

DEPARTMENTAL GOVERNANCE DOCUMENT

DEPARTMENT OF AGRICULTURAL EDUCATION AND STUDIES

FOREWARD

The Department of Agricultural Education and Studies (AGEDS) is administered as a department in the College of Agriculture and Life Sciences (CALs) and operates as a unit that serves Iowa State University, a land-grant university. Some faculty members have joint appointments in the College of Human Sciences and/or Extension; or other units to be if decided in the future. This Governance Document will be regularly updated to be in accordance with timelines and policy changes of Iowa State University, Ames, Iowa. Policies in this document are consistent with policy decisions at higher levels of the university and other legal and binding institutions pertinent to AGEDS. It is the joint duty of faculty, staff, administrators and others to read and understand policies herein; and to call to the attention of the Department any policies and procedures that appear to require correction or alteration. The development of the current version of this Governance Document was updated and edited by an AGEDS Governance Committee; approval is conferred by a vote of a quorum of eligible members of the Department, defined later in the document.

Specifically, actions of the Department are governed by policies and procedures of the Iowa Board of Regents, Iowa State University, and the College of Agriculture and Life Sciences; also, when applicable, the College of Human Sciences. The *Faculty Handbook*, the *Professional and Scientific Handbook*, the *Graduate College Handbook*, the *General Catalog*, *ISU Office Procedure Guide*, and the *College of Agriculture and Life Sciences Governance Document*, and other documents residing in the University Policy Library or other official repositories serve as the primary guiding documents for development of this Governance Documents. This document affirms and supplements the foregoing in areas where special policies, procedures, or definitions are necessary for proper functioning of the Department. This is a public document and shall be made available for access by employees of the university in a ready manner; but also by members of the general public, especially those in Iowa, who provide support for the university

PHILOSOPHY STATEMENT

The philosophy of AGEDS is based on the following: the creation of knowledge through research; teaching based on experience-based, problem-solving contexts, and situational analyses of learners and learning. Activities are rooted in the technical knowledge of agriculture and the life sciences and psychology; and methodologies associated with the social sciences generally, especially the field of education, the practices of agricultural and science communications fields, and the occupational and social aspects of living and working in the applied sciences.

We believe that agriculture is a fundamental yet rapidly changing industry that is anchored in research-based and applied science and technology; and enacted through application of sound business principles, vigorous individual and community leadership, and stewardship of natural and human resources. We believe that research and discovery are crucial to remaining competitive, relevant, and for improving the human and material circumstances of agriculture and the people associated with agriculture. We believe that arranging and facilitating learning experiences for change agents are important to the success of agriculture and its constituents.

These beliefs speak to our main charge in AGEDS, which is to focus on application and development of theories and processes related to learning and teaching. A fundamental obligation is to prepare the learner to become self-directed, effective, ethical, and accountable for his/her actions. We believe that learning is best engendered when it is an active and relational process. A major premise is that learning, when it is successful, is both an individual and cooperative venture. Learning ideally should be personalized; goal-oriented; systematically documented and assessed; diagnostic; reflective; and conducted in an atmosphere in which the learner is valued, nurtured, and provided with opportunities to become empowered.

We value excellence in teaching, student advising, research and discovery, and professional outreach and service, including participating in extension activities integral to full-functioning of a land-grant university. We value teamwork yet respect individuals – including their distinct needs, goals, contributions, and aspirations. We value diversity in and of itself, as well as for the breadth of perspective it brings to all endeavors. Diversity includes official definitions that protect underserved and under-represented classes, as well as diversity of ideas and approaches within the scope of agricultural education. We seek to produce new knowledge through research and reflection on experiences focused on communication, delivery, and utilization processes; and on evaluation of the impact of the transfer and facilitation of agricultural and science knowledge and technology. We respect the career development process and encourage each other, and our students, to enter into the process thoughtfully and fully over the lifespan.

MISSION STATEMENT

The mission of the Department of Agricultural Education and Studies is to provide the teaching, advising, research, outreach, and leadership necessary to meet the human resource development, and training and development needs of our clientele who are active in agricultural production, communications, sales and marketing, management, teacher preparation, social and agricultural development, and professional development. Specifically, the department seeks to:

- Foster the development of agricultural production, management and decision-making skills.

- Enhance personal, interpersonal, and professional communication and technical delivery skills.
- Encourage excellence in teaching, research, outreach, extension, and continuing education focused on the processes related to the transfer and facilitation of adoption and adaptation of applied science and technology, domestically and internationally.
- Assist the development of skills, knowledge, ethics, and attitudes in the delivery and facilitation of agricultural and science technology; and assessment of needs, impact, and efficacy related to adoption and adaptation of applied science and technology.
- Promote experiential learning processes necessary to develop successful agricultural life science-related industry professionals, extension professionals and other certified and non-formal professional educators.

GOALS AND OBJECTIVES

Departmental Goals

The Department fulfills its mission through teaching, research, outreach and extension, and service by:

- Offering instruction, advising, and mentoring that will prepare persons to enter and advance in their profession;
- Generating and applying new knowledge related to the discipline;
- Assisting individuals to identify and solve present and future problems, and to improve their technical effectiveness and ethical disposition as agricultural educators, change agents, leaders, agriculturists and professionals in life science-related industries;
- Providing assistance to individuals and groups through educational activities; and
- Creating awareness of, and ethical approaches to addressing, international agricultural problems and potentials.

Departmental Objectives

The Department accomplishes its mission and goals through the following program objectives:

- Conduct viable undergraduate programs to prepare students for careers in formal education, agricultural extension, farming, agribusiness, life science-related industries, the nonprofit sector, and government.
- Conduct viable graduate programs to prepare students for teaching, extension, research, and ethical leadership positions in agriculture, education, and related fields.
- Provide undergraduate and graduate students with the educational opportunities necessary to enter and/or advance in professions related to international agriculture.
- Effectively advise undergraduates and graduate students in achieving their personal, academic, and career goals in ways that are ethical and in line with the principles of lifelong learning.
- Serve students in CALS through offerings unique to agricultural education, agricultural communication, and agricultural studies.
- Conduct interdisciplinary programs and activities with other departments and institutions.
- Plan and conduct research to discover new knowledge, solve compelling problems, and determine methods for best applying knowledge at local, state, national, and international levels.
- Plan and conduct comprehensive professional development programs to assist agricultural educators and others to enhance their competence and keep abreast of changes.
- Encourage a comprehensive program of professional development to assist the AGEDS faculty and staff to sharpen their perspective on key issues; and to increase competence in teaching, research, extension, and service.
- Provide opportunities for faculty and staff to exercise ethical leadership at the departmental, college, university, state, national, and international levels.
- Evaluate programs and courses and make necessary alterations to retain, improve and/or achieve learning and other outcomes.

DEPARTMENTAL ADMINISTRATION

The clientele served by the Department as a whole are foremost the people of Iowa, and also the nation and the international community. The Department's programs and policies are intended to be consistent with pertinent federal and state laws and regulations, and university policies, related to non-discrimination of protected classes.

The Department administers the Agricultural Education and Agricultural Studies curricula (majors) leading to the Bachelor of Science degree; and options of Communications and Certification (under Agricultural Education) and a secondary major in International Agriculture, also for undergraduates. Master of Science, Master of Agriculture, and Doctor of Philosophy degrees are offered. For the MS and PhD, the Agricultural Education major additionally offers a specialization in Agricultural Extension Education. The Master of Agriculture program offers the major of Professional Agriculture.

DEPARTMENT CHAIR

The lead administrator of AGEDS is the Department Chair. The Department Chair is appointed by the Dean of CALS for a term of 3 to 5 years. Appointments are renewable.

Reappointment Process

When willing to reappoint a Chair, the Dean of CALS will ask if the current Department Chair is willing to serve. After a response is provided, the Dean will meet with AGEDS faculty to discuss her or his desire to reappoint, including concerns and options. The Dean selects a process for gathering input, which is considered to be advisory.

Selection of a New Chair

If the current Department Chair is unwilling or unable to service another term, complete his or her term, or the Dean changes her or his preference for continuing the current chair based on input from the Department, the Dean will employ procedures specified by the Department.

AGEDS Selection Process

The Dean will solicit names of faculty members internal to the Department from among the tenured or tenure-eligible members of the Department to serve on a screening committee; and then shall make appointments to serve on the screening committee, which shall number no less than three. The Dean will also solicit, and then appoint, a tenured or tenure-eligible faculty member from CALS (or College of Human Sciences or other as pertinent) outside the department to serve as the chairperson of the committee. There should be at least two members on the screening committee who hold appointments from outside the department;

but in all cases, number of Departmental members should exceed number of outside members (count includes chair of committee). After consultation with the Department, Dean will then finalize and appoint a chairperson and the members of the screening committee.

The screening committee, working with the Dean, will:

- Develop and distribute announcements of the vacancy along with the job description and qualifications statement.
- Receive all applications for the position.
- Acknowledge receipt of application following pertinent university policies for hiring.
- Screen all applications based on the job description and qualifications statement.
- Make available all candidate materials to faculty members from AGEDS or, in the case of a joint hire, with the appropriate other Department, for review.
- Recommend a suitable number of candidates to be interviewed to the Dean. The Dean must communicate her or his approval of final candidates before interviews are scheduled. Internal announcement of candidates for the Chair may be announced after approval of candidates has been made by the Dean, pending special circumstances.
- Coordinate interviews of selected candidates who agree to enter into the interview process. During interviews, the committee will:
 - Host candidates while on campus.
 - Schedule interviews.
 - Arrange and schedule candidate presentations.
 - Conduct an in-depth interview with the candidate.
 - Coordinate candidate visit with college and university administration, and announce to other interested parties.
 - Make recommendations, in the form of statements regarding strengths and weaknesses based on input from tenured and tenure-eligible members of the Department/s, of each candidate to the Dean. Recommendations must reference job description and qualifications statement.

After the interviews, all faculty and staff will be asked to submit anonymous assessments of the candidates' strengths and weaknesses to the Dean for consideration. The Dean will notify AGEDS within a reasonable amount of time of her or his decision regarding the candidate selection, and as appropriate, make the appointment. After the Department Chair is appointed and the appointment accepted, and at latest within the first semester of the appointment, a Position Responsibility Statement (PRS) will be developed by the Chair and the

Dean describing the administrative and other academic and departmental responsibilities of the position in line with the qualifications statement and job description. Copies of the original PRS, and any and all modified PRS documents and formal communications, shall be retained by AGEDS as part of regular documentation of the faculty member for duration of employment and shall be made available, as permitted per personnel policies, as part of any promotion and/or tenure, or advancement or nonrenewal, decisions.

Non Appointment

In the case of non appointment, the Dean and Department will consider appointing an interim Chair while another search is conducted.

FACULTY, AND PROFESSIONAL AND SCIENTIFIC STAFF APPOINTMENTS

Departmental Budgeted Tenure-Eligible Faculty Members

Described below are the procedures to be followed when appointing budgeted tenure-eligible faculty, non-tenure eligible faculty, and Professional and Scientific (P&S) staff members of AGEDS.

- A job description and qualifications required for filling the position vacancy will be developed by the Chair. This will include levels of rank into which a candidate may be hired.
- The description and qualifications statement will be submitted to the Departmental staff and appropriate college and university administrators for review and approval.
- Applicants will be screened by a search committee appointed by the Chair, composed tenured and tenure-eligible faculty in the Department. The Chair may also opt to consider the entire faculty as the screening committee. The Department will be told which process will be used as part of planning for release of the advertisement.
- The Chair will make the decision regarding which candidates to invite to interview, in line with recommendations of the screening committee, plus any other potentially confidential information gained as result of a review, such as background checks (as applicable). The Chair will schedule the candidates' interviews.
- At the conclusion of the interviews, Department members will anonymously identify and submit in writing the strengths and weaknesses of each candidate to the Chair. Using the input, the Chair will submit a recommendation to the Department for approval.

- After reaching a decision through majority vote by secret ballot, the Chair will convey the tally and the result of the vote to the faculty, and then work with CALS and university administrators in securing the person to fill the position in the case of approval by voting members of the faculty.
- In the case of a search that does not produce a suitable candidate, university procedures will be used to re-conduct or revise the search. The Chair will provide reasons for non suitability in line with state, university and college policies.

Refining the PRS, and Tenure Issues

- If a candidate seeks, either as part of the hiring process or after being hired, to be granted tenure at this university, the Chair will call a face-to-face meeting of the tenured faculty only to discuss relevant issues. A secret ballot will be used to decide, in a timely fashion, whether tenure will be granted as part of hiring or shall use the University P&T process after a minimum of one year of the appointment.
- For a hire that has accepted and joined the faculty, at the time of appointment or within the first semester of the appointment, the Chair and the new tenure-eligible/tenured faculty member will agree on a position responsibility statement (PRS). The PRS is to be based on the job advertisement. This document will be signed and dated by both parties. The signed and dated copy will be on file in the faculty member's personnel file, in the member's possession in a timely manner for their personal file, and in the Dean's office.
- Once hired, as for other faculty, the current PRS, or a PRS that includes changes, shall be completed and made available to the faculty member by the Department Chair by May 15 annually. This PRS should stand for the first three years of appointment. In most cases, this PRS should remain in effect in its basic form (based on the original job description) until tenure and/or and promotion review. Any changes in the PRS must be agreed upon by the Chair and the faculty member.

Appointment Policies for Non Tenure-eligible Faculty

Lecturer, Senior Lecturer, Clinician, Senior Clinician, and Adjunct appointments

Non tenure-eligible faculty positions are term appointments eligible for renewal based upon the quality of performance and the continuing need of the department. These appointments are subject to approval by the Dean(s) and Provost. Individuals appointed to these positions will be evaluated for compensation and advancement using criteria established for their positions, including term limits, timing of reviews, and notification, located in relevant sections of the *Faculty Handbook*. In AGEDS, evaluation for renewal and/or or advancement of the faculty member will be conducted by a committee of three tenured faculty members appointed by the Chair. Their written recommendation will be given to the Chair who will make

the final recommendation to the Dean(s) and Provost, based in good faith on recommendations of the committee.

Non-Departmental Budget Salaried Faculty Appointments

AGEDS supports other appointments realizing the importance of these faculty and staff to departmental, college, and university programs. A majority vote, either public or if called for by any voting member, by secret written ballot, of a quorum of voting members of the faculty is required for approval of such appointments. When possible, money and support services within the department's budget should be encouraged for the appointments. Work within the department should be consistent with the PRS, which should specify duties and obligations to AGEDS.

FACULTY AND PROFESSIONAL AND SCIENTIFIC STAFF VOTING STATUS

All on-campus faculty and P&S staff directly involved with the department's programs (day-to-day management/programming) shall have voting rights on those issues associated with the individual's appointment classification. AGEDS observes a "one-person, one-vote" policy regarding formal decisions regarding tenure and promotion and other retention decisions. Concerns regarding voting rights on matters will be decided by tenured and tenure-eligible faculty. The Chair, and any members active at the time of the decision on committees or other entities with decision-making privileges, shall avoid voting multiple times. Their vote must be provided at the lowest level of decision-making to which the member has access during the time of the decision. Faculty and P&S staff on full leave of absence (less than 30% FT) shall not be counted in determining the requisite number for a quorum. On matters calling for a written ballot, the Chair or the Chair's designee shall make a reasonable effort to communicate ballot issues to those on full or partial leave. "Reasonable effort" shall be demonstrated by a timely date on an e-mail message, FAX, telephone record, certified or registered letter, or other similar device.

By nature of the university, some domains of responsibility with regard to voting belong solely to tenure-eligible and tenured faculty. These include curriculum matters, academic standards, and promotion and tenure of tenure-eligible and tenured faculty (see Promotion and Tenure section of this document). Thus, voting on actions related to these matters shall be limited to tenured and tenure-eligible faculty.

GOVERNING COUNCILS

Faculty Senate

The Faculty Senate was established by the general faculty to act as its representative body and to conduct the business of the general faculty in the arena of making policies and recommendations to administration and the Board of Regents. The Faculty Senate has legislative responsibility for general academic and educational policy for the university, facilitates communication between the faculty and the students and the administration, and cooperates with the administration in conflict resolution. It operates in accordance with the *Basic Document for the Faculty Senate of Iowa State University*. AGEDS is entitled to one representative on the Faculty Senate to be elected by the AGEDS faculty; and members also are permitted to be elected as “at large” senators, bringing the maximum number to two. Term of membership, eligibility of members for positions in the Faculty Senate, nomination and election procedures, and other guidelines are found in the *Basic Document for the Faculty Senate of Iowa State University and the Faculty Senate Rules and Bylaws* (Appendix A. *Faculty Handbook*).

Professional and Scientific Council

P&S employees are represented by the Professional and Scientific Council of Iowa State University. The Council is intended to facilitate communication among employees and between the employees and the president, the provost, vice presidents, deans, directors, and other administrative officers of the university, and to recommend to the administration policies that promote the common interest of professional and scientific employees. The governance of the Professional and Scientific Council including membership, election, operating procedures, committees, and other guidelines can be found in the *Professional and Scientific Handbook*.

PERFORMANCE APPRAISAL AND REVIEW

Department Chair

On an annual basis, a program performance review and appraisal of the Chair shall be conducted by a committee composed of faculty, P&S, and merit employees in the Department. This committee shall consist of one representative each from among the faculty, P&S, and merit groups. This committee shall systematically and anonymously gather information from the faculty and staff, summarize the results, share them with the Chair, and forward a written summary to the Dean of the CALS that reflects in good faith the substance of the combined reviews. Original data shall be retained for one year to be accessed, at his or her discretion, by the Dean. The written summary shall also, at the same time, be shared with the Chair.

Faculty and Professional Scientific Staff

On an annual basis, performance review and appraisal of each faculty (tenure-eligible and tenured, and non tenure-eligible) and P&S staff who are partially or fully budgeted within the department shall be conducted by the Chair. The procedure for the performance review shall include (1) completion of annual activity reports, which includes statements of accomplishments and goals, by the staff or faculty member; (2) review of the adequacy of PRS for faculty and PIQ for P & S Staff, by both parties; and (3) assignment of responsibilities as agreed upon by the Chair and faculty/staff member to be encoded into a revised PRS or PIQ if changes are agreed upon.

Due to the diverse nature of the department, university or college norms or averages are not mandated to be used in assessing teaching and advising performance for faculty. It is the philosophy of the department that all faculty and staff should strive to improve their teaching and advising, with an emphasis on improving rather than comparing across units. Faculty and staff are to use student evaluations of their teaching and advising to identify areas for improvement by looking at the lower-rated areas and trends, which shall be discussed in good faith in relevant sections of the annual performance review, as well as in documents related to promotion and/or tenure. Faculty and staff are asked to develop a plan for improvement and such plans are included in their annual performance review.

PRS Revisions, including Disagreement

The PRS that is reviewed annually and provided to the faculty member in written form and signed by the chair by May 15 in the main guides the performance review of the subsequent year. Changes can be made to the PRS, hence to the job, of a faculty member. Changes to the PRS are not mandatory; for tenure-eligible faculty, minimal changes are desirable to provide for a consistent, therefore workable, set of professional expectations. Changes may also reflect new opportunities. However, if the work of any faculty member changes significantly and seemingly for the long-term, the PRS should reflect such changes because progress of the faculty member is evaluated in the main on the PRS. Changes are typically cooperative, and arise as topics of discussion during the Annual Performance Review conducted with the Chair, or in the post review letter provided by the Chair. The change process for the Department is as follows.

1. The Chair proposes in writing new elements, or removes elements, from the faculty member's PRS. A revised PRS, signed by the Chair, will be in possession of the faculty member by May 15.
2. Agreement of the faculty member is secured when the faculty provides a non altered, signed, and dated copy of the revised PRS to the Department Chair. The PRS ideally should be returned within 14 days of receipt by the faculty member.

3. Alternatively, a faculty member may provide a revised PRS to the Chair by May 1, to provide time for the Chair to ready him or herself to submit to the university by the May 15 deadline.
4. Disagreement of can be indicated by either the faculty member or Chair via memo, letter, or verbal refusal accompanied by failure to sign in a timely manner.
5. A PRS however must be submitted through university channels. The Chair must submit a PRS, but in the case of disagreement, this should be brought to the attention of the Dean of CALS and any jointly-administering college(s), as soon as possible, by written memo signed by the Chair, with a copy provided to the faculty member for their personnel and personal files. Discussion is encouraged among Chair, the faculty member, and the Dean, with or without counsel with the Ombuds Office or other relevant offices.
6. The Dean for the primary appointment shall make a binding decision after consultation with both the Chair and the faculty member, and after fact-finding decided upon at the Dean's discretion. Either the faculty member or the Chair may follow university grievance procedures if either member remains in opposition to the Dean's decision. Involvement of university grievance procedures, including the Ombuds Office, shall be permitted to alter the timeline for procedures.

Merit Employees

Performance evaluation of merit employees is to be conducted annually between the supervisor and the employee and may include a survey to gain input on performance and other issues from faculty and other staff. The personnel evaluation assesses the level of performance of the employee in their knowledge of the position, quantity and quality of work, and quality of interpersonal relations. An employee Performance Evaluation Form is to be completed and turned in to the Office of Human Resource Services.

GRADUATE FACULTY MEMBERSHIP

The procedures outlined in the *Graduate College Handbook* for submitting a faculty member in AGEDS membership to the Graduate Faculty shall be followed.

FACULTY IMPROVEMENT LEAVE

An AGEDS tenured or tenure-eligible faculty member may apply for a faculty improvement leave. The faculty member shall submit an application and supplemental materials to the Chair by the announced university deadline, usually early fall. In the event that two or more departmental faculty members have submitted applications for concurrent faculty

improvement leaves, the Chair shall appoint a departmental committee to rank them in order of preference and forward their recommendations to the Chair. The committee will consider the following criteria when ranking the applications:

- Determination of the extent to which the leave will enhance the future performance of the individual's duties as a faculty member.
- A clear indication that the improvement sought in a period of leave will benefit the department and the institution.
- A clear understanding that granting the leave is an investment in the future of the faculty member and of the department, and is not intended as a reward for past performance.
- Length of time since the most recent previous faculty improvement leave (a minimum of two years from completion of previous faculty improvement leave must have passed).
- Evidence of productive use of any previous faculty improvement leave.
- Evidence of the applicant's record of scholarly or creative activity.

After the committee has made its recommendation, the Chair will follow the guidelines described in the *Faculty Handbook* in forwarding the application(s). If only one AGEDSD faculty member has applied for an improvement leave, the Chair will use his/her discretion regarding the appointment of a committee. In the event that a committee is not appointed, the Chair will use the above criteria in deciding whether to forward the application to the Dean.

FACULTY AND STAFF TERMINATION

Faculty Termination Procedures

The *Faculty Handbook* contains information on procedures related to faculty termination. Faculty termination procedures outlined in the *Faculty Handbook* include: procedures related to the non renewal or termination of appointment, faculty dismissal procedures, termination because of financial emergency, the role of evaluations in determining timing and sequence of terminated employees, and grievance procedures and notice provisions available to individuals facing non renewal or termination.

Professional and Scientific Employees

The *Professional and Scientific Handbook* contains information for P&S employees related to the dismissal due to reorganization or financial conditions, dismissal due to unsatisfactory performance, and summary dismissal.

Merit Employees

Discipline and dismissal procedures for merit employees are outlined in the agreement between the State of Iowa and the American Federation of State, County, and Municipal Employees, Iowa Public Employees Council 61, AFT-CIO. The procedures are listed in the *ISU Office Procedure Guide*.

FACULTY AND STAFF GRIEVANCE

Faculty Grievance and Conflict Resolution

Faculty members who believe they have been treated unfairly with respect to salary, promotion, tenure, contents of the PRS, academic concerns, reduction in force, or other matters related to employment may have their cases reviewed formally through procedures which have been developed by the Faculty Senate and approved by the administration. Faculty members may employ one or more of the appeal procedures, including time limits, notice, and documents required, described in the *Faculty Handbook*, including use of the Ombuds Office and/or Judiciary and Appeals Council of the Faculty Senate. Harassment-related concerns follow a special procedure which is required to be used in addition to any of the aforementioned processes. Lists of trained Assistors may be obtained at the Dean of Students office, the Women's Center, and the Employee Assistance Program.

Professional and Scientific Employees

Any P&S employee has the right to present a matter of personal concern or dissatisfaction regarding his/her employment to the university and have the issue considered on its merits. Concerns may be resolved through informal or formal channels as described in the *Professional and Scientific Handbook*, including use of the Ombuds Office. Harassment-related concerns follow a special procedure which is required to be used in addition to any of the aforementioned processes. Lists of trained Assistors may be obtained at the Dean of Students office, the Women's Center, and the Employee Assistance Program.

Merit Employees

Disputes or complaints by permanent merit employees regarding the interpretation or application of instructional rules governing the terms of employment or working conditions will be resolved in accordance with the grievance procedure established in the agreement between the State of Iowa and the American Federation of State, County, and Municipal Employees, Iowa Public Employees Council 61, AFT-CIO. Merit employee grievance procedures are also described in the *ISU Office Procedure Guide*, including use of the Ombuds Office. Harassment-related concerns follow a special procedure which is required to be used in addition to any of the aforementioned processes. Lists of trained Assistors may be obtained at the Dean of Students office, the Women's Center, and the Employee Assistance Program.

RECORDS

AGEDS follows the "Iowa State University Record Retention Schedule" for departmental records. This document identifies: (a) what records are to be kept; (b) the type or level of confidentiality to be assigned each record; (c) who has access to each record; (d) how long each record is to be retained; (e) where each record is to be retained; and (f) final disposition of each record.

TEXTBOOK POLICY

AGEDS will have a committee of three faculty and two students (one undergraduate and one graduate student) to review textbooks and make recommendations about the use of textbooks under the following situations:

- If the instructor for a course is the author or co-author of the textbook required (or recommended) for the course.
- If textbook requirements (or recommendations) are different for distinct sections of a course.
- If there are faculty or multiple student complaints relative to a required (or recommended) textbook for a course.

CONSULTING

The department will follow the policies and procedures contained in the **Faculty Handbook** and the **Professional and Scientific Handbook** on matters related to consulting.

DATA COLLECTED UNDER GRANTS AND CONTRACTS POLICY

Data collected under research and development grants and contacts to Iowa State University belong to the university and/or an outside party if arrangements were contractually made such that the work constitutes proprietary research. When investigators leave the university, they will leave their original data and associated technical reports with the department. Investigators may take a copy of the data and reports with them for further analysis and other appropriate uses. The department will retain the research data for five years after the end of the grant or contract and/or longer if specified by grants and contracts or as part of human subjects review agreement. Issues regarding proprietary research are governed by university policies and procedures, and require articulation with relevant offices and outside parties.

FACULTY PROMOTION AND TENURE

Policy

This document, in conjunction with university policies, criteria, and procedures as set forth in the *University Promotion and Tenure Document* as approved by the Board of Regents on December 8, 1998, dated July 1, 1999, and the College of Agriculture and Life Sciences Promotion and Tenure Document, dated July 1, 1999, establishes AGEDS promotion and tenure protocol for tenure-eligible and tenured faculty members.

A position responsibility statement (PRS) for each faculty member is to be reviewed during the annual review process. This statement and/or its revisions should guide subsequent reviews (annual, promotion, tenure, other advancement). In the case of faculty members who have appointments in two departments (or a department and a program), a PRS will be written by the faculty member and the two Chairs. The PRS will be signed and dated by all three parties. Each department and college will receive copies of this PRS.

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 activities, a faculty member must uphold the values and follow the guidelines in the "Statement of Professional Ethics" found in "Professional Policies and Procedures" section of the *Faculty Handbook*. A key tool in the promotion and tenure review process is the position responsibility statement (PRS), which

describes the individual's current responsibilities and activities in the following areas: (a) teaching; (b) research/creative activities; (c) extension, outreach, and professional practice, and (4) service. This PRS is to be used by all evaluators to interpret the extent, balance, and scope of the faculty member's achievements.

Promotion

Promotion through the academic ranks in AGEDS is part of the recognition system of the University. Each step verifies that the faculty member has demonstrated certain levels of competence, accomplishment, maturity, and recognition. Promotion from assistant to associate professor will be judged on actual accomplishments and also on potential for growth; whereas promotion from associate professor to professor will be judged on accomplishments. Professor is the highest academic rank, also termed "full professor." A faculty member must provide compelling evidence of his/her right to be awarded that title. All accomplishments and credentials of a faculty member will be considered in making a decision to promote, but primary weight shall be given to accomplishments and attainments while in the current rank in relation to the assigned responsibilities.

Tenure

The purpose of tenure is to ensure academic freedom. The public is best served when faculty are free to teach, conduct research, provide extension/professional practice services, and engage in institutional service without fear of reprisal or without compromising the pursuit of knowledge and/or the creative process. Granting tenure to a faculty member of the AGEDS implies that the individual is deemed to have potential to develop into an outstanding member of the academic community. The individual is expected to have been involved in departmental, college, and/or international societies and organizations of his or her profession, and to have upheld the high standards of the University, College, and the Department. Faculty members are expected to conduct academic activities in a scholarly manner and to submit their ideas and research to rigorous peer review in the form of scholarship.

Terminology

For the promotion and tenure document, "candidate" shall mean the individual considered for promotion and/or tenure. "Vote" is an actual count related to decision making regarding the candidate, and includes the number eligible to vote, and the quorum; the number voting positively, the number voting negatively, and the number of abstention votes cast. "One vote" policy refers to a policy whereby any voting member shall cast their single vote at the lowest (earliest) permissible level. "Dean" refers to the Dean of the College of Agriculture and Life Sciences. "Chair" refers to the lead administrator of the department. "Documentation" comprises those items prepared and submitted to substantiate the nomination of a candidate who is being considered for promotion and/or tenure. The "professional resume" summarizes the background and accomplishments of the candidate following the outline presented in Appendix 1. "Scholarly" and "scholarship" are defined as distinguished in the *Faculty Handbook*,

and as elaborated by Ernest L. Boyer's (1990) *Scholarship Reconsidered* (see Appendix 2). "Vita" is the complete report of relevant academic work. The "faculty portfolio" includes materials beyond what is contained in the candidate's vita such as teaching philosophy, student ratings of teaching, teaching materials, portfolio items, forms of assessment, peer evaluations, and evidence of student learning outcomes. "Senior faculty" includes tenured associate professors and professors in the department.

CRITERIA

General Considerations

AGEDS seeks to add and retain innovative and creative scholars to its senior ranks through tenure and promotion. Because individuals are unique, there are necessarily individualized, qualitative, and subjective components among the criteria by which candidates are assessed and recommended. Moreover, the following criteria are general, not specific, to ensure that each candidate, regardless of his/her discipline or cross-disciplinary area, receives rigorous yet fair and impartial evaluation.

Basis for Evaluation

All tenured and probationary faculty members are expected to be productive with respect to teaching, research/creative activities, and extension/professional practice; and each is expected to perform in a scholarly way in each of these same areas. Evaluation of a faculty member for promotion and/or tenure shall be based on criteria related to the individual's assignments and activities, domestic and/or international defined by the written PRS. Responsibilities are categorized into four areas: (1) teaching; (2) research or creative activities; (3) extension, outreach, or professional practice; and (4) service. In all areas of activity, a faculty member must exhibit a strong commitment to ethical professional practice as defined by the college, university under various sections of the *Faculty Handbook*; and/or by other binding rules and regulations and/or professional or accrediting societies.

The University Promotion and Tenure Document lists ways in which scholarship may be demonstrated in each area of evaluation and should be consulted (Appendix 2). In general, the substantive criterion for promotion and tenure recommendations is effectiveness of the candidate in carrying out his/her assignments, manifest through relevant scholarly activity and the production of scholarship while in the current rank. All accomplishments and credentials of the candidate, however, may be important in establishing an individual's national or international reputation and shall be given due consideration when making promotion and/or tenure decisions. Therefore, a copy of the candidate's complete professional resume and vita shall be included in the documentation. The candidate is responsible for ensuring that materials are up-to-date, complete, and accurate. External reviews (see *Procedures-External Reviews*) from individuals competent in the candidate's discipline or cross-disciplinary areas shall be solicited and will be part of the criteria considered.

Each faculty member will have a written position responsibility statement (PRS) maintained in the department against which performance shall be evaluated. The PRS, as agreed to by the Chair and the individual at the time of the initial hire or as subsequently modified, will list obligations of the individual. Any changes in the expectation of activities for the faculty member are typically agreed upon by the Chair and the faculty member and be reflected in a modified document per procedures specified earlier in the document. The PRS will be reviewed, and updated if deemed appropriate, typically as part of the annual performance. Grievance procedures in the case of disagreement between the Chair and the faculty member concerning the content of the PRS are also addressed earlier in the document.

DESCRIPTION OF THE ACADEMIC RANKS

Assistant Professor: An assistant professor is often the beginning rank for a faculty member initiating employment with a university. It is recognized that the faculty member has exhibited the potential to grow in an academic career. The primary responsibility of an assistant professor is to initiate development of an effective professional program as described in the PRS. An accompanying obligation is to achieve success and recognition for his or her professional competence. The assistant professor also is expected to aid in the operation of the university and professional associations through service.

Associate Professor: Associate professor is a high academic rank that connotes significant obligation to advance the university's missions. Primary among the associate professor's responsibilities is to establish preeminence in his or her professional program in the university and elsewhere, perform at a high level in professional activities, and in general demonstrate superior disciplinary competence through scholarly work and scholarship. A concomitant responsibility is to render significant service to the university and appropriate professional organizations. Significant service includes successfully undertaking tasks that aid and improve the daily functioning of the university and professional organizations. It is also the duty of the associate professor to assist in creating a cooperative collegial environment.

Professor: Professor is the highest academic rank in the university and carries with it responsibilities beyond those of lower ranks. Foremost among a professor's responsibilities are maintaining preeminence in a discipline or cross-disciplinary area (except for a professor with full-time administrative assignments), and assuming principal leadership status in the university and in the profession. Duties associated with maintaining preeminence involve making significant contributions, both conceptual and factual, and sustain excellence in scholarly performance and the production of scholarship according to the PRS. Some examples of leadership include the following: (1) initiating program improvements both on and off the university campus; (2) engaging in activities to advance AGEDS, the college, and the university, such as chairing standing and ad hoc committees; (3) serving as a mentor for faculty of junior rank; (4) promoting enthusiasm, cooperation, and rapport among colleagues in an environment allowing for diversity and professional disagreement; and (5) enhancing development and

effectiveness of relevant disciplines (e.g., holding office in professional societies, chairing symposia, editorial review for professional journals, and professional presentations for the general public).

QUALIFICATIONS FOR ACADEMIC RANK

Assistant Professor: An assistant professor should have a strong academic record and ordinarily should have earned the accepted highest degree in his or 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 or her academic career.

The candidate must demonstrate:

- Excellence in scholarly work and in scholarship that establish the individual as a significant contributor to the field or profession, with potential for national distinction.
- Effectiveness in areas of the PRS.
- 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 or her professional peers within the university, as well as nationally and/or internationally, for premier quality of scholarly work and scholarship contributions to his or her discipline.

The candidate must demonstrate:

- 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 in the university.

TENURE

AGEDS will automatically recommend that tenure-track assistant professors who are recommended for promotion also be granted tenure. Associate professorship is normally required for tenure. In AGEDS, consideration for tenure is based on merit; 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 late.

PROCEDURES

Selection and Duties of the Mentor

Mentoring of junior faculty is considered crucial for faculty development and is sought for all new junior hires per university policy. The purpose of the mentoring relationship is to help new tenure-track faculty members to evaluate their progress with the goal of succeeding at Iowa State University. Within four months of arrival of a faculty member entering the university as an assistant professor, the Chair in consultation with the junior faculty member will ask a departmental professor or associate to serve as mentor for the new faculty member. If the faculty member agrees to serve as mentor, responsibilities shall include introducing the new faculty member to the university and its operations and organizational culture/s, convening an annual meeting with the new faculty member to review and discuss professional activities and growth, advising on how to approach performance and promotion reviews, and assist the new faculty member in deciding when to seek promotion and/or tenure. If the faculty member seeks promotion and/or tenure, the mentor agrees to review and offer suggestions for improvement of the documentation of the new faculty member. Additional interim meetings, as deemed appropriate by the mentored faculty member, are considered to be important and should be initiated by the junior faculty member; such requests however should be encouraged and received by mentors with enthusiasm and equanimity. If either the mentor or new faculty member wishes to cease working together as a mentor/junior faculty pair, the DEO shall be contacted in writing. A new mentor shall be chosen by using the procedures above as quickly as possible; if necessary, from a joint or other department. In all relations between mentor and faculty member, the ultimate responsibility for decisions on timing, advice sought, and concerns shared rests with the junior faculty member. Mentors and mentored junior faculty may engage with others in the mentoring process, and are encouraged to participate in college and university-wide activities related to mentoring, and to promotion and tenure. However, the mentor is in no way responsible for securing promotion and tenure, nor is her or his advice guaranteed to result in successful promotion and tenure.

Third-Year Review of Probationary Faculty

Probationary faculty members will be reviewed in the third year of their appointment. 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.

The review should be based upon departmental criteria and standards used for promotion and/or tenure. External letters are not elicited as part of the process. The review process must include written peer review by a committee of tenured department members, and a written evaluation by the Chair. The results of third-year review will be considered in appointment renewal decisions.

Tenure and Promotion Review of Assistant Professors

Department and Chair Responsibilities

1. Position Responsibility Statement (PRS). Each candidate will have a PRS along with any revisions in writing by the Chair and the candidate during the period under review. The Chair shall make clear to reviewers when each PRS was in effect for the candidate in the case of significantly-changed PRS documents.
2. Letters of from External Evaluators (The Chair shall solicit letters from qualified reviewers from outside the university with the understanding that, insofar as possible, access to them will be limited to persons legitimately involved in voting during the promotion and tenure decision. It is the intention of AGEDS to counsel all involved that they are expected to prevent the candidate from knowing the names of external reviewers or the contents of external reviews. Solicited letters are part of the evaluation process and must be forwarded in their entirety to college and university review levels.

Solicited letters of evaluation from professionals in the field outside the university (three minimum/six maximum). Letters should be solicited from appropriate professionals in the field chosen for their ability to evaluate impartially the candidate's activities and accomplishments. Reviewers typically should be tenured professors at land-grant 11 Universities (see Appendix 3); Research 1 Universities; and/or individuals of similar stature outside of academe who are widely recognized in the field and pertinent to the candidate's PRS and aspirations. Letters should focus primarily on the aspects of the candidate's work that qualify as scholarship. While in some cases this might mean a focus on one area, such as teaching or research; in others it might entail a mixture of scholarship in teaching, research/creative activities and/or extension/professional practice. At least one of the reviewers, but not all, should be selected from a list provided in writing by the candidate at least two weeks prior to the date when external letters are solicited.

Letters from co-authors, co-principal investigators, etcetera. In general, reviewers should not be family, colleagues with whom the candidate has frequently collaborated, or under whom the candidate has served as graduate student or employee. When necessary, however, these individuals may be solicited to detail the nature of collaborative projects or to respond to specific questions but reason for contact with members of the aforementioned excluded groups must be pertinent to the candidacy, and reasons should be made clear in summaries forwarded to higher levels.

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 and teaching programs, joint projects, and services provided to other colleges, or in cases where a fuller understanding of specific activities is warranted, but this reasoning must be made clear in summaries forwarded to higher levels.

Evaluation (provided by the department and Chair) Evaluations from each level of review will serve as a summary of the case. They should not be statements of advocacy but should address both the strengths and relevant weaknesses in the candidate's record of performance. When appropriate they should summarize the primary points made by external evaluators. The evaluation should include:

- Modifications in the PRS will be addressed, and copies (not summaries) of the original and any and all earlier PRS documents included as part of documentation.
- Evaluation of the candidate's accomplishments in scholarship.
- Evaluation of the candidate's scholarly performance in his/her areas of responsibility: teaching, research/creative activities, extension/professional practice, and/or institutional service.
- Evaluation of the candidate's prospects for future contributions to the field and department/s.
- Assessment of the candidate's role and contribution to department and college missions.

A Recommendation for Promotion and Tenure Form (provided by the Chair)

Candidate Selection for Departmental Review.

By August 15 of each year, the Chair shall send to assistant professors who are nearing the end of their probationary period and associate professors with five or more years in rank a letter asking whether or not they wish to be considered for promotion and/or tenure that year. In the case of an assistant professor who is in the final year of consideration for tenure, the candidate will automatically be considered. A candidate who wishes not to be considered will sign the form and return it to the Chair. A candidate wishing to be considered for promotion and/or tenure shall provide the Chair with the name of a senior faculty member (other than

their mentor/s) who will serve on the candidate's Preliminary Evaluation Committee (PEC). The PEC is not a voting or decision making body, but rather summarizes issues for the chair and department to consider related to the candidate's portfolio.

The Chair at any time may recommend a candidate for consideration for promotion and/or tenure, but first must inform the candidate of this in writing. The candidate at any time may request in writing that his or her name be withdrawn from consideration for promotion and/or tenure, except when the consideration for tenure is mandatory.

Preparation of Documentation

It shall be the responsibility of the assistant professor candidate, in consultation with the mentor, to prepare and submit by September 15 the initial documentation for the promotion and tenure process. The candidate shall submit a professional resume, vita, faculty portfolio, a current PRS with copies of original (not summaries) prior statements for the period under review, and the names of potential external evaluators. The P&T documentation shall include a list of information about the candidate, the candidate's accomplishments in scholarship, and the candidate's accomplishments in his/her areas of responsibilities. The faculty portfolio shall include important and supplemental materials that provide a clear portrait of the candidate's scholarly accomplishments in his/her areas of faculty activities. Failure to submit the professional resume on time shall be evidence that promotion and/or tenure consideration is not desired at this time. An early submission date is required to allow adequate time for obtaining external evaluations.

Documentation prepared by the candidate for promotion and/or tenure decisions shall be available for inspection by external reviewers, associate and full professor faculty members, and members of appropriate college and university committees and administrators.

Types and Sources of Information to be Considered

The following materials should be included in the P&T documentation forwarded to the college:

- PRS
- professional resume
- vita
- faculty portfolio
- letter from PEC
- external evaluations
- Chair recommendation

Preliminary Evaluation Committee (PEC)

The Preliminary Evaluation Committee shall consist of three senior faculty members (full professors for candidates seeking promotion to professor; associate professors and/or professors for candidates seeking associate professor) from AGEDS. One individual will be selected by the candidate and two individuals will be selected by the Chair. The mentor/s shall not be a member of the PEC. The chair of the PEC shall be appointed by the Chair.

The PEC committee shall critically review the documentation prepared and presented by the candidate, and shall become thoroughly familiar with the activities of the candidate. The committee shall present the case of the candidate to the senior faculty and shall raise issues related to promotion and/or tenure in a single letter or document. If there is disagreement among committee members, a minority report may be submitted that will be labeled as such as attached to the main report. The summary of the PEC is only advisory to the tenured faculty, who shall decide the merits of the case by written anonymous vote.

External Reviews

Three to six letters shall be solicited from appropriate professionals in agricultural education and studies and related fields and chosen for their ability to evaluate the candidate's activities and accomplishments impartially. Evaluators shall generally be tenured professors at Land Grant 11 Universities (see Appendix 3), and/or Research 1 Universities who are widely recognized in the field. External evaluators will be asked to focus on the candidate's appointment in scholarly work (teaching, research, and/or extension/professional practice) and scholarship. Names of prospective external reviewers also will be solicited from the candidate.

The PEC shall recommend to the Chair three to six qualified external evaluators, with at least one of the evaluators being suggested by the candidate and at least one not suggested by the candidate. The Chair will solicit the evaluations and provide a copy of original and any and all modified candidate PRS, professional resume, vita, and faculty portfolio to aid in the process.

The evaluators shall be asked to be specific and to comment on particular aspects of the candidate's scholarly contributions in relation to his/her PRS. Evaluators will also be asked to comment on the candidate's impact on the discipline and to compare the candidate to others in the discipline at the same stage of career development. The names of external reviewers and the verbatim content of the external reviewer's letters and reports shall not be made available to the candidate.

All external reviews received by the Chair shall become part of the documentation of the candidate's bid for promotion and tenure. The evaluations shall be made available to individuals directly involved in the evaluation at the department, college and university levels. The Chair will summarize and place in context the significance of the external reviews as part of the candidate's documentation. For candidates not being recommended by the department for promotion and/or tenure, the external evaluations shall be retained by the Chair until it is

evident that no appeal is forthcoming, according to the timeline as specified in the *Faculty Handbook* and in consultation with college and university administrators and legal counsel, and then shall be destroyed.

Faculty Review of the Documentation

By November 1, the documentation of each candidate shall be made available in a place and location designated by the Chair for review by appropriate faculty. For those who are being considered for promotion to Professor, professors in the department shall have access to the documentation. For those who are being considered for promotion to associate professor, both professors and associate shall have access to the documentation. Consideration of faculty for promotion and tenure is an important function of senior faculty. All voting members have a duty to personally evaluate the documentation of each candidate. This evaluation should include examination of the teaching, research, extension, and service activities of the candidate, in accordance with the candidate's PRS/s.

Conflict of Interest

The Chair must inform the candidate in writing the identity of members of the PEC and the senior faculty who will be involved in the evaluation. Any member of the senior faculty who believes he/she has a conflict of interest with respect to the candidate shall contact the Chair and discuss the situation. If a conflict of interest is confirmed by the Chair, the senior faculty shall not participate in the consideration of the candidate or have access to the candidate's P&T documentation.

Senior Faculty Meeting

A senior faculty meeting shall be called by the Chair the second or third week of November. The Chair should seek wide faculty participation and timeliness in the university review process when setting the date and time. A quorum consists of two-thirds of the senior faculty who are on campus, and not on faculty leave or on international assignments, for fall term. If two-thirds of the senior faculty is not present, an alternate date shall be set when two-thirds of the senior faculty can be present. With sufficient justification, faculty members may remove themselves from the Promotion and Tenure Committee at any time before the Senior Faculty Meeting. This action requires the approval of the Chair, and is considered to reduce the size of the senior faculty quorum. At this meeting, reports and recommendations on promotion and/or tenure shall be given by the Preliminary Evaluation Committee. Letters and reports from external reviewers shall be read or summarized. Any senior faculty member may present a report or make individual observations. Senior faculty members may ask questions of PEC members or of other senior faculty. The meeting shall be chaired by the Chair. Oral or written votes for or against an individual candidate will not be taken at this meeting.

After a complete discussion of a candidate's qualifications for promotion and/or tenure to Associate Professor, associate professors shall be excused. Professors will then consider a

candidate's qualifications for promotion to Professor. For promotion to either associate professor or professor, voting will follow by secret written ballot.

Voting Procedure

The department follows the procedures described in the Faculty Handbook (5.2.4.1). The procedures follow. In order to avoid undue or unfair influence in promotion and tenure decisions, promotion and tenure procedures must ensure that the guiding principle of "one-person—one-vote" is complied with where a vote, or the equivalent of a vote, is defined as a vote, advice, or a recommendation on the specific question of whether or not a candidate should receive tenure and/or promotion. Specifically:

- 1) If a faculty member votes on a promotion and tenure decision as a member of a departmental promotion and tenure committee, that faculty member may not vote again on the same decision at the departmental, college, or other levels.
- 2) If a faculty member votes in a promotion and tenure decision at the departmental level, that faculty member may not vote again on the decision at the college or other levels.
- 3) Since the chair of the department independently evaluates promotion and tenure decisions, he or she may not also vote on the decision at the departmental faculty, college, or other levels.
- 4) Administrators participating in a promotion and tenure decision can only participate at the appropriate administrative level and are allowed to vote only once on the decision.

In order to promote accountability and avoid undue influence in promotion and tenure decisions, advice by members of advisory committees on whether or not a candidate should receive promotion and/or tenure at any level (departmental, college, and higher) must be considered a vote or the equivalent of a vote, and thus should be the advisory committee members' only opportunity for input in a promotion and tenure decision. Therefore, a faculty member participating in a promotion and tenure advisory committee at any level (and thus voting or providing the equivalent of a vote) may not vote again at any other level on the promotion and tenure decision for that candidate. Votes or advice concerning the process or readiness of a portfolio are not in violation of this policy. For example, advice to a candidate on how to improve their portfolio or advice to the department about the completeness of the portfolio or advice to an associate professor about the timing of a promotion application are process issues not considered to be votes or decisions.

Within five working days following the Senior Faculty Meeting, the Chair shall distribute by in writing to each senior faculty member a secret ballot containing the names of candidates for promotion and/or tenure. *Ballot I* with names of candidates for professor shall be sent to professors, and *Ballot II* with names of candidates for associate professor and/or tenure shall

be sent to associate professors and professors. Every attempt should be made for full voting of the faculty. If anonymity can be reasonably assured, electronic voting is permitted.

After considering all available information, the Chair shall formulate a recommendation to forward to the college. The results of the senior faculty vote will be included in the recommendation. In cases where the Chair's decision disagrees with the majority vote of the senior faculty, the Chair will explain the basis of his/her decision at a meeting of the senior faculty.

Appeal Process

The candidate for promotion and tenure may appeal a negative departmental decision by submitting a formal written request administratively or through the Faculty Senate, with interim and/or concurrent consultation with the Ombuds office, per guidelines in the *Faculty Handbook*, which includes timing and documentation protocols.

Review of Probationary Appointment

At the time of appointment, the Chair and the new faculty member will agree on a PRS. This should stand for the first three years of appointment. In most cases, this initial statement will remain in effect until the tenure review. Faculty members may request that their probationary appointment and tenure evaluation be extended because of unusual circumstances. A written request to the Chair, outlining the unusual circumstances and proposed tenure evaluation date, initiates this process. The Chair will consult with the senior faculty of the department in determining whether to support or deny the request. Positive recommendations, as determined by the Chair, will be forwarded to the Dean. The candidate will be informed in writing of the decision, including any key deliberations or need for more information, whether positive or negative. Faculty may also utilize university policies for family and personal leave, which may be appropriate to the member's situation and will provide for more time before submitting the tenure packet.

Academic Rank of Other than Tenured or Tenure-eligible Faculty

Non-Departmental Budget Salaried Faculty Appointments.

The Department may recommend academic rank of affiliates, collaborators, or other appointments realizing the importance of these appointments to individuals and the departmental program. Requirements for initial academic rank and procedures for promotion of these individuals will be the same as those for tenured or tenure-track faculty (described earlier). When possible, money and support services within the department's budget should be encouraged for the appointment. All faculty members appointed to the department (with or without funds to support their appointment) will have a position responsibilities statement defining the contribution they are expected to make to the department.

Instructor Promotion.

The procedures set forth by the AGEDS Promotion and Tenure Document will be followed. Lecturer and Senior Lecturer policies for advancement and review are currently being revised, but when finalized, will become the process for the Department.

Promotion and Tenure Document Ratification and Changes.

The policies and procedures described herein are effective upon adoption by a 2/3 affirmative vote of a quorum of tenured and tenure-eligible faculty in the Department. The vote shall be by secret written ballot and sent by the Chair; if anonymity can be reasonably assured, electronic voting is permitted. Updates in the format and the information contained in the sample professional resume (Appendix 1) will be made as recommended by the College of Agriculture and Life Sciences.

Post Tenure Review

The purpose of the Post Tenure Review (PTR) is to focus on individual faculty development; as such, the review shall result in recommendations for enhancing performance and provide a plan for future professional development. A PTR will be conducted once every seven years for all continuously appointed faculty. An earlier review may occur upon written request of the faculty member. The review will build upon annual performance reviews, focusing on accomplishments in teaching, research, extension, and service over a seven-year period in relation to the Position Responsibility Statement (PRS).

An ad hoc, two-member PTR Committee will be appointed by the Chair in consultation with the faculty member. Membership on this committee will be mutually acceptable to both the Chair and the faculty member before the members are asked to serve. Members of the committee must be tenured faculty in the department. The Chair shall notify the faculty member by March 15 that he or she is scheduled for review. A portfolio of materials from the past seven annual performance appraisals will be assembled by the faculty member and the Chair by September 15 and made available to the PTR Committee. The PTR Committee will conduct an interview with the faculty member to clarify information in the materials before writing its report.

The PTR Committee will review the faculty member's materials, and a written, signed report will be submitted to the Chair and faculty member by December 15. The PTR Committee and Chair will schedule a meeting with the faculty member to discuss the report sometime during the February through March period. The faculty member being reviewed may respond to the review by submitting a written statement to the PTR Committee and Chair. Following the review, the faculty member will develop, in conjunction with the Chair, a plan for future professional development, and if appropriate a modified PRS.

Materials submitted by the faculty member and Chair, the written report, and the written response by the faculty member will be kept in the faculty member's departmental file. No findings, conclusions, or recommendations of the PTR Committee, or the evidence on which they were based, shall be circulated to anyone besides the Chair and members of the PTR Committee without the advance written permission of the faculty member being reviewed.

No faculty holding tenure in the department shall be exempt from the review under the normal schedule by reason of administrative appointment within or outside the department. For administrators, the review will also include accomplishments in administration in relation to the PRS. No individual shall be scheduled for review in any year in which he or she shall be absent from campus due to medical, disability, maternity or paternity, faculty improvement, disciplinary, or other approved leave or part-time policy, paid or unpaid. The review may be waived for faculty promoted within the past seven years and for faculty scheduled for retirement within two years of their planned review.

Appointment, Reappointment, Advancement, Non Renewal, and Evaluation of Lecturers/Clinicians

Preface

Lecturers/Clinicians in AGEDS are primarily used to support the teaching and learning function, including involvement in resident-based and distance education teaching, academic advising, and supervision of student experiences in the field.

Term of the Appointment

The Lecturer/Clinician is a limited term full- or part-time appointment of from one semester to three years and renewable for no more than a total of six years. Lecturers/Clinicians are not eligible for reappointment beyond six years of accumulated service unless they have been advanced to the rank of Senior Lecturer/Senior Clinician. Senior Lecturers and Senior Clinicians may be advanced without a search and the term of appointment cannot exceed five years, requiring a notice of one year of intent not to renew. Adjunct appointments are a limited-term and are renewable. Adjunct appointments are not to exceed five years for each appointment, requiring a notice of one year of intent to not to renew (except when the appointment is for one year or less). See the Faculty Handbook, section 3.3.2.1 for further information; however this policy is currently under review.

Appointment

A position description will be developed by the Chair, with input from tenured and tenure-eligible faculty. The description will be submitted to AGEDS and appropriate college and university administrators for review and approval. Applicants will be screened by a search committee appointed by the Chair, and the Chair will schedule the candidates' interviews. At

the conclusion of the interviews, department members will identify and submit in writing the strengths and weaknesses of each candidate to the Chair. Using the input, the Chair will submit a recommendation to the department for approval. After reaching department majority vote the Chair will work with the college and university administrators in securing the person to fill the position. A written position responsibility statement will be prepared by the Chair in concert with the Lecturer/Clinician and signed by both.

Performance Review

On an annual basis, a performance review and appraisal of each Lecturer/Clinician shall be conducted by the Chair. The procedure for the performance review shall include (1) completion of annual activity report, which includes statements of goals and accomplishments in line with the PRS; (2) a meeting with Chair to discuss the report; and (3) review and development of PRS to be agreed upon and signed by the Chair and Lecturer/Clinician.

Reappointment Review for Lecturer/Clinician

Lecturers/Clinicians will be considered for reappointment and/or advancement based upon a positive outcome of the performance review and demonstration of a continued need within the department. The PRS will be the basis for the reappointment decision with the criteria for reappointments as (1) demonstrated success in assigned responsibilities, with potential for excellence; and (2) evidence of continuing professional development.

Advancement to Senior Lecturer/Senior Clinician

To be eligible for appointment as Senior Lecturer/Senior Clinician, the individual shall have served as a Lecturer/Clinician or its academic or professional for the equivalent of six years. Advancement may be considered/recommended without a search. A faculty committee will be appointed by the Chair to evaluate the request for advancement and will provide a recommendation to the Chair. The review will be based upon the continuing need for the position to fulfill the department's mission; evidence of excellence in the performance of duties outlined in the PRS; and evidence of continuing professional development. The Chair must approve the committee's recommendation for advancement and obtain final approval from the Dean and Provost. In the case of non renewal, individuals may access grievance procedures administratively or through Faculty Senate, in conjunction with use of the Ombuds Office, as outlined in the *Faculty Handbook*. This policy is currently under review as of October 13, 2008 revision.

Senior Lecturer/Senior Clinicians are limited term appointments not to exceed five years, plus a one-year notification period if the appointment will not be renewed. Each Senior Lecturer/Senior Clinician will have a written PRS that clearly outlines responsibilities and expectations.

Reappointment Review for Senior Lecturer/Senior Clinician

A faculty committee appointed by the Chair will conduct a review of Senior Lecturers/Senior Clinicians at least once every five years. The criteria for reappointment are (1) demonstrated excellence in the performance of duties in the PRS; (2) satisfactory evidence of teaching-related service activities (e.g. committees, ad hoc work groups, participation in learning communities); and (3) a continuing need for the position in fulfilling the department's mission. The faculty committee will make a recommendation for or against reappointment to the Chair. The Chair must approve each reappointment and must obtain final approval from the Dean and Provost. In the case of non renewal, individuals may access grievance procedures administratively or through Faculty Senate, in conjunction with use of the Ombuds Office, as outlined in the *Faculty Handbook*.

Voting Status in the Department

Lecturers/Clinicians shall have full voting rights on those issues associated with their appointment. Concerns regarding voting rights on matters will be decided by tenured and tenure-eligible faculty who are partially or fully paid out of the departmental budget. Faculty, professional and scientific staff, and Lecturers/Clinicians on leave of absence shall not be counted in determining the requisite number for a quorum. On matters calling for a written ballot, the Chair or the Chair's designee shall make a reasonable effort to communicate ballot issues to those on leave. "Reasonable effort" shall be demonstrated by a timely date on e-mail, FAX, telephone record, certified or registered letter, or other similar device.

Appointment, Reappointment, Advancement, and Evaluation of Adjunct Faculty

1. Adjunct Faculty

The department has periodic need to appoint non-tenure eligible faculty in adjunct positions. Adjunct appointments recommended by the department must be approved by the college and the provost.

Titles and Term of Appointment

Adjunct appointments are full-time or part-time renewable term positions with three possible titles: adjunct professor, adjunct associate professor, and adjunct assistant professor. Adjunct appointments will not exceed five years for each term appointment.

Appointment of adjunct faculty in the department may be in the following categories:

- Experts employed elsewhere. Adjunct titles may be used for persons who are employed elsewhere but have faculty responsibility at Iowa State. This would include persons

currently employed and paid by business, government, and other organizations without direct connection to ISU. These appointments are normally part-time, made to recognize the appropriate teaching, extension/professional practice, and/or research responsibilities of these individuals. Any temporary full-time appointment of these individuals should be for a special need and usually last no longer than one year. Adjunct faculty would be individuals holding a Ph.D. degree in an appropriate field. Under extraordinary circumstances, individuals without a Ph.D. but with national or international reputations in their field might be considered for appointment in an adjunct position.

- Adjuncts employed only by the university. To accommodate the hiring and retention of excellent faculty, including dual-career couples, as well as to carve out new areas of academic expertise, and attract experts on extra mural grants and contracts, certain individuals may be hired in full-time positions as adjunct faculty. They will likely function as faculty with significant research or extension/professional practice responsibilities usually funded by extramural grants and contracts. Individuals holding adjunct positions may apply for and be considered for tenure-eligible positions. Faculty hired primarily for teaching purposes will be hired as lecturers or clinicians.

Appointment

A position description will be developed by the Chair, with input from tenured and tenure-track faculty. The description will be submitted to the departmental staff and appropriate college and university administrators for review and approval. Applicants will be screened by a search committee appointed by the Chair, and the Chair will schedule the candidates' interviews. At the conclusion of the interviews department members will identify and submit in writing the strengths and weaknesses of each candidate to the Chair. Using the input, the Chair will submit a recommendation to the department for approval. After reaching department consensus, the Chair will work with the college and university administrators in securing the person to fill the position.

Performance Responsibility Statement

Each adjunct faculty member will have a written PRS agreed upon and signed by the Chair and adjunct faculty. Various performance reviews (reappointment and advancement reviews) will consider performance in all areas of responsibility.

Review

Annual Performance Review

On an annual basis, a performance review and appraisal of each adjunct faculty shall be conducted by the Chair. The procedure for the performance review shall include (1) completion of annual activity report, which includes statements of goals and accomplishments;

(2) a meeting with Chair to discuss the report; and (3) review of the position responsibility statement.

Reappointment Review for Adjunct Faculty

Adjunct faculty will be considered for reappointment based upon a positive outcome of the performance review and demonstration of a continued need within the department. The position responsibility statement will be the basis for the reappointment decision with the criteria for reappointments as (1) demonstrated success in assigned responsibilities, with potential for excellence, and (2) evidence of continuing professional development.

Advancement Review for Adjunct Faculty

When an adjunct assistant professor or adjunct associate professor and the department chair agree that it is appropriate to seek advancement to the next adjunct level, the same faculty committee that considers advancement from lecturer to senior lecturer and from clinician to senior clinician will review the record of the adjunct faculty member. The review will be based upon the continuing need for the position to fulfill the department's mission; evidence of excellence in the performance of duties outlined in the position responsibility statement; and evidence of continuing professional development. The Chair must approve the committee's recommendation for advancement and obtain final approval from the Dean and Provost.

Materials for Advancement Review

Materials to be submitted for review will include documentation of effective performance of all duties in the position responsibility statement and must demonstrate excellence in scholarship (scholarship is defined in the Faculty Handbook). Requests for advancement forwarded to the college and provost will include a summary of the review results and a statement regarding the continuing need of the unit. If the department does not recommend advancement, no recommendation will be forwarded to the college.

Criteria for Advancement from Adjunct Professor to Adjunct Associate Professor

For the department to recommend advancement to Adjunct Associate Professor, the faculty member must demonstrate effective performance in all duties in the position responsibility statement and must demonstrate excellence in scholarly work consistent with the PRS.

Voting Status in the Department

Adjunct faculty shall have full voting rights in the department on those issues associated with their appointment. Concerns regarding voting rights on other matters will be decided by tenured and tenure-eligible faculty who are partially or fully paid out of the departmental

budget. Faculty, professional and scientific staff, lecturers/clinicians, and adjunct faculty on leave of absence or other leave policy shall not be counted determining the requisite number for a quorum. On matters calling for a written ballot, the Chair or the Chair's designee shall make a reasonable effort to communicate ballot issues to those on leave. "Reasonable effort" shall be demonstrated by a timely date on e-mail, FAX, telephone record, certified or registered letter, or other similar device.

2. Professional and Scientific (P&S) Employees

Department employees on P&S status may be appointed to renewable, term one-tenure-eligible appointments, of from one to five years, to carry out faculty duties. Individuals holding a full- or part-time P&S position may have no more than 30% of their total work responsibilities assigned as faculty.

Titles and Term of Appointment

The following titles will be used for P & S employees assuming faculty responsibility in the college. These titles will be in addition to their title within the P & S system.

- When the faculty work undertaken is similar to that of a department's Lecturers and Clinicians, the title of Lecturer and Clinician (or Senior Lecturer and Senior Clinician) will be employed. These titles will be given to employees with an advanced degree in a field appropriate to the assigned responsibilities.
- When the faculty work undertaken is substantially different from the work of department Clinicians and Lecturers, which often occurs when the work is focused on research or extension/professional practice, the P & S employee may be given the title of Adjunct Assistant Professor, Adjunct Associate Professor, or Adjunct Professor. The qualifications for these titles will be similar to those required to hire at the Assistant, Associate or Full Professorial ranks under the tenure-eligible system. These titles will only be given to employees with the terminal degree in a field appropriate to the assigned responsibilities.
- P&S employees in the department who, as of August 2003, have adjunct rank at the Assistant, Associate or Full Professorial levels may retain these titles, with appropriate review and approval by the department. College approval is also necessary. The term of these appointments will be as previously specified or for a renewable term not to exceed five years.
- Adjunct Instructor will not be used as a classification for P&S employees in the department.
- All titles can be given for terms not to exceed five years, when the department foresees a continuing need for the P&S employee's service in a faculty role. There is no required

notice of intent not to renew for the non-tenure-eligible titles given to P & S employees. Termination of the P&S appointment will also mean the termination of the non-tenure-eligible appointment.

- P&S employees will not teach courses in the department without a non-tenure-eligible title.

Appointment

Appointment of P&S employees to non tenure-eligible positions will be recommended by the department chair, with faculty input oral or written. The Chair can make initial appointments of P&S employees for one year without faculty input, but reappointment (or initial appointment beyond one year) requires solicitation in writing, and good faith consideration of, faculty input. The Non tenure-eligible faculty appointment of P&S employees form will be used for all appointments. The awarding (and renewing) of the titles of lecturer, senior lecturer, clinician, senior clinician, adjunct assistant professor, adjunct associate professor, or adjunct professor will be approved by the department, the college, and the Provost. A form will be on file with the department, college and provost for each P&S employee assigned a non tenure-eligible title.

Review

A person employed in a P&S position and assigned non-tenure-eligible faculty responsibilities, and title will be regularly evaluated by the department for faculty work performed. The department chair will specify in writing, at the time of appointment, the responsibilities associated with the non-tenure-eligible appointment. This written record will take the form of a PRS. In general, the same procedure used to review other non-tenure-eligible faculty will be employed.

- Annual Review. Each P&S employee with non-tenure-eligible title will have his/her work evaluated annually by the Chair.
- Faculty Review. At least every four years and before any re-appointment, these employees will have their faculty work reviewed by a faculty committee.

Advancement

For P&S employees with non tenure-eligible titles, there is no minimum or maximum time to rank. Thus, an employee may continue with the same title for an indefinite time, in line with the results of appropriate review.

- P&S employees with adjunct appointments. If the Chair and the P & S employee believe the employee may qualify for a change in adjunct title, the P & S employee would go through the same procedure described above for advancement of adjunct faculty.

- P&S employees with Lecturer and Clinician appointments. If the Chair and P&S employee agree that the employee may qualify for a change to Senior Lecturer or Senior Clinician status, the P&S employee would go through the advancement procedure described in the department governance document.

Voting Status in the Department

P&S employees with a non tenure-eligible title shall have full voting rights in the department on those issues associated with their appointment. Concerns regarding voting rights on other matters will be decided by tenured and tenure-track faculty who are partially or fully paid out of the departmental budget. P&S employees with a non tenure-eligible title on leave of absence shall not be counted in determining the requisite number for a quorum. On matters calling for a written ballot, the Chair or the Chair's designee shall make a reasonable effort to communicate ballot issues to those on leave. "Reasonable effort" shall be demonstrated by a timely date on e-mail, FAX, telephone record, certified or registered letter, or other similar device.

Voted approved by the faculty on August 21, 2008