

**Department of Plant Pathology & Microbiology**  
**Governance Document and Policies**

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**Table of Contents**

**Governance Document**

Preamble .....	4
Membership and Voting Privileges.....	4
Administration.....	5
Authority to Decide Departmental Issues.....	5
Faculty.....	5
Department Chair.....	5
Committees.....	6
Standing Committees.....	6
Ad Hoc Committees.....	6
Search and P & T Committees.....	6
Students and Staff.....	7
Faculty Meetings.....	7
Revision of the Governance Document and Promotion and Tenure Document .....	8

**Policies**

Introduction .....	8
Faculty Appointment Policies and Procedures.....	9
1. Types of Appointments.....	9
A. Tenured and Tenure-eligible Appointments.....	9
B. Salaried Term Faculty Appointments.....	9
C. Non-salaried Term Faculty Appointments.....	11
2. Guidelines for Percentage Teaching Instruction by Term Faculty.....	12
3. Position Responsibility Statements.....	12
Procedures for mediating PRS disputes.....	13
4. Hiring and Appointment Procedures .....	13
5. Rights of Faculty.....	14
6. Review and Reappointment of Faculty.....	14
7. Advancement of Term Faculty.....	15
Review of Probationary Faculty.....	16
Post-Tenure Review Policy and Procedures.....	19
Introduction.....	19
Annual Faculty Evaluation.....	19
Post-Tenure Review.....	20

Post-Tenure Review Outcomes.....	21
Evaluation of Post-Tenure Review Process.....	22
Review and Reappointment of Administrative Positions.....	22
Review and Reappointment of Department Chair.....	22
Tenure and Review of Faculty Members in Administrative Positions.....	23
Policy on Faculty Mentoring.....	24
Mentoring of Pre-tenure Faculty.....	24
Mentoring of Associate Professors.....	25
Peer Mentoring.....	25
Policy on Salary Savings.....	26
Policy on Esmail and Mary Zirakparvar Graduate Student Fellowships.....	26

### **Criteria for Promotion and Tenure**

General Criteria for Promotion and Tenure.....	28
Qualifications for Promotion and Tenure.....	28
Assistant Professor.....	28
Associate Professor and/or Tenure.....	28
Professor.....	28
Tenure.....	29
Standards for Promotion and Tenure.....	29
Scholarship.....	29
Documentation of Performance.....	30
Teaching.....	30
Extension.....	30
Research.....	31
Service.....	31
Departmental Procedures for Promotion and Tenure.....	31
Definitions.....	31
Responsibilities.....	32
Department Chair.....	32
Candidate.....	35
Evaluation Subcommittee.....	35
Promotion and Tenure Committee.....	36
Recommended Timelines for Procedures.....	36

### **Committee Standard Operating Procedures**

Introduction.....	38
General Guidelines.....	38
Standing Committees.....	38
Ad Hoc Committees.....	39
Search and P & T committees.....	39

Specific Guidelines .....	39
Standard Operating Procedures for Search Committees.....	40
Department Chair Search Committee .....	40
Faculty Search Committee.....	44
Staff Search Committee.....	46

# **Governance Document**

## **Department of Plant Pathology & Microbiology**

### **Preamble**

This document establishes the basic rules for governance within the Department of Plant Pathology & Microbiology. The document does not contain a detailed listing of policies and procedures, but rather the general rules needed for the orderly conduct of business and for the creation, modification, and elimination of such policies and procedures as deemed necessary from time to time. Individual policies and procedures shall be detailed in a) a departmental Promotion and Tenure Document, b) a departmental Policies document, and c) a Committee Standard Operating Procedures document, as described herein. The latter items shall be appended to this Governance Document. All items shall be contained within a departmental Faculty Handbook.

All rules within this Governance Document, and within any appended documents, are subordinate to policies of the College of Agriculture & Life Sciences, University, and Board of Regents. In the event of conflict, the policies of the College of Agriculture & Life Sciences, University, and Board of Regents shall prevail.

### **Membership and Voting Privileges**

For the purposes of this document, faculty are defined as all individuals holding a faculty appointment of any type within the department. Additional members of temporary status may be appointed in accordance with University Policy.

All tenured, tenure-eligible and salaried 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 Document. Voting rights also are granted to the Department Chair, assuming he or she otherwise qualifies for continuous voting rights. Continuous 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.

Faculty with continuous voting rights may grant (or renew) the right to vote to other faculty within the department for a five year term. Because the 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.

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 the faculty with continuous voting rights.

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.

## **Administration**

### **Authority to Decide Departmental Issues**

The authority to decide departmental issues and implement the decisions shall be shared among departmental faculty, staff, students, and Department Chair, as described below:

#### ***Faculty***

The faculty has the authority and responsibility to establish policies governing the administration of the department, including but not limited to procedures for the hire and evaluation of personnel, allocation of departmental resources, and the administration of the graduate program, so long as those policies are not in conflict with the stated policies of the College, University, or Board of Regents. 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.

All policies will be collated in a departmental Faculty Handbook. Policies pertaining specifically to students and staff (P&S, Merit, and postdoctoral associates) will be collated also in a departmental Graduate Student Handbook and a departmental Staff Handbook, respectively.

#### ***Department Chair***

The Department Chair has the authority and responsibility to implement departmental policies, administer the departmental budget, act as a liaison with other administrative units, and supervise departmental personnel. 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, a representative shall be appointed by the Department Chair in accordance with University policy with signature authority and the right to preside over faculty meetings. If the absence exceeds one month, the 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.

## ***Committees***

### Standing Committees

Standing committees can be formed by the Department Chair or the faculty. Membership on and chairmanship of the committees will be determined by the Department Chair. Each standing committee must have a written Standard Operating Procedure (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. All committee SOP will be collated in the departmental Faculty Handbook.

### Ad Hoc Committees

Ad hoc (temporary) committees may be formed by the Department Chair or faculty. Membership on and chairmanship of the committees will be determined by the person or group forming the committees. Ad hoc committees are 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 or the Promotion and Tenure 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.

### Search and P&T Committees

Certain committees, although they may be individually transitory (ad hoc), are involved in making decisions related to the selection, tenure or promotion of faculty, the selection of Department Chair, or the selection of permanent non-clerical staff. Such committees thus require standardized operating procedures (SOP) to assure consistency and fairness in the handling of sensitive personnel issues. Standard Operating Procedures for such committees shall be created by the faculty, approved by two-thirds of the faculty with the right to vote, and collated in the departmental Faculty Handbook.

### ***Students and Staff***

Graduate students, P&S employees, Merit employees, and postdoctoral associates each have the right to send a representative to faculty meetings. The representatives are expected to provide input to the faculty on issues related to students and staff and to disseminate information to their respective constituencies. They may participate in discussions at faculty meetings; however, they may not vote. If an issue under discussion is of a sensitive nature, the representatives may be asked to leave during the discussion.

Students and staff may be asked to serve on departmental committees; their right to vote on committee matters will be determined by the SOP of the committee.

### **Faculty Meetings**

Faculty meetings to discuss or decide departmental issues should be held monthly at a regularly scheduled time. Additional meetings may be called as deemed necessary by the Department Chair. Before the meeting, faculty will be notified of important agenda items or items likely to require a vote.

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 mail ballot may be used to decide issues discussed at faculty meeting(s).

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, the departmental Faculty Handbook, or the departmental Promotion and Tenure Document.

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

## **Revision of the Governance Document and Promotion and Tenure Document**

For the Governance Document or Promotion and Tenure Document to be changed, an announcement of the intent to call for a vote, including the proposed wording of the motion, must be sent to all faculty with the right to vote at least two weeks prior to the vote. Every reasonable attempt must be made to notify faculty who are away from the University. A two-thirds affirmative vote of the faculty with the right to vote is required for approval of the proposed change. Changes in the motion are permitted without a waiting period if approved by two-thirds of the faculty with the right to vote.

When changes in law, University or College policy require changes with little or no discretion, the Department Chair may make those changes without requiring a faculty vote. The Department Chair will be responsible for notifying the faculty of the changes.

### **Policies**

#### **Introduction**

This document contains a compilation of policies of the Department of Plant Pathology & Microbiology, other than those involving governance, promotion and tenure, and committee standard operating procedures.

As described in the departmental Governance Document, the faculty has the authority and responsibility to establish policies governing the administration of the department, including but not limited to procedures for the hire and evaluation of personnel, allocation of departmental resources, and the administration of the graduate program.

Policies may be established, modified, or eliminated at any time by a two-thirds affirmative vote of faculty with the right to vote. Unlike changes to the departmental Governance Document and Promotion and Tenure Document, no waiting period is required before a vote on policies may be taken. If the policies involve non-faculty personnel, the faculty should get input from the affected personnel prior to any vote on the policy. The dates of acceptance or modification of the policies by the faculty shall be indicated at the end of each policy.

All policies shall be consistent with all other applicable policies affecting the department. In the event of conflict, the departmental Governance Document, the departmental Promotion and Tenure Document, and policies of the College of Agriculture & Life Sciences, University, and the Board of Regents shall prevail.

All policies will be collated in a departmental Faculty Handbook. Policies pertaining specifically to students and staff (P&S, Merit, and postdoctoral associates) will be collated also in a departmental Graduate Student Handbook and a departmental Staff Handbook, respectively.

## **Faculty Appointment Policies and Procedures**

### **1. Types of Appointments**

Faculty appointments are made as tenured, tenure-eligible or term faculty appointments. 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 Iowa State University who hold limited term, full, or part-time renewable appointments that are not eligible for tenure and are subject to approval by the department, college, and provost.

#### **A. Tenured and Tenure-eligible Appointments**

Tenured and tenure-eligible appointments are regularly budgeted positions at any rank. Tenure-eligible faculty are appointed for a specified period of time; a person on a tenure-eligible appointment for a specified term is considered to be in a probationary period of service leading to tenure. The length of this period is specified at the time of initial appointment, but it may not exceed seven years, except in cases of part-time tenure-eligible appointments and in cases of the approved extension of the tenure clock. Policies for the recruitment, appointment, minimum qualifications, and appointment procedures for tenured and tenure-eligible faculty are as described in the ISU Faculty Handbook.

#### **B. Salaried Term Faculty Appointments**

The type and length of the appointment is determined by the situation of each applicant. The titles and definitions of salaried term faculty appointments that are described in the ISU Faculty Handbook and are relevant to the Plant Pathology & Microbiology Department are listed below.

- **Teaching Faculty Title and Ranks:** Lecturer, Assistant Teaching Professor, Associate Teaching Professor, and Teaching Professor. Teaching faculty hold positions through which they generally contribute to the teaching mission of the university. All Teaching faculty must devote at least 75% of their time to instruction, advising, curriculum coordination and other responsibilities related to the teaching mission. In addition, such appointments may include scholarly achievement and institutional or professional service, or any other responsibilities as identified in the PRS. The title of Lecturer is used for early career teaching faculty with contracts of one year or less, while Assistant Teaching Professor is for teaching faculty on multi-year contracts who have not advanced in rank.

- **Research Faculty Title and Ranks:** Research Assistant Professor, Research Associate Professor, and Research Professor. Research faculty must devote at least 80% of their effort to externally-funded research. Research faculty must obtain at least 80% of their salary from external grants and contracts through their grantsmanship, while at least 10%, but not more than 20% of their salary shall be paid from the general fund. In order for research faculty to be eligible for re-appointment, they must demonstrate research and scholarly productivity commensurate with tenure-stream faculty of the same rank, and must demonstrate independence as appropriate for their rank in their field. Since research professors are expected to obtain the majority of their funding from external sources, the term appointments for research professors must be contingent upon the availability of external funding. However, if a term faculty research professor needs to be terminated before the end of their contract due to insufficient funding, the term-faculty member will be given a 3-month notice of the termination. During the 3 months, the faculty member's college will be responsible for covering any portion of the faculty member's salary not covered by external research grants or the faculty member's incentive account.
- **Adjunct Faculty Title and Ranks:** Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor. Adjunct faculty typically are not focused on one area of faculty responsibility such as teaching. Appointments under this category may be appropriate in facilitating the University's quest to hire and retain excellent faculty, including dual-career couples, as well as to carve out new areas of academic expertise, and attract experts on extramural grants and contracts.

*Minimum Qualifications:* Individuals hired as Lecturers or Teaching Faculty must have an M.S. or higher degree in an appropriate discipline prior to hire. Individuals hired as Research or Adjunct Faculty must have a Ph.D. in an appropriate discipline prior to hire, and may be hired at the adjunct assistant professor, adjunct associate professor or adjunct professor rank consistent with their professional experience.

*Lengths of Appointments:*

Appointment at the Lecturer rank are for a term of up to one year; however, after a lecturer has completed three academic years of continuous employment, he/she will be reclassified as a term assistant professor if renewed. These require a notice of three months of intent not to renew.

Appointments at the Assistant rank are for a term of from one to three years; however, after a term assistant professor has completed three academic years of continuous employment, his/her term will be from two to three years. These require a notice of one year of intent not to renew except when the appointment is only for one year, in which case a notice of three months is required.

Appointments at the Associate Rank are hired for a term of from three to five years.

Shorter terms may only be issued under exceptional circumstances with approval of the Provost. These require a notice of one year of intent not to renew.

Appointment at the full rank are hired for a term of from three to seven years. Shorter terms may only be issued under exceptional circumstances with approval of the Provost. These require a notice of one year of intent not to renew.

### **C. Non-salaried Faculty Appointments.**

The type and length of the appointment is determined by the situation of each applicant. The titles and definitions of non-salaried term faculty appointments that are described in the ISU Faculty Handbook and are relevant to the Plant Pathology & Microbiology Department are listed below.

- **Visiting Faculty:** limited-term appointments for individuals who are not employed by Iowa State University and typically are faculty at another institution, but may be from business, industry or government. Recommendations for these appointments are initiated within the department and must be approved by the faculty, Department Chair and Dean. Normally a member of the faculty of another institution is appointed at the rank held at that institution. The initial term is one year or less, with renewal possible for a second and final year. No notification of intent *not* to renew is required. A visiting faculty member cannot be the instructor of record for a class.
- **Professional and Scientific Term Faculty Appointment:** An individual employed in a Professional and Scientific (P&S) position may be appointed to a term faculty position to carry out faculty responsibilities for the department. An individual holding a full- or part-time P&S position may have no more than 30% of their total work responsibilities in teaching. Appointments, which are non-salaried (title-only) appointments, may be made for a term of up to five years, and renewal is possible.
- **Affiliated Faculty:** Limited-term appointments for individuals who are not employed by ISU and are typically employed elsewhere, and who provide academic service to the university in furtherance of the research or graduate education mission of the university. In some instances the affiliate appointment formally recognizes services provided to the university as per a cooperative agreement with another governmental agency (e.g., USDA). Faculty rank will reflect scholarly qualifications equivalent to those of similar rank in the department. Recommendation for the appointment is initiated within the department and must be approved by the faculty, Department Chair and 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 Position Responsibility Statement). 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 PLPM graduate students, provided they are members of the Graduate Faculty.

- **Courtesy Faculty:** appointments for individuals who are faculty in other departments at ISU but would like a formal affiliation with the department. Recommendations for these appointments are initiated within the department and must be approved by the faculty and Department Chair. Courtesy faculty may supervise PLPM graduate students, provided they are members of the Graduate Faculty.

## **2. Guidelines for Percentage Teaching Instruction by Term Faculty**

Teaching by part-time and term faculty shall be limited to no more than 25% of the total instruction in the department.

## **3. Position Responsibility Statements**

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. 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 he/she is 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. 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 with advancement and promotion and tenure criteria. 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 and the signed and dated copy kept on file in the Dean's office.

#### ***Procedures for mediating PRS disputes***

If the Department Chair or a faculty member disagrees with a proposed change to a PRS, either party may refer the matter to a PRS Mediation Panel in the department. This panel will consist of one tenured faculty member selected by the faculty member involved in the disagreement and one tenured faculty member selected by the Department Chair. A third tenured faculty member will also serve; this faculty member will be, in order of availability, the departmental Faculty Senator, the At-Large Faculty Senator, or the most recent departmental member who has served on the College P&T Committee, or the most recently tenured faculty member.

The party referring the matter to the PRS Mediation Panel will submit to the panel the faculty member's existing PRS, the text of the proposed PRS, an explanation of why the change is being sought or is not acceptable, and the faculty member's CV. The other party should provide a written explanation of why the proposed change is not acceptable or is being sought. The PRS Mediation Panel will review the materials that have been submitted, meet with both parties, deliberate on the issue, and deliver a written opinion in a timely fashion (within two months) on how the disagreement should be resolved. The faculty member and the Department Chair should then reconsider the matter to see if an agreement can now be reached based on the panel's recommendation. If an agreement cannot be reached within ten working days of receiving the recommendation of the PRS Mediation Panel, the matter will be taken to the Dean for final resolution where it will be handled by a college-level PRS Arbitration Panel.

During the time of this mediation process, the existing signed and dated PRS will remain in effect.

#### **4. Hiring and Appointment Procedures**

For new tenured and tenure-eligible faculty appointments, 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 and Senior Vice President & Provost, the department follows university search procedures and sets up a Faculty Search Committee, as described in the departmental policies document (Standard Operating Procedures for Search Committees).

For term faculty appointments, the Department Chair solicits input from the members of the department. A formal search that follows open search policy is required to fill an open term faculty position. The search process for term faculty positions will use the recruitment, application, and hiring procedures described for the appointment of tenure-eligible faculty positions of commensurate rank, as described in the departmental policies document. 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.

## **5. Rights of Faculty**

All tenured, tenure-eligible and salaried term faculty have the same voting rights and all must have a PRS.

The granting of term faculty status confers the right to attend faculty meetings and participate in departmental governance. Persons holding term appointments are eligible to be named to the Graduate Faculty in accordance with procedures and policies of the Graduate College. Individuals with term faculty appointments that are eligible for renewal may request that the Chair arrange for the assignment of a mentor, following procedures described in the Policy on Faculty Mentoring.

## **6. Review and Reappointment of Faculty**

All tenured, tenure-eligible and salaried term faculty will be evaluated annually by the Department Chair. Policies for the review and reappointment of tenure-eligible faculty are detailed in the section on Review of Probationary Faculty. Policies for the review of tenured faculty are detailed in the section on Post-Tenure Review.

Salaried term faculty employed at ISU must be reviewed by an appropriate faculty review committee (FRC) before the end of the third year after the initial appointment date. An outcome of the review process should be to provide constructive, developmental feedback to the individual regarding progress in meeting departmental criteria for advancement. 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. The FRC will make a written recommendation for or against reappointment to the Department Chair. Reappointment for salaried term faculty will be based on demonstrated success in position responsibilities and a demonstration of a continued need within the department. Following review by the FRC, the decision to reappoint will be made by the Department Chair and must be approved by the Dean. Subsequent reviews shall occur every three years or at appointment renewal time, whichever is greater.

## **7. Advancement of Term Faculty**

Term faculty appointments at the Assistant rank are eligible for promotion to Associate rank after five years of employment as a faculty member at ISU (full or part time) or equivalent experience. The procedure for these advancement reviews will be the same at the departmental level as for a tenure-eligible faculty member applying for promotion, with external letters required for Research Faculty but not for Teaching Faculty. The review is conducted only at the departmental level, and the schedule for this review may differ from P&T review. The review will be based upon the continuing need for the position to fulfill the department's mission and evidence of excellence in the performance of duties outlined in the Position Responsibility Statement. The outcomes of this review include recommendation for advancement, continuation of appointment, or non-renewal of contract. Recommendation for advancement requires a majority vote of the faculty with voting rights of rank equal to or above the rank for which the candidate is applying, and approval of the Chair, Dean and Provost. Individuals who are not recommended for advancement are eligible to reapply in subsequent years.

## **Review of Probationary Faculty**

Within six weeks of the first day of work, the Department Chair and the new faculty member will agree on a Position Responsibility Statement. This should be in effect until at least the first preliminary review, and in most cases, until the tenure review. Each tenure-eligible faculty member who has had a term or permanent part-time appointment will have his/her schedule of preliminary and tenure review updated each year at the annual review.

Tenure-eligible faculty members with either term or permanent part-time appointments 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/or 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; such faculty members will have a second preliminary review in the sixth year of service unless a promotion/tenure review will take place in the subsequent year. Thus, a part-time tenure-eligible faculty member will likely have two preliminary reviews. 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 unusual circumstances. A written request to the Department Chair, outlining the unusual circumstances and proposed tenure evaluation date, initiates the process. The request needs to include the statement "If my request is granted, I will not claim tenure based on total length of employment." 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 in the department governance document under Promotion and Tenure. 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 committee members. All committee members must be at or higher than the Associate Professor rank 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 his/her performance. Ideally, 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, establish a timeframe for the review.

4. The probationary faculty member submits his/her 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/or 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 their 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 his/her 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 his/her final decision on the outcome of the review.

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 performance improvement is needed.

The letter from the Chair must indicate whether or not the pre-tenure faculty member is being reappointed, along with the terms of the reappointment terms (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 (may entail a one- or two-year renewal with an additional review scheduled before the mandatory tenure review)
- Non-reappointment with specific reasons

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

10. By the deadline provided by the college, the Department Chair submits the following materials to the Dean:

- Cover sheet for preliminary review recommendation (provided by the Provost's office)
- Candidate's PRS
- Candidate's CV
- Evaluation memo prepared by the PRC
- Chair's letter to the candidate.

## **Post-Tenure Review Policy and Procedures**

(Approved by the faculty, 4/21/2015)

### **Introduction**

Post-tenure review for the faculty in the Department of Plant Pathology 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 her/his 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 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 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 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.

### **Annual Faculty Evaluation**

Currently, all faculty members in the Department of Plant Pathology and Microbiology meet each year with the Departmental Executive Officer (Department Chair) to review their accomplishments during the preceding year. Faculty members submit a written summary (Annual Activity Report) outlining their accomplishments relative to each aspect of their current position responsibility statement and 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 position responsibility statement. 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 each year. Following the meeting, the Department Chair prepares a written evaluation and presents it to the faculty member. The faculty member may add his/her 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.

## Post-Tenure Review

The post-tenure review process will complement the department's present 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), and 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 members of the Plant Pathology and Microbiology faculty 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 portfolio 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 of Plant Pathology & Microbiology. 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. The Chair of the committee will be chosen by the faculty member. 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 portfolio 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 vita;
- 3) a concise portfolio in which the reviewed faculty member showcases how the areas of responsibility listed in the requisite PRS document(s) have been addressed;

Before 15 December, the post-tenure review committee will review the portfolio 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 PRS document(s).

The post-tenure review committee will develop a Post-tenure Review Report and provide it to the Department Chair by 15 January. 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 she/he desires to be attached to the report. The reviewed faculty member may meet with the Department Chair to add any verbal information.

By March 1, the Department Chair will have reviewed the Post-tenure Review Report, discussed the Post-tenure Review 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 and 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 college Dean without the advanced written permission of the tenured faculty member being reviewed.

### **Post-Tenure Review Outcomes**

The review should be in accordance with Section 5.3.4 of the 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.

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 (Section 5.1.1.5.1 of the Faculty Handbook).
- 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 (Section 5.1.1.5.1 of the Faculty Handbook). Failure to have the performance improvement plan in place by the time of the next academic year’s annual performance review may result in a charge of unacceptable performance as defined in the Faculty Conduct Policy (Section 7.2.2.5.1 of the Faculty Handbook).

### **Evaluation of this Post-Tenure Review Process**

After at least two faculty members have been through post-tenure review, the Department Chair will appoint a committee, including participants in previous reviews, to evaluate the post-tenure review process in the Department of Plant Pathology. The intent of this evaluation will be to determine how well the process has served the professional growth of the faculty members who were reviewed, as well as the needs of the department. The evaluation also will analyze how well the process reflected the guiding principles presented in the Introduction section of this document.

This special committee will develop a report of findings and recommendations for changes in the post-tenure review process, if needed. The faculty will engage in discussion of the report and its recommendations, as well as in making and implementing changes that the faculty desire. This evaluation will be repeated as needed.

## **Review and Reappointment of Administrative Positions**

(Revision approved by faculty, 2/21/14)

### **Review and Reappointment of Department Chair**

After the Department Chair is appointed by the Dean of the College of Agriculture and Life Sciences, the Department Chair will have a Position Responsibility Statement 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 him/her 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 people 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.

### **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 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 and Life Sciences:

- The Department Chair's report
- Any minority report(s) of 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 DEO 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 himself or herself to undertake whatever responsibilities have been determined to be most appropriate.

## **POLICY ON FACULTY MENTORING**

(Approved by the faculty, 2/18/2011)

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 may also have 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:

### **Mentoring of Pre-tenure Faculty**

- Faculty choose their own mentors with the assistance of the Chair.
- 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.
- For faculty new to the Department, mentors should be chosen within the first four months.
- Within a month of establishing the relationship mentored faculty and their mentors prepare an agreed upon mentoring plan and submit it to the Chair. 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 the mentored faculty benefit from. In particular, mentor review of the mentee's Annual Report of Faculty Activity prior to submission to the Chair is strongly encouraged. The Provost Office at ISU has described guidelines and activities at <http://www.provost.iastate.edu/faculty/newfaculty/> that faculty may consider for successful mentoring. Additional information can be found at these locations:

<http://www.provost.iastate.edu/faculty/newfaculty/>

<http://academicaffairs.ucsd.edu/faculty/programs/fmp/default.htm>

<http://www.uwosh.edu/mentoring/faculty/home.html>

<http://www.medschool.vcu.edu/ofid/facdev/facultymentoringguide/index-2.html>

- 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 Chair should be notified. If a mentoring relationship terminates, the Chair will assist the mentored faculty in finding a new mentor.
- The Chair holds group meetings, at least once per semester, of pre-tenure and new faculty to discuss mentoring needs, concerns, and suggestions.
- The Chair holds group meetings, at least annually, of 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 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.
- 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 Chair should take into account the importance of successful mentoring to the Department, and recognize effort in this area.

#### **Mentoring of Associate Professors**

- It is expected that mentoring may extend through promotion to the rank of Full Professor. It may be appropriate to continue existing mentoring relationships or to establish new ones.
- Faculty hired at the Associate Professor level should choose a mentor and establish a mentoring relationship within the first four months.
- Agreed upon mentoring plans should be articulated in writing and followed, but need not be submitted to the Chair.
- Mentors of Associate Professors are encouraged to participate in annual meetings of mentors of pre-tenure faculty with the Chair.
- Mentoring efforts in this context, as for pre-tenure faculty mentoring, should be described in the Annual Report of Faculty Activities and recognized by the Chair.

#### **Peer mentoring**

- Pre-tenure faculty are encouraged to meet as a group to discuss shared concerns and strategies for success. While not expected to participate, the Chair should, to the extent possible, facilitate this important type of peer mentoring by funding a lunch outing or similar informal gathering.
- 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.

- 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.
- 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.

### **Policy on Salary Savings**

(Approved the faculty, 8/19/2005)

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: 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 on the Department of Plant Pathology & 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 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 a temporary change in the faculty or staff member’s responsibilities. In such instances, the department Chair shall retain sufficient funds in the department to arrange for any needed replacement services, such as the hire of someone to teach a class normally taught by the person whose salary is “bought out”.

**Note:** For P&S staff budgeted on AES (102) dollars, the College encourages departments to pay at least 20% of their salaries on grants, gifts or user fees. The benefit savings revert to the College. Salary savings revert to the department.

### **Policy on Esmail and Mary Zirakparvar Graduate Student Fellowships**

Approved on February 17, 2015

The Department of Plant Pathology and Microbiology has received endowment funds from the Zirakparvar family and is investing these funds in its graduate education program by providing two competitive annual Zirakparvar Graduate Student Fellowships (ZGSF).

The two recipients of the ZGSF will be called Zirakparvar Fellows and each will be responsible for a distinct set of service activities for the department. These tasks are as follows:

Webpage-ZGSF: This recipient will serve as the webmaster for our departmental webpage. As such, this Zirakparvar Fellow will be responsible for gathering contents for the webpage and posting contents as needed but at least monthly. This individual will work under the supervision of a departmental faculty or staff person who will oversee the webpage activities.

Newsletter-ZGSF: This recipient will compile and produce short monthly news flyers and a larger departmental newsletter once per semester. The main task of this Zirakparvar Fellow will be to work with the department to develop a newsletter format and solicit input and articles from the department as a whole and to oversee the production of the newsletter in print and/or pdf format. This individual will work under the supervision of a departmental faculty or staff person who will oversee all newsletter activities.

Both Fellows will be afforded time at faculty meetings to report on progress and to lay out further plans to advance their respective charges. Both Fellows should work in close concert with each other to maximize synergies and avoid redundancies.

As part of the ZGSF agreement, the department will contribute \$2,000 towards each recipient's graduate assistantship to lower the amount that the major professor is responsible for in exchange for the time the recipients spend on their Zirakparvar Fellowship projects. Second, the department will contribute \$2,500 directly to each of the fellows as additional compensation in two half-year installments after 6 months and 12 months of the appointment. The total monetary value of each fellowship thus will be \$4,500 per year and \$9,000 per year for the total program. This amount corresponds to the current investment return of the endowment. Fellowship amounts can be adjusted by the department Chair in consultation with the faculty as endowment returns change.

Decisions on who will be awarded this fellowship will be made by the departmental Awards Committee and this committee also annually will ask for applicants. The Fellowships will run on a yearly cycle starting as soon as suitable applicants are identified. Upon exceptional progress of a Zirakparvar Fellow and in order to preserve continuity, the Awards Committee may renew fellowships for subsequent years. Fellows may resign from their appointment with a one-month notice and may also be removed by a vote of the faculty at any time with their fellowship amounts prorated proportional to satisfactory performance.

Zirakparvar Fellows agree to have their picture posted on the departmental webpage and in the newsletter and will correspond with the Zirakparvar family to provide updates as needed.

The Department of Plant Pathology and Microbiology considers this action a strategic investment of Zirakparvar funds and seeks to address the following outcomes:

- To provide moderate research assistantship savings for the faculty, potentially increasing student numbers.

- To provide students with a CV builder and extra income.
- To provide students with a professional development opportunity that could make them more employable.
- To add to our recruiting by increasing Department visibility through an appealing webpage.
- To increase departmental fundraising efforts by having a newsletter as an outreach tool.

## Criteria for Promotion and Tenure

### Department of Plant Pathology & Microbiology

#### Iowa State University

This statement documents the current policies and procedures for promotion within the Department of Plant Pathology & Microbiology.

## **A. GENERAL CRITERIA FOR PROMOTION AND TENURE.**

This department follows the basic on “Promotion and Tenure” as stated in the latest edition of the Iowa State University Faculty Handbook and the “College of Agriculture & Life Sciences Promotion and Tenure Document” dated 7/1/99 or later.

## **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 he/she is 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 his/her 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 and/or Tenure.** An associate professor should have a solid academic reputation and show promise of further development and productivity in his /her 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 and granting of tenure 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 his/her professional peers within the university, as well as nationally and/or internationally, for the quality of the contribution to his /her 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, since the last promotion, that the candidate has made contributions of appropriate magnitude and quality and has demonstrated the ability to sustain contributions to the field or profession and to the university.

**Tenure.** In most cases, the department will automatically recommend that tenure-eligible assistant professors being recommended for promotion to also be granted tenure. Associate professorship is normally required for 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/or tenure is based primarily on evidence of scholarship in the faculty member's teaching, research/creative activities, and/or extension/professional practice. In all areas of professional activity, a faculty member is expected to uphold the values and follow the guidelines in the Statement of Professional Ethics found in "Professional Policies and Procedures."

A key tool in the promotion and tenure review process is the position responsibility statement, which describes the individual's current position responsibilities and activities in the following areas: (1) teaching, (2) research/creative activities, (3) extension/ professional practice, and (4) institutional service. At the time of initial hire, the faculty member and the Department Chair prepare a mutually acceptable position responsibility statement. The statement is reviewed and, if necessary, revised at the annual performance evaluation meeting between the faculty member and the Department Chair. Revisions to the position responsibility statement must be agreed to in writing by both the faculty member and the Department Chair. This statement is used by all evaluators to interpret the extent, balance, and scope of the faculty member's scholarly achievements. (Examples of position responsibility statements are included as an appendix to this document.)

**Scholarship.** All tenured and probationary faculty members are expected to engage in scholarship in their teaching, research/creative activities, and 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 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**

### **Teaching**

Evidence of excellence in teaching will be documented through the preparation of a teaching portfolio. The teaching portfolio provides evidence of the candidate's strengths and accomplishments in teaching. The portfolio typically includes a statement of teaching responsibilities, representative course syllabi and objectives, evidence of efforts to improve teaching effectiveness, a personal statement of teaching philosophy and teaching goals for the future, and evaluations of teaching effectiveness provided by students and colleagues. The portfolio should include selected documents and materials which will convey the quality and impact of the candidate's teaching performance.

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 Teaching Excellence in preparing teaching portfolios. Several references to guide faculty in preparing effective teaching portfolios are on file in the main office.

Students in all plant pathology courses must be provided with an opportunity to evaluate the course and instructors. Teachers will use the standard evaluation forms on file in the office. Additional questions may be added to the standard evaluation forms. Written or oral testimonials from the students may be solicited by the teacher or by any evaluation committee. A summary of the student evaluations will be included in the faculty member's teaching portfolio.

The scholarship resulting from teaching is documented through such means as peer-reviewed publications, textbooks, videos, software, workbooks, lab manuals, invited lectures and conference papers. Evaluation of scholarship in teaching considers its originality, significance, and/or impact as evidenced by its influence, use, or adoption by peers. While production of teaching materials and surveys of student attitudes about classes are valuable indicators of the scholarship of teaching, peer evaluation of both a faculty member's and her/his students' performances in classes and in subsequent coursework are also appropriate assessments. Such assessments of performance need not be published or disseminated to publics outside the university.

### **Extension**

Evidence of excellence in extension will be documented through the preparation of an extension portfolio. The extension portfolio includes statements of the candidate's extension responsibilities, philosophy and goals. It also includes copies of extension publications such as bulletins, conference proceedings, applied research publications, and samples of news releases and newsletter articles. A list of other accomplishments, including non-print educational materials, client and media contacts, participation in extension programs and other training programs, and a complete list of newsletter articles and news releases, should be included. Outside funding for extension activities should be documented. As evidence of leadership in extension educational programs, the candidate should include outlines and goals for specific programs planned by the

candidate. A summary of representative samples of client evaluations should be included in the portfolio.

The candidate may solicit no more than three written statements from extension colleagues or clients, testifying to the candidate's outreach effectiveness and maintenance of public relations.

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, 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.

### **Research**

The primary measure of scholarship in research will be the quality and quantity of publications in refereed research journals. Books, book chapters, technical or popular reports will also be considered as evidence of productivity. Successful dissemination of results of research through lectures, and exhibits, and by participation in appropriate technical, professional, and scholarly societies that reflect their research will be expected. Evaluation of scholarship considers its impact as judged by its influence, use, or adoption by peers, its originality, richness, breadth and/or depth of expression. Research faculty will further be judged by the ability to seek and obtain a substantial level of research funding.

### **Service**

To be promoted and/or tenured, faculty members are expected to have been involved in institutional service to the university. Service to technical, professional, and scholarly societies appropriate to their academic discipline will contribute to a positive assessment of performance as also will service, related to their professional expertise, to public and to other agencies.

## **E. DEPARTMENTAL PROCEDURES FOR PROMOTION AND TENURE.**

(Approved by a vote of the faculty, 9/20/2013)

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**

Department Chair - Department executive officer

P&T - 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 departure. 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.

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.

## **Responsibilities**

### **Department Chair**

1. Presents the promotion and tenure policies and procedures document to each faculty member at the time of their appointment. Works with new faculty to develop a mutually acceptable position responsibility statement. The position responsibility statement 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 vitae and a faculty portfolio, as described by the Provost's Office (<http://www.provost.iastate.edu/help/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. 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 make up the 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/or extension/professional practice.

The Department Chair provides each reviewer with the candidate's promotion and tenure vitae and record of scholarship, all Position Responsibility Statements in effect during the time of review, and 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 <http://www.provost.iastate.edu/help/promotion-and-tenure>). In accordance with instructions in the College of Agriculture and Life Sciences Promotion and Tenure Document, 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, Vitae and Letters from the ES and makes it available to the full P&T 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.

11. Prepares an independent report of the candidate's qualifications for promotion. This report should include modifications in the Position Responsibility Statement, an evaluation of the candidate's accomplishments in scholarship, an evaluation of the candidate's performance in his/her 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 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 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 and 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 and/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 and Life Sciences:

- The Recommendation for Promotion and Tenure form.
- Any minority report(s) of the P&T committee.
- The vote count of the P&T.
- All external reviews
- Independent Department Chair report.

14. Informs candidates for whom a recommendation is being forwarded to the college of their right to review the factual information in the dossier and to inform the Department Chair of any ways in which he or she believes 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 not yet made 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.

17. Keeps the complete dossier of candidates not being recommended for promotion and/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 he or she be considered for promotion or tenure.
2. Prepares a promotion and tenure vitae and a faculty portfolio, as described by the Provost's Office (<http://www.provost.iastate.edu/help/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, or Department Chair.
3. The candidate must submit to the ES a list of names of potential reviewers, as well as 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 and Life Sciences. This would occur automatically for candidates in the final year of probation.
5. The candidate may appeal a negative departmental decision to the dean by submitting a formal written request to the dean, and may appeal a negative decision by the university as detailed in the Faculty Handbook.

### EVALUATION SUBCOMMITTEE

1. The Chair of the ES will call the time and place of the meeting(s) 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 Conflict-of-Interest 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 conflict with the candidate (i.e., advisor/advisee status; co-author, collaborator, etc.).

6. The ES shall prepare a Summary of Portfolio, Vitae 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 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, and will submit it to the Department Chair.

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, 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 provide.

2. A final vote shall be taken by a secret written ballot that must be submitted to the Department Chair within 3 days of the P&T 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. The vote may be yes, no, or abstain. A majority of all eligible voters is required to recommend promotion. Eligible faculty are entitled to vote if they did not attend the formal P&T meeting, if they have informed the Department Chair prior to the meeting.

3. The P&T 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.

4. If minority report(s) are desired by individuals or groups within the P&T, they should be identified as such and submitted directly to the Department Chair.

#### **Recommended Timelines for Procedures**

Very early in the year (ideally January/February), the Department Chair determines which faculty members will likely seek promotion (and 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 July/August):*

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 Evaluation Subcommittee (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 Conflict-of-Interest list to the ES. The Department Chair provides the promotion and tenure vitae and faculty portfolio 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 August/September):*

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 September/October):*

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, Vitae and Letters and submits it to the Department Chair.
9. The Department Chair shares the Summary of Portfolio, Vitae and Letters with the P&T and calls a meeting of the P&T to discuss the case, after which the P&T votes on the candidate's application.
10. The Department Chair advises the candidate in writing of the P&T recommendation.

*Starting at one month before the CALS deadline for promotion packages (usually during October/early November):*

11. The ES drafts and finalizes the Recommendation for Promotion and Tenure form. Any minority report(s) of the P&T 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 and Life Sciences by the deadline provided by the college.

# **Committee Standard Operating Procedures**

## **Department of Plant Pathology & Microbiology**

### **Introduction**

*(enacted 4-18-1997)*

This document is a compilation of Committee Standard Operating Procedures (SOP) of the Department of Plant Pathology & Microbiology.

The faculty has the authority and responsibility to establish SOP for departmental committees. Except for informal SOP of ad hoc committees, SOP can be created, modified or eliminated by a two-thirds affirmative vote of the faculty with the right to vote. No waiting period is required before a vote may be taken. The SOP of ad hoc committees, other than those involved in searches and P&T, may be informal, that is, unwritten.

The SOP shall be consistent with all other applicable policies affecting the department. In the event of conflict, the departmental Governance Document, the departmental Promotion and Tenure Document, the departmental Policies document, and policies of the College of Agriculture & Life Sciences, University, and the Board of Regents shall prevail.

All SOP, except informal SOP of ad hoc committees, shall be collated in a departmental Faculty Handbook. SOP, if any, pertaining specifically to students and staff (P&S, Merit, and postdoctoral associates) will be compiled also in the departmental Graduate Student Handbook and the departmental Staff Handbook, respectively. The dates of acceptance of the SOP by the faculty shall be indicated at the end of each SOP.

### **General Guidelines**

*(excerpted from Governance Document, section on Administration, enacted 9-20-96)*

#### Standing Committees

Standing committees can be formed by the Department Chair or the faculty. Membership on and Chairmanship of the committees will be determined by the Department Chair. Each standing committee must have a written Standard Operating Procedure (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. All committee SOP will be collated in the departmental Faculty Handbook.

### Ad Hoc Committees

Ad hoc (temporary) committees may be formed by the Department Chair or faculty. Membership on and chairmanship of the committees will be determined by the person or group forming the committees. Ad hoc committees are 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 or the Promotion and Tenure 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.

### Search and P&T Committees

Certain committees, although they may be individually transitory (ad hoc), are involved in making decisions related to the selection, tenure or promotion of faculty, the selection of Department Chair, or the selection of permanent non-clerical staff. Such committees thus require standardized operating procedures (SOP) to assure consistency and fairness in the handling of sensitive personnel issues. Standard Operating Procedures for such committees shall be created by the faculty, approved by two-thirds of the faculty with the right to vote, and collated in the departmental Faculty Handbook.

## **Specific Guidelines**

*(enacted 4-18-1997)*

All SOP should include the following information:

1. Committee name.
2. Committee purpose or function.
3. Name of the person or group to whom the committee reports.
4. Name of the person or group with the authority to appoint personnel to the committee.
5. Responsibilities of the committee.
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. If the committee has an advisory role, policies detailing what happens to recommendations brought forward by the committee.
8. The authority of the department Chair to act without consulting the committee.

The following information should be included if applicable:

- a) Personnel required or permitted to serve on the committee.
- b) Diversity requirements for membership on the committee. Types of diversity that may be considered include (but are not limited to) ethnicity, position in department, rank, and discipline.

- c) For standing committees, the recommended or required frequency of meetings.
- d) Procedures for handling any financial or budgetary responsibilities.
- e) Requirements for the creation and maintenance of records or reports.
- f) Requirements for confidentiality.
- g) College or university policies that affect the function of the committee.
- h) Authority of the committee Chair to act without consulting the committee.
- i) Person to act on behalf of the committee Chair if the committee Chair is not available.

## **Standard Operating Procedures for Search Committees**

Departmental search committees are temporary and formed to search for a person or persons to fill one or a limited number of positions. The responsibilities of these committees cease after the position or positions have been filled or withdrawn.

The membership and responsibilities of search committees vary depending on the type of position being filled. Each type of search is therefore listed separately.

### **Department Chair Search Committee**

*(enacted 4-18-1997)*

#### *Purpose:*

The purpose of the Department Chair search committee is to assist the faculty and Dean in the search for a new Department Executive Officer (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.

#### *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:

1. One representative from each faculty rank. Faculty should be chosen to represent the diversity of extension, research, and teaching interests within the department.
2. One graduate student representative.
3. One P&S representative.
4. One Merit representative.
5. A committee Chair from outside the department.
6. 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.

*External Searches - Responsibilities of the Committee:*

*(Unless specified otherwise, all actions below are those of the committee.)*

1. Contact the Personnel Office to determine current University policies and procedures, Affirmative Action rules, *etc.*, governing the hire of faculty. Modify or amend the list of activities below as needed to assure compliance with all applicable rules.
2. Write a position description and submit it to the faculty for approval.
3. Give the approved position description to the Committee Chair to obtain necessary College of Agriculture & Life Sciences and University approvals.
4. Decide on an application procedure, including documents to be submitted by applicants. To speed candidate selection, references should be submitted at the time of application.
5. 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.
6. 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.
7. Advertise the position.
8. 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.
9. 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.
10. After reviewing the applications and the letters of reference, the search committee prepares an un-ranked 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. All departmental members of the committee may vote.
11. 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.

12. If the committee so desires, 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.
13. 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 which might adversely affect an applicant's candidacy should be confirmed.
14. Meet to rank the candidates in the top list; all departmental members of the committee may vote. Recommend the highest ranked candidates to the faculty for interview.
15. 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 are appropriate for interview, they may request that the committee re-advertise the position.
16. In consultation with the Committee Chair, determine a standard interview format and identify persons with whom each candidate should interview. Each interview must include a departmental seminar and appropriate interviews with College and University administrators.
17. Arrange and coordinate the interview(s).
18. 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.
19. 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 re-advertise the position and/or bring additional candidates for interview.
20. The Committee Chair shall forward the list of interviewees and the report to the Dean. The Dean shall select the candidate to fill the position.
21. Once the position is filled, the committee shall inform the unsuccessful applicants of the results of the search.
22. Deliver all applications and relevant correspondence to the Committee Chair. The files shall be returned to applicant, destroyed, or filed, as appropriate.
23. After the position is filled, the committee is disbanded.

### *Internal Searches*

*(Unless specified otherwise, all actions below are those of the committee.)*

1. 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.
2. Committee Chair collects and acknowledges receipt of applications and supporting documents, responds to referees, if any, indicating the receipt of letters of reference, and informs applicants of missing documents.
3. 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.
4. 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.
5. Arrange and coordinate the interview(s).
6. 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.
7. 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 their acceptability. 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.
8. The Committee Chair shall forward the list of interviewees and the reports to the Dean. The Dean shall be responsible for selecting the candidate to fill the position. Once the position is filled, the Dean shall inform the unsuccessful applicants of the results of the search.
9. Deliver all applications and relevant correspondence to the Committee Chair. The files shall be returned to applicant, destroyed or filed, as appropriate.
10. After the position is filled, the committee is disbanded.

## **Faculty Search Committee**

(Approved by faculty vote, 11/15/13)

### *Purpose of the Committee:*

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.

### *Membership on the Committee:*

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

1. 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.
2. One graduate student representative.
3. Any additional persons, inside or outside of the department or University, as desired by the Department Chair.

### *Responsibilities of the Committee:*

*(unless specified otherwise, all actions below are those of the committee)*

1. Contact the Human Resources Office to determine current University policies and procedures, Affirmative Action rules, *etc.*, governing the hire of faculty. 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 Resource Services that is specific for members of faculty search committees. All committee members are expected to work to insure that the pool of candidates is as diverse as possible and should draw upon resources created for this purpose, as appropriate, including from the Provost's office (<http://www.provost.iastate.edu/resources/guide>).
2. Write a position description and submit it to the faculty for approval.
3. Give the approved position description to the Department Chair to obtain necessary College of Agriculture & Life Sciences and University approvals.
4. Decide on an application procedure, including documents to be submitted by applicants. To speed candidate selection, references should be submitted at the time of application.
5. In consultation with the Department Chair, select printed and/or electronic media to be used for advertising the position and plan networking and advertising of the position to maximize diversity in the applicant pool.

6. Submit the recruitment plan and advertisements appropriate for the chosen printed and electronic media 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.
7. Advertise the position.
8. 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.
9. 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. Disposition of incomplete applications or applications arriving after the deadline has passed is at the discretion of the committee.
10. After reviewing the applications and the letters of reference, the search committee prepares an un-ranked list of top candidates. A candidate should be included on the list if at least one voting member of the committee feels that the candidate is competitive for the position. All departmental members of the committee may vote.
11. Send the un-ranked list of top candidates to the faculty as a recommendation of persons whose files they may wish to examine. Completed applications of candidates that do not make the list of top candidates will be made available only to faculty that have the appropriate training in confidentiality from Human Resource Services. The faculty may vote to add candidates to the top list or request that the committee add candidates to the top list.
12. If the committee so desires, send letters to all applicants indicating their status in the interview process, that is, whether they are still under serious consideration for the position.
13. 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 which might adversely affect an applicant's candidacy should be confirmed.
14. Meet to rank the candidates in the top list; all departmental members of the committee may vote. Recommend the highest ranked candidates to the faculty for interview.
15. The number of candidates that may be interviewed will be determined by the Department Chair. Candidates for interview shall be selected by the faculty. If the faculty feel that an insufficient number of the candidates are appropriate for interview, they may request that the committee re-advertise the position. The committee will ensure that a hiring matrix be reviewed by the Equal Opportunity and Diversity Office (EOD) prior to contacting the applicants to schedule interviews.
16. In consultation with the Department Chair, determine a standard interview format and identify persons with whom each candidate should interview. 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 (<http://www.provost.iastate.edu/resources/guide/appendices/appendix-4>).

17. Arrange and coordinate the interview(s).
18. 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.
19. 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 faculty to create a ranked list of candidates. If the faculty so desires, it may request that the committee re-advertise the position and/or bring additional candidates for interview.
20. 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.
21. Once permission to hire a candidate is given by the Dean and the hiring matrix is finalized by the EOD, the Department Chair shall make an offer to the candidate and negotiate the terms of employment.
22. 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.
23. Once the position is filled, inform the unsuccessful applicants of the results of the search.
24. Deliver all applications and relevant correspondence to the Department Chair. The files shall be returned to applicant, destroyed or filed, as appropriate.
25. 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.

### **Staff Search Committee**

(Approved by faculty vote, 11/15/13)

#### *Purpose of the committee:*

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. Examples of general service employees include, but are not necessarily limited to, the

greenhouse manager and clinic diagnostician. 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.

*Membership on the committee:*

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

1. 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.
2. One staff member of the same classification (that is, P&S or Merit) as the position to be filled.
3. Any additional persons within or outside of the department as desired by the Department Chair.

*Responsibilities of the committee:*

*(unless specified otherwise, all actions below are those of the committee)*

1. Contact the Human Resources Office to determine current University policies and procedures, Affirmative Action rules, etc. governing the hire of the relevant classification of personnel (that is, P&S or Merit).
2. Modify or amend the list of activities below as needed to assure compliance with all applicable rules.
3. Write a position description and submit to Department Chair for approval.
4. Send position description to the Human Resources Office for classification.
5. At the discretion of the Department Chair and committee, advertise the position in excess of University requirements, network, and advertise the position to maximize diversity in the applicant pool.
6. Collect applications and respond to applicants indicating receipt of applications.
7. 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.
8. Recommend to the Department Chair applicants for interview. The Department Chair has final responsibility for selecting candidates for interview.

9. Establish interview format.
10. Arrange and coordinate the interview(s). 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 (<http://www.provost.iastate.edu/resources/guide/appendices/appendix-4>).
11. Recommend hire to Department Chair. The Department Chair may choose to seek additional input from the faculty and staff. The Department Chair makes the final decision on whom to hire.
12. Department Chair makes offer to the successful applicant and negotiates the terms of employment.
13. Inform unsuccessful applicants of the results of the search.
14. Give all applications and relevant correspondence to the Department Chair to be returned to applicant, destroyed or filed, as appropriate.
15. 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.