

**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. Term, 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. The voting rights of term, adjunct and courtesy faculty are specified in Sections 11.3.5, 11.4.5 and 11.5 respectively.

## **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. If a quorum is not 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. Voting will occur by show of hands, or by secret ballot if requested by any faculty present. A simple majority of the eligible voters present is required for the approval of a call for a mail ballot. A simple majority of the votes will be required for the approval of motions.

## **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. Committees can be comprised of both tenure track and term faculty where appropriate to the department. 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 of tenure-track faculty to full professor shall be comprised of all tenured full professors. The committee membership for consideration of tenure-track faculty 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. A three-member subcommittee of the department P&T committee will be appointed to assist advancement reviews for tenure track, term, adjunct and probationary tenure-eligible faculty. This subcommittee will include two standing members appointed to a two-year term, and a third member specified differently in the various committee functions (see 11.1 below). The subcommittee members will have appropriate ranks for the individual cases to be reviewed. The responsibilities of the P&T Committee are described below:

#### 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 Committee**

The committee is responsible for departmental assessment activities associated with state, federal and discipline accreditation (including ABET). The committee will be chaired by the Director of Undergraduate Education.

## **8.10 Diversity, Equity and Inclusion Committee**

The committee will monitor and implement departmental policies that sustain continuous improvements of diversity, inclusion, access and academic success. A particular focus of the committee is undergraduate recruiting and retention with emphasis on underrepresented students. The committee membership will consist of at least five faculty, at least one member of the staff, at least one undergraduate student and at least one graduate student.

## **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 evaluation of all budgeted faculty and for promotion and tenure and post tenure review of tenure-eligible faculty, as well as for renewal and advancement of term 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 Tenure-Track 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 third member of the three-member P&T Subcommittee for these reviews will typically be the mentor of the faculty member being reviewed. 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 subcommittee will draft a memo detailing the strengths, areas of improvement and any perceived reservations. The P&T Chair will present the memo to the P&T Committee, and after receiving committee input will finalize the memo for submission to the department chair with a copy to the candidate.

#### ***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 of Tenure-Track Faculty***

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 Subcommittee for the review will consist of the two standing members and the mentor of the candidate; the third member will be chosen by the candidate if he or she does not have a mentor. The Subcommittee will assist the candidate in dossier preparation, review teaching, and will submit the collected materials, including the letters of evaluation, to the P&T Committee for evaluation. The Subcommittee will present the case to the P&T committee at a meeting where the department chair and the mentor will be present. The Subcommittee will prepare a draft of 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. The P&T Chair will finalize the letter and submit it to the department chair. This letter will not be provided to the candidate. The department chair will write an independent evaluation of the candidate to support arecommendation 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. The reviews will be assisted by a two-member subcommittee of the PTR Committee which have appropriate ranks for the individual cases. The subcommittee may consist of the standing members of the P&T Committee; in the event of a conflict (for example if the reviewee is a standing member), PTR Subcommittee members may be chosen by the Department Chair. 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 department 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. The PTR Subcommittee 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 PTR Subcommittee will present the case to the PTR Committee. The PTR Subcommittee will draft a letter to the reviewee and the chair documenting the committee's conclusions, which assigns a grade of 'meeting expectations' or 'below expectations.' The letter will be finalized by the PTR Chair. Further steps will be based on the PTR policy (Section 5.3.4 in the Faculty Handbook).

## **11.3 Term Faculty**

Term faculty appointments can be made as lecturer, teaching professor (with rank of assistant professor, associate professor or professor), professor of practice, research professor (with rank

of assistant professor, associate professor or professor), or adjunct professor (with rank of assistant professor, associate professor or professor). Minimum requirements and duration of appointments will be consistent with College of Engineering and University policies, as detailed in Section 4.a.2. 1 of the College of Engineering Governance Document.

#### ***11.3.1 Annual Reviews***

Annual reviews of term track faculty will occur in accordance with the procedures outlined in section 11.1.1. Reviews of term teaching faculty will consider course evaluations compiled by the department; term research faculty reviews will consider records of research spending and graduate student support. For both types of term faculty, reviews will further consider the faculty member's activity report, service activity, and other relevant materials identified by the chair or faculty member.

#### ***11.3.2 Evaluations for Renewal of Appointment of Term Faculty***

Evaluations for renewal of appointment will be conducted no less frequently than every 6 semesters of employment and will be carried out by the P&T Committee. The P&T Committee for the review will include term faculty of rank higher than the faculty member being evaluated. The evaluation shall be based on the Position Responsibility Statement, the continuing need for the position, and a letter of support from the department chair. Procedures for appointment renewal described in 5.a.4.1 of the College of Engineering Governance Document will be followed.

#### ***11.3.3 Evaluations for Advancement of Term Faculty***

Evaluations for advancement to Associate Teaching/Research Professor and Teaching/Research Professor will be conducted by the P&T Committee. A three-member subcommittee will assist the candidate in dossier preparation, review teaching, and present the case to the P&T Committee for discussion and vote. In addition to the two standing members, the subcommittee will include one term faculty member with appropriate rank chosen by the candidate. The subcommittee will prepare a draft of a report on the P&T meeting and vote to the department chair. The P&T Chair will finalize the report and submit it to the department chair, who will recommend on advancement. The review shall be based on the Position Responsibility Statement, the continuing need for the position, teaching evaluations and two letters of support. The committee membership for consideration of candidates for promotion to full teaching or research professor shall comprise all tenured full professors and full teaching or research professors. The committee membership for consideration of candidates for promotion to associate teaching or research professor shall comprise all tenured full and associate professors and full and associate teaching or research professors. The outcome of this evaluation will include recommendations for advancement or re-appointment at current rank. Teaching professors will be eligible for advancement after a minimum of five years in their current rank. Candidates shall prepare a vita and portfolio in a manner similar to tenure-track faculty advancement. Research professors will be evaluated based on scholarship and external letters of support. Teaching professors will be evaluated similarly to evaluation of teaching for tenure-track faculty. Materials for advancement will be evaluated according to the same procedures described in Section 11.1.4 for tenure-track faculty.

#### ***11.3.4 Term Faculty Documentation***

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

#### ***11.3.5 Term Faculty Rights***

Term 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 term faculty in decisions pertaining to hiring, promotion, and tenure of tenure-track faculty is specifically excluded. Term 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 Term Faculty Professional Development***

Term 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.

The responsibilities of adjunct faculty will be in the areas 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 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. Materials to be considered are the faculty member's activity report; records of research spending, graduate student support, and other relevant materials identified by the chair or faculty member.

#### ***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. The review will be assisted by a two-member subcommittee which collects the support letter and prepares a report for presentation to the P&T Committee. The two-member subcommittee may consist of the two standing P&T subcommittee members. The P&T Chair will finalize the report and submit it to the 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. The review will be assisted by a two-member subcommittee which collected external and internal letters and prepares a report for presentation to the P&T Committee. The two-member subcommittee may consist of the two standing P&T subcommittee members. The P&T Chair will finalize the report and submit it to the department chair.

#### ***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 may co-chair a chemical engineering graduate student's program of study committee with a tenure-track faculty member serving as co-chair. They may vote on matters pertaining to graduate matters if they have been granted appropriate graduate faculty status by the Graduate College. Adjunct faculty may participate in other faculty activities as a non-voting member.

### **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.