

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 (section 11.1) 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 to outstanding research and student education.

3 MISSION

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

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. Non-tenure track, adjunct, and courtesy faculty will be appointed as discussed in Sections 11.3, 11.4, and 11.5, 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 department and will generally be held on a bi-weekly basis. 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. Items of personal information are to be kept confidential. 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. A two-thirds majority will be required for faculty appointments. Voting will occur by show of hands, or by secret ballot if requested by any faculty present. 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 8.3, 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 Curriculum Committee

This committee will be chaired by the Director of Undergraduate Education (DUGE) and have the following responsibilities:

8.1.1 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.

8.1.2 Implement Policies

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

8.1.3 Propose Curriculum Changes

Bring before the faculty, for discussion and action, proposed departmental curriculum changes. Maintain and update undergraduate booklet.

8.2 Development Committee

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

8.3 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 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:

8.3.1 Annual Review of Professional Progress of Faculty

The committee will conduct an annual review of 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. All tenure-eligible faculty at the level of assistant and associate professor will submit vitas following the College of Engineering's P&T format for these reviews. The P&T chair will provide written feedback to faculty member with copy to chair.

8.3.2 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.

8.3.3 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.

8.3.4 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.

8.3.5 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.

8.3.6 Post-Tenure Review (PTR) Committee Representation

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

8.4 Post-Tenure Review Committee

This committee will conduct reviews as needed to satisfy the review schedule specified in Section 11.2, Post-Tenure Review. The committee membership will be the P&T Committee chair and other members as indicated in Section 11.2. The duties and procedures are specified in the PTR Document.

8.5 Graduate Program Committee

This committee will be chaired by the Director of Graduate Education (DOGE) and have the following responsibilities:

8.5.1 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.

8.5.2 Recommend Graduate Program Policies

Recommend departmental graduate program policies and procedures. Maintain and update the Graduate Student Handbook

8.5.3 Evaluate Graduate Students

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

8.6 Honors and Awards Committee

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

8.7 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.

8.8 Strategic Planning and Governance Committee

The committee membership shall be comprised of at least three faculty members. The department chair appoints the committee chair. The department chair will serve as an Ex officio member. The committee will have the following responsibilities:

8.8.1 Draft Governance Document Changes

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

8.8.2 Draft P&T Document Changes

Draft revisions, as needed to the department P&T Document (section 11.1) in consultation with the P&T Committee and submit them for approval by a vote of the tenured departmental faculty.

8.8.3 Write Strategic Plan

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

8.8.4 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.

8.9 Assessment, Recruiting & Retention Committee

The committee is responsible for departmental assessment activities associated with state, federal and discipline accreditation (including ABET). The committee will also lead undergraduate recruiting and retention with particular emphasis on underrepresented students.

9 DEPARTMENTAL ADMINISTRATION

The administration of the department will consist of a chair, associate chair, director of graduate education and director of undergraduate education.

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 Administrative Structure

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. The department chair will appoint a Director of Graduate Education (DOGE) who will supervise the graduate programs and chair the Graduate Program Committee. The department chair will appoint a Director of Undergraduate Education (DUGE) who will supervise the undergraduate program and chair the Curriculum Committee.

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 of all budgeted faculty and for promotion and tenure and post tenure review of tenure-eligible faculty. 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 faculty activities 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.

The department chair will review individual faculty members on an annual calendar year basis. Reviews will 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 or chair 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 official 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 format 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 P&T 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 Faculty Advancement and Review documents 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.

Using the templates provided by the College of Engineering and/or Provost, the candidate will compile: (1) a Factual Information Summary, (2) a Vita, and (3) a Portfolio of self-assessment that describes his/her qualifications for P&T and submit to the department chair. Evidence of scholarship in teaching, research, and extension/professional practice should be emphasized in accordance with the position responsibility statement. The portfolio should include proposals and publications. 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.

The P&T chair will submit the collected materials, including the letters of evaluation, to the P&T Committee for evaluation. When the P&T committee meets to discuss the portfolio, the department chair and the mentor will be present. 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

The performance of each tenured faculty member is to be reviewed at least every seven years with a Post-Tenure Review (PTR), with the exceptions as noted in section 5.3.4.1 in the Faculty Handbook. This review can occur at the faculty member's request, but no earlier than five years from the last review. 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.

The chair of the Post-Tenure Review Committee will be the chair of the Promotion and Tenure Committee. The members of the committee will be all members of the faculty at the rank of full professor, except the chair of the department and the designated departmental mediator. All tenured and budgeted faculty members are to be reviewed. Promotion and or tenure reviews may replace PTR reviews if a self-assessment letter and the departmental P&T Committee letter and the College P&T committee letter are part of the P&T review. Responsibility for review of faculty members with split appointments is the same as specified for P&T reviews. 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, teaching evaluations, and a letter of self-assessment. The self-assessment letter should describe the faculty member's contributions to the profession and the department in the context of their Position Responsibility Statement. The achievement of goals listed in the annual activity reports should be assessed and future goals described. A member of the committee will arrange to visit the faculty member's classroom and review course materials in order to assess teaching or classroom performance. External letters will not normally be used. Other material may be included if requested by the faculty member or the review committee.

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 chair will document the committee's conclusions in a letter to the reviewee and the chair, and assign a grade of 'meeting expectations' or 'below expectations.' Further steps will be based on the PTR policy (Section 5.3.4 in the Faculty Handbook).

11.3 Non-Tenure Track Faculty

Non-tenure track faculty may be at level of Lecturer or Senior Lecturer. Duration of appointments will be consistent with University policy.

11.3.1 Annual Reviews

Annual reviews of non-tenure track faculty occur in accordance with the procedures outlined in section 11.1.1.

11.3.2 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 department chair.

11.3.3 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.

11.3.4 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.

11.3.5 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. This includes participating and voting in the hiring and promotion of non-tenure track faculty of similar or lower rank. However, voting by non-tenure track faculty in decisions pertaining to hiring, promotion, and tenure of tenure-track 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.

11.3.6 Non-Tenure Track Faculty Professional Development

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

11.4 Adjunct Faculty

Adjunct faculty will be at the level of Adjunct Assistant Professor, Associate Professor, or Professor. Duration of the adjunct appointments will follow 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 11.5, 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 to adjunct faculty will be; 1) nomination by a current Chemical and Biological 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 course instruction, and participate in faculty activities.

11.4.1 Annual Reviews

Annual reviews of adjunct faculty occur in accordance with the procedures outlined in section 11.1.1.

11.4.2 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.

11.4.3 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.

11.4.4 Adjunct Faculty Documentation

Adjunct faculty shall maintain a faculty vita and other documentation as may be recommended for use by departmental faculty evaluation committees.

11.4.5 Adjunct Faculty Rights

Adjunct 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. This includes participating and voting in the hiring and promotion of non-tenure track faculty of similar or lower rank. However, voting by adjunct faculty in decisions pertaining to hiring, promotion, and tenure of tenure-track faculty is specifically excluded. Adjunct faculty may serve as major professor for chemical engineering graduate students, serve on graduate student committees and vote on matters pertaining to graduate matters if they have been granted appropriate graduate faculty status by the Graduate College.

11.5 Courtesy (Unbudgeted) Faculty

Courtesy faculty will be at the rank 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 supervise Chemical Engineering graduate students, and an anticipation of active interaction with the Chemical & Biological Engineering Department. The process of appointment will be; 1) Nomination by a current Chemical & Biological 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) seminar presentation to the Chemical & Biological Engineering Department; and 5) approval by the voting faculty. A courtesy faculty member can serve as major professor for chemical engineering graduate students. Courtesy faculty may also vote on admission to candidacy for graduate students and 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.

11.5.1 Term and Renewal of Appointment

Courtesy faculty appointments will be for a period of three years. Appointments are renewable and must be requested in writing by the courtesy faculty member. The request for reappointment should briefly explain the rationale for continuing appointment and summarize recent interactions with Chemical & Biological

Engineering Department faculty and students. Voting eligible tenure and tenure-track faculty will decide renewal of appointment requests by a majority vote.