

Governance Document

Department of Chemical & Biological Engineering

IOWA STATE UNIVERSITY

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1 PREFACE

This departmental governance document is written under the authority of the university and the College of Engineering. In the event of a conflict, the policies and procedures of the college and/or university supersede those set forth in this document. The department's official Promotion & Tenure Document and Strategic Plan supplement this document.

2 VISION

To be internationally recognized as the Chemical and Biological Engineering department that best exemplifies the dual commitment of outstanding research and serving students.

3 MISSION

Provide a high-quality education in chemical and biological engineering at the undergraduate and graduate levels that prepares graduates for a productive career in engineering and related fields, and for life as educated, effective citizens. Discover and disseminate new knowledge in science and engineering through creative activity in research and scholarship. Serve the state, nation, and world by advancing the profession of chemical engineering and improving the quality of life.

4 FACULTY MEMBERSHIP

All budgeted tenured and tenure track faculty on continuous appointment in the Chemical Engineering Department at the rank of instructor or above are voting members of the faculty. Courtesy, non-tenure track, and adjunct faculty will be appointed as discussed in Sections 10.4, 10.5, and 10.6, and will have the roles discussed therein.

5 FACULTY MEETINGS

Faculty meetings are called by the department chair or upon request from committee chairs as deemed necessary. Department faculty meetings shall serve as a forum for conducting the business of the faculty and will generally be held monthly. The chair shall be responsible for publishing an agenda at least two days prior to meetings whenever possible. Minutes of meetings shall be kept and distributed to the faculty in a timely manner. The department chair or a faculty member designated by the chair shall serve as the chairperson of departmental meetings and all meetings will be conducted in accordance with the most recent edition of Robert's Rules of Order.

6 DEFINITION OF A QUORUM

Motions requiring a vote of the faculty will, whenever possible, be published in the agenda for the departmental meeting. A quorum is a simple majority of eligible voters. A simple majority of the votes will be required for the approval of motions. If there is not a quorum present, a mail or email ballot will be sent to all eligible voters. Any eligible voter may call for a mail ballot on any motion brought before the faculty for a vote. A simple majority of the eligible voters present is required for the approval of a call for a mail ballot.

7 GOVERNANCE

The faculty and department chair establish departmental policies and procedures. The faculty determines curriculum, standards of admission and graduation of students, and all other matters of academic policy. The chair has responsibility for the budget and resource allocation, and for administrative policy and procedures. All other matters, including the hiring of new faculty and promotion and tenure, are responsibilities shared by the faculty and the chair. This document elaborates on the governance procedures. It may be modified by a simple majority vote of the faculty.

8 COMMITTEES

The standing committees of the department are listed below. The department chair describes the membership and responsibilities for the standing committees annually. Only the general purpose of the committee(s) is described here. The chair appoints the members of these committees and the committee chairs except as noted in 7.3, Faculty Promotion & Tenure Committee. The department chair may create, eliminate or consolidate committees, subject to approval by the faculty. *Ex officio* committee members will vote but will not be eligible for the position of committee chairperson. The chair appoints ad hoc committees in accordance with departmental programmatic needs. Each of the standing committees will write an annual report for distribution to the faculty.

8.1 Cyberinfrastructure Committee

The chair of this committee will serve as the coordinator of the computer support in the department and as a liaison to the college EFTF and other computing committees as appropriate. Specific duties such as maintenance and operation of special purpose computing facilities and supervision of the computer systems support person may be assigned to other faculty by the department chair. These faculty members will be members of the Computing Committee. At least one undergraduate and one graduate student will serve on the committee. The committee will provide support and encouragement for the development of attractive and effective web pages for the department and faculty, and facilitate the use of this technology in the classroom.

8.2 Curriculum Committee

The committee will have the following responsibilities:

8.2.1 Review Department Courses

Review, recommend, propose and help develop departmental courses and curricula for which academic credit is received in the undergraduate or graduate curriculum.

8.2.2 Implement Policies

Assist in the implementation of the policies and procedures established by the college and university curriculum committees, including catalog preparation.

8.2.3 Propose Curriculum Changes

Bring before the faculty, for discussion and action, proposed departmental curriculum changes.

8.3 Development Committee

This committee is to create a plan for developing resources for the department, including methods and timetables.

8.4 Faculty Promotion & Tenure (P&T) Committee

The committee membership for consideration of candidates for promotion to full professor shall be comprised of all tenured full professors. The committee membership for consideration of candidates for promotion to associate professor and assistant professor shall be comprised of all tenured full and tenured associate professors. The departmental faculty will elect a full professor as the chair for a three-year term. The committee will have the following responsibilities:

8.4.1 *Review Professional Progress of Faculty*

The committee will review the professional progress of faculty members for purposes of promotion and tenure in accordance with the policies and procedures set forth in the department, college, and university P&T documents.

8.4.2 *Prepare Recommendation to Chair*

The committee chair, acting with the advice and consent of the committee, will prepare a confidential written recommendation to the department chair for all faculty considered for P&T. The recommendation shall include a report of the committee vote and a summary of the candidate's strengths and weaknesses. The department chair shall forward the committee recommendation to the College of Engineering Dean.

8.4.3 *Consult with Chair about P&T*

The committee chair will consult with the department chair to ensure that all faculty eligible for P&T are notified of their opportunity for review.

8.4.4 *Record Keeping*

The committee chair will keep minutes of each meeting and distribute them in a timely manner to the committee members. Items of personal information are to be kept confidential.

8.4.5 *Conflicts of Interest in P&T Cases*

The committee will consider potential conflicts of interest for each case under consideration and is authorized to restrict committee membership for such cases by vote of the committee.

8.4.6 *Post-Tenure Review (PTR) Committee Representation*

The committee chair will serve on the Post-Tenure Review Committee.

8.5 *Post-Tenure Review Committee*

This committee will conduct reviews as needed to satisfy the review schedule specified in Section 10.2, Post-Tenure Review. The committee membership will be an elected chair, the P&T Committee chair, and one other member selected as indicated in the PTR Document. The duties and procedures are specified in the PTR Document.

8.6 *Graduate Program Committee*

The committee will have the following responsibilities:

8.6.1 *Recruit Graduate Students*

Establish admission standards, review applications, and recommend to the department chair the admission of students to the graduate program. Conduct a vigorous recruiting program to ensure high quality graduate students.

8.6.2 *Recommend Graduate Program Policies*

Recommend departmental graduate program policies and procedures.

8.6.3 *Evaluate Graduate Students*

Recommend procedures for the evaluation of graduate students that ensure quality performance and good progress toward a degree.

8.7 Honors and Awards Committee

This committee will review faculty, alumni and graduate student achievements at least annually and propose appropriate individuals for honors and awards.

8.8 Safety Committee

The committee will assure that the departmental facilities are maintained and operated in a safe manner, and in accord with university, State and Federal regulations.

8.9 Strategic Planning and Governance Committee

The committee membership shall be comprised of at least three faculty members, each appointed for a term of three years by the chair of the department. At least one committee member shall be replaced each year. The department chair appoints the committee chair. The department chair will serve as an Ex officio member. The committee will have the following responsibilities:

8.9.1 Draft Governance Document Changes

Draft revisions to the Governance Document and obtain approval as needed.

8.9.2 Draft P&T Document Changes

Draft revisions, as needed to the department P&T Document in consultation with the P&T Committee and submit them for approval by a vote of the departmental faculty.

8.9.3 Write Strategic Plan

Write the department Strategic Plan and submit it for approval by a vote of the departmental faculty.

8.9.4 Review Strategic Plan

Annually review the department Strategic Plan and draft revisions as needed and submit them for approval by a vote of the departmental faculty.

8.10 Undergraduate Recruiting & Retention Committee

The committee will improve undergraduate recruiting and retention with particular emphasis on minority students.

9 DEPARTMENTAL ADMINISTRATION

The administration of the department will consist of a chair who may designate assistants as needed.

9.1 Chair Selection, Term of Office, & Review

The Dean of the College of Engineering in accordance with the College Governance Document selects the department chair. It is expected that the Dean will appoint a search committee to screen candidates for the position and that the majority of the members of the search committee shall be voting members of the department.

9.1.1 Reappointment Review

Reappointment of the department chair will include an evaluation by a departmental committee. The committee shall consist of departmental faculty members and a chair to be appointed by the Dean.

9.1.2 Department Chair Responsibilities

The department chair shall provide leadership, vision, and planning in accordance with the Strategic Plan of the department. Specific duties include: supervising the teaching,

research, and professional practice functions of the department; managing financial and business affairs; representing the department on the Dean's cabinet and to various groups and organizations; evaluating faculty and staff performance including the promotion and tenure process; supervising departmental committees including appointing the chairs and members and making charges to the committees; advising the faculty on matters related to productivity and professional development, defining position responsibility statements in consultation with each faculty member, and performing whatever duties are assigned by the Dean of the College of Engineering. The chair will at least annually report on the status of the department to the faculty. This report will include a full discussion of the departmental budget and financial status.

9.2 Department Associate Chair

The department chair will appoint an Associate chair from among the regular faculty members of the department to assist in meeting the responsibilities of the chair and to act on behalf of the chair during his or her absence.

10 GRIEVANCE PROCEDURES

The grievance procedures for faculty are those specified in the most recent version of the Faculty Handbook.

11 APPENDICES

11.1 Department P&T Document

The Faculty Handbook specifies the procedures for annual review and for promotion and tenure. This document is supplementary to those procedures and provides elaboration only.

11.1.1 Annual Reviews

The department chair will normally request that each faculty member complete an annual report that provides a description of the faculty member's accomplishments during the year and highlights his/her plans for the coming year. An updated resume will also be requested. The format to be following is specified by the chair after consultation with the faculty. Information that is forwarded to the college should be identified in the format.

The department chair will review individual faculty members on an annual calendar year basis. Reviews should take place in the spring term following the year being reviewed. Materials to be considered are the faculty member's activity report; course and advising evaluations compiled by the department; records of research spending, graduate student support, service activity; and other relevant materials identified by the chair or faculty member. The department chair should meet with the faculty member and provide a written evaluation. The faculty member should be given an opportunity to respond in the meeting or in writing. Both the chair and faculty member should sign the report with one copy being given to the faculty member and one placed in the personnel file of the faculty member.

The faculty member in describing his/her accomplishments and plans should refer to the position responsibility statement as necessary. The position responsibility statement should only be revised if a change of duties is agreed upon. If the faculty member and the department chair cannot agree on the wording of the position responsibility statement, the P&T Committee may serve as a mediator. The P&T

Committee decision will be final and further appeals by the faculty member will be through administrative channels or the university appeals procedure as described in the Faculty Handbook.

11.1.2 Review of Probationary Faculty

The P&T Committee will schedule reviews of each probationary faculty member during the third year of his/her appointment or as required by special circumstances. The chair and the chair-appointed mentor for the probationary faculty member will meet with the P&T Committee for this review. The faculty member will submit materials for review in the same form as will be used for the promotion and tenure review. External evaluations are not required. The chair of the P&T Committee, the mentor, and the department chair will confer on the written feedback to be delivered to the candidate by the department chair.

11.1.3 Criteria for Awarding Tenure

The criteria for the award of tenure as specified in the Faculty Handbook will be used.

11.1.4 P&T Review

The department chair will consider the performance of each probationary faculty member at the time of the annual review and recommend that P&T procedures be initiated early if appropriate or if the faculty member so requests. Otherwise, P&T review will be initiated during the sixth year as required. The review may be postponed only as permitted by the procedures specified in the Faculty Handbook.

The department chair will discuss the review procedures with the candidate and provide the appropriate descriptions from the Faculty Handbook. The handbook procedures will be the primary guide. The chair should also acquaint the candidate with the Good Practices Document on the ISU Provost's web page.

The candidate will supply at least four names of external reviewers. Two or three of these persons, plus two or three others selected by the department chair, will be asked to write letters of evaluation. Example letters for this purpose are provided on the Provost's web page. These letters are confidential and will not be shared with the candidate.

The candidate will write a letter of self-assessment to the department chair that describes his/her qualifications for P&T. Evidence of scholarship in teaching, research, and extension/professional practice should be emphasized in accordance with the position responsibility statement. A portfolio that includes proposals and publications will accompany this letter. The candidate should include other material that he/she believes to be important to the evaluation. The chair should provide guidance to the candidate in developing this portfolio, including the letter of self-assessment.

The chair will submit the collected materials, including the letters of evaluation, to the P&T Committee for evaluation. The department chair and the mentor will meet with the committee for discussion purposes. The chair of the P&T Committee will write a letter to the department chair describing the results of the committee's deliberations and any votes taken along with the reasons for their conclusions. This letter will not be provided to the candidate.

The department chair will write an independent evaluation of the candidate to support a recommendation to the Dean. The chair's recommendation may be different from the committee's. This letter is not normally shared with the candidate. The chair will, however, inform the candidate of all decisions as required by the university P&T Procedures.

All of the material described above will become part of the package forwarded to the College of Engineering. The candidate may suggest revisions of these materials (with the exceptions noted) before they are submitted.

11.2 Post-Tenure Review (Approved by faculty on 5-3-2000)

The performance of each tenured faculty member is to be reviewed at least every seven years. The purpose of this review is to recognize the strengths of the faculty member and to identify areas where development efforts or specific departmental support would be helpful. The review should identify ways that the faculty member is contributing or can contribute to the stature of the department at local, national and international levels. Recommendations of less-than-average salary increases or other punitive measures remain administrative matters and not outcomes of these reviews.

The faculty will elect the chair of the PTR Committee for a three-year term. The committee membership will be the PTR Committee chair, the P&T Committee chair and a member of the departmental faculty. The person being reviewed will nominate two faculty members of equal or higher rank to serve as the third member of the committee. The PTR Committee chair, in consultation with the P&T Committee chair, will appoint one of these individuals to the review committee. The chair of the PTR Committee will initiate reviews in collaboration with the department chair. The chair may be invited to attend data gathering sessions of the committee when his/her input seems useful. The chair will not be involved in drafting the review letter.

All tenured and budgeted faculty members are to be reviewed. Three faculty members will be reviewed each year, beginning in the fall of 2000, until everyone has been reviewed and then a 7-year cycle will be followed. Promotion and or tenure reviews may replace these reviews (and be counted as part of the three per year) if the self-assessment letter and the committee letters are part of the P&T review. Ordinarily reviews will be conducted in the order that tenure was granted, beginning with the most senior; however, an earlier review may be requested by a faculty member and granted by the P&T Committee. The P&T Committee, at the request of a faculty member, may grant other exceptions to this procedure. Responsibility for review of faculty members with split appointments is the same as specified for P&T reviews. The PTR and P&T committee chairs will be reviewed after completing their terms or in the regular cycle. The chair is reviewed under other procedures specified in the departmental Governance Document.

The review will be based on a collection of the annual activity reports written by the reviewee since his/her last review, a current vita and a letter of self-assessment. The self-assessment letter should describe the faculty member's contributions to the profession and the department. The achievement of goals listed in the annual activity reports should be assessed and future goals described. External letters will not normally be used. Other material may be included if requested by the faculty member or the review committee. The committee should meet with the faculty member to discuss the materials submitted.

The committee will review and discuss the materials submitted and draw conclusions regarding the performance of the faculty member and his/her contributions to the distinction of the

department. The performance criteria will be the assessment of scholarship as specified in the P&T Document and the specific responsibilities of the faculty member described in the Position Responsibility Statement. The committee should arrange to visit the faculty member's classroom and review course materials if there is any concern about teaching or classroom performance. Instructor/course evaluations alone are not considered to be a reliable measure of performance.

The committee chair will document the committee's conclusions in a letter to the reviewee. The committee will approve this letter. The reviewee may write a letter of response. The committee will review both letters and make changes to the review letter if necessary. Another response letter may be written. The committee may recommend a follow-up review.

The final letter from the committee and the response will be sent to the department chair. The chair will describe implementation plans for development in a letter to the PTR Committee chair and the reviewee. A copy of the PTR letters and the implementation plans will be sent to the Dean. The chair is expected to address development efforts in the annual reviews and to annually report progress on those efforts to the PTR Committee chair.

The materials written for this review may not be used in any personnel action except annual and post-tenure reviews without the express written consent of the reviewee.

11.3 Department Strategic Plan

(To be developed.)

11.4 Courtesy (Unbudgeted) Faculty

Courtesy faculty will be at the ranks of Assistant Professor, Associate Professor, or Professor. Necessary qualifications of a courtesy faculty member will be a doctoral degree in Chemical Engineering or a related field, the ability to reasonably supervise Chemical Engineering graduate students, and an anticipation of active interaction with the Chemical Engineering Department. The process of appointment will be; 1) Nomination by a current Chemical Engineering Department faculty member; 2) distribution of the candidate's curriculum vita to the department faculty; 3) short presentation by the candidate at a faculty meeting if deemed appropriate; 4) approval by the voting faculty; and 5) seminar presentation to the Chemical Engineering Department. A courtesy faculty member will be able to serve as the major professor for graduate students, vote on the admission to candidacy for graduate students, vote on graduate curriculum issues, serve on the Graduate Program Committee, participate in graduate course instruction, and participate in other faculty activities as a non-voting member.

11.5 Adjunct Faculty Proposed revision 4-1-04

Adjunct faculty will be at the level of Adjunct Assistant Professors, Associate Professors, or Professors. Duration of the adjunct appointments will follow the university guidelines. Adjunct faculty will fall into two categories. One category comprises those whose responsibilities are in the area of graduate education and research. The rules governing qualifications, appointment, and participation level of these faculty members are the same as the ones described in Section 10.4, Courtesy (Unbudgeted) Faculty.

The second type of adjunct faculty member includes individuals whose professional experience benefits the department in specific areas such as undergraduate curriculum development, undergraduate recruitment and advising, and laboratory safety. Necessary qualifications of this category of adjunct faculty candidate will be a Bachelor of Science-level degree in Chemical Engineering or a related field, and an anticipation of active interaction with the Chemical

Engineering Department. The process of appointment will be; 1) nomination by a current Chemical Engineering Department faculty member; 2) distribution of the candidate's curriculum vita to the department faculty; 3) short presentation by the candidate at a faculty meeting if deemed appropriate; and 4) approval by the voting faculty. The adjunct faculty member will be able to serve on committees related to their particular areas of involvement, participate in undergraduate course instruction, and participate in faculty activities as a non-voting member.

11.5.1 Evaluations for Renewal of Appointment

Evaluations for renewal of appointment will be conducted by the P&T Committee and recommended by the department chair, and shall be based on the Position Responsibility Statement, the continuing need for the position, and a letter of support from the supervising faculty member or department chair.

11.5.2 Evaluations for Advancement in Rank

Evaluations for advancement in rank will be conducted by the P&T Committee and recommended by the department chair, and shall be based on the Position Responsibility Statement, the continuing need for the position, performance evaluations and two letters of support: one from within the department and one external.

11.6 Non-Tenure Track Faculty

Non-tenure track faculty may be hired at Lecturer or Senior Lecturer positions following the procedures described in the Faculty Handbook.

11.6.1 Evaluations for Renewal of Appointment

Evaluations for renewal of appointment will be conducted by the P&T Committee and recommended by the department chair, and shall be based on the Position Responsibility Statement, the continuing need for the position, and a letter of support from the supervising faculty member or department chair.

11.6.2 Evaluations for Advancement to Senior Lecturer

Evaluations for advancement to Senior Lecturer and Senior Clinician will be conducted by the P&T Committee and recommended by the department chair, and shall be based on the Position Responsibility Statement, the continuing need for the position, teaching evaluations and two letters of support: one from within the department and one external.

11.6.3 Non-Tenure Track Faculty Documentation

Non-tenure track faculty shall maintain a faculty vita and other documentation as may be recommended for use by departmental faculty evaluation committees.

11.6.4 Non-Tenure Track Faculty Rights

Non-tenure track faculty shall have all the rights of participation and voting attached to the rank of Assistant Professor in college and departmental governance, committees, and meetings. However, participation by non-tenure track faculty in decisions pertaining to hiring, promotion, and tenure of faculty is specifically excluded. Non-tenure track faculty shall not serve on graduate student committees, nor vote on matters pertaining to graduate matters unless they have been granted appropriate graduate faculty status by the Graduate College.

11.6.5 *Non-Tenure Track Faculty Professional Development*

Non-tenure track faculty shall be eligible for professional development support in accordance with the departmental governance policy for tenure track and tenured faculty.

11.6.6 *Senior Lecturer Reviews*

Senior Lecturers will be reviewed by the PTR procedure preceding each appointment renewal.