

**DEPARTMENT OF INDUSTRIAL AND  
MANUFACTURING SYSTEMS ENGINEERING  
IOWA STATE UNIVERSITY**

**GOVERNANCE DOCUMENT**

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## **PREAMBLE**

The purpose of this document is to establish a framework for the governance of the Department of Industrial and Manufacturing Systems Engineering, hereafter called the department, and is organized in accordance with the policies and rules of Iowa State University. The department is a functional unit of the College of Engineering, hereafter called the college, and is subject to the authority that governs this department as indicated in the Faculty Handbook, the University Office Procedure Guide, and other policy documents. Throughout this governance document, links to the appropriate section(s) in the Faculty Handbook are provided so that this document can focus on the governance issues not specifically addressed in the Faculty Handbook. In case of discrepancies between this document and policies established by the college administration or the university administration, the latter policies shall supersede any departmental policy.

## **MISSION STATEMENT**

The mission of the Department of Industrial and Manufacturing Systems Engineering is to meet the highest standards of excellence in teaching, research, service and professional practice and thereby establish itself as a leader among academic departments of industrial engineering.

## **1. Faculty**

### **1.1 Leadership Team**

#### **1.1.1 Department Chair**

##### **Description of Position**

The executive officer of the department is the department chair. The department chair is a faculty member whose responsibility is the administration of and advocacy on behalf of the department. As such, the department chair is responsible to both department faculty and the dean of the college for the management of departmental affairs.

##### **Appointment**

The department chair is appointed by the dean of the college after consultation with department faculty. The nominal appointment period is five years.

##### **Responsibilities**

The department chair will:

- Direct and administer instructional, research and outreach programs.
- Prepare and administer departmental budgets.
- Lead the development of departmental goals and a strategic plan to achieve these goals.
- Make teaching assignments.
- Advocate for the department both inside and outside of the university.
- Oversee all departmental administrative functions.
- Allocate office and laboratory space.
- Appoint faculty to departmental and college committees.
- Perform an annual performance evaluation of each faculty member.
- Perform an annual performance evaluation of each staff member.
- Preside at faculty meetings.
- Engage in fundraising activities to support departmental goals.
- Make faculty hiring recommendations to the dean of the college.
- Make annually salary recommendations to the dean of the college.
- Conduct promotion and tenure review of department faculty.
- Hire and terminate departmental staff.

**Review**

The department chair will be reviewed annually by the dean of the college. Procedures for the departmental review of the chair are described in Section 2.4.

**1.1.2 Director of Undergraduate Education****Description of Position**

The director of undergraduate education oversees the coordination and application all departmental policies relative to undergraduate students. These policies encompass curriculum and courses, student records and advising, as well as assessment and documentation. All major modifications to the undergraduate program and curriculum are undertaken by the director of undergraduate education as described in Section 2.1. The director of undergraduate education works closely with the departmental Curriculum, Assessment, and Standards Committee and is an ex-officio member of that committee.

**Appointment**

The director of undergraduate education is appointed annually by the department chair.

**Responsibilities**

The director of undergraduate education will:

- Provide vision and leadership to the undergraduate programs administered by the department.
- Supervise processing of undergraduate student records.
- Coordinate with the undergraduate advising program.
- Provide leadership in all ABET-related work.
- Review and process all transfer applications.
- Communicate and consult with the Recruitment and Retention Committee, and coordinate activities as needed.
- Revise the Undergraduate Student Handbook.

**Review**

The director of undergraduate education will be reviewed annually by the department chair as part of the faculty member's standard annual review.

**1.1.3 Director of Graduate Education (FH 2.4.4.1.)****Description of Position**

The director of graduate education oversees the coordination and application of all departmental policies relative to graduate students. These policies encompass graduate curricula and graduate courses, student records and advising, and policies with regard to graduate examinations. All major modifications to the graduate program and curriculum are undertaken by the director of graduate education as described in Section 2.1. The director of graduate education chairs the departmental Graduate Committee.

**Appointment**

The director of graduate education is appointed annually by the department chair.

**Responsibilities**

The director of graduate education will:

- Provide vision and leadership to the departmental graduate programs (industrial engineering, systems engineering, and engineering management)

- Monitor progress of graduate students
- Respond to letters of inquiry pertaining to graduate study
- Manage the admissions process for graduate students and transfer students
- Approve all student forms and requests to the ISU Graduate College
- Update the department's graduate student handbooks (Industrial Engineering Graduate Student Handbook; Systems Engineering and Engineering Management Graduate Student Handbook)
- Represent the department on the college- and university-level meetings of directors of graduate education
- Coordinate with the Recruiting and Retention Committee.
- Coordinate the departmental graduate seminar series

### **Review**

The director of graduate education will be reviewed annually by the department chair as part of the faculty member's standard annual review.

## **1.2 Faculty Appointments (FH 3.3)**

### **1.2.1 Tenure-Eligible Faculty (FH 3.3.1)**

All budgeted tenured or tenure-eligible faculty at the rank of assistant professor, associate professor, professor, university professor, and distinguished professor are classed as regular members of the faculty and are voting members of the faculty. The only restrictions on participation and voting by members of the regular faculty are those set forth in subsequent sections on the promotion and tenure process. The recruitment/appointment and review of tenure-eligible faculty members are described in detail in Sections 2.2 and 2.3, respectively.

### **1.2.2 Term Faculty (FH 3.3.2)**

Titles and requirements for Term Faculty Appointments are defined in FH 3.3.2, and COE Governance Document section 4.a.2 unless augmented with additional requirements stated in this section. The recruitment/appointment and review of Term faculty members are described in detail in Sections 2.2 and 2.3, respectively.

### **Teaching Faculty**

*Qualifications/Requirements.* Teaching professors must have at least an 80% teaching responsibility. The minimum qualifications are given below.

#### Lecturer

- As defined in COE Governance Document section 4.a.2

#### Assistant Teaching Professor

- Bachelors degree in engineering/related discipline AND a Masters degree in engineering/related discipline AND 5 years of relevant work experience.

OR

- Bachelors degree in engineering/related discipline AND a Doctoral degree in engineering/related discipline.

Associate Teaching Professor

- 5 years of undergraduate teaching with a record of excellence.

AND either:

- Bachelors degree in engineering/related discipline AND a Masters degree in engineering/related discipline AND 8 years of relevant work experience.

OR

- Bachelors degree in engineering/related discipline AND a Doctoral degree in engineering/related discipline AND 5 years of relevant work experience.

Teaching Professor

- 11 years of undergraduate teaching with a record of excellence.

AND either:

- Bachelors degree in engineering/related discipline AND a Masters degree in engineering/related discipline AND 13 years of relevant work experience.

OR

- Bachelors degree in engineering/related discipline AND a Doctoral degree in engineering/related discipline AND 10 years of relevant work experience.

*Voting Rights.* Term teaching faculty who are at least 50% FTE AND have a minimum of a three-year appointment are considered voting faculty.

**Research Faculty**

*Qualifications/Requirements.* As defined in COE Governance Document section 4.a.2.

*Voting Rights.* Term research faculty who are at least 50% FTE AND have a minimum of a three-year appointment are considered voting faculty; however, term research faculty may not vote on curriculum-related matters.

**Professor of Practice Faculty**

*Qualifications/Requirements.* Professors of Practice must have at least an 80% teaching responsibility AND a track record demonstrating that the candidate is a distinguished practitioner and has had a major impact on the field.

### Professor of Practice

- Bachelors degree in engineering/related discipline AND 13 years relevant industry experience

AND Either:

- 11 years of undergraduate teaching with a record of excellence.

OR

- Evidence of professional practice unique and impactful enough that warrants the title Professor of Practice without meeting the 11-year undergraduate teaching requirement.

*Voting Rights.* Term practice faculty who are at least 50% FTE AND have a minimum of a three-year appointment are considered voting faculty.

### **Adjunct Faculty**

*Qualifications/Requirements.* As defined in COE Governance Document section 4.a.2.

*Voting Rights.* Term adjunct faculty who are at least 50% FTE AND have a minimum of a three-year appointment are considered voting faculty. Term adjunct faculty with less than 40% FTE teaching responsibility may not vote on curriculum-related matters.

### **1.2.3 Other Faculty**

The faculty described in this section and FH 3.3.3 do not have voting rights.

#### **Visiting Faculty Appointments (FH 3.3.4)**

A visiting faculty member is a member of the faculty of another institution and is appointed at the rank held at that institution. Any member of the voting faculty can make a recommendation for an individual to be considered for a visiting appointment. Once an individual is identified as a potential candidate for a visiting faculty appointment, the individual's resume is distributed to the full voting faculty and a vote on this candidate is taken (resume to be distributed at least five working days before the vote). The department chair may then consider the candidate for the visiting faculty position. The department chair will work with the visiting faculty member to develop an appropriate Position Responsibility Statement. Visiting faculty must be reappointed annually and the voting faculty will participate in the evaluation of the contributions of the visiting faculty member. Specific rights beyond the appointment title will be decided on a case by case basis by the voting faculty.

#### **Courtesy Faculty Appointments (FH 3.3.7.)**

A faculty member from another academic department at Iowa State University can be appointed to a courtesy faculty appointment in the department. Any member of the voting faculty can make a recommendation for an individual to be considered for this appointment. Once an individual is identified as a potential candidate for a courtesy faculty appointment, the individual's resume is distributed to the full

voting faculty and a vote on this candidate is taken (resume to be distributed at least five working days before the vote). The department chair may then consider the candidate for the courtesy faculty position. The courtesy appointment must be reconsidered annually and the voting faculty will participate in the evaluation of the contributions of the faculty member. Specific rights beyond the appointment title will be decided on a case by case basis by the voting faculty.

### **Visiting Scholars**

A faculty member from another academic institution may apply to become a visiting scholar in the department. This position is designed for a faculty member interested in a sabbatical period of up to one year who has interests in collaborating with department faculty during the sabbatical period. The potential visiting scholar will require a “host” member of the faculty who agrees to work with this individual and monitor the progress during the time that the faculty member is at Iowa State University. Any member of the voting faculty can agree to be the host, thereby making an individual eligible to be considered for this position. The department chair will work with the faculty “host” and the visiting scholar to develop an appropriate Position Responsibility Statement. This position carries with it no voting or governance rights.

## **1.3 Faculty Committees**

### **1.3.1 Promotion and Tenure Committee (FH 5.2.4.2.3.)**

#### **Promotion and Tenure Committee Composition**

This committee has a variable composition depending on the promotion and tenure decision being considered. **P&T Committee I** is composed of all tenured, full professors in the department and will be assembled when a faculty candidate is to be considered for promotion to the rank of full professor. **P&T Committee II** is composed of all tenured, associate and full professors in the department and is to be assembled when a faculty candidate is to be considered for promotion to associate professor with tenure, associate professor without tenure or the granting of tenure to an individual who is an associate professor without tenure. The department chair serves as (nonvoting) chairperson of these committees.

#### **Responsibilities of the Promotion and Tenure Committee**

For each candidate for promotion and/or tenure, this committee will:

- Evaluate the credentials of the candidate for promotion and/or tenure
- Take a vote by anonymous written ballot. As described in the Faculty Handbook (5.2.4.1), a member of this committee that will be participating in the evaluation of a case at the college level must vote at the departmental level. All members of the committee who do not have a conflict of interest with the candidate are expected to vote for or against (no abstentions).
- Report in writing to the chair the results of its review, including all formal votes.

### **1.3.2 Curriculum, Assessment, and Standards Committee**

#### **Appointment to the Curriculum, Assessment, and Standards Committee**

The members of the Curriculum, Assessment, and Standards Committee are appointed annually by the department chair in consultation with the director of undergraduate education. Two-thirds of the committee membership is needed for a quorum.

#### **Responsibilities of the Curriculum, Assessment, and Standards Committee**



This committee will:

- Monitor undergraduate course offerings and content to meet ABET requirements
- Review experimental course offering proposals and make recommendations while also informing the faculty about these developments and implementation
- Review undergraduate course offerings
- Maintain a consistency on course numbering and course topical inclusion
- Continuously review and update curriculum requirements flow charts, electives, and special programs
- Recommend curriculum changes to the entire faculty body
- Develop and submit catalog materials
- Coordinate and review continuous improvement reports and policies
- Review course substitution requests by students for the undergraduate programs administered by the department as necessary
- Communicate and consult with the Recruitment and Retention Committee, and coordinate activities as needed
- 

### 1.3.3 Graduate Committee

#### **Appointment to the Graduate Committee**

The members of the Graduate Committee are appointed annually by the department chair in consultation with the director of graduate education. Two-thirds of the committee membership is needed for a quorum.

#### **Responsibilities of the Graduate Committee**

This committee will:

- Oversee admission of graduate students and recommend students for graduate assistantships
- Set and review graduate admissions policy and standards
- Set standards of performance and make recommendations regarding required courses, and prerequisites
- Develop and implement a recruitment program for graduate students
- Review and update the graduate manual and other information for dissemination to graduate students or prospective graduate students
- Coordinate policy regarding degree requirements, preliminary exams, new majors, and graduate level courses (including preliminary review of proposed experimental 500- and 600-level courses)
- Review experimental graduate course offering proposals and make recommendations while also informing the faculty about these developments and implementation
- Monitor and evaluate Ph.D. qualification exams
- Oversee the annual review process for graduate students
- Set and review terms and standard language in offer letters

### 1.3.4 Honors and Awards Committee

#### **Appointment to the Honors and Awards Committee**

The members of the Honors and Awards Committee are appointed annually by the department chair. Two-thirds of the committee membership is need for a quorum.

#### **Responsibilities of the Honors and Awards Committee**

On behalf of our undergraduate and graduate students, this committee will:

- Maintain a database of internal and external scholarships and awards
- Facilitate soliciting and submitting nominations for scholarships and awards
- Communicate relevant scholarships and awards matters with the Recruitment and Retention Committee and/or Graduate Committee
- Work with the College of Engineering to provide reviews for student applications
- Communicate scholarships and awards received by students

### **1.3.5 Scholarships Committee**

#### **Appointment to the Scholarships Committee**

The members of the IMSE Scholarships Committee are appointed annually by the department chair.

#### **Responsibilities of the Scholarships Committee**

This committee will:

- Work with the College of Engineering to provide reviews for student applications
- Communicate scholarships and awards received by students

### **1.3.6 Recruitment and Retention Committee**

#### **Appointment to the Recruitment and Retention Committee**

The members of the Recruitment and Retention Committee are appointed annually by the department chair in consultation with the directors of undergraduate and graduate education. The committee will include representation from the undergraduate curriculum committee, graduate committee, and student services. Two-thirds of the committee membership is needed for a quorum.

#### **Responsibilities of the Recruitment and Retention Committee**

This committee will:

- In consultation with the department chair, director of graduate education and director of undergraduate education, develop and document, develop and document priorities, goals, and plan for enrollment and new student recruitment, to be assessed yearly
- Collect, compile, and monitor undergraduate and graduate student recruitment and retention data.
- Meet a minimum of three times a year with department chair and student representatives to discuss the recruitment and retention status and take appropriate action as needed.
- Develop and disseminate informational materials for recruitment and retention
- Plan and conduct recruitment and retention activities
- Assess outcomes of the recruitment and retention activities
- Communicate and collaborate with various stakeholders inside the department.
- Coordinate with recruitment and retention efforts by College of Engineering and the university
- Communicate relevant recruitment and retention matters with the Scholarships and Awards Committee

### **1.3.7 Diversity and Inclusion Committee**

#### **Appointment to the Diversity and Inclusion (D&I) Committee**

The members of the Diversity and Inclusion Committee are appointed annually by the department chair. Two-thirds of the committee membership is needed for a quorum. This committee supports the CoE's recommended

actions to for enhancing equity, diversity, and inclusion:

- Create a departmental standing EDI Committee
- Assess EDI efforts in faculty and staff annual reviews
- Track EDI training for faculty and staff
- Communicate the importance of EDI to students
- Include EDI questions in senior exit surveys

### **Responsibilities of the Diversity and Inclusion Committee**

This committee will:

- Interact with and/or serve on other departmental committees to support diversity and inclusion
- Develop and disseminate expectations for students, faculty, and staff
- Evaluate department climate as it relates to diversity and inclusion, report findings, and make recommendations to the department
- Disseminate relevant topics on diversity and inclusion
- Coordinate with the College of Engineering Diversity and Inclusion Committee

## **1.3.8 Space, Facilities and Safety Committee**

### **Appointment to the Space, Facilities and Safety Committee**

The members of the Space, Facilities and Safety Committee are appointed annually by the department chair. Two-thirds of the committee membership is needed for a quorum.

### **Responsibilities of the Space, Facilities and Safety Committee**

This committee will:

- Evaluate maintenance of instructional laboratories
- Coordinate the development of laboratory facilities
- Coordinate the acquisition of equipment and software
- Review and make recommendations regarding laboratory procedures, equipment repair and replacement, maintenance operations, and general housekeeping of laboratory facilities
- Develop recommendations for budgeting the expenditure of engineering fee allocations
- Advise department chair in facility and space utilization
- Oversee the safety compliance of instructional and work space

## **1.3.9 Post-Tenure Review Committee**

### **Appointment to a Post-Tenure Review Committee**

A committee will be formed for each faculty member being reviewed. The members of this committee will be two tenured faculty members from the department, one elected by the faculty and one chosen by the faculty member being reviewed. The member chosen by the faculty must be a Full Professor and will serve as the chair. This member will be chosen at a faculty meeting and can be nominated by any member of the faculty not being reviewed that year, or self-nominated. The nominated faculty member is elected by a majority vote of the faculty. The member chosen by the faculty member being reviewed must be of equal or higher rank to the faculty member being reviewed.

### **Responsibilities of a Post-Tenure Review Committee**

The responsibility of the post-tenure review committee is to conduct post-tenure reviews as described in section

2.3.4 of this document.

### **1.3.10 Faculty Search Committee (Ad Hoc)**

#### **Appointment to a Faculty Search Committee**

The members of a faculty search committee are appointed by the department chair. At least two members of the committee must be tenured or tenure-eligible faculty members. The chairperson must be a tenured faculty member. The appointment ends at the completion of the recruiting cycle or at the end of one academic year. Two-thirds of the committee membership is needed for a quorum

#### **Responsibilities of a Faculty Search Committee**

This committee will:

- Develop advertisements and lead the active recruiting initiatives
- Abide by all university hiring regulations
- Employ best practices for considering applicants from diverse backgrounds
- Review applications and select candidates for on-campus interviews
- Coordinate the on-campus interview process

### **1.3.11 Other Ad-Hoc Committees**

#### **Appointment**

The members of other ad hoc committees are appointed by the department chair. The duration of the appointment will be determined at the time of the formation of the committee. Two-thirds of the committee membership is needed for a quorum.

#### **Responsibilities**

The specific set of responsibilities of the committee will be determined, in writing, at the time of committee formation.

## **2. Policies and Procedures**

### **Faculty Meetings**

The department chair shall call a faculty meeting to disseminate information and/or solicit advice concerning department, college, or university business. The department chair must also call a faculty meeting within ten working days of receiving a written request signed by at least one-third of the members of the voting faculty or by the chair of a standing committee.

The department chair, or an alternate designated by the department chair, shall preside over all faculty meetings. The format of faculty meetings shall be based on Roberts Rules of Order. The department chair shall appoint a secretary who shall take minutes at all faculty meetings and maintain a master file in the departmental office. Non-voting individuals (faculty or staff) may be invited by the department chair to participate in faculty meetings, but must be excused from the meeting during the times votes are taken by voice or raised hand.

### **Voting Procedures**

To constitute an official vote, at least 50 percent of the voting faculty (excluding those on leave of absence at a given time) must be present to constitute a quorum. A quorum must be present at the time a vote is taken. No proxy votes or absentee ballots will be allowed. Votes on personnel matters (hiring, promotion, tenure, and

reappointment) will be taken by secret, written ballot, while all other votes may be taken by voice or by raised hand. Any faculty member can request that a vote be taken by a secret ballot and if so requested a secret ballot is mandatory. All matters coming to a vote of the faculty shall be decided by a simple majority, in the affirmative, of the voting members of the faculty (Section 1.2). In the event that a vote involves multiple alternatives and no alternative receives the majority, the alternative receiving the lowest number of votes is removed and another vote is taken. This process continues until one alternative receives the majority.

If the department chair believes that an issue does not require discussion, then votes can be handled via e-mail. In this case absentee ballots will be allowed. Ballots must be returned within three business days of their original distribution. If any member of the voting faculty feels that an issue needs to be discussed at a full faculty meeting, then a meeting shall be called and the issue(s) discussed and voted upon.

## **2.1 Major Curriculum Changes, Experimental Courses, and University Catalog**

### **Major Curriculum Changes**

Any faculty member can propose major changes to the undergraduate and graduate curricula. Examples of such changes are: an addition/deletion of a required IE course from the undergraduate curriculum, a new graduate degree or change in the requirements for an existing graduate degree, or a minor offered by the department. Proposed changes to the graduate curricula are to be routed through the Graduate Committee while changes to the undergraduate curriculum are to be routed through the Curriculum, Assessment, and Standards Committee. The written proposal must include 1) a description of the change, 2) the motivation for the change, 3) a description of compliance with ABET, department, college, and university requirements (where appropriate), and 4) the expected benefits to students. After the appropriate departmental committee has reviewed the proposal, a recommendation will be made to the voting faculty and a vote will be taken. If approved, the curriculum change will be implemented or, if necessary, will be moved forward to the next level review.

### **Experimental Courses**

Any faculty member can propose an experimental course. To initiate an experimental course offering action, the faculty member must complete the Experimental Course Announcement Form. The form for a proposed graduate course is to be routed to the Graduate Committee, which will forward it to the Curriculum, Assessment and Standards Committee if approved. A proposed undergraduate course is to be routed directly to the Curriculum, Assessment, and Standards Committee for review and approval. If approved, the experimental course form will be moved forward to the next level of review.

### **University Catalog**

Any faculty member can request to the Curriculum, Assessment, and Standards Committee that an undergraduate IE course be included in or excluded from the University Catalog. Such a request concerning a graduate course is to be submitted to the Graduate Committee, which will forward it to the Curriculum, Assessment, and Standards Committee if approved. This request includes a brief description of the course and justification. The Curriculum, Assessment, and Standards Committee then reviews this request, and if approved, the inclusion/exclusion request will be moved forward to the next level of review.

## **2.2 Faculty Recruitment and Selection (FH 3.2.)**

### **2.2.1 Tenured, Tenure-Eligible and Term Faculty**

The search for new tenured, tenure-eligible or term faculty will be initiated by the department chair, who will form a faculty search committee of three faculty members and will appoint a chairperson. This committee will

make every effort to recruit a strong and diverse pool of candidates and screen all applicants to identify the top candidates. For the position of Lecturer, if time does not permit a formal search as described in this section, the department chair may choose to conduct an Expedited Search, as described in Section 2.2.2.

During on-site interviews all members of the voting faculty shall have an opportunity to interview each candidate. After all candidates have been interviewed, the department chair will call a meeting of the voting faculty to determine if an offer should be extended to any of the candidates. The faculty search committee will be asked to outline the strengths and weaknesses of each candidate. A vote by secret, written ballot will be cast by the full faculty (excluding the department chair) and this vote along with the opinion of the department chair will be conveyed to the dean of the college. For candidates eligible for an appointment with tenure, the vote to hire the candidate at the recommended rank will be conducted by secret, written ballot. If the dean approves a candidate, the department chair will begin the process of negotiations. Once the candidate agrees to the terms of the employment agreement, the department chair will write the formal offer letter to the faculty candidate.

For candidates eligible for an appointment with tenure, a vote to extend tenure will be conducted by secret, written ballot by tenured faculty in the department at or above the recommended rank and the results will be conveyed to the dean of the college.

Candidates for all positions that are partner accommodations will be reviewed in the same manner as new faculty searches.

### **2.2.2 Expedited Search Process for a Lecturer**

An Expedited Search for a term faculty member at the rank of Lecturer may be initiated by the department chair if time does not permit a formal search, as described in 2.2.1. In an Expedited Search, the individual's resume will be distributed to the full voting faculty and a vote on this candidate will be taken (resume to be distributed at least five working days before the vote). The department chair may then consider the candidate for the position. At the time of the appointment, the department chair and appointee will work together to develop a Position Responsibility Statement that reflects the expectations of the position. A Lecturer hired using an Expedited Search process will be limited to a term of appointment of one semester and must undergo a full review for re-appointment as described in section 2.3.5. A particular candidate can be hired at most once using an Expedited Search, therefore a full review prior to the end of the first semester may be prudent if a re-appointment or future hire of the candidate is anticipated.

### **2.2.3 Administrative appointments**

An individual who is appointed to any administrative position at Iowa State University and has been recommended for a faculty rank in the department will be evaluated by tenured faculty in the department at or above the recommended rank based on application materials. A vote on extending tenure by secret written ballot will be cast by the same group of faculty and the results will be conveyed to the dean of the college.

## **2.3 Evaluation of Faculty**

### **The Position Responsibility Statement (FH 5.1.1.5.)**

The Position Responsibility Statement is a formal document describing the mutually agreed upon expectations for a faculty member. These expectations could include teaching, research, service, outreach and administration activities but the relative contributions in each of these areas can vary depending on the rank and expertise of

the faculty member. Position Responsibility Statements should be updated annually and should reflect the real expectations of the faculty member. The extent to which the faculty member meets these expectations shall form an important part of all faculty reviews. The Position Responsibility Statement mediation guidelines outlined in Section 5.1.1.5.1 of the Faculty Handbook will be followed in the case where the chair and the faculty member disagree with regard to the content of the faculty member's Position Responsibility Statement.

### **2.3.1 Annual Reviews (FH 5.1.1.2.)**

Every faculty member is to be reviewed annually by the department chair. Prior to the review, the faculty member shall provide a current curriculum vitae, and a summary of accomplishments and activities over the previous calendar year. Progress relative to the faculty member's Position Responsibility Statement will be central to this discussion and shall be used as an important factor when considering the faculty member for merit pay increases. This annual review will also be used to provide feedback on the progress being made toward promotion and/or tenure. The faculty member will receive a written copy of the department chair's evaluation. The faculty member may write a response to the evaluation that becomes part of the official record of the annual review. The chair shall use this opportunity to work with the faculty member to update the Position Responsibility Statement.

#### **Faculty Member's Responsibilities**

The faculty member will:

- Provide to the department chair a current curriculum vitae.
- Provide to the department chair an annual summary of accomplishments and activities.

#### **Department Chair Responsibilities**

The department chair will:

- Provide a verbal and written assessment of the faculty member's performance relative to expectations.
- Work with the faculty member to update the Position Responsibility Statement.

### **2.3.2 Preliminary Review of Probationary Faculty (FH 5.2.1.3.)**

A faculty member in a tenure-eligible appointment is considered to be in a probationary period of service leading to tenure. For these faculty members, there is a formal review of the progress towards meeting the requirements for promotion and tenure at the midpoint of the probationary period, typically three years. At the beginning of the third academic year of employment of the probationary faculty member, an ad hoc committee of three faculty members from the ranks of associate and full professors in the department will be formed by the department chair and charged with the evaluation of the probationary faculty member's progress. The faculty member shall provide the department chair with an up-to-date vita and self assessment of activities using the College of Engineering templates for the vita and self-assessment. The committee will review all of these materials and will provide to the department chair a critical evaluation of the faculty member's progress in teaching, research and service and other areas as defined in the individual's Position Responsibility Statement. The department chair will then draft a letter providing feedback to the faculty member. The department chair will then forward to the dean of the college all evaluation materials and the draft letter along with a separate recommendation with regard to reappointment. The dean will then make a recommendation regarding reappointment and the department chair will then provide the evaluation letter to the probationary faculty member.

### 2.3.3 Promotion and Tenure Review (FH 5.2.)

#### **Promotion and Tenure Philosophy**

All faculty members are hired with the expectation that they will be successful in progressing through the academic ranks to become a full professor in the department. Faculty members are typically hired as assistant professors and the criteria used to make this hiring decision is that the candidate has the potential to become a national and international leader in the person's chosen area of study. Promotion to the rank of associate professor is considered when the faculty member has made significant progress towards the goal of developing this national and international reputation for excellence. Finally, promotion to the rank of full professor is appropriate when the faculty member has achieved this national and international reputation.

The basic components of a faculty member's contributions are teaching, research, service and extension. The specific contributions made by an individual faculty member in each of these areas can vary and should be well-described in the faculty member Position Responsibility Statement.

#### **Promotion and Tenure Committee Composition**

Central to the promotion and tenure process is the informed assessment of peers. The composition of the committee formed to perform the promotion and tenure evaluation will depend on the rank of the candidate. In decisions concerning promotion to the rank of associate professor and/or granting of tenure to an untenured associate professor, P&T Committee II will be activated. For decisions concerning promotion to the rank of professor and/or granting of tenure to an untenured professor, P&T Committee I will be activated. If a member of the promotion and tenure committee has a potential conflict of interest in evaluating a candidate, the member will be excused from all discussions, recommendations, and ballots involving the candidate.

#### **Promotion and Tenure Procedures**

***The Mandatory Case (FH 5.2.4).*** In cases where a promotion and/or tenure review is mandatory (i.e. the faculty member has reached the end of the probationary period) the process described below will be followed.

Approximately six months prior to the date that the promotion and tenure materials are due at the college, the department chair will appoint a team of three faculty members as "fact-finders" that will assist the candidate in the development of the promotion and tenure package. This fact-finding team will 1) work with the candidate to identify all relevant college or university requirements in the development of this package; 2) assist the candidate by reviewing these materials for their adherence to the university and college requirements; 3) work with the candidate and the department chair to identify appropriate individuals for writing the required external letters of evaluation; 4) perform a peer-review of teaching; and 5) present the facts of the case to the promotion and tenure committee at the time of departmental evaluation. This fact-finder team should include at least one faculty member from the candidate's specialty area and at least one from outside of the candidate's specialty area. Members of this committee must be at or above the current rank of the candidate.

In the fall semester in which the materials are to be submitted to the college, two meetings of the promotion and tenure committee will be scheduled (the second meeting used only if necessary). During the first meeting the fact-finders for the case will present the case to the promotion and tenure committee. The members of the promotion and tenure committee will be expected to ask questions with regard to the details of the case and if the fact-finders are not able to answer a question they will be tasked with finding the answer and presenting it at the second meeting of the promotion and tenure committee. At the completion of all discussions, after all viewpoints have been expressed, a written, secret vote will be taken by the members of the promotion and tenure committee. The department chair will choose one member of the promotion and tenure committee to write a letter describing the details of the candidate's case and providing a tally of the vote. This letter will



serve as a recommendation from this committee to the department chair. This committee letter, along with the letter from the department chair will become part of the official promotion and tenure dossier that is sent forward to the college and university levels for additional review.

***The Non-Mandatory Case (FH 5.2.4).*** In cases where the promotion and/or tenure review is not mandatory, the faculty member and the department chair will, at the annual review of faculty member, discuss the strengths and weaknesses of the case. The department chair will provide a frank assessment of the case and the faculty member will decide whether or not to proceed. If the faculty member decides to proceed with the formal review, the process described above will be followed.

### **2.3.4 Post-Tenure Review (FH 5.3.5.)**

Post tenure review of tenured faculty will occur based on the faculty handbook policy FH 5.3.5.

#### **Review participants**

The Post-Tenure Review committee will be responsible for the review.

#### **Review procedures and timelines**

Reviews can be no more frequent than 3 years since the last promotion or post tenure review with the exception of any reviews required by 5.3.5.1. Faculty members selected for Post-Tenure Review will be notified of the review one semester prior to the actual review. The review will be completed within one semester and the results will be documented and conveyed to the department chair. Within the same semester, the department chair will meet with the faculty member to discuss the review.

#### **Review materials**

The department chair will provide the Post Tenure Review Committee with the faculty member's Position Responsibility Statement(s) in effect during the period of evaluation (the last 5 years) and a summary of the student evaluations for courses taught during this period. The faculty member will provide a current vita and can submit a summary statement of up to 5 pages.

#### **Mechanisms for faculty member response**

The faculty member has the opportunity to respond in writing to this report within thirty days of meeting with the department chair. The report from the post-tenure review committee and the faculty member's written response constitute the final record of this post-tenure review process.

### **2.3.5 Term Faculty Review and Advancement**

#### **Term Faculty Review for Renewal of Appointment**

Term faculty members, including Lecturers whose most recent appointment was via an Expedited Search (2.2.2), shall submit a current vita and a summary of activity since the last review or appointment to the IMSE Chair. P&T Committee II shall serve as an evaluative committee for this process. The P&T Committee will conduct a review and submit a recommendation regarding renewal to the IMSE Chair in accordance with procedures defined in the College of Engineering governance document section 5.a.4.1.

Lecturers hired via the normal process, or reappointed after review as described in the previous paragraph, shall maintain a vita and other such documentation as may be needed for use during the annual reviews of faculty. Evaluations for renewal of appointment as Lecturer will be conducted at the end of each term by the department chair, unless three continuous academic years of employment has been completed (FH 3.3.2.3). A renewal at

the end of three years of continuous academic year employment shall then be conducted as per the renewal process for a Term Assistant Teaching Professor if the candidate meets the requirements/qualifications defined in section 1.2.2 of this document.

### **Term Faculty Advancement**

The process for term faculty advancement will be the same as for tenure-stream faculty advancement, and defined in section 2.3.3 of this document. Term faculty who have a majority responsibility for teaching will not include external letters of evaluation. Term research faculty will require external letters of evaluation in accordance with the College of Engineering governance document section 5.a.4.2.

For promotion considerations to assistant teaching professor, associate teaching professor, teaching professor, associate research professor and research professor, P&T Committee II will be expanded to include term faculty of the same type at the proposed rank or higher.

### **2.4 Evaluation of Department Chair (FH 5.1.2.)**

Review of the department chair will be conducted in the penultimate year of the appointment and this evaluation will focus on his or her administrative responsibilities and accomplishments with the expressed goal of providing information to the dean of engineering. For this purpose, an ad hoc committee consisting of three faculty members from at least two professorial ranks will be selected by nomination and majority vote of the faculty. This committee will facilitate the evaluation of the performance of the chair by seeking faculty and staff input in a manner to be decided by the committee. The results of the evaluation will be communicated by the committee to the chair, the voting faculty and the dean of engineering by the end of the spring semester.

### **2.5 Evaluation of Teaching Assistants**

Each semester, teaching assistants will be evaluated by their supervising faculty members who will complete evaluation forms. The results of the evaluation will be communicated to the teaching assistant by the supervising faculty member and conveyed to the Director of Graduate Education. Student evaluations of teaching assistants will be performed at the end of each semester and the results will be given to the teaching assistants.

### **2.6 Faculty Grievances (FH 9.)**

A faculty member who has a grievance against the department chair or another member of the faculty should work to find resolution locally by first addressing the concern directly with the other party or involving a third party in the discussion. If the grievance is not resolved locally, the grievance procedure written in the Faculty Handbook (FH 9.) should be followed.

### **3. Amendments to this Governance Document (FH 2.6.)**

The voting members of the faculty may amend this governance document by either voice, hand or secret, written ballot. To initiate an amendment, a faculty member must prepare a written statement of the amendment and distribute to all voting faculty, at least two weeks prior to a vote. The faculty can either vote for the original document or for the document as amended. A two-thirds majority of the voting faculty (Section 1.2) is required to change the original document.