

Department of
Horticulture
Governance
Document

Updated 12/15/14

Table of Contents

Section 1	Department of Horticulture Vision Statement.....	1
	Department of Horticulture Mission Statement.....	1
Section 2	Department Organization and Administration	
	Standing Committees.....	2
	Emergency Procedures.....	3
	Faculty Meetings.....	4
	Procedures for Revisions to Governance Document.....	5
Section 3	Voting Eligibility and Procedures.....	6
Section 4	Hiring Procedures	
	Search and Hiring Procedures for Faculty.....	7
	Search and Hiring Procedures for Department Chair.....	8
	Appointment and Reappointment of Department Chair.....	9
	Other Faculty and Staff.....	10
Section 5	Faculty Appointments.....	11
Section 6	Performance Appraisal and Review.....	12
Section 7	Department of Horticulture Promotion and Tenure Document.....	14
	Post Tenure Review.....	27

Department of Horticulture Governance Document

Section 1

Vision and Mission Statement

Vision:

To encourage, establish, and promote educationally beneficial relationships with our students, external stakeholders, alumni, and friends that result in learning, discovery, and engagement to advance the horticultural sciences, and related programs.

Mission:

The Iowa State University Department of Horticulture strives to be among the best horticulture academic units in the country by promoting the science of horticulture through the implementation and communication of original research, the offering of accessible and creative extension programming, and through the education of students and interested citizens using the most efficient and appropriate available technologies that promote learning and understanding.

By serving the citizens of Iowa (and the nation) via our academic mission of discovery, outreach, engagement, and education, we will strive to contribute to the economic viability and profitability of horticultural enterprises, advocate for practical and science-based environmental stewardship, and enhance the quality of life for our citizens.

Section 2

Department Organization and Administration

Standing Committees- The method of selecting members for committees is left to the discretion of the Department Chair.

Undergraduate Programs/Curriculum

This committee leads decision making on course and curriculum revisions, recruitment and advising and interacts with College and University committees on these matters. The committee chair represents the Department on the College curriculum committee.

Graduate Programs Committee

This committee is chaired by the Director of Graduate Education. This committee oversees recruiting, admissions, and advising of graduate students and leads decision making on all graduate course and curriculum revisions.

Seminar

The seminar committee is in charge of planning and scheduling departmental seminars.

Promotion & Tenure

Specific requirements of the P&T Committee are outlined in the departmental Promotion and Tenure document, which can be found at the end of this document.

Facilities Use & Planning

This committee makes recommendations to the Chair for facility improvements and addresses space challenges. The Facilities Use and Planning Committee addresses needs of persons with disabilities related to access, accommodations, and assistive technologies.

Scholarship

The scholarship Committee advertises and promotes departmental scholarships, evaluates applications, and selects recipients for scholarships. The committee arranges presentation of the awards.

Horticulture Research Station

The Horticulture Research Station Committee is advisory to the Director of Iowa State's research and demonstration farms.

Controlled Environments

The Controlled Environments Committee develops policy related to the greenhouse, growth chambers, and coolers and forwards recommendations to the faculty.

Instructional Technology

The Technology Committee develops policies and guidelines to support the effective and coordinated use of instructional technologies/computer resources in the department.

Extension

The Extension Committee assists in the development of extension programs in accordance with university guidelines. The committee also compiles extension data for the extension reporting system and sets policy for the Department's cost recovery efforts.

Chair Advisory

The Advisory/Committee provides guidance and advice as requested by the Department Chair.

Awards

The Awards Committee identifies awards that are available for our faculty, staff, and alumni. The task of nominating faculty/staff members is divided among the committee members. Deadlines for nominations come at various times of year, but the call for and criteria for College and University awards are generally published during late summer. Nominations from the previous year that were not successful may be passed on to the new committee for resubmission.

Outcomes Assessment Committee

The Outcomes Assessment Committee develops policy and guidelines for establishing criteria for measuring student success.

Emergency Procedures

In an emergency, the new ISU Alert System will quickly alert Iowa State University students, faculty and staff of potentially dangerous situations. The system could be activated during severe weather, hazardous materials incidents, bomb threats or other immediate dangers.

How will you get the message

Emergency alerts will be sent through these media:

- Telephone call (to cell or landline phone)
- Text message
- E-mail

Dial-Up Emergency Info

In emergencies, you also can dial 4-5000 from a campus phone or (515) 294-5000 to hear a recorded message.

Faculty Meetings

Regular faculty meetings are held at least monthly during the academic year, with dates and locations announced at the beginning of each semester. Faculty meetings are held as needed during the summer. The Department Chair will conduct the meeting and minutes will be recorded. Minutes are recorded and archived in 106 Horticulture Hall.

Robert's Rules of Order shall apply for faculty meetings. Procedures on voting in section 3 shall apply.

Voting may be conducted by a voice vote or a show of hands. Any request for a secret, written ballot on any issue must be honored. A simple majority vote will decide an issue, including changes in the governance document. A majority is defined as more than 50 percent of the voting members plus proxies present or more than 50 percent of those voting in a secret, written ballot.

A faculty member may confer a proxy voting right upon another member. Absent faculty members must provide both the Department Chair and the proxy with a written verification of the proxy's authority.

Procedures for Revisions to Governance Document

The provisions of this document must be in agreement with those set forth by the university and college promotion and tenure documents. Any changes in these documents may necessitate changes in the department document.

Section 3

Voting Eligibility and Procedures:

Eligibility:

Voting rights vary depending on the issue being considered.

- For votes pertaining to promotion and tenure, only tenured faculty may vote in accordance with approved policies for decisions on promotion and tenure.
- For votes pertaining to hiring tenure-track faculty, only tenured and tenure-eligible faculty may vote.
- For votes pertaining to undergraduate curricula and academic affairs, tenured and tenure-eligible faculty and NTE faculty with teaching responsibilities as part of their duties and whose academic home is the Department of Horticulture, may vote.
- For votes pertaining to departmental policy, tenured and tenure-track faculty may vote on all questions. In addition, other campus-based faculty and P&S staff are eligible to vote on those issues that directly pertain to their duties within the department. Questions that arise about which members of the campus-based faculty and P&S staff may vote on particular issues will be decided by votes of the tenured and tenure-eligible faculty.

Procedures

- A quorum of more than 50% of tenured and tenure-eligible faculty with an appointment in the department, excluding the department chair, must be physically present or present via a live electronic connection, to vote.
- Voting (before, during, or after faculty/staff meeting) may be by voice, paper ballot, or electronic ballot.
- All campus-based faculty and P&S staff must be notified in advance of issues and votes in which they may participate.

(This policy revised as stated above by faculty vote 12/15/14).

Section 4

Hiring Procedures

A. Search and Hiring Procedures for Tenure-track Faculty Members

Opportunities to hire tenure-track faculty members in the Department of Horticulture will be brought to the attention of the faculty by the department chair. The chair will seek formal approval by the Dean of the College of Agriculture and Life Sciences for a new position and to initiate a search by submitting a *Request to Fill* form.

Hiring decisions will be influenced by the mission of the department and existing strengths and weaknesses among the various disciplines within the department. Additions to the faculty also could be influenced by a need to pursue an emerging need or opportunity.

For each approved faculty position, the department chair appoints tenure-track faculty members (usually three to five) to an ad hoc search committee. The search committee is advisory to the department chair. Committee membership shall be balanced in favor of, but not exclusive to expertise relative to the advertised position, and may include a faculty member(s) from another department within the university.

The search committee develops a position description and submits it to the faculty for approval. Following faculty approval, a *Notice of Vacancy* is submitted through ISU Human Resource Services. These two documents describe the nature of the appointment, required and preferred qualifications of the applicant, clear and measurable performance expectations, and application instructions and deadlines. The department chair is responsible for administering and supervising the search process and obtaining all required college and university approvals. Once the *Notice of Vacancy* is approved, the chair will initiate advertisements for the position.

Applications are received electronically by the Department of Horticulture and distributed to members of the search committee. Application packages are kept on file in the Department of Horticulture office, but are available for review by all members of the faculty. The search committee meets and reviews all applications, comparing and evaluating information submitted by each applicant in relation to the required and preferred qualifications of the advertised position. The search committee also interviews references supplied by the applicant. Finally, members of the search committee communicate their findings and opinions about the applicants to the faculty during a special faculty meeting. The search committee chair then recommends a small subset (usually three) of the applicants for a campus interview. If the faculty and department chair agree with the recommendations of the search committee, the department chair submits the names of those chosen for a campus interview to the Dean and to the Office of Equal Opportunity and Diversity for approval.

Following approval, candidates are formally invited for a campus interview. The interview (approximately two days in length) includes a departmental seminar presented by the candidate and meetings with faculty, administrators, and undergraduate and graduate students. Depending

on the position being filled, others, such as industry representatives, may participate in the interview. After all candidates have been interviewed, faculty members meet to discuss the strengths and weaknesses of each candidate. After this discussion, two separate anonymous ballots are used to (1) identify candidates as being either “acceptable” or “unacceptable” and (2) rank the candidates in order of preference. At the conclusion of these deliberations, the faculty recommends their preferred candidate to the department chair. If the chair agrees with the recommendation, the name of the preferred candidate will be reported to the Dean of the College of Agriculture and Life Sciences. If the chair disagrees with the recommendation, written explanation must be provided to the faculty.

After receiving approval from the Dean, Provost, and Office of Equal Opportunity and Diversity, a formal offer of employment is made to the successful candidate. If the successful candidate accepts the offer of employment, the department chair notifies the unsuccessful candidates/applicants that the position has been filled.

If the successful candidate declines to accept the position, the department chair would return to the faculty to discuss the suitability of other “acceptable” candidates on the approved list. If a suitable candidate cannot be identified, the faculty may seek approval for interviewing other applicants from the current pool or seek permission to re-advertise the position.

B. Searches and Hiring Procedures for Hiring a Department Chair

At the time for selection of a Chair, the Dean of the College of Agriculture and Life Sciences will meet with the departmental voting faculty to discuss whether the search will include candidates from within and/or outside the departmental faculty. The voting faculty will make written recommendations for members of the search committee, as directed by the Dean. There is a general expectation that the committee will consist of voting faculty, a graduate student, and an undergraduate student, who together represent the breadth of diversity with the Department. At the Dean’s discretion, faculty members from outside the Department may be assigned to the committee. The Dean will appoint the search committee and designate the committee chair.

If an external search is approved, a position description will be developed by the search committee according to requirements of Human Resource Services, reviewed and approved by the voting faculty, and forwarded to the Dean for approval. The approved position advertisement will be placed in University employment announcements, appropriate professional periodicals, e-mail lists etc.

The search committee will receive and review applications. Applications will be filed in the department office and made available to all faculty and the search committee for review. After evaluation of all applications, the committee will develop a short list of candidates considered to be best qualified and will discuss these candidates with the voting faculty. The committee will then present a final list to the voting faculty for their agreement or modification by majority vote. The final recommended list of candidates will be presented to the Dean.

Candidates approved by the Dean will be invited to a campus interview. This will consist of a seminar presented by the candidate, an informal presentation and discussion of plans and visions

for the department, and opportunities for the candidate to visit with each faculty member, graduate students, undergraduates, the current Department Chair, the Deans and staff of the College, College Department Chairs, and other appropriate University administrators, faculty, staff, and students. After all interviews have been completed, the search committee will make a final evaluation of the candidates and present their recommendations to the voting faculty. It is expected that the Dean will provide instructions on submitting a list of recommended candidates to the College administration. If no candidate is hired from this process, it is expected that the Dean will consult with the voting faculty to determine the next step to take.

If an internal search is to be conducted, voting faculty will submit nominations of candidates to the committee. The committee will contact nominees to ascertain their willingness to be considered for the position. Any committee members who are nominated and are willing to be candidates will be replaced on the committee. Procedures for interviewing candidates and making the faculty's final recommendations to the Dean will occur in the manner described above for external searches. The Department recognizes that any candidate willing to be considered for the position of the Chair has expressed an honorable commitment to make personal sacrifice in service to the Department as a whole. The Department also recognizes that making such a position attractive to candidates will require a strong commitment of resources and support to allow the candidate to continue performing a traditional faculty role and to build or maintain a strong department.

Appointment and Reappointment of Department Chair

The Department Chair is appointed by The Dean, in consultation with the departmental faculty, for a term of three to five years, which may be renewed. Candidates for the position of Department Chair must have credentials sufficient for tenure and the appropriate rank in the department.

At the beginning of the final year of the Department Chair's appointment, the Dean will meet with him/her to determine if he/she is willing to be considered for reappointment for another term. After the response is received, the Dean will meet with the faculty to discuss the reappointment and will solicit input from the faculty. The faculty will make a recommendation to the Dean, in the manner designated by the departmental governance document. The Dean will take the faculty recommendation into account in making the reappointment decision.

C. Visiting, Temporary, Collaborator, Affiliate, and Joint Appointments

The chair shall follow University procedures for faculty appointments as outlined in the *Faculty Handbook*. See sections 3.3.5, 3.3.6, 3.3.7, and 3.3.8 in the Faculty Handbook.

D. Courtesy Appointments

A faculty member in another academic department that fully funds the faculty member's salary may be granted Courtesy Faculty status in the department. The Chair shall present to the faculty members eligible to vote a request and rationale for the individual to be granted Courtesy Faculty status. By a secret ballot, the voting faculty shall approve or deny the request. The vote shall be binding on the Chair.

E. Special Circumstances Appointments

Under special circumstances the Department may appoint individuals to regular or adjunct faculty positions without an advertised search. Such circumstances might involve a qualified spouse of a new faculty member in another department or a newly hired administrator whose academic training and expertise are appropriate to the Department's mission.

In the first case, an advertised search is required if an existing departmental budget line will be used for the position. If a new budget line is granted to the Department for the position, the Chair shall appoint an ad hoc committee that shall arrange the interview process for the candidate, solicit faculty evaluation, and make a recommendation to the Chair.

In a second case, the Chair shall consult with the Chair Advisory Committee before granting faculty appointments in the department.

F. P&S and Merit Positions

Appointments shall follow personnel policies outlined in the University Policy Manual.

Section 5

Faculty Appointments

Policies and Procedures for Appointment, Reappointment, Advancement, and Evaluation of Lecturers and Clinicians,

Please see Faculty Handbook - Sections 3.3.2.1 and 3.3.2.2

Adjunct Faculty Employed Elsewhere

Please see Faculty Handbook - Section 3.3.2.3

Adjunct Faculty Employed by the University

Please see Faculty Handbook - Section 3.3.2.4

Policies and Procedures for Professional and Scientific (P&S) Non-Tenure-Eligible Appointments

Please see Faculty Handbook - Section 3.3.2.5

Visiting Appointments

Please see Faculty Handbook - Section 3.3.5

Collaborators

Please see Faculty Handbook - Section 3.3.6

Affiliates

Please see Faculty Handbook - Section 3.3.7

Joint Academic Appointments

Please see Faculty Handbook - Section 3.3.8

Nonrenewal or Termination of Appointment

Please see Faculty Handbook - Section 3.4

Section 6

Performance Appraisal and Review

Evaluation of Performance

Annual performance reviews are formative and constructive exercises aimed at enhancing the professional growth and development of faculty and staff and, in turn, improving the overall performance of the department. Review sessions (typically one-hour in length) provide an opportunity for meaningful and sincere communication between faculty and staff and the department chair and are important for building trust and developing a positive work environment. A mutually agreed upon Position Responsibility Statement (PRS) will provide framework and foundation for all performance reviews in the Department of Horticulture.

Faculty and Professional and Scientific Staff

Annual performance review and appraisal for faculty (tenure-eligible and tenured, and non-tenure-eligible) and P&S staff who are either partially or fully budgeted within the Department of Horticulture shall be conducted by the department chair. Typically, reviews are scheduled during the months of February, March, and April. The procedure for the performance review shall include (1) completion of an annual activity report by each faculty or staff member including statements of past accomplishments and goals for the coming year, (2) review of those accomplishments and goals during the face-to-face performance review meeting, (3) review of the adequacy of the PRS or PD, and (4) assignment or modification of responsibilities as agreed upon by the department chair and faculty/staff member to be integrated into a revised and mutually agreed upon PRS or PD. Following the annual performance review meeting, the department chair shall comment on the contributions and activities of each faculty and staff member in written form and that evaluation/assessment document shall be signed by each party. The P&S staff that report to faculty or other P&S staff in the department are evaluated by their immediate supervisor. Signature by the faculty/staff member indicates receipt, not necessarily agreement with statements made in the document.

Merit Employees

Annual performance evaluations of merit employees shall be conducted by the supervisor of the merit employee. Supervisors may circulate a questionnaire among selected faculty and staff to gain insight and information about performance of merit employees. The evaluation shall include a face-to-face meeting during which the supervisor and employee discuss the quantity and quality of work performed by the merit employee and the quality of their interpersonal relations. An employee Performance Evaluation Form shall be completed by the supervisor and submitted to the Office of Human Resource Services.

Department Chair

Annual review of the Department Chair shall be conducted by the Dean of the College of Agriculture and Life Sciences (or his/her designee). Prior to the chair's performance evaluation meeting, all faculty members in the Department of Horticulture shall be provided an opportunity to provide confidential feedback about the Department Chair to the Dean. The Dean then meets with the chair and presents a summary of evaluations along with recommendations for improvement.

Section 7

Department of Horticulture Promotion and Tenure Governance Document

Revised March, 2011

Note: Any changes to this policy document require a two-thirds approval by a quorum of tenured faculty of the department who are not on sanctioned leave at the time of the vote.

A. General Review Policies and Procedures

This department policy is in compliance with the Provost Office document describing Best Practices dated 2007-08 and the College of Agriculture and Life Sciences Promotion and Tenure Policies and Procedures document dated 9/1/04.

The performance of each faculty member will be subject to the following reviews:

- Annual performance evaluation
- Preliminary review of probationary status
- Promotion and/or tenure review
- Post-tenure review

Annual Performance Evaluation

Each year, the department chair will formally evaluate the academic performance of all faculty members in the department. The evaluation/assessment will take the form of a face-to face meeting, lasting approximately 60 minutes. During the performance evaluation meeting, faculty members will highlight their most important academic contributions from the past year, discuss with the department chair their plan for action for the coming year, and when necessary, reach an understanding about ways a faculty member might improve their scholarship, departmental citizenship, or both. Following the performance evaluation meeting, the department chair will provide each faculty member with a written summary of the meeting.

Mentoring

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 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 department chair in consultation with the junior faculty member will ask a departmental professor or associate professor to serve as mentor for the new faculty member.

If the prospective mentor agrees to serve, 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 useful and should be initiated by the junior faculty member; such requests should be encouraged and received by mentors with enthusiasm. If either the mentor or new faculty member wishes to cease working together as a mentor-junior faculty pair, the department chair shall be notified in writing, and a new mentor shall be chosen without delay by using the described procedures. If necessary the new mentor may be from a different department at Iowa State University. 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 others in the mentoring process, and are encouraged to participate in college- and university-wide activities related to mentoring, and in preparation for promotion and tenure. The mentor is in no way responsible for securing promotion and tenure, nor is her or his advice guaranteed to result in academic/career advancement.

Preliminary Review of Probationary Status

Probationary faculty members must be reviewed in the third year of their appointment or approximately half way to consideration for action (if credit for prior service is given). The purpose of this review is to provide constructive, developmental feedback regarding progress in meeting criteria for promotion and/or tenure. This review also provides information that influences the decision of whether to reappoint during probation.

The review is conducted by the department's Promotion and Tenure Committee and is based upon departmental criteria and standards used for promotion and/or tenure. External letters are not expected as part of the process, but may be requested by the committee or chair.

Promotion and/or Tenure

The evaluation for promotion and/or award of tenure initially takes place in the department, followed by review at each administrative level above the department. The candidate initiates the review process by informing the chair of his/her desire to be considered for tenure/promotion. The chair will assist the candidate in preparing documentation materials for review. The candidate also may solicit advice from members of the Promotion and Tenure Committee. The department chair will present the candidate's materials to the committee.

B. Position Responsibility Statement

A Position Responsibility Statement (PRS) is a tool that allows for a flexible and individualized system of faculty review, particularly within the promotion and tenure process. The description itself should be general and only include significant responsibilities of the faculty member that

are important in evaluating faculty accomplishments in the promotion and tenure process. The PRS shall not violate the faculty member's academic freedom in teaching, in the selection of topics or methods of research, or in extension/outreach.

The PRS is subject to annual review by the faculty member and the department chair, and allows for flexibility in responsibilities over time and for the changing nature of the faculty appointment. Neither the chair nor the faculty member may change the PRS unilaterally.

When a faculty member is appointed, the chair and the faculty member will agree on a PRS that should be based on the job advertisement. This PRS shall stand for at least the first three years of appointment. In most cases, this initial PRS will remain in effect until the tenure review. Any changes in expectations for the untenured faculty member must be made in consultation between the chair and the faculty member. If tenure is granted, the faculty member and chair should review the PRS and make agreed-upon changes.

The faculty member and the two chairs or program leaders will write a PRS when a faculty member holds appointments in two departments (or a department and a program). The PRS will be signed and dated by all three parties. Each department, program, and college will receive copies of this PRS.

At least every seven years, tenured faculty members shall re-evaluate their responsibilities with the department chair. The PRS may be reviewed and/or changed more frequently as part of the annual performance evaluation process, but this is not mandated. Changes in the PRS must be made via consultation between the chair and the tenured faculty member.

C. Procedure (Mediation Guidelines) to Handle Disagreements Related to the Position Responsibility Statement

When both parties (the faculty member and the department chair) agree to the PRS, it will be signed by both parties and dated. If one of the parties disagrees with a proposed change to the faculty member's PRS, either party may refer the matter to the PRS Mediation Panel of the department. This panel will consist of one tenured faculty member selected by the faculty member involved in the disagreement and one tenured faculty member selected by the department chair. A third tenured faculty member who will chair the committee will also serve, and unless the departmental faculty collectively decides otherwise, the default policy for obtaining that member will be by faculty election in the department at the beginning of each academic year. Other acceptable methods for obtaining the third member (committee chair) are: a) designating a tenured faculty member who is chair of an elected departmental council; b) designating a tenured faculty member who has been appointed by the department chair to the Promotion and Tenure Committee and who chairs that committee; c) designating a tenured faculty member who has been appointed by the department chair to the Post-tenure Review Committee and who chairs that committee. The faculty members selected by the two parties will be selected at the time of the disagreement between those two parties.

The party referring the matter to the PRS Mediation Panel will submit to the panel the faculty member's existing PRS, the text of the proposed PRS, and explanation of why the change is being sought and why it is either desired or not acceptable, and the faculty member's curriculum vita. The other party should provide written explanation of why the proposed change is either desired or not acceptable. The PRS Mediation Panel will review the materials that have been submitted, meet with both parties, deliberate on the issue, and deliver a written opinion within two months on how the disagreement should be resolved. The faculty member and the department chair should then reconsider the matter to see if an agreement can be reached based on the panel's recommendation. If an agreement between the faculty member and the department chair does not then emerge within ten working days, the matter will be forwarded by the party disagreeing with the proposed change to the faculty member's college where a mechanism, which will be fair and equitable to both parties (e.g., elected group) will be in place for further consideration and resolution. If the issue is not resolved at this level, the dean of the college will resolve the matter at the request of the party disagreeing with the proposed change.

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

D. Standards for Promotion and Tenure

Evaluation of a faculty member for promotion and/or tenure shall be based on criteria related to the individual's PRS, and evidence of scholarship in the faculty member's teaching, research, and/or extension activities. Scholarship* is the development of new understanding and insights or the generation, synthesis, interpretation or analysis of new knowledge, methods, understanding, technologies, curricula, publications (including electronic), presentations, exhibits, software, patents, licenses and copyrights. Scholarship is evaluated according to such criteria as originality, significance, reliability, scope, impact, and adoption by peers.

*Definitions of scholarship drawn from Drawn from Conrad J. Weiser and Ernest L. Boyer: Conrad J. Weiser, *The Value of a University – Rethinking Scholarship*, draft version Ernest L. Boyer, *Scholarship reconsidered – Priorities of the Professorate*, 1990.

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 PRS, which describes the individual's current position responsibilities and activities in the following areas: 1) teaching and advising, 2) research, 3) extension/outreach, and 4) institutional service. All evaluators use the PRS to interpret the extent, balance, and scope of the faculty member's scholarly achievements.

E. Terminology

Promotion through the academic ranks 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 for 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 and also is 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.

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 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 department. Faculty members are expected to conduct academic activities in a scholarly manner and to submit their ideas and research (scholarship) to rigorous peer review. “Candidate” signifies 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” includes those items prepared and submitted to substantiate the nomination of a candidate. The “professional resume” summarizes the background and accomplishments of the candidate following the outline presented in Appendix 1. “Scholarly” and “scholarship” are defined 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 students learning outcomes. “Senior faculty” includes tenured associate professors and professors in the department.

F. Qualifications for Academic Rank and Tenure

Recommendations for initial appointment and promotion are based on evidence that the faculty member has met the qualifications for the rank to which he or she is to be appointed or promoted. Promotions in rank for A-base faculty ordinarily take effect at the beginning of the next fiscal year, and promotions for B-base faculty ordinarily take effect at the beginning of the next academic year; exceptions to these dates may be granted by the provost. Refer to the College Promotion and Tenure Document for descriptions of the academic ranks and tenure.

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 scholarship that establishes the individual as a significant contributor to the field or profession, with potential for national distinction.
- Effectiveness in areas of position responsibilities
- Satisfactory institutional service

Furthermore, a recommendation for promotion to associate professor and granting of tenure must be based upon an assessment that the candidate has made contributions of appropriate magnitude and quality and has a high likelihood of sustained contribution to the field or profession and to the university.

Professor

The rank of the professor designates the faculty member as having achieved recognition as an outstanding member of the academic community and of his or her professional discipline or cross-disciplinary area. The candidate must demonstrate:

- National distinction in scholarship, as evident in candidate's wide recognition and outstanding contributions to the field of profession.
- Effectiveness in area of position responsibilities
- Significant institutional service

Furthermore, a recommendation for promotion to professor must be based upon an assessment, since the last promotion, that the candidate has made contributions of appropriate magnitude and quality and has demonstrated the ability to sustain contributions to the field or profession and to the university.

Temporary Faculty Appointment

Temporary faculty appointments are not eligible for tenure. When a temporary faculty member is appointed to a tenure-track position the chair will specify, in writing, the effective date of the tenure-track appointment, and that date will serve as the beginning of the probationary period for the granting of tenure. Previous years of service as a temporary faculty member will not be used for determining the date of the tenure decision unless the faculty member chooses to negotiate with the chair and college administration for the application of those years toward the tenure decision.

Tenure

The department will automatically recommend the tenure-track assistant professors who are recommended for promotion also be granted tenure. Associate professorship is normally required for tenure. Tenure is awarded based on merit. 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.

G. Procedures for Promotion and Tenure Review

Promotion and Tenure Committee

All professors and associate professors with tenure in the department excluding the department chair will constitute the Promotion and Tenure Committee for those seeking promotion from assistant professor to associate professor with or without tenure, and from lecturer to senior lecturer and similar classifications. All professors in the department excluding the department chair will constitute the Promotion and Tenure Committee for individuals seeking promotion to professor. Upon the first meeting of each committee for reviewing a case, members will select a chair by consensus. The chair of the committee will have the responsibility for writing the letter that is forwarded with the candidate's documentation. Each candidate must be reviewed by the departmental Promotion & Tenure Committee, which will examine information relevant to the evaluation of the candidate for promotion and/or tenure. At the request of the person seeking promotion, the committee may include one faculty member at the appropriate rank from Iowa State University who is not a department member; this person will be selected through discussions between the candidate and the department chair. If there is a member of the committee from outside the department, s/he will have voting privileges. Any member of the committee who has a conflict of interest with respect to a candidate shall not participate in the consideration of that individual or have access to review materials.

H. Procedures for Presenting Credentials for Review

1. The department chair will contact all faculty eligible for promotion and/or tenure in early June of each year soliciting credentials for review. Faculty members are encouraged to consult with the department chair, committee chairperson, and/or designated mentor before preparing their documentation for review. The consultation will be advisory and intended to help the candidate determine if his or her credentials are appropriate for the next higher rank.
2. Those faculty choosing to be reviewed will inform the department chair of that decision by no later than July 1 of each year. The chair will request each faculty member provide all documentation in support of their review and submit all materials to the review committee by the first day of the fall semester. The chair also will establish deadlines for the review and inform the committee of any special instructions from the college and/or university administration.
3. Assistant professors will be reviewed in their third and sixth years of provisional appointment. The department chair alerts the Promotion and Tenure Committee of the need

for these required reviews at the appropriate time. Assistant Professors must be tenured at their six-year review unless a formal extension is granted or be given a one-year notice of termination.

4. If a faculty member chooses to terminate a review after it has been initiated, he or she may do so by sending a letter to that effect to the department chair and committee chair.

I. Review Procedures

1. Portfolio, vita, and supporting documents will be collected by the department chair and referred to the Promotion and Tenure Committee for action. The faculty member is responsible for providing all documentation in support of his or her review and should assemble their document in accordance with the outline provided with the most up-to-date College Promotion and Tenure Document. All materials pertinent to the teaching/advising, research, extension/outreach, and service performance of the faculty member will be accepted and evaluated by the review committee. The department chair will provide information to the Promotion and Tenure Committee relative to current position descriptions and biographical information.
2. A Preliminary Evaluation Committee of three departmental faculty members (full professors for candidates seeking promotion to professor, associate professors and/or professors for candidates seeking associate professor) will be created for each candidate by action of the full Promotion and Tenure Committee, which will invite the candidate to select one of the three individuals. The primary mentor of the candidate shall not be a member of the Preliminary Evaluation Committee. The chair of the Preliminary Evaluation Committee shall be appointed by the department chair.
3. The Preliminary Evaluation 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 full Promotion and Tenure Committee 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 and attached to the main report. The summary of the Preliminary Evaluation Committee is only advisory to the members of the Promotion and Tenure Committee.
4. Evaluation of the faculty member's performance will be done in strict accordance with his or her appointment as described in the PRS. Evaluations will be weighed in accordance with the percentage of teaching, research, and extension in his or her appointment. Service activities will be used in support of promotion and/or tenure, but will not be used independent of scholarship in teaching, research, or extension.
5. The department chair will solicit letters of review from faculty at peer institutions or from other sources deemed appropriate for the candidate being reviewed. Outside reviewers from academia should hold the rank of professor or equivalent at research-intensive universities, including those identified as peer institutions. Reviewers also may be highly regarded

individuals from outside of academia who are widely recognized in the field and pertinent to the candidate's PRS and career aspiration. 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. Three to six qualified individuals will be solicited for letters. The faculty member being reviewed will provide a list of individuals from which at least one will be contacted for a letter of review; the department chair and/or Promotion and Tenure Committee will determine from whom the remainder of the letters should be solicited. Outside reviewers will be asked to comment on the quality and quantity of a candidate's scholarly contributions, to evaluate his or her impact on the discipline or cross-disciplinary area, and to compare the candidate to others at the same stage of their careers. The names of external reviewers and the verbatim content of their reports shall not be made available to the candidate. In solicitation of external reviews, it shall be stated that "the contents of the reviews are regarded by the university as confidential to the extent permitted by law and shall be released only to those individuals who are authorized to review and make recommendations on the candidate." In the letter soliciting the reviews, it shall be stated "all accomplishments and credentials of a faculty member are considered at Iowa State University in making a decision on promotion and/or tenure, but primary weight is given to accomplishments and attainments while in the current rank." 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 reasons 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 administrative levels. Although not required, letters from departmental, 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. In cases where such letters are used, the justifying rationale must be presented in summaries forwarded to higher administrative levels. All external review letters received by the department shall become part of the documentation of the candidate. The original reviews shall be forwarded with the documentation to the college dean for candidates being recommended for promotion and/or tenure by departments, and the original review shall be forwarded to the Office of the Provost for candidates being recommended by the college for promotion and/or tenure, where they will be retained. To preserve confidentiality of the original reviews for candidates not being recommended for promotion and/or tenure, the external reviews shall be retained by the department chair until 45 working days after the candidate leaves the university's employ. Copies of external reviews attached to copies of the documentation, for use in departmental or college promotion and/or tenure decisions, shall be handled with the same confidentiality as original reviews.

6. To avoid undue or unfair influence in promotion and tenure decisions, procedures must ensure the implementation of the guiding principle of "one-person-one vote." Herein, a vote, or the equivalent of a vote, is defined as a vote or advice on the specific question of whether or not a candidate should receive tenure and/or promotion. Votes or advice concerning the

process of 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, etc. are process issues not promotion and tenure decision issues. Specifically, under this policy: 1) if a faculty member votes on a promotion and tenure decision as a member of departmental 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) Because the chair of the department independently evaluates promotion and tenure decisions, he or she may not 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 one level and are allowed to vote only once on the decision.

7. Voting on promotion and tenure decisions is to be conducted by secret ballot after/separate from meetings where faculty members discuss a candidate's credentials. Every attempt should be made to receive a vote from each eligible voter. If anonymity can be assured, electronic voting is permitted.

J. Reporting the Review

1. The chairperson of the Promotion & Tenure Committee will report, in writing, to the department chair results of the review of each faculty member evaluated and, simultaneously, a copy of the report will be sent to the faculty member. The report will consist of (1) vote totals of the committee members for and against the recommendation(s) for the candidate, (2) the specific recommendations, and (3) a comments section to provide an explanation for the recommendation, and in instances where the recommendation is negative, to provide constructive guidance for improving performance.
2. The department chair will inform each candidate in writing whether a recommendation will be forwarded to the college and, if so, the nature of the recommendation or recommendations. Faculty members who are not being recommended by either the departmental committee or the department chair, or both, will be informed of the reasons by the chair of the committee and/or department in writing. This information should be presented in a constructive manner and, where appropriate, should include guidance for improving performance.
3. After considering all available information, the department chair shall formulate a recommendation to forward to the college. The results of the Promotion and Tenure Committee (faculty) vote will be included in the recommendation. In cases where the chair's recommendation disagrees with the majority vote of the committee, the chair will explain the basis of his/her decision at a meeting of the faculty who were eligible to vote.

K. Criteria Evaluated for Promotion and Tenure

Teaching/advising, research, extension/outreach, and institutional service are the criteria for evaluating a faculty member's performance. These criteria are evaluated in accordance with the PRS and the percentage of assigned responsibility to each of the criteria. Performance requirements in teaching/advising, research, extension, and service become progressively more stringent for advancement to each successive rank. Primary weight shall be given to accomplishments in the current rank and to evidence of sustained scholarship as defined previously in this document either in teaching/advising, research, or extension/outreach for promotion to the next rank. Promotion to professor must include evidence of peer recognition of the candidate's contributions to his or her discipline within the university and nationally.

a. Teaching/Advising Criteria

Teaching is a dynamic endeavor, may be scholarly, and covers a broad range of activities. Some examples of teaching activities include:

- Presenting resident credit course, extension and international programs and courses, non-credit seminars and workshops, and continuing education and distance-learning programs
- Directing undergraduate and graduate projects, internships, theses, and dissertations
- Serving on masters and doctoral committees
- Advising and mentoring undergraduate students, graduate students, and post-doctoral associates

When teaching is part of the faculty assignment, effectiveness is an essential criterion for advancement. Faculty members with teaching responsibilities must demonstrate a command of subject matter, continuous growth in subject field, and an ability to create and maintain instructional environments to promote student learning. Scholarship resulting from teachings is documented through such means as peer-reviewed publications, textbooks, videos, software, workbooks, lab manuals, invited lectures, and conference papers.

A portfolio format is used to document teaching activities beyond what is contained in the candidate's vita. The faculty portfolio includes materials such as teaching philosophy, student ratings of teaching, teaching materials and forms of assessment, peer evaluations based on both classroom observations and review of teaching materials, and evidence of student learning.

Documentation of teaching should include classes taught and student enrollment; student teaching evaluations; documentation of course improvement (new materials, laboratory exercises, teaching methods, etc.); participation in interdisciplinary teaching programs; participation and/or contributions to professional societies and associations that seek to improve teaching; lectures and publications on teaching methods; publication of textbooks, laboratory manuals, videotapes, software, etc.; teaching awards (local, national, international); national and/or international recognition of contributions to teaching by peers (applies primarily to promotion to professor); advising of master's and doctoral students; service on master's and doctoral committees; grant activity, and curricular development activity.

Documentation of advising should include number of undergraduate and graduate students advised; number of graduate committees on which candidate has served; preparation of in-house advising documents; participation in local or national advising conferences and seminars; writing and/or presenting papers on advising; advising student organizations; and advising awards (local, national, international).

b. Research

Faculty members who engage in research/creative activities are expected to make original contributions that are appropriate to their chosen area of specialization and that are respected by peers within and outside the university.

Some examples of research/creative activity include:

- Conduct of experimental research
- Innovative collection or analysis of empirical data
- Seeking and obtaining competitive grants and contracts
- Relating research to solution of practical problems
- Leadership in professional societies or organizations.

A portfolio format is used to document faculty research/creative activities beyond what is contained in the candidate's vita. The faculty portfolio includes materials such as summaries of completed, current, and future research projects; descriptions of applied use of research and summaries of grants, patents, and inventions. Evaluation of scholarship considers its impact as judged by its influence, use, or adoption by peers; and its originality.

Documentation of research should include lists of publications in leading peer-reviewed scientific journals; invitations to present research at scientific society meetings; presentation of research at scientific meetings; other forms of participation in scientific meetings; invitations to present research by means of lectures, seminars, and conferences; publication of research information via trade magazines and journals; dissemination of research information via extension publications, radio, and television; research awards (local, national, international); national and/or international recognition of contributions to research by peers (applies primarily to promotion to professor); review/editorial service for a journal; review of grants written by others; personal grant activity; patent awards and inventions; evidence of others citing the candidate's work.

c. Extension

Faculty members may engage in extension/outreach activities by utilizing their professional expertise to disseminate information outside of the traditional classroom to help improve the knowledge and skills of their clientele or the environment in which they live and work. This work should be related to the faculty member's position responsibilities.

Examples of activities that fall within extension/outreach include:

- Organizing/leading workshops or training sessions
- Engaging in clinical and diagnostic practice

- Acquiring, organizing, and interpreting information resources
- Engaging in technology transfer
- Consulting
- Serving on agencies or boards because of individual expertise
- Serving as a referee for journals, books, grants, exhibitions, etc.
- Serving as an editor for a journal or serving on editorial boards
- Leadership in professional societies or organizations

Faculty members who engage in extension/outreach are knowledgeable about current research and new developments in their discipline and demonstrate an ability to interpret and apply this knowledge to meet their clients' requirements. When appropriate, they develop and maintain professional relationships with their clientele to identify and serve their needs. They display leadership and initiative, are creative in the practical application of knowledge, and demonstrate a high level of disciplinary expertise as well as the ability to instruct, inform, and assist clients. In addition, a faculty member's extension/outreach reputation may be indicated by leadership in professional societies and organizations or by significant editorial-related activities.

A portfolio format is used to document faculty extension/outreach activities beyond what is contained in the candidate's vita. The faculty portfolio includes materials such as descriptions of appointment responsibilities in extension/outreach, representative workshop, seminar, and training materials; book review; unpublished reports, studies, etc.; newsletter and brochures; peer evaluations or rating of extension/outreach effectiveness; and client assessments. The scholarship resulting from extension/outreach activities is documented through means appropriate to the professional specialty, such as peer-reviewed publications, lectures, videos, software, hardware, workbooks, manuals, standards, bibliographies, and book reviews.

Documentation of extension/outreach may include evidence of preparing informational and instructional materials (bulletins, circulars, newsletters, electronic technology, video tapes, etc.); lists of workshops and conferences conducted; summaries of teaching by means of presentations of workshops, conferences, and/or extension courses evidence of organizing, interpreting, and disseminating information; demonstration of problem-solving ability through client assistance, consulting, and diagnostic services; participation in scientific meetings, participation in trade, technical, and professional associations and societies; publication in trade magazines and journals; receipt of extension awards (local, national, international); receiving regional, national, and/or international recognition of contributions to extension (applies primarily to promotion to professor); evidence of editorial responsibilities for journals; lists of consulting activities; documentation of service on agencies or boards; demonstration of grant activity; and summaries of leadership positions.

d. **Institutional Service**

Service may be documented in several ways:

- University, college, and department service (committees, councils, etc.)
- Work on behalf of professional and/or scientific societies and associations
- Support of trade and/or scientific societies and associations

- Service to the public
- International service

L. Faculty Portfolio

The faculty portfolio includes important and supplemental materials that provide a clear understanding of the candidate's accomplishments within scholarship and his or her areas of faculty activities. See the Faculty Portfolio section of the University Documentation Guidelines for Promotion & Tenure, dates 2007-2008.

M. Appeal Process (See Section 9 of Faculty Handbook)

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.

N. 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 tenure or tenure-track faculty. 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 PRS defining the contribution they are expected to make to the department.

Instructor Promotion.

The procedures set forth by department Promotion and Tenure Document will be followed. The *Faculty Handbook* should be consulted for procedures involving lecturers and senior lecturers.

O. Post-Tenure Review

All tenured faculty members in the Department of Horticulture will be reviewed by their peers in accordance with Section 5.3.5 of the Faculty Handbook. The department chair will appoint an ad hoc, two member PTR Committee in consultation with the faculty member. Membership on this committee will be confirmed mutually acceptable to both the department 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 material will be assembled by the faculty member and the Department 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 material before writing its report.

The PTR Committee will review the faculty member's materials, and a written, signed report will be submitted to the department chair and faculty member by December 15. The PTR Committee and department chair will schedule a meeting with the faculty member to discuss the report in February or March of the next calendar year. The faculty member being reviewed may respond to the review by submitting a written statement to the PTR Committee and department chair. After the review, the faculty member will develop, in conjunction with the department chair, a plan for future professional development, and, if appropriate, a modified PRS.

Materials submitted by the faculty member and department 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 communicated to anyone other than the department chair, member of the PTR Committee, college dean, or university provost without the advance written permission of the faculty member being reviewed.

For specific information on the Post-Tenure Review Policy, please refer to the Faculty Handbook, Section 5.3.5.