of the written evaluation.
8. The PRC chair meets with the Department Chair to discuss the committee's feedback to the probationary faculty member and submits the written evaluation in the form of a memo to the Department Chair. This memo should include the name of the chair of the PRC and names of the faculty members who served on that committee and should include the PRC's recommendation about reappointment of the faculty member.
9. The Department Chair reviews the faculty member's materials and the PRC feedback memo and reaches a decision on the review outcome. If a decision not to reappoint is made, the Department Chair discusses the case with the P&T committee prior to finalizing their letter to the candidate. This P&T committee will be comprised of all tenured faculty at or higher than the rank above the

probationary faculty member and who have the right to vote on departmental issues as determined by the department governance document. The Department Chair will weigh the outcome of this discussion in the final decision on the outcome of the review.

10. The Department Chair informs the faculty member of the outcome of the review in a letter. This letter should provide clear and constructive feedback about accomplishments and set forth expectations toward meeting the standard for subsequent promotion and tenure, and clearly identify areas where improvement in performance is needed.

The letter from the Department Chair must indicate whether or not the pre-tenure faculty member is being reappointed, along with the terms of the reappointment (for instance, a one-year renewal, two-year renewal, etc.). The letter should state specific reasons for the decision and, if appropriate, suggestions for performance improvements. The letter should specifically indicate that one of four possible decisions has been made:

- Reappointment with no reservation
- Reappointment with no strong reservation, but with specific issues that need to be addressed
- Reappointment with reservation and specific steps to be taken
- Non-reappointment with specific reasons provided

If a decision not to reappoint is made. Then the Department Chair informs the candidate of their right to: 1) review the factual information in the final review report and 2) indicate if they believe any of the information to be incomplete or inaccurate.

11. By the deadline provided by the college, the Department Chair submits the following materials to the Dean:
 - Cover sheet for preliminary review recommendation (provided the by the Provost's Office)
 - Candidate's PRS
 - Candidate's CV
 - Evaluation memo prepared by the PRC
 - Department Chair's letter to the candidate.

C. Review and Renewal of Term Faculty

Term faculty appointments are eligible for renewal based upon the quality of performance and the continuing need of the department. If the department has a continuing need for a salaried term faculty, then the faculty member must be reviewed by an appropriate faculty review committee (FRC) according to guidelines specified in the ISU Faculty Handbook section 5.4.1.2.

For research faculty to be eligible for renewal, they must demonstrate research and scholarly productivity commensurate with tenure-eligible faculty of the same rank, and must demonstrate independence as appropriate for their rank in their disciplinary field. Research faculty are required to maintain sufficient external funding for no less than 80% of their salary and for sustainable research activity.

The review process for renewal/re-appointment of term faculty will include the following:

1. The formation of a Faculty Review Committee (FRC) that consists of at least three members from the department. The Department Chair will instruct the term faculty member to select one person to serve as chair of the FRC. The Department Chair will appoint the other committee members. Tenure-eligible, tenured and term faculty equal to or above the rank of the term faculty for review shall be eligible to serve on the FRC.
2. The FRC chair informs the term faculty member to prepare an updated resume and other documentation of their performance.
3. The FRC chair, in consultation with the Department Chair and the term faculty member, establishes a time frame for the review.
4. The term faculty member submits their materials to the FRC chair for review.
5. The FRC chair shares the materials with the committee and consults with the faculty member on any matter pertinent to the review. The FRC may provide guidance on assembling this documentation and may seek relevant information from other sources for review of the candidate as long as confidentiality is maintained. External reviews are not required for this review.
6. The FRC prepares a written evaluation of the performance of the term faculty member, with a written recommendation for or against reappointment to the Department Chair. The evaluation should also include constructive, developmental feedback. It should be analytical, and not just a review of process, recitation of the CV, or a summary statement. The evaluation should point out, discuss, and analyze strengths and weaknesses in the case. It is a best practice to put concerns up front and deal with them directly and clearly. The evaluation should reflect the views of all members of the FRC.
7. The FRC chair meets with the Department Chair to discuss the committee's feedback and submits the written evaluation in the form of a memo to the Department Chair. This memo should include the name of the chair of the FRC and names of the faculty members who served on that committee and should include the FRC's recommendation about reappointment of the faculty member.
8. The Department Chair reviews the faculty member's materials and the FRC feedback memo and reaches a decision on the review outcome. Reappointment for salaried term faculty will be based on demonstrated success in position responsibilities and demonstration of a continued need within the department.
9. After getting approval from the Dean, the Department Chair informs the term faculty member of the outcome.

An outcome of the review process should be to provide constructive, developmental feedback to the individual regarding progress in meeting departmental criteria for advancement.

D. Review and Reappointment of Administrative Positions

1. Review and Reappointment of the Department Chair

After the Department Chair is appointed by the Dean of the College of Agriculture & Life Sciences, the Department Chair will have a Position Responsibility Statement (PRS) that is written by the Department Chair and the Dean and describes the administrative and other departmental responsibilities of the position.

At the beginning of the final year of the Department Chair's appointment, the Dean will meet with them to review their performance. If the Dean wishes to renew the appointment and if the Department Chair is willing to be considered for reappointment for another term, the Dean will meet with the faculty to discuss the reappointment and will solicit input from the faculty. Ideally, the Dean will coordinate a faculty vote on their recommendation for reappointment. If the Dean does not, then two departmental faculty will coordinate this vote and will provide the results to the Dean. The first will be, in order of priority depending on availability, the departmental Faculty Senator or the At-Large Faculty Senator. The second will be, in order of priority depending on availability, the most recently tenured faculty member or second most recently tenured faculty member. The Dean will take the faculty recommendation into account in making the reappointment decision.

2. Tenure and Review of Faculty Members in Administrative Positions

When an individual who has been a faculty member at another institution is appointed to an administrative position at ISU and expresses a desire to be tenured in the department, the granting of academic rank and tenure will be done as specified in the ISU Faculty Handbook and as detailed below. The Department Chair will provide the P&T Committee members with the CV and supporting materials that are provided by the candidate. The Department Chair will preside over all P&T committee meetings, supervise the voting procedure, and prepare a report of the candidate's qualifications for tenure. The Department Chair will submit to the College of Agriculture & Life Sciences:

- the Department Chair's report
- any minority reports that express dissenting opinions within the P&T committee
- the vote count of the P&T Committee
- all external reviews (if appropriate)

Department-level administrators are encouraged to remain actively involved in professional activities within the department in the interests of administrative effectiveness and ease of return to regular faculty duties at the termination of administrative responsibilities. Similarly, tenured faculty members who are appointed to administrative positions that require full-time service outside their departments are encouraged to continue to be involved in their academic disciplines. During this period of service as Department Chair or in positions whose title contains

the term President, Provost, or Dean, faculty members are exempted from their scheduled post-tenure review.

When a person relinquishes a full-time administrative position after substantial absence from the department, the decision as to how best to accommodate the person when returning to the department as an active faculty member will be mutually decided by the Department Chair and the individual concerned, in consultation with other appropriate administrative officials. When necessary and appropriate, a reasonable period of transition (e.g., one year or less) will be allowed during which the person can prepare themselves to undertake whatever responsibilities have been determined to be most appropriate.

XII. PROMOTION AND TENURE OF FACULTY

A. GENERAL CRITERIA FOR PROMOTION AND TENURE.

This department follows the basic procedures on promotion and tenure as assembled by the Provost (<https://www.provost.iastate.edu/faculty-success/advancement/promotion-and-tenure>) and described in the latest version of the ISU Faculty Handbook .

B. QUALIFICATIONS FOR PROMOTION AND TENURE.

Recommendations for initial appointment and promotion are based on evidence that the individual has met the qualifications for the faculty rank to which they are to be appointed or promoted.

Assistant Professor. An assistant professor should have a strong academic record and ordinarily should have earned the accepted highest degree in their field. The assistant professor rank is recognition that the faculty member has exhibited the potential to grow in an academic career. Appointment at or promotion to this rank should be based on evidence that the faculty member can be expected to become qualified for promotion to associate professor in due course.

Associate Professor. An associate professor should have a solid academic reputation and show promise of further development and productivity in their academic career. The candidate must demonstrate the following:

- excellence in scholarship that establishes the individual as a significant contributor to the field or profession, with potential for national distinction
- effectiveness in areas of position responsibilities
- satisfactory institutional service

Furthermore, a recommendation for promotion to associate professor must be based upon an assessment that the candidate has made contributions of appropriate magnitude and quality and has a high likelihood of sustained contributions to the field or profession and to the university.

Professor. A professor should be recognized by their professional peers within the university, as well as nationally and internationally, for the quality of the contribution to their discipline. The candidate must demonstrate the following:

- national distinction in scholarship, as evident in candidate's wide recognition and outstanding contributions to the field or profession
- effectiveness in areas of position responsibilities
- significant institutional service

Furthermore, a recommendation for promotion to professor must be based upon an assessment that, since the last promotion, the candidate has made sustained contributions of appropriate magnitude and quality to their field, profession, and to the university.

Tenure. Promotion of a tenure-eligible assistant professor to associate professor is automatically associated with the granting of tenure. An associate professor may be hired without tenure, but cannot be promoted internally without also earning tenure. Consideration for tenure is based on merit and thus, consideration for tenure during the fifth year of employment is not regarded as early consideration, just as consideration during the sixth year is not considered as late.

C. STANDARDS FOR PROMOTION AND TENURE

Evaluation of a faculty member for promotion and tenure is based primarily on evidence of scholarship in the faculty member's teaching, research, creative activities, extension and professional practice, as applicable to the candidates PRS. In all areas of professional activity, a faculty member is expected to exhibit a strong sense of professional ethics.

A key tool in the promotion and tenure review process is the Position Responsibility Statement (PRS), which was described in the previous section IV.A. This statement is used by all evaluators to interpret the extent, balance, and scope of the faculty member's scholarly achievements. In general, the substantive criteria for promotion and tenure are the effectiveness of the candidate in carrying out their assignments.

Scholarship. All tenured and probationary faculty members are expected to engage in scholarship as part of their teaching, research/creative activities, and/or extension/professional practice. Scholarship is creative, systematic, rational inquiry into a topic and the honest, forthright application or exposition of conclusions drawn from that inquiry. It builds on existing knowledge and employs critical analysis and judgment to enhance understanding. Scholarship is the umbrella under which research falls, but research is just one form of scholarship. Scholarship also encompasses creative activities, teaching, and extension/professional practice. Scholarship results in a product that is shared with others and is subject to the criticism of individuals qualified to judge the product. The University Promotion and Tenure Document (sections 5.2 and 5.3 of the ISU Faculty Handbook) provides a more complete discussion of scholarship and describes ways in which scholarship may be demonstrated in each area of evaluation.

D. DOCUMENTATION OF PERFORMANCE

1. Teaching

a. Scholarly Teaching

Teaching is a scholarly and dynamic endeavor and covers a broad range of activities, including classroom teaching, directing undergraduate and graduate projects, advising, and providing

continuing-education programs. When teaching is part of the faculty assignment, effectiveness is an essential criterion for advancement. Faculty must demonstrate command of their subject matter, continuous growth in the subject field, and an ability to create and maintain instructional environments to promote student learning.

Evidence of effectiveness in teaching will be documented through the preparation of a teaching portfolio, which contains teaching activities beyond what is contained in the candidate's vita. Whereas the vita should detail the teaching responsibilities, the portfolio typically includes a statement of teaching philosophy, student ratings of teaching, teaching materials and forms of assessment, peer evaluations, and evidence of student learning. All faculty with formal teaching appointments will be expected to prepare a teaching portfolio. Faculty are encouraged to interact with their colleagues, the Department Chair, and personnel from the Center for Excellence in Learning and Teaching in preparing teaching portfolios. Faculty should follow the latest guidelines for documenting teaching activities as describe by the Provost (<https://www.provost.iastate.edu/faculty-success/advancement/promotion-and-tenure>).

b. Scholarship of Teaching and Learning (SoTL)

SoTL contributes to the discovery of knowledge about teaching and learning in higher education. Every faculty member with a teaching appointment should engage in scholarly teaching; however, not all faculty need to engage in SoTL. If a faculty member chooses to pursue SoTL, this work is part of their scholarship/creative activity/research responsibilities and will be held to the same standards of rigor, relevance, peer review, and dissemination as other forms of disciplinary research and creative activity.

2. Extension and Outreach

Evidence of excellence in extension will be documented through the preparation of an extension portfolio, which contains extension activities beyond what is contained in the candidate's vita. The extension portfolio includes statements of the candidate's extension responsibilities, philosophy and goals. It also includes representative workshop, seminar and training materials, news releases, unpublished reports and studies, and peer evaluations or ratings of extension practice effectiveness and client assessments. It should complement the information in the vita, which includes extension publications, conference proceedings, applied research publications, non-print educational materials, client and media contacts, participation in extension programs and other training programs, a complete list of newsletter articles and news releases, and outside funding for extension activities.

The effectiveness of the candidate's extension/professional practice activities is determined by evaluating the character of the scholarship of these activities. The scholarship resulting from extension/professional practice activities is documented through means appropriate to the professional specialty, such as peer-reviewed publications, lectures, videos, weblogs, podcasts, software, hardware, workbooks, manuals, standards, bibliographies, book reviews, and casebooks. Evaluation of scholarship should consider breadth, depth, and duration of influence or use; public appreciation and benefit; and applicability or adoption by peers.

3. Research

The primary measure of scholarship in research will be an assessment of the original contributions to the area of specialization, as assessed by peers within and outside the university. Whereas the Curriculum Vitae vita provides a detailed listing of research products such as refereed research publications, books, book chapters, technical or popular reports, lectures and exhibits, the research portfolio will help document evidence of excellence in research by describing faculty research/creative activities beyond the vita. The research portfolio includes materials such as summaries of completed, current, and future research projects; descriptions of applied use of research; and summaries of grants, patents, and inventions. Successful dissemination of results of research through lectures and by participation in appropriate technical, professional, and scholarly societies that reflect their research will be expected, as will the ability to seek and obtain research funding at a level commensurate with expectations set forth in a faculty member's PRS. Evaluation of scholarship should consider its impact as judged by its influence, use, or adoption by peers, its originality, richness, breadth and/or depth of expression.

4. Service

To be promoted or tenured, faculty members are expected to have been involved in institutional service to the university. The level and amount of service are expected to be higher for those seeking promotion to the rank of professor. However, institutional service alone shall not serve as the central basis for promotion and tenure. Service to technical, professional, and scholarly societies appropriate to their academic discipline will contribute to a positive assessment of performance as will service related to their professional expertise and to the public and other agencies.

E. DEPARTMENTAL PROCEDURES FOR PROMOTION AND TENURE

In most cases, the standard of performance to justify tenure will correspond to that expected for the rank of associate professor, and granting of tenure will ordinarily accompany promotion to that rank.

Definitions

Promotion and Tenure (P&T) Committee – A promotion and tenure committee comprising all tenured faculty at or higher than the rank to which the candidate aspires and who have the right to vote on departmental issues as determined by the department governance document. Qualified faculty who are away from campus during the review process may participate if the Department Chair is informed before the vote. Due to the role of the Department Chair as an independent assessor of the candidate, the Department Chair is not a member of the P&T committee.

Evaluation Sub-Committee (ES) - An evaluation subcommittee of the P&T comprising three members of the P&T committee and one from another department. Three members are chosen by the Department Chair and one member, who will serve as chair, is chosen by the candidate.

Candidate - the individual seeking promotion.

Conflict-of-Interest (COI) – Individuals who have a current or prior relationship with the candidate. This includes, but is not limited to, major professors, postdoctoral advisors, former students, co-PIs, co-authors, and research collaborators.

Responsibilities

Department Chair

1. Presents a document outline the promotion and tenure policies and procedures to each faculty member at the time of their appointment. Works with new faculty to develop a mutually acceptable Position Responsibility Statement (PRS). The PRS is updated and revised as necessary; any revisions must be agreeable to both the faculty member and the Department Chair.
2. Initiates the promotion and tenure process by announcing the review schedule and procedure.
3. Informs non-tenured faculty in the final year of probation that they must apply for tenure.
4. Instructs the candidate to select one person to serve as chair of the ES and appoints the other three members of the ES.
5. Instructs the candidate to prepare a promotion and tenure portfolio and curriculum vitae, as described by the Provost's Office (<https://www.provost.iastate.edu/faculty-success/advancement/promotion-and-tenure>).
6. Makes available to the chair of the ES all pertinent information authorized by the candidate.
7. Obtains a ranked list of reviewers from the chair of the ES and solicits reviews on behalf of the candidate while ensuring that no reviewer possesses a COI. The Department Chair shall solicit external reviews from up to six qualified individuals, with at least one of the reviewers being suggested by the candidate and at least one not suggested by the candidate. If all reviews are not returned, the Department Chair may seek alternative reviews to obtain a total of six, if time permits.

These external reviewers should be appropriate professionals in the field that are chosen for their ability to evaluate the candidate's activities and accomplishments impartially. They should generally be tenured professors at peer institutions, or other doctoral, research universities, or individuals of equivalent stature as deemed appropriate based on the candidate's assignments in teaching, research, and extension or professional practice.

The Department Chair provides each reviewer with the candidate's promotion and tenure portfolio, curriculum vitae, and current Position Responsibility Statement, as well as other relevant documentation that relates to the candidate's areas of responsibility. The materials sent to reviewers will include a summary of university standards for scholarship and ISU criteria for promotion and tenure (a summary document is available on the web site <https://www.provost.iastate.edu/faculty-success/advancement/promotion-and-tenure>). In accordance with instructions in the Promotion and Tenure Document of the College of Agriculture & Life Sciences, the reviewers shall be asked to be specific and to comment on particular aspects of the candidate's scholarly contributions and their impact on the discipline or cross-disciplinary area as well as to compare the candidate with others at the same stage of their careers. Also, in accordance with these instructions, the following statements will be included: "the contents of the reviews are regarded by the University as confidential to the extent permitted by law and shall be released only to those individuals who are authorized to review

and make recommendations on the candidate" and "all accomplishments and credentials of a faculty member are considered at Iowa State University in making a decision on promotion and/or tenure, but primary weight is given to accomplishments and attainments while in the current rank."

All solicited external reviews received by the department shall become part of the documentation of the candidate.

Additional Reference Letters

a. Letters from co-authors, co-principal investigators, mentor/advisor, et cetera.

In general, reviewers should not be colleagues with whom the candidate has collaborated. When necessary, however, these individuals may be solicited to detail the nature of collaborative projects or to respond to specific questions.

b. Letters from ISU department, college, and university colleagues.

Although not required, letters from department, college and university colleagues may be important. This may be appropriate for activities related to interdisciplinary research, extension and teaching programs, joint projects, and services provided to other colleagues or in cases where a fuller understanding of specific activities is warranted.

8. Forwards the returned reviews to the ES committee with instructions to ensure that they are released only to individuals who are authorized to review and make recommendations on the candidate.
9. Obtains the Summary of Portfolio, Vita and Letters from the ES and makes it available to the full P&T Committee along with all documentation on the candidate.
10. Presides over all P&T Committee meetings, supervises the voting procedure, and ensures that the draft of the Recommendation for Promotion and Tenure form prepared by the ES reflects the collective opinions of the P&T Committee.
11. Prepares an independent report of the candidate's qualifications for promotion. This report should include modifications in the PRS, an evaluation of the candidate's accomplishments in scholarship, an evaluation of the candidate's performance in their areas of responsibility, an evaluation of the candidate's prospects for future contributions to the field and department, and an assessment of the candidate's role and contributions to department and college missions.
12. Informs candidate in writing of the recommendations from the P&T Committee and the Department Chair before the department's recommendations are submitted to the college.

Candidates who are not being recommended by either the P&T Committee or the Department Chair, or both, will be informed by the Department Chair in writing of the reasons. If the candidate is not in their mandatory year for consideration of tenure, they will be apprised of their right to have the application forwarded to the College of Agriculture & Life Sciences. This information should be presented in a constructive manner and, where appropriate, should include guidance for improving performance in terms of the department's criteria for promotion or tenure.

13. For candidates with positive recommendations, and for negative tenure recommendations for faculty members in their mandatory year for consideration of tenure, the Department Chair will submit to the College of Agriculture & Life Sciences:
 - The Recommendation for Promotion and Tenure form.
 - Any minority report(s) of the P&T Committee that expresses a dissenting opinion.
 - The vote count of the P&T Committee.
 - All external reviews
 - Independent Department Chair report.
14. Informs candidates for whom a recommendation is being forwarded to the college of their right to:
 - 1) review the factual information in the dossier and 2) inform the Department Chair of any ways in which they believe this information to be incomplete or inaccurate.
15. Forwards late-developed information that either the candidate or the Department Chair considers to be of potential relevance (whether favorable or unfavorable to the case) to the next level in the administrative chain that has yet to make its decision. In the case of unfavorable information, the Department Chair shall also notify the candidate of its nature and the evidence on which it is based. Transmittal of late-developed information shall include an indication of when the information became available and which evaluators have had access to it.
16. Forwards Dean's and Provost's recommendations and summaries to the P&T Committee.
17. Keeps the complete dossier of candidates not being recommended for promotion or tenure until it is evident that no appeal is forthcoming then destroys it. If an appeal is filed, the dossier would be forwarded to the appropriate university authorities.

Candidate

1. Requests in writing to the Department Chair that they be considered for promotion or tenure.
2. Prepares a promotion and tenure portfolio and curriculum vitae, as described by the Provost's Office (<https://www.provost.iastate.edu/faculty-success/advancement/promotion-and-tenure>) and submits it to the Department Chair. The candidate may specify in writing what material will be considered as confidential by the ES, P&T Committee, or Department Chair.
3. The candidate must submit, to the ES, a list of names of potential reviewers, and may submit, to the ES, the names of up to three people to exclude from being contacted as reviewers. This list of names to exclude must be put forward at the same time as the submission of the names of potential reviewers.
4. If the department recommendation is negative, the candidate has the right to have the application forwarded to the College of Agriculture & Life Sciences. This would occur automatically for candidates in the final year of probation.

5. Procedures for the appeal of a negative decision will follow those described in the ISU Faculty Handbook (section 5.2.4.4.5).

Evaluation Sub-committee

1. The chair of the ES will call the time and place of meetings and will preside.
2. The chair of the ES will be responsible for collecting the necessary information from the Department Chair that has been provided by the candidate. The ES should also request a COI list from the candidate.
3. The ES may seek other relevant information from other sources for appraisal of the candidate as long as confidentiality is maintained.
4. The ES may consult with the candidate on any matter pertinent to the candidate's appraisal.
5. The ES shall provide to the Department Chair a ranked list of the names of colleagues in the candidate's discipline or in a related discipline to serve as external reviewers; this list will specify which are the reviewers that are suggested to include and exclude by the candidate. The ES should assure that listed reviewers do not have a COI with the candidate.
6. The ES shall prepare a Summary of Portfolio, Vita and Letters that summarizes the pertinent documentation and reviews obtained during the evaluation process, and shall submit it to the Department Chair.
7. After the P&T Committee has discussed the candidate, the ES shall prepare a draft Recommendation for Promotion and Tenure form to reflect the collective opinions of the P&T Committee, and will submit it to the Department Chair and the Promotion and Tenure Committee.

Members of the ES who wish to file a minority report should not be involved in preparation of the final draft. If the chair of the ES falls into this category, another chair should be selected by the Department Chair.

Promotion and Tenure Committee

1. The P&T Committee, presided over by the Department Chair, will discuss the candidate following the receipt of the Summary of Portfolio, Vitae and Letters prepared by the ES, and other information that the Department Chair or other members of the P&T Committee provide.
2. A final vote shall be taken either by a paper or electronic ballot. For voting by paper, a secret written ballot must be submitted to the Department Chair within 3 days of the P&T Committee meeting. Each ballot will be sealed in a small unsigned envelope and contained in a larger envelope signed by the committee member and submitted to the Department Chair. For electronic voting, a secure ballot will be provided through a university-approved polling platform. Regardless of format, the voting options will be yes, no, or abstain. Voting by a majority of all eligible voters is required to recommend

promotion. Eligible faculty are entitled to vote even if they did not attend the formal P&T Committee meeting, provided they have informed the Department Chair prior to the P&T meeting.

3. The P&T Committee may provide comments to the ES to finalize the draft Recommendation for Promotion and Tenure form to reflect the collective opinion of the P&T Committee.
4. If any minority reports are desired by individuals or groups within the P&T Committee, they should be identified as such and submitted directly to the Department Chair.

Recommended Timelines for Procedures

Very early in the year (ideally January or February), the Department Chair determines which faculty members will likely seek promotion and/or tenure in a given year, or are in their mandatory review year of employment, and encourages these individuals to start preparing the requisite documents.

Starting at four months before the CALS deadline for promotion packages (usually during June):

1. The Department Chair announces to all faculty the schedule and procedure for review.
2. Candidates finalize documentation in support of their application and submit them to the Department Chair.
3. An ES is formed for each candidate. The candidate submits a list of potential reviewers, a list of up to three individuals not to select as reviewers, and a COI list to the ES. The Department Chair provides the promotion and tenure portfolio and curriculum vitae to the ES.
4. The ES submits a ranked list of reviewers to the Department Chair.

Starting at three months before the CALS deadline for promotion packages (usually during July):

5. The Department Chair starts contacting reviewers by e-mail or phone to obtain commitments to review the candidate's application.

Starting at two months before the CALS deadline for promotion packages (usually during August):

6. The Department Chair requests reviews from reviewers that agreed to provide this service in the required timeframe and provides appropriate documentation on the candidate.
7. Upon receipt of the majority or full complement of review letters, the Department Chair provides the letters and updates to the candidate's documentation to the ES. The ES reviews these and informs the candidate of any flaws in the documentation for correction.
8. The ES prepares a Summary of Portfolio, Vita and Letters and submits it to the Department Chair.
9. The Department Chair shares the Summary of Portfolio, Vita and Letters with the P&T and calls a meeting of the P&T Committee to discuss the case, after which the P&T Committee votes on the candidate's application.

10. The Department Chair advises the candidate in writing of the P&T Committee recommendation.

Starting at one month before the CALS deadline for promotion packages (usually during September):

11. The ES drafts and finalizes the Recommendation for Promotion and Tenure form. Any minority reports of the P&T Committee are prepared.

12. The Department Chair prepares an independent report on the candidate.

13. The Department Chair submits necessary documentation to the College of Agriculture & Life Sciences by the deadline provided by the college.

Processes and Circumstances Under Which a Review May be Postponed

In the case of unforeseen extenuating circumstances or an emergency, the candidate and Department Chair will consult with university administration to determine a process by which an otherwise mandatory review can be postponed. All parties must agree to the process, which must also be fully consistent with existing university regulation.

XIII. ADVANCEMENT OF TERM AND AFFILIATE FACULTY

A. Eligibility and Standards for Term and Affiliate Faculty Advancement

Term faculty appointments at the assistant rank are eligible for advancement to associate rank after five years of employment as a faculty member at ISU (full or part time) or equivalent experience. There is no defined timeline for term faculty advancement from the associate to the professor level. All candidates for advancement must meet the standards for appointment at the proposed rank as defined in Section XI.B. Candidates for advancement to the associate rank must document a record of successfully contributing to the mission of the university as defined by the PRS, a record of contributions in the professional field, and promise further academic and professional development. Candidates for advancement to the professor rank must document a record of proven excellence in the primary responsibilities identified in the PRS and effectiveness in other areas of the PRS, and a record of demonstrated substantial contributions to their professional field.

B. Departmental Procedures for Term and Affiliate Faculty Advancement

The procedure for these advancement reviews will be the same at the departmental level as for a tenure-eligible faculty member applying for promotion (Section XI.D), with the following modifications:

- The P&T Committee must contain at least one member who is a term faculty of equal or greater rank, if available.
- External letters are required for research faculty but not for teaching faculty.
- The review will only be conducted if there is a continuing need for the position to fulfill the department's mission.

C. Outcomes

The outcomes of this review will include: recommendation for advancement, continuation of appointment, or non-renewal of contract. Recommendation for advancement requires a majority vote of P&T Committee. If the Department Chair's decision is to support the advancement, the Department Chair will submit the P&T Committee's recommendation and the Department Chair's letter of

recommendation to the Dean. If the Department Chair's decision is to not support advancement, the candidate may withdraw their application for advancement, or request that the Department Chair submit a request for consideration by the Dean.

It is expected that the Department Chair and P&T Committee will provide constructive assessment of performance to the candidate that includes guidance for improving performance in terms of the department's criteria for advancement to ensure their success. There is no penalty for withdrawing an application for advancement, and the candidate may resubmit their request in subsequent years.

D. Recommended Time Line for Review

Advancement of term faculty should follow the academic year deadlines as defined for tenure-eligible faculty. Department Chair should submit advancement requests to the college by March 1.

XIV. POST-TENURE REVIEW

Introduction

Post-tenure review for the faculty in the Department of Plant Pathology, Entomology, and Microbiology is a self-directed, developmental process that is responsive simultaneously to the needs of both the faculty members and the department. During this review, each tenured faculty member develops plans for their professional growth and in the process seeks the advice of peers. Collegiality, cooperation, and the protection of academic freedom are characteristics of post-tenure review.

The post-tenure review policy and procedures of the Department of Plant Pathology, Entomology, and Microbiology have been developed within a continuous-improvement-of-practice model rather than a supervisor-inspection model. This review is a mechanism to support each faculty member's professional growth, not a process of enumerating deficits.

The Plant Pathology, Entomology, and Microbiology faculty believe that its members should be productive and effective during their careers. For this to occur, professional development is the key element from initial appointment until departure from Iowa State University. The department must also maintain a supportive, nurturing environment where individual faculty members can grow and succeed. This policy for the Department of Plant Pathology, Entomology, and Microbiology has been developed according to the provisions of the Iowa State University post-tenure review policy. Consistent with the Iowa State University policy, post-tenure review is separate from any university dismissal or disciplinary procedures and does not change the circumstances under which tenured faculty can be dismissed from the university.

Post-Tenure Review

The post-tenure review process will complement the department's annual faculty evaluation process. A tenured faculty member shall be reviewed post-tenure at least once every seven years, with the following exceptions: upon the faculty member's written request for an earlier review (but this must be at least 5 years from the last review), or during the year following two consecutive unsatisfactory annual 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.

A tenured faculty member who holds a joint appointment with two or more departments at Iowa State University will engage in only one post-tenure review in a given cycle. The determination of the appropriate department for the tenured faculty member's post-tenure review will be decided by the Department Chair of the faculty member's primary appointment in consultation with the tenured faculty member and the DEOs of the other departments involved. Possible review options include the following: a collaborative departmental review with representatives from each department, a review conducted by the department that holds the majority of the tenured faculty member's appointment, and a procedure by which the review alternates between departments from one post-tenure review cycle to another.

During March of each academic year, the Department Chair will identify those faculty members due for post-tenure review during the following academic year. If more than 20% of the tenured faculty members are eligible, the Department Chair will select the members to be reviewed, taking into consideration factors that include individuals' requests for post-tenure review, professional development leaves, faculty schedules, and other personal and departmental considerations. Tenured faculty members will be notified of their selection for post-tenure review by 1 April.

A committee of faculty will be named for each post-tenure review. The committee's role will be to review the dossier of the tenured faculty member and make recommendations that will enhance the faculty member's further professional growth. Each post-tenure review committee shall consist of three members who are tenured and whose rank is the same as or higher than the tenured faculty member being reviewed. At least one committee member is recommended, but not required, to be appointed from outside the department. The chair of the post-tenure review committee must be a full professor. Members of the committee may not hold academic administrative appointments.

The members of the post-tenure review committee will be jointly identified by the Department Chair and the tenured faculty member to be reviewed, with the chair of the committee will be chosen by the faculty member and the remaining two members of the committee will be chosen by the Department Chair. The Department Chair will formally appoint the post-tenure review committee by 15 May.

The tenured faculty member will prepare a dossier that includes the following material and will submit it to the Chair of the post-tenure review committee no later than 15 November:

- 1) all Position Responsibility Statements since the last major review;
- 2) a current curriculum vitae;
- 3) a concise portfolio in which the reviewed faculty member showcases how the areas of responsibility listed in the PRS have been addressed;

Before December 15, the post-tenure review committee will review the dossier and will meet with the tenured faculty member to further explore how the faculty member's activities may relate to the needs of the department as described in the faculty member's PRS.

The post-tenure review committee will develop a post-tenure review report and provide it to the Department Chair by January 15. A copy of the report is given to the reviewed faculty member. The reviewed faculty member shall be invited to submit within two weeks any statement they desire to be attached to the report. The reviewed faculty member may meet with the Department Chair to add any verbal information.

By February 15, the Department Chair will have reviewed the post-tenure review report, discussed the report and its recommendations with the reviewed faculty member, made an overall recommendation of the performance, as described below, and worked with the reviewed faculty member and the chair of the review committee to develop an action plan for improving performance for those faculty who received a below expectations recommendation. The post-tenure review report, along with any attached statement from the reviewed faculty member and from the Department Chair, will be forwarded to the Dean of the College of Agriculture & Life Sciences by the deadline established by the college. Any recommendation for a shift in the goals or direction of the faculty member's teaching, research, and/or extension activities must be accompanied by an identification of the resources needed to accomplish the recommended changes. The faculty member, the department, the college, and Iowa State University shall make good-faith efforts to ensure these resources are provided within a reasonable time frame.

In order to ensure the supportive and developmental nature of post-tenure review, the tenured faculty member's portfolio and the post-tenure review report shall not be circulated under any circumstances to anyone besides the Department Chair and the Dean of the College of Agriculture & Life Sciences without the advanced written permission of the tenured faculty member being reviewed.

Post-Tenure Review Outcomes

A tenured faculty member shall be reviewed every seven years and during the year following two consecutive unsatisfactory annual reviews. The review should be in accordance with Section 5.3.4 of the ISU Faculty Handbook and should address the quality of the faculty member's performance in accordance with all Position Responsibility Statements (PRSs) in effect during the period of the review in the areas of teaching, research/creative activities, extension/professional practice, and institutional service. If applicable, the review should also discuss the effectiveness of part-time appointments. The review should result in acknowledgement of contributions and suggestions for future development of the faculty member. A faculty member's performance must meet expectations in all aspects of their PRS. A faculty member may receive a below expectations review if their performance in any aspect of their PRS is below expectations.

Based on the outcomes of the post-tenure review, the following actions will be taken:

- a “meeting expectations” post-tenure review recommendation may include suggestions for future development of the faculty member. 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 a detailed 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 (as outlined in Section XIV part B of this document).

- a below expectations post-tenure review recommendation will include specific recommendations for achieving an acceptable performance evaluation. The faculty member will work with the Department Chair and the chair of the review committee to develop a detailed 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 (as outlined in Section XIV part B of this document). 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 7.2.2.6.1 of the ISU Faculty Handbook).

XV. MEDIATION POLICY AND GRIEVANCE PROCEDURES

In the cases where a faculty member receives an unsatisfactory annual evaluation or a below expectations post-tenure review, the department will follow the policies outlined in Chapter 5 (section 5.1.1.2.1) of the ISU Faculty Handbook and in the college governance document. It is expected that the Department Chair and the faculty member will work toward resolution of any disagreements with a proposed written action plan and will resolve any disagreements within 10 working days from the date the faculty member receives the proposed written action plan.

A. Action Plan Mediation Committee: In anticipation of the possibility that all disagreements may not be resolved within 10 working days from the date the faculty member receives the proposed written action plan, the formation of an Action Plan Mediation Committee must be initiated when the proposed written action plan is presented to the faculty member, so that the committee is formed and ready to start the mediation process at the end of the 10 working day period. The selection of the departmental Action Plan Mediation Committee is defined by the college governance document. Accordingly, the members of the departmental Action Plan Mediation Committee will be selected from departmental faculty, at rank or above, of the faculty member who received the action plan (excluding those outlined in the ISU Faculty Handbook) as follows:

1. The Department Chair will appoint one faculty member to the committee.
2. The faculty member involved will appoint one faculty member to the committee. If the faculty member does not appoint a member within 5 working days, this appointment will default to the Department Chair who will select a second member.
3. The third faculty member will be, in order of availability, the departmental Faculty Senator, the At-Large Faculty Senator, the most recent departmental member who has served on the College P&T Committee, or the most recently tenured faculty member.

B. PRS Mediation Panel: It is expected that the Department Chair and the faculty members will work together to address any revisions that are needed to a faculty member's PRS. In cases where a faculty member and the Department Chair cannot reach agreement concerning such revisions, a PRS Mediation Panel will be formed in accordance with Section 3.4.4 of the ISU Faculty Handbook. The PRS Mediation Panel will be formed following the same procedures as those used to form an Action Plan Mediation Committee, except that the decision to form the committee must be the result of one of the following actions: 1) a written request from the faculty member to the Department Chair to form a PRS Mediation Panel, or 2) a written notification by the Department Chair to the faculty member about the

formation of a PRS Mediation Panel. Following either of these actions, a PRS Mediation Panel should be appointed within 10 working days. The selection process for members of the Action Plan Mediation Committee will also be used for selection of members for the PRS Mediation Panel. If an agreement cannot be reached within 10 working days of receiving the recommendation of the PRS Mediation Panel, the matter will be forwarded to the college, and resolved in accordance with the provisions contained in the college governance document.

C. Faculty Grievances: Faculty members who believe they have been treated unfairly with respect to salary, promotion, tenure, academic concerns, reduction in force, or other matters related to employment may have their cases reviewed formally through the procedures which have been developed by the Faculty Senate and approved by the administration. Appeals must be initiated no more than 30 working days following the occurrence of the last event or events that are being appealed. There are two independent channels for the consideration of appeals; 1) administrative, or 2) Faculty Senate Committee on Appeals (FSCA). Faculty members may use either channel or both consecutively but not simultaneously. These are described in ISU Faculty Handbook Section 9.0.

D. P&S and Merit Staff Grievances: For P&S and merit employees, grievance procedures are provided in Chapter 3.11.3 of the P&S Handbook and in the American Federation of State, County, and Municipal Employees (AFSCME) contract. The AFSCME contract outlines the grievance procedure in Article IV.

XVI. POLICY ON SALARY SAVINGS

Occasionally, faculty and P&S staff have the opportunity to pay a portion of their state-funded salary and benefits on gifts, user fees, or grants that permit it. Such arrangements result in salary and benefit savings that can be used for other purposes. Note that B-base faculty members have the option to pay themselves one or two months of summer salary on accounts that permit it; such payments do not generate salary savings.

In accordance with college policy, each department is required to have a policy on the distribution of such salary and benefit savings to the faculty or staff member, the department, and the college. The policy in the Department of Plant Pathology, Entomology and Microbiology is as follows:

1. All benefit savings revert to the college or other university unit that normally pays the benefits.
2. If a salary “buy-out” is not associated with any change in the faculty or staff member’s responsibilities, all salary savings are allocated to the faculty or staff member to use in a manner consistent with the purpose of the account in which the salary is saved.
3. Occasionally, by prior agreement with the Department Chair, a salary “buy-out” may be associated with a temporary change in the faculty or staff member’s responsibilities. In this case, the Department Chair shall retain sufficient funds in the department to arrange for any needed replacement services, such as the hiring of a replacement instructor to teach a class normally taught by the person whose salary is “bought out”.

XVII. REVIEW OF DEPARTMENTAL POLICIES AND OPERATING PROCEDURES

- A. This document may be amended by a majority of the faculty with continuous voting rights at any time as needed.
- B. Passage of amendments to this document will require a simple majority of all voting faculty (not just those in attendance). The Department Chair shall be responsible for arranging for absentee votes from the faculty unable to attend the meeting.
- C. The Department Chair may make non-substantive changes (e.g., correct spelling errors, minor changes in text that do not change the intent of the document, and adopt language/policies mandated by the college or university) without the need for a vote. However, faculty will be informed of any changes and may request discussion at a faculty meeting.
- D. The document and record of amendments (including dates) are to be maintained on the departmental web site.

XVIII. RECORD OF AMENDMENTS/UPDATES:

APPENDICES

Appendix 1

Guidelines for convening and operating a Department Chair Search Committee in cases where this function is granted to the department.

1. Purpose:

The purpose of the Department Chair search committee is to assist the faculty and Dean in the search for a new Department Chair. For an external search (outside of the department), this procedure includes recommending a position description, advertising the position, recommending applicants for interview, coordinating the interview process, and preparing a report of the faculty views on the candidates for the Dean. For an internal search, the procedure includes coordinating the application and interview process, and preparing a report of the faculty comments on the candidates for the Dean.

2. Membership:

Appointments to a Department Chair search committee shall be made by the Dean after receipt of recommendations from the faculty. The committee shall include the following:

- a. One representative from each faculty rank. Faculty should be chosen to represent the diversity of extension, research, and teaching interests within the department.
- b. One graduate student representative.
- c. One P&S or Merit representative.
- d. A committee chair from outside the department.
- e. Any additional personnel from within or outside of the department as desired by the Dean.

If at any time during the search, applications are considered from individuals that serve as major professor or immediate supervisor for members of the search committee, the Committee Chair should determine whether a potential conflict of interest exists and whether replacements for the affected committee members should be sought.

3. External Searches - Responsibilities of the Committee (unless specified otherwise, all actions below are those of the committee):
 - a. Contact the Human Resources Office to determine current university policies and procedures governing the hire of faculty. These include rules pertaining to Affirmative Action as well as Diversity, Equity, and Inclusion. Modify or amend the list of activities below as needed to assure compliance with all applicable rules.
 - b. Write a position description and submit it to the faculty for approval.
 - c. Give the approved position description to the committee chair to obtain necessary college and university approvals.
 - d. Determine the source of funds for the search. In consultation with the Department Chair (if the department is to fund the search) or the Dean (if the College is to fund the search), select printed and/or electronic media to be used for advertising the position.
 - e. Write advertisements appropriate for the chosen printed and electronic media and submit to the faculty for approval. The text of all notices for the position, whether distributed formally or informally by the committee or other persons, must be approved by the faculty and the Dean.
 - f. Advertise the position.
 - g. Committee chair collects and acknowledges receipt of applications and supporting documents, responds to referees indicating the receipt of letters of reference, and informs applicants of missing documents.
 - h. After the deadline for application has passed, the committee chair informs the committee of the availability of the application materials and arranges for the committee to review the materials. Treatment of incomplete applications or applications arriving after the deadline has passed is at the discretion of the committee.
 - i. After reviewing the applications and the letters of reference, the search committee prepares an unranked list of top candidates. A candidate should be included on the list if one-third or more of the voting members of the committee feel that the candidate is competitive for the position.
 - j. Send the un-ranked list to the faculty as a recommendation of persons whose applications they may wish to examine. At the same time, make available to the faculty and other relevant persons (to be specified by the committee chair) a file of all completed applications. Indicate names of candidates requesting confidentiality. Seek faculty input on the composition of the list of top candidates. The faculty may vote to add candidates to the top list. The Committee Chair provides this list to the Dean for confirmation to proceed.
 - k. If the committee so desires, the committee chair can send letters to all applicants indicating their status in the interview process, that is, whether or not they are still under serious consideration for the position.
 - l. For each candidate on the top list, the committee should attempt to contact at least two persons not listed as referees, but who are familiar with the candidate's professional

performance, and solicit their views on the suitability of the candidate for the position. Any information that might adversely affect an applicant's candidacy should be confirmed.

- m. The committee meets to identify candidates for interviews and provides recommendation to the faculty.
- n. The number of candidates that may be interviewed will be determined by the Department Chair (if departmental funds are to be used for the search) or the Dean (if college funds are to be used for the search). Candidates for interview shall be selected by the faculty. If the faculty feel that an insufficient number of the candidates is appropriate for interview, they may request that the committee re-advertise the position.
- o. In consultation with the committee chair, the committee will determine a standard interview format and identify persons with whom each candidate should meet. Each interview must include a departmental seminar and appropriate interviews with college and university administrators.
- p. Arrange and coordinate the interviews.
- q. At the conclusion of the interviews, the committee chair shall call a special meeting of all search committee members and the faculty, except any internal candidates, to evaluate the candidates' qualifications. If at any time during the meeting, non-faculty members of the search committee wish to excuse themselves from the discussion to avoid possible perceptions of conflict of interest, they may do so.
- r. Each faculty member with the right to vote (as determined by the departmental Governance Document) shall, by secret ballot, indicate the acceptability or unacceptability of each candidate and rank all the candidates irrespective of their acceptability. Faculty should be encouraged to give the reasons for their rankings and acceptability ratings. This information will be summarized in a report written by the committee; the report must be approved by the faculty. If the faculty so desires, it may request that the committee readvertise the position or bring additional candidates for interview.
- s. The committee chair shall forward the list of interviewees, without ranking, and indicate acceptability/unacceptability and strengths/weaknesses to the Dean. The Dean shall select the candidate to fill the position. Once the position is filled, the committee chair shall inform the unsuccessful applicants of the results of the search.
- t. The committee will deliver all applications and relevant correspondence to the committee chair. The files shall be returned to the applicants, destroyed, or filed, as appropriate.
- u. After the position is filled, the committee is disbanded.

4. Internal Searches - Responsibilities of the committee (unless specified otherwise, all actions below are those of the committee):

- a. Contact the Human Resources Office to determine current university policies and procedures pertaining to Affirmative Action as well as Diversity, Equity, and Inclusion.
- b. Write a position description and submit it to the faculty for approval.
- c. Decide on an application procedure, including documents to be submitted by applicants. To encourage qualified members of the department to apply, nominations should be sought from the department. The committee should inform each nominated person and request that they consider applying.

- d. The committee chair collects and acknowledges receipt of applications and supporting documents, responds to those submitting letters of reference, if any, indicating the receipt of letters of reference, and informs applicants of missing documents.
- e. After the deadline for application has passed, the committee chair informs the faculty of the availability of the application materials and arranges for the faculty to review the materials. Treatment of incomplete applications or applications arriving after the deadline has passed is at the discretion of the committee.
- f. Determine a standard interview format and identify persons with whom each candidate should interview. Each interview must include a departmental seminar and meetings with appropriate college and university administrators. All candidates with completed applications shall be interviewed.
- g. Arrange and coordinate the interviews.
- h. At the conclusion of the interviews, the committee chair shall call a special meeting of all search committee members and the faculty, except the candidates, to evaluate the candidates' qualifications. If at any time during the meeting non-faculty members of the search committee wish to excuse themselves from the discussion to avoid possible perceptions of conflict of interest, they may do so.
- i. Candidates shall be ranked by a vote of the faculty. Each faculty member with the right to vote (as determined by the departmental Governance Document) shall, by secret ballot, indicate the acceptability or unacceptability of each candidate, and rank the candidates, irrespective of whether they were scored as acceptable or unacceptable. Reasons for rankings and acceptability ratings should be given. Rankings, and the reasons for them, shall be summarized in a confidential report prepared by the committee. Acceptability ratings, and the reasons for them, shall be summarized by the committee chair in a confidential report. Acceptability ratings shall not be shared with the committee.
- j. The committee chair shall forward the list of interviewees and the reports of the acceptability/unacceptability, without ranking, and strengths/weaknesses to the Dean. The Dean shall select the candidate to fill the position. Once the position is filled, the Dean shall inform the unsuccessful applicants of the results of the search.
- k. The committee will deliver all applications and relevant correspondence to the committee chair. The files shall be returned to applicant, destroyed or filed, as appropriate.
- l. After the position is filled, the committee is disbanded.