

Governance Document
Department of Veterinary Pathology, College of Veterinary Medicine
Iowa State University

I. Preamble

This document establishes policies and procedures for governance of the Department of Veterinary Pathology (VPTH) under the administration of the College of Veterinary Medicine (CVM). The document is supplementary and subordinate to all University rules, actions of the Board of Regents and policies of the College of Veterinary Medicine and the Graduate College. Those policies, rules and regulations are included in the latest editions of the Faculty Handbook, ISU Information Handbook, Graduate Faculty Handbook and ISU Policy Manual. Any change in those rules, policies or regulations made subsequent to adoption of this document automatically modifies or rescinds any portion of the latter which is in conflict. Any reorganization will follow the University guidelines (ADDENDUM B).

The faculty is the governing body of the VPTH Department. This document is designed as a Departmental document, to recognize the contributions, roles and responsibilities of all members of the VPTH Department. The purpose of this document is to provide a format for participation of the Department Chair and the faculty in decisions relating to governance and mission of the Department. Furthermore, the document is intended to provide a forum for open discussion and representation of faculty opinion in the formulation, change and implementation of policies and procedures that concern the Department and its faculty, staff and students.

Adoption of, or changes in, this document shall require a favorable vote by written or electronic ballot of two-thirds of faculty members eligible to cast such ballots. Revisions to the document may be proposed by any faculty member or the Chair. Proposed revisions shall be discussed as an agenda item during a Departmental faculty meeting and are subject to a written vote by eligible VPTH faculty.

II. Mission Statement

The mission of the Department of Veterinary Pathology is to provide a critical link between the basic and clinical sciences through essential roles in learning for students (undergraduate, veterinary and graduate) and veterinarians, diagnosis and reporting of diseases in domestic animals, and scientific research. Building from our traditional strengths in the pathology of domestic animals, we emphasize understanding the pathologic mechanisms of infectious diseases caused by bacteria, viruses, parasites and their vectors. Our goal is to lead the premier curriculum for professional DVM students in pathology, clinical pathology, and parasitology, and lead a residency/PhD educational training for future scientists as a national resource. This knowledge will assist learning for graduate veterinarians as well. Our department will provide access to the best experts through shared educational resources and scientific research in pathology, clinical pathology and parasitology in the areas of infectious and emerging diseases, parasitic diseases, animal models, and diseases of high consequence to animal and human health through integrated education, diagnostics, and research. We utilize, integrate and translate our professional practice, research and learning to provide well-rounded experiences and educational opportunities to meet our goals.

III. Department Organization

The Department has an integral relationship with the CVM Department and Units, especially the Lloyd Veterinary Medical Center, ISU, and practicing veterinarians which requires cooperation, and providing a comfortable, congenial atmosphere for faculty, professional and scientific staff, technical and clerical staff, graduate students and undergraduate students in carrying out its mission.

General expectations include: All CVM employees have a responsibility to maintain a positive workplace that is free of discrimination and harassment. Collegial interactions with all co-workers in the CVM will be required. Faculty and staff are expected to model safe and fiscally responsible behavior for

students. Employees are expected to be in compliance with established policies of the CVM and Iowa State University (including the ISU Code of Computer Ethics and Acceptable Use, biosafety regulations, OSPA, purchasing, and other approved policies and procedures). Employees are expected to participate in the annual performance evaluation process

A. Department Chair

The Department Chair of the Department of Veterinary Pathology shall be a tenured professor or associate professor in the Department who will direct a minimum of 70% of his/her effort to administration and the remainder of his/her efforts towards scholarship, teaching or professional practice activities. This person shall be recommended for appointment by the Dean of the College of Veterinary Medicine after consultation with members of the Department. Screening of Chair candidates will be provided by a search committee composed primarily of voting members from the VPTH Department or a majority of these faculty. The Department Chair is responsible to the Dean of the College of Veterinary Medicine, and represents the faculty, staff and students. The Department Chair is responsible for administering Department activities by providing leadership and delegating authority, and all decisions regarding personnel and budget matters with input from faculty. These responsibilities include:

1. Facilitating the research activities of the Department
2. Maintaining the academic strength of professional and graduate programs
3. Preparing and administering the Departmental budget; review end of year and status. In conjunction with the administrative assistant, inform faculty and staff of related accounts. Service sections are required to present end of year budgets to the Department Chair.
4. Recommending personnel actions involving faculty and staff within the Department, and implementing personnel actions when appropriate
5. Overseeing the integrity and academic strength of Departmental residency and graduate programs
6. Make work assignments and develop and negotiate Personal Responsibility Statements (PRS)
7. Conducting exit interviews with faculty, graduate students and staff on completion of their employment with ISU. Information gathered through this interview process will be held in confidence and applied toward the overall good of the Department. Such information may be shared with the Dean, where appropriate.
8. Call/schedule departmental meetings.

The term of appointment for the Chair will ordinarily be three to five years, with evaluation initiated by the Dean periodically prior to reappointment Faculty Handbook (FH) 5.1.2. Written evaluations should be solicited from the faculty of the VPTH Department. Specifically, the Department's P&T committee will solicit these written evaluations of the Chair's performance from departmental faculty and staff at the request of the Dean. The committee will provide a written summary of the evaluation and forward it to the Dean. The written summary of the evaluations and Dean's assessment will be placed on file in the College administrative office and should be available for faculty review. In addition, a written self-assessment by the Chair at four years should include an overview of Departmental progress. Yearly accomplishments and plans are written by the Department Chair and submitted annually to the Dean during the Department Chair annual review. In the absence of the Department Chair, he/she may assign administrative responsibilities to the Department faculty member of his/her choice.

The review of the College follows FH 5.1.3; 5.5

B. Director of Graduate Education (DOGE)

The Chair may serve as, or will appoint a tenure-track faculty member who is also a member of the graduate faculty to serve as the Departmental Officer for Graduate Education. The responsibilities of the DOGE include the administrative functions associated with graduate students in the Department.

C. Faculty

1. Types of appointments

- a. Regular Faculty members are those who hold faculty appointments as defined by the Faculty Handbook to permanently budgeted positions. FH 3.1, 3.2.
- b. Non-tenure-Eligible Research (NTER) Faculty appointments at the ranks of research assistant professor/associate professor/full professor in the Department are to be consistent with University policy. Under all circumstances, the criteria outlined in the Faculty Handbook in sections 3.3.3, 4.1.3 and 5.4.6 regarding the circumstances and conditions related to these positions will be followed in making these appointments and evaluating the individuals who hold them. All NTER faculty positions are appointments not to exceed five years in any contract period, and renewal of a contract will be based on performance review and assurance of continued funding for the position.
- c. Joint members are those who hold faculty appointments and who receive a portion of their salary from a line item in the Departmental budget, and hold one or more such line item positions in other units of the University. Negotiation of joint appointment percentages will be handled by the Department Chair and the faculty member concerned. FH 3.3.8
- d. Lecturers are persons with regularly budgeted faculty positions but are neither tenured nor tenure-track. In all other respects the person is considered to be a regular member of the faculty. Adjunct or lecturer appointments are normally made for one to three years. Advancement to Senior Lecturer is on the recommendation of the Chair and in accordance with University policy. Lecturer and Clinician: a limited term, full- or part-time renewable appointment of from one semester to three years. Senior Lecturer and Senior Clinician: a limited term, full- or part-time renewable appointment not to exceed five years, requiring a notice of one year of intent not to renew. To be eligible for appointment as Senior Lecturer or Senior Clinician, the individual shall have served as a Lecturer or Clinician or its equivalent for a minimum of six years or completed 12 semester FTEs of employment. FH 3.3.2
- e. Adjunct Instructors are on regularly budgeted faculty appointments, but are neither tenured nor tenure track. In this Department such positions are usually held by graduate students or residents pursuing doctoral degrees and/or ACVP certification. FH 3.3.2.4. (Special approval by the Provost and the Faculty Senate has been given in these areas: a) faculty with DVMS or equivalent degrees, who perform faculty work as part of a PhD or specialty training program; and b) Adjunct Instructors in the Construction Engineering Program of the CCEE Department with a Master's Degree and at least five years of industrial experience.)
- f. Collaborator positions are for persons who may be appointed to the faculty, but who are not employed by the University and who receive no salary from the University. A collaborator is typically a person with special expertise related to the activities of the Department. FH 3.3.6 VPTH Collaborators will be limited to serving on POS committees as a University function, if they are qualified. No computer support, other support, access to the department, or departmental data will be granted unless approved by the Department Chair. Collaborators have the ability to co-author and have research input as per scientific/scholarly collaborations. Collaborator status is usually granted to those not on the ISU campus, and they meet ISU and departmental criteria (P&T review), and meet the criteria of scientific and scholarly input with periodic review.
- g. Affiliate membership is for persons who are appointed by the University but do not require a financial obligation by the University. Such appointments are made to permit scholarly activities that benefit both the person and the

- Department. The salary is usually funded by grants. FH 3.3.7
- h. Emeritus are faculty members who have been employed at least ten years by Iowa State University and may, upon retirement, be given emeritus status at their rank at the time of retirement.
2. **Faculty Duties and Responsibilities:** In accordance with the guidelines in the *Faculty Handbook*, a Personal Responsibility Statement (PRS) will be developed for each faculty member. This document is prepared by the Department Chair in consultation with the faculty member and will describe the research, teaching, outreach, service, professional practice, administrative or other responsibilities expected of the faculty member which are important in evaluating faculty accomplishments in the promotion and tenure process FH 5.1.1.5. The PRS is typically prepared at the time of hire, is subject to annual review by the faculty member and the Department Chair, and should allow for flexibility in responsibilities over time and for the changing nature of faculty appointments. The PRS will be signed and dated by the Department Chair and faculty member and a copy retained in the main office. Responsibilities of any individual faculty member may include one, two or several of the activities associated with the general missions of the Department. If needed, mediation of the PRS is by the Departmental P&T committee for review and if not resolved, goes to the Dean to render an opinion. FH 5.1.1.5.1

General: Members of the Department shall maintain high standards of professional ethics. The Department is committed to free and critical inquiry and preservation of academic freedom. Faculty members shall pursue these ideals within existing University policies and procedures as outlined in the most recent *Faculty Handbook* and the American Veterinary Medical Association (AVMA) Principles of Veterinary Medical Ethics (Appendix 1).

- b. **Teaching/Learning:** The Department shall provide a faculty and staff that will furnish appropriate and comprehensive education toward undergraduate, professional, and graduate degrees in disciplines offered by the Department. Classroom, laboratory, clinical and practice-related learning opportunities that incorporate scientific principles and their clinical application will be provided. Student advising, related to academic and career opportunities, will also be provided. Teaching faculty are encouraged to maintain high academic standards and to explore and utilize innovative teaching technology.

The teaching responsibilities of each member of the Department shall be determined by the Department Chair in consultation with the person concerned. The Chair is responsible for teaching assignments.

Members of the Department shall arrange for student evaluations of each course that they teach during each semester. The purposes of these evaluations are for faculty self-improvement, course improvement and documentation during review processes.

3. **Research/Creative Activity:** All faculty members are expected to be actively involved in some form of scholarly activity appropriate to their appointment. The format of this relative scholarly activity may be collaborative or direct primary research. Scholarship may include any of the components of discovery, integration, application or dissemination of knowledge that can be used to advance veterinary medical sciences, including translational medicine research endeavors. Faculty may also provide scientific training and research experiences for students, graduate students, interns, residents and for other

interested scientists preparing for careers within the Departmental disciplines and related fields.

Major indices of creative research and scholarships are thoroughly identified in the FH 5.2.2.2. Additional examples of scholarship include: publication of research abstracts; preparation of teaching aids; and submission of grant proposals. The value of the creativity and scholarship of a particular item depends on its originality and significance of its insights to the development of theory or its potential for practical application.

4. **Extension and Outreach:** Faculty members within the Department will be encouraged to contribute to extension and outreach activities. Consultation, cooperation with industry when appropriate, involvement in University interdisciplinary programs and continuing education are some of the activities in which faculty members can play a contributory role. Faculty are also encouraged to aid in outreach activities appropriate for the Department.
5. **Professional Practice:** In conjunction with the teaching, outreach and scholarly missions of the Department, a primary responsibility of many faculty members will be to provide professional service to clients. Faculty members with such responsibility will deliver these services in a timely, efficient, and economical manner. Faculty members are encouraged to be innovative and communicative in providing these services. Professional Practice time is generally calculated as duty by weeks based on 52 weeks in the year. Example: 30% Professional Practice = 52 weeks x 0.30 = 15.6 weeks (15-16 weeks per year on duty). The week on duty includes weekends.
6. **Service Responsibilities:** Faculty of the Department shall engage in Departmental, College and University service. The amount of service shall relate to the person's appointment and other academic responsibilities. Faculty are encouraged to be active in state, national and international veterinary pathology-related organizations. This also includes college and university committees and administrative oversight.
7. **Consulting:** The University permits consulting (outside work for pay). General guidelines are available in FH 8.3.5 and the College Governance Document. University and College policies will be followed as further defined by the following Departmental guidelines:
 - a. Consultation by faculty members in the Department of Veterinary Pathology will include all professional veterinary extramural activities for which compensation is received from sources other than Iowa State University. All consultation must be conducted with the knowledge and prior written approval of the VPTH Department Chair. Approval will require substantiation of a non-conflict of interest and may require the use of vacation time. Annual review of consulting activities will be made by the Department Chair to determine if approval will be renewed.
 - b. Consulting must meet the following criteria: 1) VPTH faculty with full-time appointments accrue a to-be-determined number of days per month for approved consulting activities. Part-time appointments accrue at a percentage of the appointment in the Department, but may also participate in additional consulting activities during that portion of the year not salaried by ISU; 2) Conflict of interest would include competition for cases documented as critical for the VPTH Departmental mission, documentation of a negative financial impact on VPTH service income, or inability to fulfill individual annual VPTH commitment goals.
 - c. Departmental or laboratory facilities and/or equipment ordinarily would

not be used for private consultation. Use of College facilities, equipment or transportation in connection with non-ISU employment requires written approval of the VPTH Chair and can be in violation of university policy. A user or maintenance fee may be charged when appropriate. The user will assume responsibility for theft, damage and care of the equipment.

- D. **Non Tenure-Track Faculty Responsibility:** All non tenure-track faculty, with the exception of graduate/resident adjunct instructors, share the same rights, privileges, and responsibilities of tenure-track faculty in normal Departmental functions. They are expected to attend faculty meetings, serve on appropriate Department committees, and vote on issues concerning the Department's academic programs (e.g. curriculum changes, advising policies). Non tenure-track faculty may not participate in promotion/tenure discussions or voting for tenure-track faculty. The Department encourages non tenure-track faculty to attend professional meetings and engage in other forms of professional development. Depending on the resources available, the Department will try to assist in the financial support of such activities (e.g. contribution to travel costs to attend meetings).

As part of the academic staff in the Department, non tenure-track lecturer faculty are expected to participate in curriculum review and development.

- E. **Professional and Scientific (P & S) and Merit Employees:** These employees will have their responsibilities defined in a Position Information Questionnaire (PIQ) or Position Description Questionnaire (PDQ), clearly identifying the goals and objectives of each position. These goals and objectives are defined and mutually agreed upon by the employee and the supervisor.
- F. **P&S with Adjunct Faculty Status:** P&S staff members with Adjunct Faculty status will have their responsibilities defined in a Position Responsibility Statement. Such responsibilities might include teaching, extension/outreach, or other traditional faculty responsibilities. Each P&S adjunct faculty member will be supervised by an appropriate regular faculty member. An adjunct appointment is normally made for one to three years.

IV. **Standing Departmental Committees**

All full- or part-time tenure-track faculty, tenured faculty, and lecturer or non-tenure eligible faculty are eligible for membership on all Departmental committees, unless otherwise indicated.

Department committee positions shall be announced at a Departmental faculty meeting. Volunteers and nominations should be submitted to the Department Chair, and the selection will be made by vote or appointment by the Chair, depending on the committee requirement. The Department Chair may add up to one member to ensure balanced committee representation (e.g. rank, gender, primary activity).

Standing Committees will meet at least two times during the academic year. Members shall serve for a term of up to three years and may be re-elected or reappointed. Initially, the duration of terms should be staggered to allow for continuity within the committee. A Chairperson will be elected from the committee membership. The Chairperson will serve a one-year term but may be reelected. The Chair may serve on committees only as a non-voting ex-officio member. Standing committees will include:

- A. Graduate Curriculum Committee defined as all graduate faculty members in the Department
- B. Promotion and Tenure Committee defined as all VPTH tenured associate and full professors
- C. Ad hoc Search Committees defined by University policy and appointed by the Department Chair
- D. Graduate student/resident committee (all members as graduate students and residents with a liaison representative to the Department Chair of one DVM and one non-DVM co-representatives)

V. **General Faculty Meetings**

Departmental meetings will be called regularly by the Department Chair, with a written agenda,

preferably in advance. Dates and locations of meetings will be announced at the beginning of the academic year. The Department Chair will prepare the agenda, but all Department members may submit items for the agenda. Items that are not on the printed agenda may be discussed but cannot be voted upon at the meeting. At least one meeting will be scheduled each month. Other meetings may be called at the discretion of the Department Chair or on written request directed to the Department Chair by three or more members of the Department. Minutes will be recorded for all Departmental meetings and made available to the membership in a timely fashion. Faculty members of all classifications, excluding adjunct instructors, are eligible to attend general Departmental meetings and are encouraged to participate. Specific voting privileges are defined in Section VI. Special Department faculty meetings restricted to regular faculty of certain ranks may be called for the purpose of considering promotion and tenure or other personnel matters. Meetings and decisions are usually done by consensus. Robert's Rules of Order may be invoked if requested by a faculty member or the Department Chair. An Executive closed door meeting may be called of the faculty by the Department Chair for confidential discussions affecting Departmental decisions and policies if needed. These meetings would not be required to have public minutes.

VI. **Voting Procedures and Eligibility**

For votes on curricular and governance issues, the *VPTH faculty* will consist of people holding academic rank in the VPTH Department with their primary work assignment within the VPTH Department, including tenured faculty, tenure-track faculty, lecturers/clinicians, and other non-graduate student faculty. Excluded from the voting process are current graduate students. Votes on promotion and tenure policies are restricted to tenured and tenure-track faculty. All regular and lecturer faculty members with a minimum 50% appointment within the VPTH Department are eligible to vote on Departmental matters except when promotion and tenure rank restrictions apply. In matters of Departmental policy and administration, the Department Chair shall not vote unless there is a tie vote. In academic matters the Department Chair may vote. A quorum means that greater than 50% of the regular members must be present at the time of voting. Only scheduled agenda items may be subject to vote at a meeting. Faculty members may confer, with a written declaration, a proxy voting right upon another member only when scheduling conflicts for meeting attendance cannot be mitigated; no member may hold more than one proxy at any particular meeting. In a meeting, a majority shall be greater than 50% of the members in attendance who are eligible to vote plus proxies submitted. In electronic or written ballots a majority shall be greater than 50% of the voting members. The Department Chair shall conduct the vote. Votes may be taken by: a voice vote or show of hands, if a quorum is achieved; a written ballot of members present, if requested; and an electronic ballot of all eligible voting members, if requested (to be completed within one week).

VII. **Hiring Procedures**

A. **Regular Faculty Positions**

Search and hiring procedures will follow the Handbook and Best Practices of the University. The Department Chair shall appoint and advise an ad hoc search committee composed of regular faculty members of the Department. The search committee is advisory to the Department Chair. The Department Chair is the hiring officer for the VPTH Department. Committee membership shall be balanced in favor of disciplines appropriate to the position to be filled and may include faculty member(s) from an outside Department at the University. A clerical or P&S staff member may be assigned to assist the committee.

A job description of the position to be filled shall be prepared by the committee together with the Department Chair and endorsed by the faculty. The position shall be appropriately advertised to ensure the diversity of candidates intended through affirmative action and equal opportunity principles. As per University policy, the Chair of the search committee shall undergo diversity awareness training prior to starting the search

The search committee shall receive and review applications and recommend to the Department Chair candidates to be interviewed. The search committee shall coordinate candidate interviews and shall solicit faculty evaluation of candidates. The search committee may also solicit evaluation from ISU faculty and staff members outside the Department with whom the candidate might be expected to work.

The search committee shall submit an evaluation of candidates with strengths (positives; best fit for position) and weaknesses (less desirable fit for position) to the Department Chair, who shall make the final Departmental decision and report his/her decision to the Dean(s) and the search committee. The Department Chair shall follow University procedures for faculty appointments as outlined in the *Faculty Handbook*.

B. Non-Tenure-Eligible Research (NTER) Faculty Appointments

Factors to be considered in making appointments at the ranks of research assistant professor/associate professor/full professor relate to the funding source of the candidate's salary, the type of affiliation the candidate will have with the Department and the University, and the nature of the candidate's interactions in the position. The candidate must be funded from sources other than tuition and state appropriations as defined in the *Faculty Handbook*. All guidelines in FH Section 3.3.3 apply to all appointments of this type.

A tenured or tenure track faculty member may nominate an individual for a NTER faculty position by providing a letter of nomination and CV of the candidate to the Department Chair, who will then form a search committee consisting of three tenured faculty members, including the nominating faculty member.

The (search committee) faculty member nominating a candidate for a NTER position will be responsible for distributing the candidate's CV and letter of application to the voting faculty of the Department at least 1 week prior to the meeting at which the candidate is to be considered for the position.

The candidate must present a College-wide research seminar announced at least one week prior to a Departmental faculty vote.

An opportunity will be given to any interested member of the faculty to meet with the candidate individually or in a small group during the search process and prior to the vote.

Tenured and tenure-track Departmental faculty will vote as to the acceptability of the candidate for the position. The Department Chair must consider this vote, written recommendation from the search committee, and written and verbal comments of the nominating faculty member in making the decision. It should be clear where the funds for the position will originate.

The Department Chair will then forward the recommendation to the Dean, who upon approval of the appointment will make a recommendation to hire the candidate to the provost.

C. Adjunct Faculty Positions

The Department of Veterinary Pathology expects to hire adjunct faculty and lecturers to support its academic mission. Adjunct faculty may be appointed as non-tenure track faculty members to support our research, teaching, professional practice and/or outreach programming. These are usually post- DVMs pursuing residencies and/or graduate degrees within the Department.

The decision to hire a non-tenure track faculty member, as well as the minimum qualifications needed for the position, rests with the Department Chair and requires approval of the appropriate Dean and the provost's office. Appropriate Departmental faculty committees or the

full Department faculty should be consulted in this decision. The decision regarding the level at which to hire an individual (adjunct instructor, adjunct assistant/associate professor, lecturer or senior lecturer) should be made by the Department Chair in consultation with the search committee. The decision should be based on the qualifications and prior experience of the candidate and should be in accordance with the stated qualifications for these positions in University policies.

D. Visiting Temporary, Collaborator, Affiliate and Joint Appointments

The Department Chair shall follow University procedures for these faculty appointments as outlined in the *Faculty Handbook*.

E. Special Circumstance Appointments

Under special circumstances the Department may appoint individuals to regular or adjunct faculty positions without an open search. Such circumstances might involve a qualified partner of a new faculty member (Dual Opportunity Hiring) or a newly hired administrator whose academic training and experience are appropriate to the Department's mission.

In the first case, an open 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 Department 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 Department Chair.

In the second case, the Department Chair shall consult with the Departmental faculty before granting faculty appointments in the Department.

F. Professional and Scientific and Merit Positions

For P&S and Merit positions, appointments shall follow personnel policies as outlined in the ISU Policies Manual

VIII. Performance Evaluation

A. Faculty Annual Performance Review

1. Position Responsibility Statement: The Department Chair will conduct an annual conference with each faculty member. A position responsibility statement (job description) for each faculty member shall be written by the Department Chair during his/her first year and updated as needed in subsequent years. Typically the PRS shall not be modified in the pre-tenure period. A change in the PRS may be initiated at any time by the Department Chair or faculty member. The Department Chair has final decision regarding approval of the PRS. This statement or its revisions should guide all subsequent reviews (annual, promotion, tenure, post tenure, etc.)

2. Annual Review of Faculty: All tenure and non tenure-track faculty will be reviewed annually, following standard Department practices for faculty reviews. FH 5.1.1.2

The faculty member being reviewed will complete an annual activity report, using as a template the Faculty Productivity Report form as amended by the College of Veterinary Medicine and the Pathology Department.

The Department Chair or designee will meet with the person under review to discuss activities, accomplishments, problems, concerns and plans for the future. During or following the meeting, the Department Chair or designee will prepare a written summary of the annual review, noting accomplishments, concerns and plans for the future. The faculty member and Department Chair will sign this report.

Supervisory relationship restrictions for review follow the University policies.

3. Review for Non-Tenure Track Appointment: An adjunct faculty member or lecturer is usually appointed initially for a 1 to 3-year term. The decision to extend the term rests with the Department Chair, will be based on the individual's annual reviews, and will be made in consultation with any faculty members who directly supervise the person under

review. Recommendations of the Departmental Chair will be forwarded through the appropriate college Dean and to the provost's office for approval. FH 5.4

At the time of consideration of promotion to senior lecturer, the Department Chair will appoint faculty committee to conduct this review. The review committee will make a recommendation on promotion to the Department Chair, who makes the final decision on promotion. Promotion to senior lecturer will be based on excellence of performance in the role of lecturer over a period of 6 years. Materials that should be provided to the review committee include the annual activity reports of the individual and annual written evaluations, a narrative written by the individual summarizing and analyzing his/her activities over the time period in question, and any supporting materials the individual wishes to include (syllabi, course packets, manuals, web pages, published papers, summaries of instructor evaluations, etc.)

4. Review of Non-Tenure-Eligible Research (NTER) Faculty: Since all NTER faculty positions are appointments not to exceed five years in any contract period (Faculty Handbook 3.3.3.1), renewal of a contract will be based on performance review and assurance of continued funding for the position. The process may be done simultaneously with the regular performance evaluation or separately, depending on the timing of the contract expiration. In all cases the process will follow the guidelines described below and the following material will be required for submission to the Dean: updated CV and PRS, dossier prepared by the faculty member being evaluated, evidence of the faculty deliberations (including the vote and report from the appropriate committees) and the letter from the Department Chair. The periodic evaluation, renewal and advancement of all NTER faculty will be conducted according to all guidelines indicated in Section 5.4 of the *Faculty Handbook*.

In addition to their annual evaluations by the Department Chair, all NTER faculty will be evaluated by the appropriate Departmental faculty committee at least every three years.

This performance review should be done by an appropriate committee from the home Department, which will include the PI responsible for the grant from which the salary of the NTER faculty is generated, unless the NTER faculty member is the PI on the grant. Each Department will determine a specific review process, however, materials forwarded to the provost for consideration of renewal of a NTER faculty should include an updated CV and PRS of the NTER faculty member, copies of all performance evaluations performed during the appointment, results of a vote from tenured and tenure-eligible faculty in the home Department, a letter of recommendation from the Department Chair, and a recommendation from the Dean.

The Departmental promotion and tenure committee will serve as the review committee whenever the process includes a request for advancement in rank. If not a member of the Departmental promotion and tenure committee, the PI of the grant used to generate the NTER faculty member's salary (unless the NTER faculty member is the PI on the grant), will be included on the review committee as a non-voting member.

The committee responsible for the promotion evaluation will prepare a written report of their findings and present it to the Departmental Chair, who will then forward his/her recommendations and the report of the review committee to the College Promotion and Tenure Committee for consideration. The College P&T Committee will then make a recommendation (for promotion, not tenure) to the Dean, who will provide a recommendation to the provost.

Annual pay adjustments will be determined by the Department Chair, after consultation with the PI(s) of the grant(s) providing the funding for the position. Decisions related to termination, renewal or advancement of NTER faculty will follow all guidelines of the Faculty Handbook Section 5.4.6.

5. Review of P&S and Merit Staff: Annual reviews will be completed by staff member's supervisor and approved by the Department Chair according to University deadlines. Forms to be signed include a General Evaluation Form for P&S, the Merit Performance Evaluation and the Performance Approval Confirmation Form. The original Performance Approval Confirmation Form will be sent to ISU Records Management, and copies of both the evaluation and confirmation forms will be kept in staff personnel files.

B. **Post-Tenure Review**

The department adheres to the Post-Tenure Review policy described in Section 5.3.5 of the ISU Faculty Handbook. All tenured faculty members will be evaluated every seven years. An individual faculty member may request this type of review at any time, but may not decline to be reviewed at least every seven years. The review may be initiated by either the individual faculty member or the Department Chair, but not sooner than 5 years from the previous review.

a. **Post-Tenure Review Documents**

- i. *Prepared by Faculty Member For Review by the Faculty Review Committee:* A summary of activity since the last review, including: a self-evaluation; current CV; PRS; and all annual performance reviews since the last review, will be submitted in an appropriate format.
- ii. *Prepared by Committee:* The committee will submit to the Department Chair a written report along with all documents provided by the faculty member. The Department Chair may share this written report with the faculty member.
- iii. *Deadline for Submission of Review Materials:* The faculty member up for review will submit appropriate documents no later than November 1.

- b. *Role of the Department Chair in post-tenure reviews:* The Department Chair shall issue the charge to the faculty review committee.

Either the Department Chair or the individual faculty member may initiate a post-tenure review. By the end of each spring semester the Department Chair shall prepare a list of faculty members to be reviewed and shall notify these faculty members of their review status.

The Department Chair shall request review information from the faculty members being reviewed. At the time of the request the Department Chair will provide faculty members with appropriate formatting information. The Department Chair will transmit that information to the review committee.

The Department Chair shall meet with each reviewed faculty member to discuss the faculty review committee report.

- c. *Composition of Review Committee:* The committee shall consist of the Department P&T Committee with the exception that a committee member cannot participate in his/her own review.
- d. *Outcomes of the Post Tenure Review:* A “superior” post-tenure review recommendation is accompanied by a recommendation for a salary increase of a fixed amount for those at the rank of professor. The amount of the increase is determined annually by the administration, in consultation with the faculty senate, and will be a negotiated ratio of that year’s promotional increase. This increase is separate from, and in addition to, the merit increase. Associate professors receiving a “superior” recommendation will be encouraged to prepare a promotion packet. Regardless of rank, a “superior” post-tenure review recommendation will still include recommendations for future development.

A “meeting expectations” post-tenure review recommendation will include recommendations for achieving a superior performance evaluation. If a “meeting expectations” post-tenure review recommendation includes a determination of “below expectations” performance in any PRS area, then the faculty member will work with the department chair and the chair of the review committee to develop a detailed Performance Improvement Plan in those areas, as explained below.

A “below expectations” post-tenure review recommendation will include specific recommendations for achieving an acceptable performance evaluation as part of a Performance Improvement Plan as explained below.

- e. *Performance Improvement Plan:* For reviews that receive a “below expectations” recommendation, a Performance Improvement Plan will be developed which will include: 1) the justification for the plan identifying areas to be improved; 2) a specific timetable for evaluation of acceptable progress on the plan; and 3) a description of possible consequences for not meeting expectations by the time of that evaluation. The faculty member will work with the department chair and the chair of the review committee to develop the plan for performance improvement, and the plan will be signed by all three parties. If agreement on the proposed action plan cannot be reached, the plan will be negotiated following the procedures outlined for PRS mediation (Section 5.1.1.5.1 of the Faculty Handbook). Failure to have the Performance Improvement Plan in place by the time of the next academic year’s annual performance review may result in a charge of unacceptable performance as defined in the Faculty Conduct Policy (Section 7.2.2.5.1 of the Faculty Handbook).

C. **Promotion and Tenure**

The Department of Veterinary Pathology follows the Iowa State University Promotion and Tenure guidelines including any amendments made by the College of Veterinary Medicine. Also, the University Best Practices should be adhered to during the process found on the university website. Also, Addendum A is attached for best practices in criteria evaluation for the department.

Promotion and Tenure review FH 5.1.1.4

Promotion and Tenure review for faculty in administrative positions FH 5.2.1.2

Criteria for Awarding Tenure FH 5.2.1.6

Promotion and Tenure document Department FH 5.2.4.2.1 College FH 5.2.4.3.1

Promotion and Tenure committee Department FH 5.2.4.2.3 College FH 5.2.4.3.2

It is the decision of a faculty member as to whether or not he/she wishes to be considered for promotion and/or tenure, with the exception that a faculty member must be considered if he/she is in the penultimate year of the probationary period. Criteria on which faculty members are

evaluated are in alignment with the University Promotion and Tenure policies and should be consistent with the PRS.

1. *The Promotion and Tenure Committee* is composed of all VPTH tenured associate and full professors who have academic appointments in the Department of Veterinary Pathology. Committee members can only evaluate faculty being considered for promotion to the same or lower rank as they occupy. The P&T committee Chairperson and secretary are selected by the P&T committee or appointed by the Department Chair, depending on the wishes of the P&T committee. A subcommittee may be appointed by the Department Chair to evaluate faculty for the mid-probationary review (3 year review). The Departmental P&T committee votes on the candidates. There is no Department –wide vote for candidates. This duty is left to the Departmental P&T committee. *Double voting cannot occur for candidates and the vote of the departmental representative on the College P&T committee casts their vote at the departmental level according to ISU policy. FH 5.2.4.1*
2. *Conflict of Interest:* Any faculty member having a conflict of interest (as described in the University *Faculty Handbook*) concerning a faculty member review will, after consultation with the Department Chair, excuse himself/herself from all discussions and votes concerning the faculty member. A conflict of interest may take various forms, but arises when a faculty or staff member is or may be in a position to influence the University's business, research or other decisions in ways that could lead to personal gain for the faculty or staff members or others with whom he/she is closely associated.
3. Promotion and Tenure Review Documents
 - a. *Prepared by the Faculty Member:* The materials shall be submitted in the format as outlined in the P&T documents of the University and the College of Veterinary Medicine. The faculty member should provide a list of individuals at other institutions from whom letters of review might be solicited. The candidate should also indicate in writing to the Department Chair any possible conflicts of interest regarding potential outside peer reviewers. This list shall be submitted to the Department Chair before. The selection of external reviewers remains confidential to the candidate.
 - b. *Prepared by the Committee:* The P&T committee shall submit to the Department Chair and the candidate a written summary of the faculty evaluation of the candidate. The evaluation report shall be submitted in the format preferred by the appropriate College. The report is to be factual and not evaluative or interpretive.
4. *Candidate's Rights:* Each candidate for whom a promotion and/or tenure recommendation is being forwarded to the college level shall be given the opportunity to review the factual information in the file (not including the letters of evaluation) and to inform the Department Chair of any ways in which he/she believes this information is incomplete or inaccurate.
5. *Appeals of Department Promotion and Tenure Reviews:* If an individual is dissatisfied with the Department review received, he/she may, within one week of receiving the report of the P&T committee, appeal in writing to the Department Chair for reconsideration. The Department Chair may, after consultation with the individual and the P&T committee, refuse such consideration or may submit additional documents to the committee for further consideration. The decision by the Department Chair after a reconsideration by the P&T committee shall be the final recommendation for the Department. Any further appeals outside the Department shall follow procedures outlined in the current University *Faculty Handbook*.

6. *Joint Appointment Procedures:* Promotion and/or tenure reviews of faculty holding rank in more than one Department shall be initiated and conducted by the primary Department, with advice from the secondary Department. Prior to the review, the two Department Chairs shall decide the role to be played by the secondary Department.
7. *Postponing P&T Reviews:* Very unusual circumstances may warrant a postponement of
 - a. mandatory review. In such case, the candidate shall submit a request in writing as soon as possible to the Department Chair before the review is scheduled. The Department Chair and the P&T committee will consider the request and make a decision as to forwarding the postponement request to the appropriate Dean.
8. *Role of the Department Chair in P&T:* The Department Chair shall initiate the process and guide the candidate for P&T process and meet deadlines.

Either the Department Chair or the individual faculty member may initiate a promotion and tenure review. Each spring semester the Department Chair shall prepare a list of faculty members to be reviewed and shall notify these faculty members of their review status.

The Department Chair should meet with all candidates for promotion and/or tenure to clarify all steps, procedures and file formats involved in promotion/tenure review. The Department Chair shall request review information from the faculty members being reviewed and transmit that information to the review committees.

The Department Chair shall solicit external letters of review from the list of potential reviewers provided by the Chair and the candidate. There is a maximum of 6 letters and no more than 50% can come from recommended reviewers provided by the candidate. The P&T committee may be asked for recommended reviewers but it is the primary responsibility of the Department Chair.

The Department Chair shall review the promotion and tenure recommendations from the Departmental P&T committee. The Department Chair prepares a Recommendation for Promotion and Tenure form for each person who is recommended for or requires College review. The form includes the Department Chair's evaluation of the candidate, votes and reports of the Departmental P&T committee, and the Department Chair's recommendation. The Department Chair then forwards the candidate's promotion/tenure file along with the Department Chair and faculty P&T committee recommendations to the appropriate Dean for College review. Before forwarding a candidate's file for College review, the Department Chair will meet with the candidate to inform him/her if his/her promotion and/or tenure file shall proceed from the Department to the College, except in those cases where a tenure file must go forward. The candidate may choose to have his/her file forwarded to the appropriate Dean regardless of the faculty and Department Chair recommendations.

The Department Chair shall meet with every faculty member receiving promotion and/or tenure review to discuss the P&T committee report.

The Department Chair shall receive, review and make a recommendation on all appeals made at the Department level concerning promotion and tenure reviews.

9. *Letters of Evaluation:* Letters should be solicited from appropriate professionals in the field and chosen for their ability to evaluate impartially the candidate's activities and accomplishments. External reviewers should not have a close or mentored professional relationship with the candidates. They should generally be tenured professors at peer institutions or individuals of equivalent stature outside of academe

who are widely recognized in the field. 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 and/or professional practice. At least one of the reviewers solicited should be suggested by the candidate.

- a. External reviewers should not be colleagues with whom the candidate has frequently collaborated. They should not be former graduate committee members, co-authors, co-investigators, or other close associates. They should have knowledge of the field and can know of the candidate in a distant professional capacity.
- b. Letters from ISU Department, college and university colleagues: Although not required, letters from Department, college and university colleagues may be important for activities related to interdisciplinary research and teaching programs, joint projects and services provided to other colleagues or in cases where a fuller understanding of specific activities is warranted.
- c. External reviewers should be provided ISU criteria for P&T; and the candidate's vitae, summary statement of impact, 25 page limit portfolio, and other materials deemed necessary such as examples of manuscripts.

10. *Criteria and Qualifications for Promotion and Tenure*

- a. Evaluation of a faculty member for promotion and/or tenure shall be based on criteria related to the candidate's assignments and position responsibility statement. Criteria are to be regarded as indicators of performance and achievement, which will be considered during the evaluation process.

The awarding of tenure and/or promotion to the rank of associate professor requires evidence of past accomplishments and achievements as well as promise of future growth and productivity. Promotion to the rank of full professor will require evidence that such promise has come to fruition through sustained excellent performance. Criteria for granting tenure to those in tenure-track appointments are usually the same as those for promotion to the rank of associate professor. In the case of an unusual appointment, such as that of an associate or full professor appointed without tenure, additional criteria for tenure may be specified as part of the term of the appointment. Tenure will not be granted to instructors or assistant professors except under unusual circumstances.

In addition to University and College criteria, specific items or areas pertinent to our Department are: (Also, more detailed Best Practices Attached for Criteria in *Addendum A*)

- a. Research: Each researcher will be evaluated on the basis of the quality and quantity of research publications, scholarly presentations, and other types of scholarly dissemination: the impact these make on the scientific/veterinary community; how well his/her research complements and contributes to other programs within the Department, colleges, and University; efforts to obtain research funding; and successful mentoring of graduate students, and postdoctoral research associates.
- b. Teaching: Each teacher will be evaluated by students and peers on the basis of mastery and appropriateness of subject matter, clarity and presentation, and ability to stimulate student interest. Evidence of scholarship in teaching and scholarly teaching are according to the University criteria. Evidence of scholarship in teaching and/or advising may also include advances in teaching, publication of journal articles, texts, or other scholarly works; invited lectures;

curriculum development; and other appropriate activities. Scholarship in teaching requirements are dependent on the requirements in the PRS and are evidenced by peer-review. Scholarly teaching is expected of all teaching faculty which requires that teaching reflects current knowledge of the discipline as evidenced by student and peer reviews. Teaching includes mentoring and advising. Advisors are expected to be well informed about procedures, be available to students, and demonstrate an interest in student welfare.

- c. Professional Practice: A primary responsibility for many faculty members will be to provide professional service to clients. Faculty members with such responsibility will deliver these services in a timely, efficient, and economical manner. Faculty members are encouraged to be innovative and communicative in providing these services. Scholarship is demonstrated by published and presented case reports, retrospective and prospective studies, and similar materials that may be translated to peer-reviewed findings that impact the discipline and profession.
- d. Service (Academic service): Each faculty member is expected to contribute to the welfare of the Department, College, and University through service. Faculty members play a vital role in the functioning of the university at all levels by participating effectively in faculty governance, and in the formulation of Department, college, and university policies, or by carrying out administrative responsibilities including active participation on committees. Therefore, to be promoted and/or tenured, a faculty member is expected to have been involved in institutional service; however, this is less of an expectation for assistant professors in order to allow time for scholarship. In addition, a faculty member may make service contributions to technical, professional, and scholarly societies appropriate to his/her academic discipline. All faculty members are expected to participate in and make significant contributions to appropriate technical, professional, or scholarly societies. Service alone will not serve as the basis for promotion and/or tenure unless this is the majority appointment of the PRS.

D. *Qualifications for Academic Ranks*

Recommendations for initial appointment and promotion are based on the evidence that the faculty member has met the qualifications for the rank to which the candidate is to be appointed or promoted.

- a. Assistant Professor - An assistant professor should have a strong academic record and ordinarily should have earned the accepted highest degree in the 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. Board certification is encouraged for those disciplines in which certification exists and is important as a criteria and standard of excellence in the discipline.
- b. Associate Professor - An associate professor should have a solid academic reputation and show promise of further development and productivity in his/her academic career. To be promoted to this rank, 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 the areas of position responsibilities; and
 - 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 contributions to the field or profession and to the University.

- c. Professor - A professor should be recognized by his/her professional peers within the University as well as nationally and/or internationally for the quality of the contribution to his/her discipline. The candidate must demonstrate:
- national distinction in scholarship, as evident in the candidate's wide recognition and out-standing contributions to his/her field or profession;
 - effectiveness in areas of position responsibilities; and
 - 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.

- d. Non-tenured or non-tenure-track faculty. Initial academic rank of affiliates and collaborators associated with the Department shall be determined by a review by the Department Chair who may consult with the departmental P&T committee. The individual under submit a complete vita for review. These individuals shall not serve on the P&T committee
- e. Faculty entering the Department with a rank and tenure (generally hired from another university) will require review by the Departmental P&T committee and a vote to accept the faculty member's rank and tenure. This vote and report will be forwarded by the Chair to the Office of the Provost as required.

- E. *Review of Probationary Period (Third Year Review):* All tenure-track faculty will undergo a comprehensive review by the P&T committee after completing two – three years of service. Timing also will depend on time extensions that are taken, e.g, this may delay the review. This review is required of all tenure-track faculty and shall formally evaluate the faculty members' progress toward promotion and tenure. The outcomes of the third year review are to recommend reappointment to the faculty for three more years leading to the tenure evaluation, or discontinuation of the appointment. Should the latter be the outcome, the faculty member will be terminated at the end of the following fiscal year. FH 5.1.1.3

Following university timelines, the Department Chair shall notify the faculty member and the Chair of the P&T committee of the need for the third year review. The Chair meets with the faculty member to discuss dossier format, time lines and other procedural issues. The dossier format is to be the same as the tenure dossier, with the exception of external letters, but may be less extensive due to the early career time. The faculty member is encouraged to work with their assigned mentors during this process. The faculty member will submit their third year review dossier to the Chair who will forward to the Departmental P&T committee. The P&T committee will provide a written evaluation of the dossier to the Department Chair. The Department Chair will meet with the faculty member to discuss the review. The Department Chair will provide a written summary of the third year review to the faculty member that will include the recommendation for continuing or discontinuing the appointment. The Department Chair will share this recommendation with the respective Dean.

ADDENDUM A. of Best Practices for Criteria for Promotion and Tenure

Overarching Criteria

Iowa State University has an emphasis on providing evidence of an upward trajectory in the candidate's career. Also, that the candidate has the potential to have a continuous and sustained record of productivity. The basis of research funding is the amount of funding or support that is needed for an individual to produce scholarly work in his/her field. Therefore, a monetary amount for this criteria is not assigned by the University. The number of scholarly works (i.e. example- publications) does not have an assigned number since this is dependent on the type of publication, expectation of the department and the candidate's PRS. An expectation is a minimum average of 2 scholarly products per year by the candidate.

<http://www.provost.iastate.edu/faculty/advancement/docs/PTGuidelines0910.pdf>

Teaching

Evidence of quality in teaching should be demonstrated. Please refer to the CELT website for additional information. Criteria may include but are not limited to the following:

1. Formal course assignments and contact hours in the curriculum.
2. Evaluation of instructional quality by students, peers, former students, graduate students, residents.
3. Training grants, grants to produce educational materials, technology, or publications related to teaching.
4. Textbooks, textbook chapters, and review articles in refereed journals.
5. Evidence of effort to improve teaching such as innovations in instruction, development or revision of course objectives, course content, handouts, or tutorial programs. Evidence of improved methods of presentation, incorporation of problem solving, and participation in multidisciplinary courses.
6. Teaching awards and special recognitions for teaching.
7. Effective advisement or mentoring of students, also including directing dissertations and theses (graduate student training).
8. Accomplishments of former students
9. Instruction of faculty, staff, and students from other universities or organizations.

Research

Evidence of independent or collaborative research should be demonstrated. Criteria may include but are not limited to the following:

1. Research manuscripts published in refereed journals.
2. Grants that have been submitted and funded.
3. Presentations of research findings at regional, national, and international scientific meetings.
4. Awards and recognition for research productivity, including patents and transfer of technology.
5. Evidence of efforts to improve research productivity including innovations in research techniques.
6. Election to office or service on committees and programs of national organizations that support research in a given area of expertise.
7. Participation on editorial boards or serving as reviewer for research publications or grant proposals.
8. Evidence of scholarship by graduate students and post-doctoral students.

Professional Practice

Evidence of the amount and quality of service activities should be documented. Suggestions for written documentation may include but are not limited to the following:

1. A written record of diagnostic service activities, including the number of weeks of service related rotations per year, number of diagnostic cases or slides interpreted, number of case consultations per year.
2. Questionnaires evaluating services distributed to faculty (including interns and residents), graduate students, and graduate veterinarians for whom services are rendered.

3. Continuing education courses presented to specialists, graduate veterinarians, and lay groups
4. Honors and awards related to service-associated activities.
5. Publication of refereed journal articles of prospective and retrospective case studies related to service. Presentations related to service at regional, national, and international meetings.
6. Invited publications, presentations, and short courses related to service.
7. Election to office or service on committees and programs of national or regional organizations that support service.
8. Service as an editor, editorial board member, or ad hoc manuscript reviewer for peer-reviewed journals.
9. Receipt of grants and contracts to develop and deliver services.
10. Board Certification may be required for positions with a high service assignment.

Service (Institutional and Professional)

1. Documentation of service on department, college and university committees involving governance and related activities.
2. Oversight of personnel and direction of units
3. Any type of service rendered to the department, college or university
4. Service rendered to professional organizations, such as committees, offices held

Publications

The publication of original work in refereed journal articles will carry the greatest weight and should have the highest priority. Publications of both independent and collaborative works have merit.

Textbooks, textbook book chapters, and non-refereed articles may help to establish a national reputation. These publications may be used to document scholarly activity in teaching, research or service depending on the subject.

Grant Support

Extramural or intramural grant support. Extramural support will have increased weight. PI and co-PIs, especially the contribution of an area of specific expertise are highly regarded. Collaborators on grants have merit.

Self Improvement

Faculty should maintain and improve their professional competency through study and attendance of meetings and seminars to obtain new knowledge and skills.

Exceptional Circumstances

The department recognizes that flexibility in faculty assignment of EFT may be necessary in certain situations. Consideration should be given to a faculty member's contributions under exceptional circumstances. For example, due to attrition of faculty or open positions, a faculty member may be assigned increased teaching or service responsibilities to meet departmental obligations.

University Environment and Community

Ability to work well with others is an important consideration in the promotion and tenure process since this will enable candidates to progress in their careers. All CVM employees have a responsibility to maintain a positive workplace that is free of discrimination and harassment. Collegial interactions with all co-workers in the CVM will be required. Faculty are expected to model safe and fiscally responsible behavior. Faculty are expected to be in compliance with established policies of the CVM and Iowa State University (including the ISU Code of Computer Ethics and Acceptable Use, biosafety regulations, OSPA, purchasing, and other approved policies and procedures).

ADDENDUM B. University Policy

S04-6

2.7. Policy for Academic Reorganizations

Faculty Senate approved this policy on January 13, 2004, and university administration approved this policy on January 23, 2004.

2.7.1. Policy for Reorganization of Academic Units

The reorganization of academic units (departments or colleges) is an academic activity that is part of university governance shared by faculty and administration. Reorganizations are carried out via a three-step process involving discussion, planning, and review.

2.7.2. Discussion

Reorganization begins with discussion of a problem or opportunity whose solution may include restructuring one or more units of the University. This discussion leads to a decision to formally explore the possibility of reorganization by developing a reorganization plan.

2.7.2.1 Decision to Begin Planning

The decision to begin planning is made with no prior assumption that reorganization will be the inevitable outcome. The decision to begin planning is made by the administrator (Dean, Provost, or President) of the unit involved in response to what he or she feels are compelling reasons. This decision is not to be made lightly, as planning requires time, effort, and resources.

2.7.2.2. Formalizing the Decision to Begin Planning

The decision to begin planning will include a determination of which units are involved, what is the opportunity/problem that is to be dealt with, and an estimation of the time frame for decision-making. It may or may not include a previously developed proposal for reorganization. When the decision is made to begin planning, faculty in all involved units and the Faculty Senate are to be notified.

2.7.2.3. Faculty Senate Role

The faculty and/or administrators involved may seek input from the Faculty Senate in structuring the process to be followed. The Faculty Senate will monitor the planning process.

2.7.3. Planning

The goal of planning is the generation of a reorganization plan to resolve a problem or develop an opportunity. This proposed reorganization plan will include a recommendation about whether or not to reorganize. In the spirit of shared governance, substantial effort shall be made to include members of all affected units in the planning process.

2.7.3.1. Content of the Plan

The plan will contain an academic plan that describes both the reorganization being proposed and an implementation plan that explains how the proposed reorganization will be implemented and what resources will be needed.

2.7.3.2. Time Frame for Implementation of the Plan

The reorganization plan will also include a description of the time frame for implementing the reorganization.

2.7.4. Review

Reorganization plans must be reviewed and approved before being put into action.

2.7.4.1. Review by Faculty

The proposed reorganization plan will be reviewed by the faculty in the affected units and by the department chairs and/or deans of these units. The faculty review of the plan will conclude with a vote on whether to recommend that the plan be adopted.

2.7.4.2. Review by Provost

After the vote by the involved faculty and the review by the administrators, the plan will be reviewed by the Provost, whether the faculty vote is favorable or not. The Provost will take one of three actions.

- Return Plan to Units

The Provost may send the plan back to the affected units for further review and/or revision.

- Reject Plan

The Provost may reject the plan and terminate the process, leaving the existing unit(s) in place.

- Submit Plan to Faculty Senate

The Provost may submit the plan to the Faculty Senate for a review with a recommendation that it be approved.

2.7.4.3. Review by Faculty Senate

The Faculty Senate will review the plan as submitted by the Provost. The Senate's review may include discussions with the faculty and/or administrators in the unit(s) and/or with the Provost. The Senate may request further information and/or clarification from the Provost about the plan and about his or her recommendation. After completing its review, the Senate will take one of two actions.

• Return to Provost
It may return the proposal to the Provost with a recommendation that he/she consider revisions or reconsider rejecting the proposal.

- Submit to President

The Senate may submit the plan to the President with a recommendation that it be approved. The Senate will complete its review and take action following the normal Senate time frame of two meetings after receiving the plan.

2.7.4.4. Review by President

After reviewing the recommendations of the Provost and the Faculty Senate, the President will take one of three actions.

- Return Plan for Further Discussion

The President may return the plan for further discussion or revision.

- Dismiss the Plan

The President may dismiss the plan and terminate the process. This will leave the existing unit(s) in place.

- Submit Plan to Board of Regents

The President may submit the plan to the Board of Regents with a recommendation that it be approved. Final approval of the proposed reorganization rests with the Board of Regents. 2.7.5. Implementation and Follow-up Review

After receiving Regents approval, the plan will be implemented in a timely manner. The Provost and/or appropriate dean(s) will conduct follow-up reviews of units that have undergone reorganization.

August 2009