

**GOVERNANCE DOCUMENT OF THE  
DEPARTMENT OF ECONOMICS**

**Iowa State University**

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**List of Abbreviations**

CALS:	College of Agriculture & Life Sciences
EGSA:	Economics Graduate Student Association
ISU:	Iowa State University
LAS:	College of Liberal Arts and Sciences
POS:	Program of study
PRS:	Position responsibility statement
P&T:	Promotion and/or tenure
P&T Committee:	Promotions and Tenure Advisory Committee
P&T voting professors:	Promotion and tenure voting professors
PTR:	Post-tenure review

## **GOVERNANCE DOCUMENT OF THE DEPARTMENT OF ECONOMICS Iowa State University**

Original version adopted November 12, 1957;  
Present version includes additions and revisions from professors' meetings through the date of adoption, April 2, 2019

### **1. Organization of the Economics Department**

#### **1.1. Departmental Organization**

The department chair is responsible for the overall administration of the department. In addition, the department chair takes primary administrative responsibility for the research and extension programs in economics. Matters involving fund allocations, new positions, proposals for contracts and cooperative agreements, and other policy questions in those areas should be discussed directly with the department chair.

The department chair is responsible to the deans of CALS and LAS for seeing that policies or allocations made by them, or by the vice provosts, provost, president, and Board of Regents, are carried out appropriately within the department. The department chair is responsible to college administrators for maintaining continuity and stability in the operations of the department and for the fulfillment of agreements made with them even though these agreements may have been negotiated by the department chair at the request of individuals or groups within the department. The department chair cannot delegate these responsibilities without the approval of the dean or deans concerned.

The department chair's responsibilities are those of contributing to the enhancement of the professional stature of the department, facilitating the professional development of the department personnel, and trying to create and maintain physical conditions, services, and patterns of communication that will increase the productivity and strengthen the morale of the department.

In pursuit of these objectives, the department chair will discuss major policy issues with the economics professors and/or the Economics Council. The memberships of these two groups are defined below.

A proposal affecting the work of the department may be initiated by anyone interested in the department's work. Proposals of major importance will be discussed by the department chair and interested members of the economics faculty. After discussion has been conducted, it may be necessary for the department chair to make a decision about resource use within the limits of existing authorizations. If there is substantial disagreement within the department on the subject of such a recommendation, the department chair shall indicate to the college administrators the nature of the disagreement.

Delegation of various administrative and coordinating responsibilities to faculty, committees, and other personnel will be made at the discretion of the department chair.

Any faculty member or student may communicate directly with the department chair and other departmental administrative officers. Questions of administrative policy that are within the

overall jurisdiction of the department chair may be referred by the department chair for discussion and recommendations to the Economics Council and/or the economics professors.

## **1.2. Economics Professors**

The Economics Professors consist of all tenured and tenure-track faculty who have appointments in and receive all or part of their salaries from the department or whose primary academic affiliation is with the department.

## **1.3. Term Faculty**

The Term Faculty consists of all faculty whose appointments are not eligible for tenure who have appointments in and receive all or part of their salaries from the department or whose primary affiliation is with the department.

## **1.4. Economics Faculty**

The Economics Faculty consists of all Economics Professors and those Term Faculty holding appointments of more than one year.

The Economics Department is committed to a policy of shared governance in which the Economics Faculty have input on matters significant to the department. The Economics Professors have full voting rights in department business as described in this document.

Members of the Term Faculty holding appointments of more than one year have voting rights on matters related to the hiring, review and advancement of term faculty, undergraduate curriculum, and advising.

The Chair may at his/her discretion appoint members of the term faculty to all standing and ad hoc committees with responsibilities related to the hiring, review and advancement of term faculty, undergraduate curriculum, advising, or other topics for which the term faculty member has knowledge or expertise relevant to the work of the committee in question. Expectations related to term faculty participation in departmental service activities will be spelled out in each faculty member's PRS.

## **1.5. Meetings of the Economics Faculty**

Regular meetings of the Economics Faculty will be held at 3:40 on the first Tuesday of each month of the fall and spring semesters of the academic year. Additional meetings can be called by the department chair or the chair of Economics Council.

Meetings of the Economics Faculty will be chaired by the chair of Economics Council or a designated representative. The secretary of Economics Council shall record substantive actions at the faculty meetings and distribute these minutes to the economics faculty. The EGSA may select one graduate student from the department as a representative to Economics Faculty meetings, but without voting status.

Staff members not included in the Economics Faculty group may ask the chair of the Economics Council for an opportunity to present suggestions to the council as a whole. They may also ask

the department chair for an opportunity to present suggestions to the Economics Faculty at one of their regular meetings.

## **1.6. Courtesy Appointments**

- 1.6.1. The requirements for a courtesy appointment in the Department of Economics include:
- The individual must have a tenure-track or tenured position in another department at ISU.
  - The individual must have a Ph.D. degree in economics, agricultural economics, resource economics or associated areas.
  - The person must have the potential to provide tangible benefits to the department. These benefits may include, but are not restricted to, publishing in economics journals or in journals in related areas, serving on program of study committees of graduate students, actively participating in departmental workshops, assisting in research fund raising, or co-authoring papers with economics professors.
- 1.6.2. The evaluation process will be as follows:
- Consideration of a candidate may be initiated either by a request for a courtesy appointment by the candidate to the department chair or by a nomination from a member of the economics faculty.
  - All requests/nominations for courtesy appointments will be reviewed by Economics Council, which will make a recommendation to the chair.
    - If the Economics Council recommends that the request/nomination be denied and if the chair agrees, the request/nomination should be denied
    - If the chair disagrees, the request/nomination should be put to a vote of the Economics professors.
    - If the Economics Council recommends for accepting the request/nomination, it should be put to a vote of the Economics professors.

Information about the candidate for a courtesy appointment will be communicated to members of the economics professors along with an electronic ballot offering the choice to approve the nomination or requesting further discussion at a future meeting of the Economics professors. The ballot will remain open for one full calendar week. The results of the ballot are advisory to the chair.

In the event the chair determines that further discussion of a nomination is warranted a second ballot will be distributed subsequent to the meeting at which the discussion takes place, with the option to vote for or against the offer of a courtesy appointment. The results of the ballot are advisory to the chair.

It is the responsibility of the department chair to communicate the results of the nomination to the candidate when there is a positive decision, or when there is a negative decision when the candidate has requested a courtesy appointment.

The courtesy appointment will be subject to nonrenewal by the department at its discretion.

## 1.7. Economics Council

- 1.7.1. The Economics Council will act as the executive committee of the Economics Faculty between meetings of the latter group, and will submit reports of its activities to the economics faculty on matters of major concern. The council (a) will undertake more intensive consideration of policies and programs than would be feasible for the economics faculty as a whole and (b) will advise the department chair and the other officers on matters which do not warrant discussion by the economics faculty as a whole or on which discussion by the larger group might be inadvisable. Thus, the department chair and the other officers may call on the council for preliminary discussion or "pretesting" of certain suggestions prior to discussing them with the economics faculty as a whole or for advice on matters concerning the work of individual staff members. The council may also call on the department chair and/or the other officers to meet with it to discuss matters appropriate to its function as the executive committee of the economics faculty. Major policy recommendations of the Economics Council will be brought to the economics faculty meetings before being acted upon by the department chair or the department chair's representatives.

The council will consist of seven members: six from the Economics Professors and one from the Term Faculty all of whom serve two-year terms. The six members from the Economics Professors are composed of two from the CALS group, two from the LAS group, and two elected at large. The two members at large shall be elected after the other four members have been elected. A member of Economics professors is in the CALS group if over 50% of his/her salary comes from CALS and is in the LAS group if over 50% of his/her salary comes from LAS. Those whose salaries are evenly divided between CALS and LAS will specify with which college they will be identified for the purpose of voting and election to office.

All members of the economics professors except the department chair and untenured members of Economics professors in their first two years in the department, are eligible to serve as members. Faculty may withdraw their names from eligibility due only to (a) physical absence from campus, (b) physical incapacitation to serve, and/or (c) service on council in a currently expiring term.

The Term Faculty member is elected by a vote of the Term Faculty, and the members from the Economics Professors are elected by a vote of the Economics Professors. All members of the Economics Faculty are eligible to vote for members of the Economics Council. In voting for a representative from a given group, each member of that group is entitled to one vote in each stage of the election.

The election for representatives of each group shall be conducted in two stages. In the first stage the list of eligible candidates shall be reduced to the three having the highest number of votes. In the case of a tie for the third position, all candidates who are tied for this position will be placed on the second-round ballot. In the second stage the candidate having the largest number of votes among the three listed shall be declared elected for a two-year term of office. In the case of a tie in the second stage, a runoff election will be held in which the top candidate's names will be placed on the ballot and each member of the CALS group will be asked to vote for one of these individuals.

The election for members at large shall follow the group elections and utilize the same patterns.

In the case of an election in which two individuals are to be elected to represent a group such as when two individuals are leaving Economics Council due to a leave, resignation, illness, etc., or in the case of an election for the department chair recruiting committee, the procedure will be modified so that the names of four individuals instead of three will be placed on the second-round ballot.

- 1.7.2. The council shall meet at least once a month during the fall and spring semesters of the academic year, starting with the month in which the elections are completed. The council shall elect its own chair, vice chair, and secretary. The chair or, in his/her absence, the vice chair, shall call the meetings of the council. Four members of the council shall constitute a quorum. Following the meeting of the council, the chair of the council will notify all faculty of the agenda for the next faculty meeting and/or any substantive actions taken during the meeting.

Any staff member may bring to the attention of the council any suggestion or question in connection with which the council can function in accordance with the statement of its function above. The council may ask any staff member to meet with it to provide information or opinion that the council thinks may help it discharge its responsibilities.

The department chair will not normally meet with the council except upon request of the department chair or the council. If the council wishes to do so, it may communicate with the department chair through the chair of the council.

The Economics Council will not have administrative authority over any individual or group within the department nor will it have responsibility for negotiations outside of the department. These are functions of the department chair, subject to such delegations as may be made by the department chair for specific purposes.

It is the responsibility of the chair of Economics Council to administer any election for the department's faculty senate seat. The election should be conducted in compliance with the faculty senate by-laws. If there are no consenting nominations within two weeks of the date of call for nominations, Economics Council should invite the department chair to solicit a consenting nominee. If no consenting nominations can be found within six weeks of the date of call for nominations, then the departmental senate seat will be surrendered as an at-large seat to be filled for the duration of the term. Subject to compliance with the senate by-laws, the open seat will be surrendered to LAS whenever it was last affiliated with CALS and it will be assigned to CALS whenever it was last affiliated with LAS.

## **1.8. Standing Committees**

Standing committees will be appointed by the department chair in connection with a number of continuing or recurrent activities in which faculty consultation and cooperation are important. The department chair will announce these departmental committee appointments, except for the

Recruiting Committee, by August 15 before the start of each academic year.

Standing committees shall present their reports to the department chair. Copies of these reports shall go to the Economics Council when either the department chair or the chair of the reporting committee thinks this is desirable, except that recommendations by the Economics Curriculum Committee for catalog changes shall go simultaneously to the department chair and the economics professors.

Action in response to committee recommendations is, in general, the responsibility of the department chair or his/her designated representatives. Committee responsibility that would involve new policies or procedures of major concern to the economics faculty will be discussed with the economics professors. In the interest of effective communication and discussion, the department chair may ask the Economics Council to meet with a committee chair or with an entire committee so that issues may be clarified in advance of action by the department chair or of discussion with the economics professors as a whole. Most standing committees will be dealing with activities about which free and informal discussion with any economics faculty member will be beneficial.

In addition to the Economics Council the department's standing committees are the: Promotion & Tenure Advisory Committee, Budget Advisory Committee, Computer Committee, Curriculum Committee, Graduate Programs and Policy Committee, the Peer Evaluation of Teaching Committee, and the Staff Planning Committee. In addition, the Chair may appoint ad hoc committees as needed. The responsibilities and membership of each of these committees is described below.

- 1.8.1. **Promotion & Tenure Advisory Committee (P&T Advisory Committee).** The P&T Advisory Committee is responsible for conducting the review of all promotion and tenure and contract renewal cases involving Economics Professors, and tenured offers to individuals who are not currently members of the Economics Department. The department chair will appoint the members of the P&T Advisory Committee in accordance with the following criteria:
- The committee will consist of six to eight tenured members of the Economics Professors
  - Normally the committee will include one or two associate professors and five to seven professors. Associate professors will not participate in matters concerning promotion to professor.
  - There will be at least two members from LAS, two members from CALS without Extension appointment and one member from CALS with an Extension Appointment.
  - It is important that the P&T Committee be unbiased in dealing with candidates for promotion, tenure, and contract renewal. When the committee is first convened, the department chair will meet with the committee to ascertain if any member of the committee has any reason to believe that he/she might not be able to function in an objective and unbiased manner with respect to any candidate under review. It is important to note, in this respect, that even the appearance of potential bias is damaging to the review procedure, and would constitute the basis for excusing a member of economics professors from serving on the committee, irrespective of how he/she felt about his/her own capacity to function objectively.

- The department chair will not designate a chair of the P&T Committee. As soon as the conditions stipulated in the preceding paragraph have been met, the department chair will leave, and the first order of business of the committee will be to select its own chair and to determine its own procedural rules.

- 1.8.2. **Budget Advisory Committee.** The Economics Council will appoint a Budget Advisory Committee consisting of the chair of Economics Council and five members of economics professors not currently serving on Economics Council. The five professors who are not members of Economics Council have staggered two-year appointments. The committee will be composed of two members from LAS, one member from CALS without an extension appointment, one member from CALS with an extension appointment, and one member at large.

The purpose of the Budget Advisory Committee will be to provide a mechanism through which the economics professors can participate more fully in departmental budgetary decisions. The committee will work out procedures with the department chair as to how best to serve these functions. The Budget Advisory Committee and the department chair will report at least annually to the economics professors on the budget.

- 1.8.3. **Computer Committee.** The Computer Committee is responsible for approving and overseeing the use of student computer fee funds (CAC) allocated to the department; preparing computer hardware, software, or related proposals for funding by higher-level administrative units at ISU; and advising the chair on matters concerning departmental hardware, software, or related needs.
- 1.8.4. **Undergraduate Programs and Policies Committee.** The Undergraduate Programs and Policies (UPP) Committee is responsible for oversight and periodic review of the department's undergraduate programs. It is responsible for reviewing all proposals for new courses, changes to course numbering, and course descriptions and new course proposals offered primarily for undergraduate students. The UPP also serves as an advisory body for the Director of Undergraduate Studies who is the chair of the Committee. All members of the UPP are appointed by the Department Chair in consultation with the Director of Undergraduate Studies.
- 1.8.5. **Graduate Programs and Policies Committee.** The Graduate Programs and Policies (GPP) Committee is responsible for oversight and periodic review of the department's graduate programs. It is responsible for reviewing all proposals for new courses, changes to course numbering, and course descriptions and new course proposals offered primarily for graduate students. The GPP is chaired by the Director of Graduate Education (DOGE). The members of the GPP are appointed by the Department Chair in consultation with the DOGE.
- 1.8.6. **Peer Evaluation of Teaching Committee.** The Peer Evaluation of Teaching Committee is responsible for coordinating the required peer teaching evaluations of faculty. The Committee consists of the department chair, and two members of the Economics Faculty at the rank of Associate Professor or higher. The committee will select appropriate peer evaluators for each faculty member being evaluated and review the resulting evaluations to ensure that evaluations are carried out fairly and consistently.

- 1.8.7. **Staff Planning Committee.** The Staff Planning Committee is responsible for advising the department chair about recruiting priorities, and drafts position descriptions for any faculty positions for which the department receives authorization to search. The department chair will appoint a Staff Planning Committee.
- 1.8.8. **Committee on Named Positions.** The committee on named positions consists of three tenured faculty, one of whom holds a named position, one at the associate professor rank and one professor. The members of this committee are appointed by the department chair each year.
- 1.8.9. **Action Plan Mediation Committee.** In the case that a faculty member receives an unsatisfactory annual evaluation or a below expectations post-tenure review, Economics follows the policies outlined in Chapter 5 of the Faculty Handbook and college governance documents. It is expected that the department chair and the faculty member will work toward resolution of any disagreements with a proposed written action plan and will resolve any disagreements within 10 working days from the date the faculty member received the proposed written action plan. In the event that a committee is required to mediate an action plan, however, a three-member action plan mediation committee will be formed. One member of the committee will be selected by the Department Chair, one member will be selected by the faculty member for whom the action plan has been written and the third member will be selected through a ballot of the Economics Council members. If the faculty member affected fails to select a member within 5 working days this appointment will default to the Department Chair.

## 1.9. Professors Emeriti

- 1.9.1. Departmental goals with respect to professors' emeriti are:
- To provide, if desired by the professor emeritus, an opportunity for continuation of relationships with the department, particularly in, but not limited to, the following areas: recruitment of faculty and students, seminar selection and arrangements, counseling of faculty and students in teaching, research and extension matters, review of manuscripts, review of research proposals and teaching plans, and substitute teaching.
  - To produce complementary relationships between the career development activities of active faculty members and the continuing activity by professors emeriti.
- 1.9.2. The privileges and perquisites compatible with the departmental goals are:
- To serve as a member on POS committees.
  - To serve, with the approval of the department chair, as a co-chair of a POS committee provided the other co-chair is a full-time active faculty member and a member of the graduate faculty.
  - To participate in the business of the economics faculty, including attendance at meetings, in an advisory capacity.
  - To be eligible for appointment as a member of departmental committees in either an advisory or voting capacity at the option of the appointing departmental administrator.
  - To have current expense and assistantship help on a research project that is

requested by college level administrators, that is compatible with the skills and experience of the professor emeritus, and for which no qualified, active faculty member wishes to assume major responsibility.

- f. To participate in teaching and extension activity that is consistent with university policy for temporary employment of professors' emeriti and to a degree up to, but not including, the major responsibility for a course or major extension program, upon request.
- g. To have limited office space and help, if available, in a location mutually convenient for the professor emeritus and for the operational needs of active faculty and faculty teams of the department. To have secretarial and clerical help to the degree required for duties performed in the interest of the department. The provision of office space and help will, in part, be contingent on the continuation of frequent interaction with some activities of the department.

## **2. Procedure for Recruitment of Tenured or Tenure Track Faculty**

### **2.1. Minimum Qualifications**

To be appointed to a tenured or tenure eligible faculty position the minimum qualification is a Ph.D. in Agricultural Economics, Economics, or a related field. In the event that the Staff Planning Committee recommends an exception to these minimum qualifications the Economics Council will review the reasons for the exception and make a recommendation to the Department Chair. The Department Chair will then convey this recommendation to the Dean's Office.

### **2.2. Recruiting Committee**

When the department is authorized to conduct a search for a new member of the Economics Professors, the department chair will appoint one or more Recruiting Committees. The chair may appoint a recruiting committee for each position authorized, a single recruiting committee for all positions, or two committees; the Recruiting Committee, CALS; and the Recruiting Committee, LAS. In either case, the committees will consist of a chair appointed by the department chair and members of economics professors from both colleges. The department chair will not serve as a member or chair of any recruiting committees.

### **2.3. Recruiting Procedures**

- 2.3.1. If an opportunity should arise for a new position, the department chair will inform the Staff Planning Committee of this option. The committee will meet to formulate a description of the job and type of person desired for the position. In general, the committee will consult with individuals in the department who hold a special subject matter interest in the area in which the position is located. The job description proposed by the Staff Planning Committee should be presented normally to an economics professors meeting for approval.
- 2.3.2. The Staff Planning Committee will advertise the vacant position in the appropriate professional media; registries; letters to other departments, government agencies, and firms; and through other potentially productive channels to assure that information about the vacancy is widely disseminated. In all matters concerning

recruiting and hiring, the department, the Staff Planning Committee, and the Recruiting Committee will adhere to state and federal fair employment regulations and to procedures consistent with ISU affirmative action procedures.

- 2.3.3. A file typically consisting of a vita, letters of recommendation, grade transcripts, and other evidence of professional merit will be compiled for each candidate and maintained in the office of the department chair. These files will be available to all economics professors.
- 2.3.4. Normally the Recruiting Committee will select three or more candidates from among the applicants to invite to campus. Upon visiting the department, each candidate will typically meet interested faculty, administrators, and where appropriate, students and give a seminar. Prior to the visit, all resident faculty will be invited to make an appointment to interview the candidate. Vitae will be distributed to those interviewing the candidate and other interested professors. Following the visit, all faculty will be invited to comment on the candidate and to express their preferences among candidates.
- 2.3.5. The Recruiting Committee will consider all relevant information in formulating and submitting recommendations to the economics professors assembled. A secret electronic ballot will be held following the professors meeting. The ballot will ask members of economics professors to rank the candidates and an additional option to search further. The recommendations of the Recruiting Committee will not appear on the ballot. The ballot will be advisory to the department chair.

## **2.4. Procedure for appointment and re-appointment of faculty to named positions**

- 2.4.1. When a named position becomes available, either through a new gift or because an existing position has been vacated, the chair will review with the Committee on Named Position the criteria for the position and the committee will provide the chair with a list of up to three candidates for the position, with rationale for each. The chair will then make a final decision and recommendation to the Dean of the relevant college.
- 2.4.2. When the term of a faculty member holding a named position expires, the Department Chair will consult with the Committee on Named Positions, and the committee will decide whether to recommend re-appointment or the appointment of another faculty member to the position. The Department Chair will then evaluate this recommendation and make a recommendation to the Dean of the relevant college.

## **3. Procedures for Appointment of Term Faculty**

### **3.1. Term Faculty Titles**

Section 3.2. of the ISU Faculty Handbook describes key aspects of Term Faculty Appointments. Term Faculty Titles available for use by the Department of Economics are:

- **Teaching Faculty: Lecturer, Assistant Teaching Professor, Associate Teaching Professor, and Teaching Professor.** Teaching faculty contribute primarily to the teaching mission of the university and must devote at least 75% of their time to instruction, advising, curriculum coordination and other responsibilities related to the teaching mission. The title Lecturer is reserved for early career teaching faculty with contracts of one year or less.
- **Practice Faculty: Assistant Professor of Practice, Associate Professor of Practice, Professor of Practice.** Professor of Practice faculty must have significant relevant professional experience outside of academia that qualify them to make a contribution to instruction and/or advising. All Professor of Practice faculty must devote at least 75% of their time to teaching in their area of expertise and related institutional and professional service.
- **Research Faculty: Research Assistant Professor, Research Associate Professor, Research Professor.** Research faculty must devote at least 80% of their effort to externally-funded research, and they must have opportunity to move toward research independence. At least 10% of their salary shall be paid from the general fund.
- **Adjunct Faculty:** Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor. Adjunct faculty typically are not focused on one area of faculty responsibility. Appointments under this category may be appropriate in facilitating the University's quest to hire and retain excellent faculty, including dual-career couples, as well as to carve out new areas of academic expertise and attract experts on extramural grants and contracts.

The lengths of term faculty appointments are specified in the ISU Faculty Handbook section 3.3.2.3.

### 3.2. Minimum Qualifications

The minimum qualifications for appointment to a teaching faculty position in the Department of Economics are either (1) an M.S. in Agricultural Economics, Economics, or a related field or (2) ABD status in a Ph.D. program in Agricultural Economics, Economics or a related field, or (3) a Master's degree in another field and demonstrated experience relevant to teaching economics or agricultural business management.

The minimum qualifications for appointment to a practice faculty position in the Department of Economics are a Bachelor's degree in a relevant subject and at least 6 years of full-time professional experience relevant to the responsibilities of the position held.

The minimum qualifications for appointment to a Research or Adjunct Professor position in the Department of Economics is a Ph.D. in Agricultural Economics, Economics, or a related field.

In the event of a proposal from the department chair or the staff planning committee to conduct a search requiring less than a minimum qualifications, the Economics Council will review the reasons for the exception and make a recommendation to the Department Chair. The Department Chair will then convey this recommendation to the Dean's Office.

### 3.3. Term Faculty Recruiting Procedures

The department chair may appoint term economics faculty at his/her discretion for up to one academic year. Appointments longer than one year, or the reappointment of Term Faculty who have previously been hired by the department requires the approval of the Economics Faculty.

When the opportunity to make Term Faculty appointment longer than one year arises, the Staff Planning Committee will develop a position description in consultation with the department chair and present to the Economics Faculty for approval. The department chair will appoint a recruiting committee that includes members of the Term Faculty to review candidates for the position. The recruiting committee will ordinarily select two to three candidates for interviews and campus visits. After the visits, the Economics Faculty will be consulted for their recommendations on the candidates.

When a Term Faculty member is appointed the department chair will develop a PRS for the Term Faculty member reflecting the responsibilities of their position.

### 3.4. Ranks and Lengths of Term Faculty Appointments

The Economics Department follows the guidelines established in the Faculty Handbook 3.3.2.3 regarding: (a) qualifications enumerated for term faculty at each rank, (b) the maximum length of appointment, and (c) the timing of re-appointment reviews and the maximum length of terms of appointment.

## 4. Procedures for Review, Re-appointment and Advancement of Term Faculty

### 4.1. Review and Re-appointment of Term Faculty

- 4.1.1 **Annual Review.** All Term Faculty appointed for longer than one year will undergo annual performance evaluations. The annual review of all Term Faculty will be based on their performance in the areas of their PRS. Term Faculty will have the opportunity to submit material and self-evaluations related to their performance. The performance evaluation will be conducted by the department chair based on the material provided and other evidence available to the chair. Each Term Faculty member will meet individually with the department chair and will receive a written evaluation from the department chair.
- 4.1.2 **Re-appointment Review.** Term Faculty on multi-year contracts will be reviewed for contract renewal in the penultimate year of the contract (i.e., for faculty with three-year contracts, the review will occur during the second year of the contract). For purposes of renewal reviews, the voting faculty will be all members of the Economics Professors and Term Faculty holding rank at least equivalent to the term faculty candidate for renewal. The review will be conducted by a Renewal Review Committee made up of three members. One member of the Renewal Review Committee (RRC) will be a term faculty member with the same title as the term faculty member under review and holding rank at least equivalent to the term faculty member being reviewed. The term faculty member will be appointed by the Department chair. Two members of the RRC will be appointed by the chair and the P&T Advisory Committee from among the P&T Committee membership. In the event

there are no term faculty eligible to serve on the RRC, the department chair will appoint the third member of the RRC from among those members of the Economics professors holding rank at least equivalent to the term faculty member under review.

The evaluation will be conducted in all areas of responsibility as detailed in the PRS. Prior to the review the Term Faculty member will be given the opportunity to submit a portfolio documenting her/his performance. The Renewal Review Committee will prepare a written report that is provided to the department chair. The department chair will make the report available to the candidate for renewal at least 10 days before it is to be discussed at a meeting of the Economics Faculty. The candidate will be invited to submit a written reply to the committee's report. Any reply must be communicated to the department chair within seven days. The department chair will provide the Renewal review Committee report and any written reply from the candidate to the voting faculty at least three days prior to their scheduled meeting. Following the meeting of the voting faculty at which the renewal review is discussed an electronic ballot will be distributed to the voting faculty, the results of which will inform the department chair's recommendation regarding appointment renewal. The department chair will inform the candidate for renewal of the results of the balloting as well as the chair's recommendation regarding renewal in a timely fashion.

- 4.1.3. **Special Considerations for Re-appointment of Research Faculty.** In order for research faculty members to be eligible for re-appointment, they must demonstrate research and scholarly productivity commensurate with tenure-stream faculty of the same rank, and must demonstrate independence as appropriate for their rank in their field (FH 3.3.2.2).

Since research faculty are expected to obtain the majority of their funding from external sources, the term appointments for research faculty must be contingent upon the availability of external funding. If a term research faculty member needs to be terminated before the end of their contract due to insufficient funding, the term-faculty member will be given a three-month notice of the termination. During the three months before termination, the faculty member's college will be responsible for providing any portion of the faculty member's salary not provided by external research grants, the faculty member's incentive account, or other internal sources (FH 3.3.2.2).

## 4.2. Advancement of Term Faculty

- 4.2.1. **Criteria for Teaching Faculty.** Term faculty appointments at the assistant/lecturer rank are eligible for promotion to the associate level after 5 years of employment as a faculty member at ISU (full or part-time) or equivalent experience. Consistent with the ISU Faculty Handbook 3.3.2.3 Term Faculty at the Associate rank have a record of successfully contributing to the mission of the university as defined in the PRS and promise of further academic and professional development. Successful candidates for promotion to Associate Teaching Professor will have demonstrated evidence of pedagogical development such as the use of creative teaching techniques, responsiveness to course assessments, innovative use of technology and/or collaboration with campus partners. Moreover, they will show promise of further academic and professional development as a scholarly teacher. For purposes of

advancement reviews, the voting faculty will be all members of the Economics Faculty higher in rank than the candidate for advancement.

Advancement for term faculty to the Professor rank is appropriate for term faculty who have proven their excellence in the primary responsibilities identified in their PRS and effectiveness in any other areas of their PRS. Promotion to the professor rank is dependent upon the individual's performance and is not a function solely of time in rank. As described in greater detail in the College of Liberal Arts and Sciences Policy in Term Faculty, Appointment, Renewal and Advancement, advancement to the rank of Teaching Professor requires participation in the mission of the university beyond routine classroom teaching in a sustained and substantial manner.

- 4.2.2. **Criteria for Practice and Research Faculty.** The Economics department follows the criteria for advancement for Practice and Research Faculty elaborated in the College of Liberal Arts and Sciences Policy in Term Faculty, Appointment, Renewal and Advancement.
- 4.2.3. **Process for Advancement Review of Term Faculty.** Term faculty wishing to be considered for advancement in rank should communicate this fact to the department chair in the spring of the academic year prior to that in which they wish to be considered. Candidates for promotion in rank will complete the sections of the P&T dossier relevant to their PRS and submit this dossier to the department chair no later than September 15. External letters are not required except for Research Faculty positions.

Review of the term faculty dossier will be conducted by the Advancement Review Committee (ARC) composed of two members from the P&T Advisory Committee appointed by the P&T Advisory Committee Chair and one Term Faculty member with the same title as the candidate for advancement and holding a rank higher than the candidate for advancement appointed by the department chair. If there is no eligible term faculty member, the department chair will appoint a member of the Economics professors holding a rank higher than the candidate for advancement as the third member of the ARC. The ARC is responsible for preparing a report describing and evaluating the candidate's qualifications for advancement. The report should be composed of two parts: (1) a descriptive component that will be shared with the candidate at least 10 days prior to the meeting at which the candidate's advancement is discussed, and (2) a summative evaluation component. The summative evaluation is treated as confidential and is not to be shared with the candidate. Only the chair and other members of the voting faculty may read the summative evaluation component.

The Advancement Review Committee will transmit the descriptive component of its report to the department chair, who is responsible for communicating it to the candidate at least 10 days prior to the meeting of the voting faculty at which it will be discussed. The candidate will be invited to submit a written reply to the committee's report. Any reply must be communicated to the department chair within seven days. The department chair will provide the Advancement Review Committee report and any written reply from the candidate to the voting faculty at least 3 days prior to their

scheduled meeting. The candidate's written response (if one is submitted) will be included in the advancement materials as an appendix to Tab 2 of the advancement dossier. Following the meeting of the voting faculty at which the renewal review is discussed an electronic ballot will be distributed to the voting faculty. Following the meeting of the voting faculty the Advancement Review Committee will finalize the summative evaluation component of its report to reflect any additional views or information that emerged from the discussion at the meeting and communicate it to the department chair for inclusion in Tab 3 of the advancement dossier.

The department chair will make an independent evaluation of the advancement case informed by the report of the Advancement Review Committee and the ballot of the voting faculty. The chair will explain to each candidate in writing both the faculty evaluation committee's recommendation and the chair's recommendation before they are submitted to the college. The chair may decide to support or not support the advancement. If the chair's decision is not to support the advancement, the candidate may withdraw his/her application for advancement or request that the application be submitted for consideration by the dean of the college. If the chair's recommendation is to support the advancement, the chair will submit the Advancement Review Committee's report and the chair's letter of recommendation to the dean.

## **5. Procedures for Review of Members of Economics Professors for Contract Renewal, Promotion, and Tenure**

### **5.1. General Information**

Evaluation of a member of economics professors for contract renewal, promotion, and/or tenure is based primarily on evidence of scholarship in his/her teaching, research, and/or extension/professional practice. In all areas of professional activity, a member of economics professors is expected to uphold the values and follow the guidelines in subsection 7.1.2 "Professional Responsibilities" of the ISU Faculty Handbook.

A key tool in the review of members of economics professors for contract renewal, promotion, and/or tenure is the PRS. The PRS(s) that was (were) effective during the period since the economics professor's member's initial appointment or most recent promotion is (are) used in the review process to interpret the extent, balance, and scope of his/her scholarly achievements.

All members of economics professors are expected to engage in scholarship in their teaching, research, and extension/professional practice. Scholarship is creative, systematic, rational inquiry into a topic and the honest, forthright application or exposition of conclusions drawn from that inquiry. It builds on existing knowledge and employs critical analysis and judgment to enhance understanding. Scholarship encompasses three areas of faculty activity: teaching, research, and extension/professional practice. The nature of scholarly work varies with the position responsibilities of the member of economics professors. In the contract renewal, promotion, and/or tenure review process, however, evidence that a significant portion of his/her scholarship has been documented (i.e., communicated to and validated by peers beyond the university) is required.

Each member of economics professors under consideration for tenure, promotion or contract renewal in the Department of Economics will prepare a dossier using the template provided by the college of his/her tenure home. This dossier is expected to include information on the quantity and quality of the candidate's classroom teaching including a complete set of evaluation summaries, research including reprints and working papers, extension or outreach, and institutional or professional service while employed at ISU. In addition, each candidate is invited to place in the dossier any additional information that he/she deems relevant with regard to possible promotion, tenure, or contract renewal. This dossier is a major part of the evidence considered by the P&T voting professors and the department chair in formulating recommendations concerning possible promotion, granting of tenure, or contract renewal for the candidate. To be considered for P&T, a candidate should submit the dossier to the department chair by August 15. If a candidate for whom review is mandatory fails to submit the dossier by August 15, then the department chair will provide materials based on the most recent annual report, and will choose outside reviewers as necessary. This dossier, the letters from off-campus references, and any other information considered by the P&T Committee shall be made available to the P&T voting professors prior to the meeting of the P&T voting professors at which the candidate's case is considered.

## **5.2. Timing of Contract Renewal, Promotion and Tenure Reviews**

As described in the Faculty Handbook 5.1.1.3. "Probationary faculty members are typically reviewed in the second or third year of their appointments. The purpose of this review is to provide constructive, developmental feedback to probationary faculty regarding progress in meeting departmental criteria for promotion and/or tenure. This review also informs the decision to reappoint during the probationary period." The timing of the preliminary review will be explicitly established at the time of appointment and documented in the Letter of Intent.

A tenure-track assistant professor is normally reviewed for P&T in the sixth year. According to the Faculty Handbook 5.2.1.5 "a faculty member's usual probationary period of seven years at Iowa State University may be reduced through credit for prior faculty service at other academic institutions. The amount of time credited will be determined by the specific relevance of the prior service to the needs and criteria of Iowa State University." The granting of credit for prior service is always optional. Any credit for prior service must be established at the time of hire and documented in the Letter of Intent (LOI). At the time of the promotion and tenure review the focus of the review is on the most recent five-year period. As addressed in the Faculty Handbook 5.2.1.3. a faculty member may upon consultation with the department chair " be reviewed for tenure at any time he or she has satisfied the criteria and requirements for promotion and tenure." As noted in the July 2014 communication from the Provost regarding "Timing of Promotion and Tenure Review"; rather s/he must fully meet the departmental and university expectations for promotion and tenure.

As described in the Faculty Handbook 5.2.1.4. the probationary period (including the time prior to the preliminary review) may be extended for a number of reasons including but not limited to the birth of a child, significant responsibilities associated with caring for a related elder, spouse or partner, medical conditions. It is the responsibility of the faculty member to request any such extension as soon as possible, but no later than April 1 prior to the academic year in which the promotion and tenure review is scheduled to be conducted.

In any event, consideration for tenure is mandatory in the penultimate year of the probationary period unless the candidate has resigned from the university effective at or before the end of the probationary period of employment. A tenured associate professor seeking promotion to professor, or an untenured associate professor seeking tenure may request consideration whenever he/she feels that the qualifications for rank or tenure have been met. Tenure-track members of economics professors in their probationary period will typically be reviewed for contract renewal during the year preceding the final year of their existing contract.

### **5.3. Off-Campus References**

- 5.3.1. Off-campus references must be solicited for all members of economics professors who are being considered for P&T. This requirement is subject to the following provisions and understandings.
  - a. The term "off-campus references" is used deliberately. The references will be recognized scholars in the candidate's area of specialization.
  - b. The identities of the external reviewers and the verbatim content of the reviews are regarded by the university as confidential to the extent permitted by law. The reviews shall be released only to those individuals who are authorized to review the file and make P&T recommendations. Authorized individuals include the department chair, the P&T voting professors (see subsection 3.4), college and university P&T committees, and appropriate college and university administrators.
  - c. When a particular P&T review has been successfully accomplished, letters of reference solicited for that purpose will not be used for subsequent P&T procedures. For example, letters solicited for the promotion of an individual from assistant to associate professor will not be used again when the person is considered for promotion to professor. However, the same persons may be asked to again write references.
- 5.3.2. References will be chosen in the following manner.
  - a. The Faculty Handbook specifies that there should be a minimum of 4 and a maximum of 6 letters. Every effort will be made to secure 6 letters.
  - b. Two references will be chosen by the candidate. The names of these references should be communicated to the department chair by June 15.
  - c. Four references will be chosen by the P&T Committee. It is recognized that this committee may lack the necessary information on recognized scholars in the field or other knowledgeable persons. In such cases, the committee may request suggested names from the Economics Professors, using the department chair as intermediary.
  - d. In the file of the candidate's letters that is made available to the P&T voting professors, a memo will be inserted that identifies which of the letters were from persons designated by the candidate.
- 5.3.3. The solicitation of letters of reference is the responsibility of the department chair. References will be asked to comment on the candidate's work with respect to professional competence, originality, and importance.

- 5.3.4. References will be sent (a) the candidate's curriculum vita, (b) copies of relevant publications, including those in press or under consideration for publication, (c) representative documents submitted by the candidate, (d) a relevant PRS, and (e) other appropriate supporting materials.
- 5.3.5. All letters of reference received will be forwarded to the dean's office together with other material relevant for P&T cases.

#### **5.4. The Review Process**

- 5.4.1. The P&T Committee will examine the background information relating to each candidate for promotion, tenure, or contract renewal. The committee may request additional written material from candidates through the department chair. Based on the information made available to them, the committee is responsible for preparing
- a written factual summary of the candidate's scholarship in teaching, research and/or extension/professional practice, and contributions to institutional service during the probationary period that highlights both strengths and weaknesses in the candidate's performance.
  - a written evaluation of the case for or against promotion, promotion and tenure, or contract renewal. The committee will formulate a preliminary draft of this evaluation and present it at the meeting of the P&T voting professors, but will finalize the report in light of discussion at the meeting of the P&T voting professors.

Members of the P&T committee cast their official votes for or against promotion, promotion and tenure or contract renewal, along with other members of the P&T voting professors. However, the P&T committee may adopt a process of informal voting or straw polls to facilitate its work in drafting an evaluation of the case for or against promotion, promotion and tenure, or contract renewal. Any such voting will not be officially recorded, nor will it be reported to the department chair or the P&T voting professors.

- 5.4.2. When the department chair receives the report of the P&T Committee, the department chair will make the written factual summary (but not the evaluation) available to the candidate under consideration for promotion, tenure, or contract renewal. When a candidate for a tenured appointment is external the report of the P&T Advisory Committee is not shared with the candidate. This report will be provided to the candidate at least ten days before the scheduled meeting of the P&T voting professors. The purpose of making the P&T Committee's report known to the candidate is to provide the candidate with the opportunity to address any apparent inaccuracies in the summary. The candidate will have the opportunity through informal communication with the chair to request changes to the factual summary that the chair will communicate to the P&T Advisory Committee. Alternatively, the candidate will have the option to provide a written response to the committee's report. Any written response must be provided to the department chair within seven days of receiving the report. It is understood that the candidate is under no obligation to write such a reply, and that silence on the candidate's part is not necessarily to be construed as acceptance of the report. The candidate's written reply to the P&T

Committee's report may be forwarded to the college and university promotion and tenure committees at the candidate's discretion.

The chair will make available to the voting professors the P&T Advisory Committee's report at least three days prior to the meeting of the P&T voting professors at least three days before the scheduled faculty meeting. If the candidate has submitted a written response, this response will be distributed at the same time.

- 5.4.3. Candidates for tenure who are not currently members of the Economics department will be evaluated by the department P&T Committee using information at the committee's disposal. To the extent feasible under prevailing circumstances, the P&T committee will solicit information from reviewers independent of those suggested by the candidate. The department P&T Committee will report directly to the department chair and the Economics Professors. The report of the P&T Committee will not be made available to the external candidate for review and reply. In the file of the candidate's letters that is made available to the Economics Professors, a memo will be inserted that identifies which of the letters were from persons designated by the candidate.
- 5.4.4. The P&T voting professors consist of all eligible members of economics professors.
- In the cases of contract renewal and possible promotion to associate professor, eligible economics professors consist of all tenured associate professors and professors excluding the department chair and individuals currently serving in college or university administrative positions.
  - In the cases of possible promotion to professor, eligible voters consist of all tenured professors excluding the department chair and individuals currently serving in college and university administrative positions.

Members of economics professors are considered to be "serving in college or university administrative positions" if more than 50% of their present salary is budgeted through the college or university administration rather than the department.

The P&T voting professors include economics professors who are on leave with pay, leave without pay, on loan, or are stationed outside of Ames. The P&T voting professors also include newly appointed or recently resigned economics professors meeting the above qualifications if they are being paid by the department at the time of balloting for contract renewal, promotion, or tenure.

- 5.4.5. At the meeting of the P&T voting professors, the chair or other members of the P&T Committee will answer any questions that may arise concerning the reasoning and facts that went into the P&T Committee's report.
- 5.4.6. All members of the respective P&T voting professors are given an opportunity to vote by secret ballot on candidates. P&T voting professors members who are on leave with pay, leave without pay, on loan, or are stationed outside of Ames are eligible to vote provided they submit their votes before the closing date/time established for the ballot. The ballot shall list the names of all candidates under consideration for promotion, tenure, and contract renewal with an opportunity for each eligible voter to indicate a vote for or against the candidate as well as the possibility to abstain from voting.

Each person reviewed for promotion, tenure, or contract renewal shall be informed in writing by the department chair, before the department's recommendations are submitted to the college, as to whether a recommendation will be forwarded for that person, the results of the secret ballot of the P&T voting professors and, the nature of the recommendation or recommendations. Candidates who are not being recommended by the P&T voting professors or the department chair, or both, shall be informed in writing of the reason. This information should be presented in a constructive manner and, where appropriate, should include guidance for improving performance in terms of the department's criteria.

## 5.5. Evaluation Criteria

In the P&T review process, the emphasis is on the critical evaluation of the scholarly nature of the candidate's achievements by professional peers, including peers external to the university. Evidence should be presented as to the impact of the scholarship in terms of its depth, duration, and/or persistence of influence or use (e.g. citations, adaptations or use by others), as well as its public and critical appreciation. Scholarship can be manifested in all three areas of teaching, research, and extension/professional practice. But because scholarship implies that one has a solid foundation and is current with developments in the field(s) of interest, scholarship in economics typically requires active engagement in research.

The following paragraphs provide examples of activities that may be documented in each area of responsibility. Teaching, research, and extension/professional practice are central to the mission of ISU. Institutional service is also an important contribution that members of economics professors make to ensure effective governance at all levels of the university.

5.5.1. **Teaching.** Most members of economics professors have significant teaching responsibilities, and the quality of their teaching is a major factor in evaluating their accomplishments and performances. Teaching is a scholarly and dynamic endeavor and covers a broad range of activities. Some examples of teaching activities include the following:

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

When teaching is part of an individual's assignment, effectiveness is an essential criterion for advancement. Members of economics professors must demonstrate command of their subject matter, continuous growth in the subject field, and an ability to create and maintain instructional environments to promote student learning.

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

learning. Teaching scholarship is documented through such means as peer-observation of classroom performance, peer-reviewed publications, textbooks, videos, software, workbooks, lab manuals, invited lectures and conference papers.

5.5.2. **Research.** Members of economics professors who engage in research are expected to make original theoretical or applied contributions that are appropriate to their chosen area of specialization within economics and that are respected by peers within and outside the university. Examples of research activity include the following:

- formulation and theoretical analysis of new economic models
- identification and analysis of real-world economic problems
- empirical analysis of economic issues
- synthesis, criticism, and clarification of existing economic knowledge and research

Scholarship resulting from research is documented through means such as articles published in peer-reviewed journals, invited seminars, research-oriented books or chapters in books or edited volumes, competitively-awarded research grants, conference presentations, and professional association awards for research achievement. Evaluation of scholarship in research considers the work's quality as judged by its originality and importance; and its impact as judged by its influence on or adoption by peers. Evaluation of scholarship in research also recognizes that the means of documentation can be a valuable gauge of quality. For example, publications in the leading general economics journals or the top economics field journals normally represent more significant contributions than publications in lower-ranked journals. Likewise, research grants that are competitively awarded by a select few of the most prestigious national sponsors deserve more credit than grants received from programs of lower standing.

A portfolio format is used to document research beyond what is contained in the candidate's vita. The portfolio includes materials such as a statement by the candidate summarizing the major themes of his/her research agenda and identifying its most important contributions; reprints of published articles; synopses of completed, current, and future research projects; summaries of successful grant proposals and their outcome; and evidence of the impact of the candidate's research including citations by peers or applied uses of the research.

5.5.3. **Extension/Professional Practice.** Members of economics professors engage in extension/professional practice activities by utilizing their professional expertise to disseminate information outside of the traditional classroom to help improve the knowledge and skills of their clientele or the environment in which they live and work. Examples of activities that fall within extension/professional practice include the following:

- organizing/leading workshops or training sessions
- acquiring, organizing, interpreting, and disseminating information
- consulting
- serving on agencies or boards because of individual economic expertise
- serving as a referee for journals, books, grants, etc.
- serving as an editor for a journal or serving on editorial boards
- leadership in professional societies and organizations

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

A portfolio format is used to document extension/professional practice activities beyond what is contained in the candidate's vita. The portfolio includes materials such as descriptions of appointment responsibilities in extension/professional practice, representative workshop, seminar, and training materials; book reviews; unpublished reports, studies, etc.; newsletters and brochures; peer evaluations or ratings of extension/professional practice effectiveness; and client assessments.

- 5.5.4. **Institutional Service.** Members of economics professors are expected to 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/or university policies; or by carrying out administrative responsibilities. Therefore, to be promoted and/or tenured, members of economics professors are expected to have been involved in institutional service. The level and amount of service are expected to be higher for those seeking promotion to the rank of professor. However, institutional service alone shall not serve as the central basis for P&T.

## 5.6. Qualifications for Academic Rank

Recommendations for initial appointment and promotion are based on evidence that the individual has met the qualifications for the rank to which he/she is to be appointed or promoted. Promotions in rank for A-base appointments ordinarily take effect at the beginning of the next fiscal year, and promotions for B-base appointments ordinarily take effect at the beginning of the next academic year. Exceptions to these dates may be granted by the provost.

- 5.6.1. **Assistant Professor.** An assistant professor should have a strong academic record and ordinarily should have earned the accepted highest degree in his/her field. The assistant professor rank is recognition that the candidate has exhibited the potential to grow in an academic career. Appointment at or promotion to this rank should be based on evidence that the candidate can be expected to become qualified for promotion to associate professor in due course.
- 5.6.2. **Associate Professor and/or Tenure.** An associate professor should have a solid academic reputation and show promise of further development and productivity in his/her academic career. The candidate must demonstrate the following:
- excellence in scholarship that establishes the individual as a significant contributor to the field or profession, with potential for national distinction
  - effectiveness in areas of position responsibilities
  - satisfactory institutional service

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

- 5.6.3. **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 the following:
- national distinction in scholarship, as evident in the candidate's wide recognition and outstanding contributions to the field or profession
  - effectiveness in areas of position responsibilities
  - significant institutional service

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

## 5.7. Implementation Dates

Members of economics professors who are allowed, by university rules, to seek P&T under the terms of the pre-1999 university P&T document, may also choose to have their department review conducted subject to the terms of the November 6, 2000 version of the department's governance document. This choice must be conveyed in writing to the department chair by the deadline stated in the university P&T document. (See subsection 5.3.4 "Implementation Dates" in the 2002 ISU Faculty Handbook.)

## 6. Peer Evaluation of Teaching

Peer evaluation of teaching is mandatory for all members of economics faculty who are being considered for contract renewal, advancement, promotion, or tenure.

Each peer evaluation will be conducted by a team of two members of the Economics Faculty with expertise relevant to the course being evaluated. The peer evaluation of teaching committee is responsible for selecting appropriate reviewers and monitoring the quality and consistency of their evaluations. Peer evaluation of members of the Economics Professors shall be conducted only by members of the Economics Professors. Additionally, the department chair should make known to faculty (particularly new faculty) the considerable resources available through the University's Center for Excellence in Learning and Teaching.

Each Economics faculty member under consideration for tenure or contract renewal in the Department of Economics will be evaluated during their first year and at least once in the year prior to the academic year for which tenure or contract renewal is being evaluated. All reviews will follow the structure specified in Peer Evaluation of Teaching Instructions document.

Peer evaluations shall in all cases be broader than simply classroom observation. Typically it will include an evaluation of teaching materials prepared by the instructor, such as course

syllabi, reading lists, examinations, homework assignments, class Web sites, class papers, special class notes for student use, and special projects.

When the evaluation is conducted for P&T purposes, term faculty renewals or term faculty advancement an effort should be made to ensure that the evaluation is comprehensive in that it assesses teaching ability in the full range of courses normally taught by the candidate. The peer evaluation committee must be allowed considerable latitude in determining how this objective will be achieved in any particular case but, where possible, the following principles should be observed.

- a. If the candidate's normal teaching responsibilities include courses in different categories (entry-level courses, advanced undergraduate-level course, graduate-level theory and quantitative methods courses, graduate-level field courses, etc.), the evaluation should assess teaching effectiveness in courses in all of the relevant categories.
- b. The process should not penalize individuals who agree to teach courses outside their area when faculty leaves or resignations create temporary staffing problems.
- c. The evaluation should sample more than one section of the reviewed courses, if possible, to reduce small sample noise.

In all cases of peer evaluation of teaching, the peer evaluators will furnish the instructor with a set of recommendations intended to improve the instructor's teaching effectiveness. Such recommendations should include mention of the perceived strengths as well as the weaknesses of the instructor.

Survey questionnaires and methods used to solicit student assessments of the candidate's teaching or advising performance should be used in the evaluation process only if approved by vote of the economics professors.

## **7. Post-Tenure Review Policy and Procedures**

### **7.1. General Philosophy of Post-Tenure Review (PTR)**

The PTR is a peer-review process by and for tenured economics professors that is meant to be in accord with university policy in evaluating performance with all PRSs in effect during the period of review. The PTR is a process that is fair, objective, respectful of the rights and privileges of tenure, and not unduly bureaucratic or burdensome. It does not supplant the annual review process conducted by the department chair.

The PTR process shall be accomplished through a review that respects the right of each tenured economics professor to exercise personal choice over scholarly activities, within the general bounds of professional conduct. The PTR process shall be conducted in a manner that reaffirms the dignity and honor of the academic profession and the personal and professional respect to which a tenured economics professor is entitled.

Toward these ends, the department hereby reaffirms its commitment to academic freedom and to the institution of tenure. Specifically, this department reaffirms its adherence to the principles

established by the American Association of University Professors (AAUP) in its 1940 Statement of Principles on Academic Freedom and Tenure, its 1958 Statement on Procedural Standards in Faculty Dismissal Proceedings, its 1983 policy on PTR and its 1999 document "Post-Tenure Review: An AAUP Response". Where conflicts exist or arise between this department's PTR policy or procedures and these AAUP documents, the latter shall prevail.

## **7.2. Frequency of Reviews and Selection of Personnel to be reviewed**

Reviews commenced in the 2002-2003 academic year. Thereafter, each tenured economics professor shall be reviewed at least once every seven years except as noted below. At the faculty member's request the review may be scheduled earlier, but no fewer than five years from the last review. For tenured faculty, two consecutive unsatisfactory annual performance evaluations trigger a Post Tenure Review according to the faculty handbook.

The PTR of a tenured economics professor shall not commence until six calendar years have passed since his/her benchmark date, which is defined as the most recent of the following: the effective date of appointment to the ISU faculty; the effective date of the award of tenure; the completion date (after appeals) of the most recent review for promotion; or the completion date (after appeals) of the most recent previous PTR. A formal review for promotion may substitute for a PTR.

University policy exempts tenured faculty from their scheduled Post-Tenure Review if: (1) they are being reviewed for promotion to higher rank during the same year, (2) they are within one year of announced retirement or are on phased retirement, (3) they are serving as department chair or hold a position that includes the term president, senior vice president and provost, or dean.

In the event a faculty member is absent from campus due to medical, disability, family, maternity or paternity, faculty improvement, disciplinary, or other approved leave, paid or unpaid in a semester when the review is scheduled to be conducted, he/she may request that the review be delayed until the end of the leave period.

## **7.3. Selection and Composition of the Post-Tenure Review Advisory Panel**

Each PTR shall be conducted by a three member PTR Advisory Panel. The individual under review will identify one member of the panel and provide the department chair with a list of five additional nominations. The department chair selects a second panel member from this list, and the two members so named choose a third member from the remaining names on the nomination list.

To be eligible to serve on the PTR Advisory Panel, individuals must hold tenured faculty appointments at ISU at a rank equal to or higher than the individual under review. The individual under review may include one nomination of an ISU faculty member from outside the department if that person possesses knowledge and expertise relevant to the evaluation.

The Department Chair will notify individuals scheduled for review in the fall semester of the academic year in which the review will take place and request the list of nominations for the PTR Advisory Panel. The individual under review will have one month to provide the list of nominations.

If the individual under review fails to provide a list of nominees for the Advisory Panel within one month of the formal request from the department chair, the Economics Council will develop the list of six potential panel members. The individual under review will be offered the opportunity to select one panel member from this list. If the individual under review does not elect to do so, Economics Council will choose one member.

#### **7.4. Performance Standards in the Post-Tenure Review Process**

The performance of the individual under review must be assessed with respect to standards that are fair and reasonable and that are appropriate to the individual, to the economics department, to ISU, and to the economics profession. The level of expected performance used to judge the performance of the individual must be consistent with the individual's applicable Professional Responsibility Statement(s) (PRS) in effect for the years under review. Finally, the individual under review is at all times entitled to a presumption of competence; the burden of proof for any contrary finding by the PTR Advisory Panel must lie with the panel.

#### **7.5. The Review Process**

After the PTR Advisory Panel has been selected, the individual under review and the PTR Advisory Panel will begin the PTR process. At a minimum the Advisory Panel will base its reviews on

- the annual activity reports of the individual under review since his/her last PTR or since his/her appointment to a faculty rank with tenure if a previous review has not been conducted;
- all relevant position responsibility statements;
- evidence of teaching effectiveness beyond student evaluations to be provided by the individual under review, such as syllabi, sample assignments, etc.;
- a CV which highlights accomplishments during the post-tenure review period; and
- a self-evaluation statement that addresses the individual's activities relative to the PRS or PRSs relevant to the period under review.

It is the responsibility of the individual under review to work with the department chair to assemble all necessary materials for the review. If the individual under review and the PTR Advisory Panel jointly identify one or more areas in which the former wishes deeper review or more detailed advice, then the individual under review and the PTR Advisory Panel will undertake this deeper review.

- 7.5.1. **Outcomes.** In accordance with university policy, the PTR report prepared by the Advisory Panel shall include an overall rating and a rating in each of the areas of responsibility specified in the individual's PRS (teaching, research, extension/professional practice, and/or institutional service). The rating shall be from one of the following:
- i. Meets expectations
  - ii. Below expectations

An overall evaluation of "Below expectations" may be given if the individual is rated "below expectations" in any of the PRS areas.

The panel's report shall include a concise but complete explanation of the process followed in conducting the review and explain the basis for its ratings of the individual's performance.

In the event that the Advisory Panel determines that the performance of the individual under review is below expectations, either overall or in one of the areas under review an action plan will be developed by the department chair in collaboration with the advisory panel chair and the faculty member. A below expectations post-tenure review recommendation will include specific recommendations for achieving an acceptable performance evaluation. The faculty member will work with the department chair and the chair of the review panel to develop a detailed action plan for performance improvement in areas deemed below expectations. The action plan will be signed by all three parties. If agreement on the proposed action plan cannot be reached, the action plan will be negotiated following the procedures outlined for PRS mediation in the Faculty Handbook 3.4.4. Failure to have the performance 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 (Faculty Handbook 7.2.2.5.1).

Any recommendation in the action plan for a shift in the goals or direction of the individual under review's teaching, research, or extension activities must be accompanied by an identification of the resources (if any) needed to accomplish this change. The individual under review, the department, and the university shall make good-faith efforts to ensure these resources are provided within a reasonable time.

- 7.5.2. **Review of Teaching.** A review of teaching should consider the complete range of evidence available. While student evaluations should be included, sole or even predominant reliance shall not be placed on this one source. Rather, the entire portfolio of teaching materials may be examined, including but not limited to syllabi, examinations, homework exercises, writing assignments, textbooks, and student research papers. Measurements of actual student performance may be included and compared to established standards appropriate to the course(s) in question. When appropriate, opinions may be sought from teaching assistants and other colleagues who have taught the same or similar courses, both for their assessment of the work of the individual under review and for an understanding of the demands of the teaching environment. The individual under review may request classroom visits by one or more members of the PTR Advisory Panel.

Indicators of teaching effectiveness may include:

- Evaluations by students and/or peers on the basis of mastery and appropriateness of subject matter, clarity of presentation, and the ability to stimulate student interest and achieve desired learning outcomes;
- Evidence of scholarship of teaching may include advances in teaching methods; publication of journal articles on pedagogical research, texts, or other scholarly works; invited lectures; curriculum development; successful mentoring of undergraduate and graduate students; or other appropriate activities; and
- Evidence of reflective teaching shown in syllabi, assignments and other course materials.

Meeting expectations in teaching will be defined as effective teaching and/or scholarship of teaching. As described in the ISU Faculty Handbook “Particular expressions of effective teaching vary widely, and teachers may demonstrate their pedagogical skills in a variety of ways. Regardless, faculty must demonstrate command of their subject matter, continuous growth in the subject field, and an ability to create and maintain instructional environments to promote student learning.” Failing to meet these expectations will define the below-expectations performance level.

- 7.5.3. **Review of Research.** The standards and methods used to review research must respect the right of the individual under review to select his/her own research topics and to pursue these topics patiently and thoroughly over the course of a research career. Emphasis in the review must be placed on the overall intellectual merit of the research program and not on quarterly or even annual output flow or on commercial or pecuniary gain. The research standards must be appropriate to the economics profession to the field of specialization of the individual under review, and the expectations articulated in the PRS. Indicators of research performance may include:
- The sustained quality of research publications, scholarly presentations, and other types of scholarly dissemination;
  - Research impact, as measured by citations, influence on relevant stakeholders when applicable, and by how well the research complements and contributes to other programs within the department, colleges, and university;
  - Efforts to obtain and success in obtaining research funding; and successful research mentoring of undergraduate and graduate students, and postdoctoral research associates; and
  - Engagement and participation in activities that advance the profession, such as service on editorial boards, acting as referee or, otherwise contributing to relevant scholarly and professional societies.

Members of the PTR Advisory Panel are expected to familiarize themselves with and evaluate the entire body of intellectual inquiry of the individual under review. At the discretion of the individual under review, the assessments of the panel members may be supplemented by the opinions of other ISU scholars recommended by the individual under review.

Meeting expectations in research will be defined as having an active and productive research program that establishes the individual as a significant contributor to the field or profession. Failing to meet these expectations will define the below-expectations performance level.

7.5.4. **Review of Extension and Outreach**

The review shall consider all aspects of extension and outreach activity contemplated by the extension and outreach appointment, including small and large group teaching; preparation of extension materials; conduct of applied research to support the extension function; one-to-one counseling and consulting; interaction with citizens, other extension personnel, and non-extension educators involved in the extension process; support of group activity; and other areas of extension and outreach contemplated by the employment contract.

Extension will be evaluated by evidence of the application of economic principles to enhance the lives of lowans and others, to promote the public good, and to address economic issues relevant to the extension appointment. Such evidence may include:

- Development of original information based on new analysis or on the synthesis of existing knowledge,
- Demonstration of creativity in the development and dissemination of extension materials; the successful mentoring of graduate students and post-doctorate staff.

Meeting expectations in extension will be defined as effective statewide research-based extension programs as documented with evaluation data, and the development of appropriate supporting materials such as extension publications, web sites, or other technology-based materials. Failing to meet these expectations will define the below-expectations performance level.

**7.5.5. Review of Service.** The review shall consider all aspects of institutional service at the departmental, college, and university levels. 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. Indicators of service may include:

- Evidence of the number and nature of committee assignments;
- The value and significance of individual contributions to these service assignments.

Meeting expectations in service is defined as meeting assigned responsibilities in institutional service and effectively contributing to the welfare of the department, college, and university through service. In addition, to meet expectations, faculty are expected to participate in and make significant contributions to appropriate technical, professional, and scholarly societies including as a referee for academic journals. Failing to meet these expectations will define the below-expectations performance level.

## **7.6. Post Tenure Review Report and Outcomes**

The PTR Advisory Panel will provide its report and evaluations to the chair, and the Chair will share the report with the individual under review. The individual under review shall have the opportunity to respond in writing to any aspect of the review. This response must be provided within one week of receiving the report from the chair.

The department chair will communicate any written response to the PTR Advisory Panel, which will then prepare a revised final draft accounting for and/or responding to the comments from the individual under review. This final report will be communicated to the department chair, and the department chair is responsible for communicating it to the individual under review.

If the individual under review receives a “below expectations” rating in any area, he/she may appeal in writing to the economics professors of rank at or above the individual under review. In

the event of an appeal by the individual under review, all information used by the PTR panel, the PTR panel's report and the response by the individual under review should be made available to the economics professors of rank at or above the individual under review. The faculty shall vote to either approve the original negative rating (with a majority vote) or to change the rating to "meets expectations." The vote of the faculty shall be taken to be the final evaluation by the faculty. In all cases, the response of the individual under review will be included with the final PTR report forwarded by the department chair to the dean.

Once the review within the department is completed, the department chair will draft a cover letter to the dean indicating agreement or disagreement with the outcome of the report. In the case of disagreement an explanation must be communicated to the dean, as well as the PTR committee and candidate. The result of any faculty vote and the result of a successful appeal to the faculty shall also be forwarded to the dean.

If the individual under review believes that the PTR Advisory Panel has not followed the procedures specified in this document, or if the individual under review disagrees with the record, findings, or recommendations, he/she may file an appeal through either administrative channels or through the Faculty Senate Committee on Appeals, as described in Faculty Handbook sections 9.1-9.3.

## **7.7. Adverse Consequences**

Nothing in the PTR process shall be interpreted or construed so as to deny, limit, modify, compromise, revoke, or supersede any faculty rights, privileges, or protections, whether procedural, substantive, or appellate, as may have been or in the future may be established under ISU policies or procedures or state or federal statutes or regulations.

Grounds for dismissal are those listed in the ISU Faculty Handbook. The PTR Advisory Panel shall not recommend any dismissal, demotion, revocation of tenure, reduction in salary, reduction or removal of perquisites, withholding or denial of leave or other privileges, increase in teaching or other work load, withholding or denial of promotion, reduction in financial or staff support for research, teaching or extension duties, or other adverse personnel action.

## **8. Procedures for Annual Review for the Purposes of Evaluating Performance**

### **8.1. Position Responsibility Statement**

The PRS describes the economics faculty member's position responsibilities and activities in the following areas: (a) teaching, (b) research, (c) extension/professional practice, and (d) institutional service. The PRS must be subject to regular review by the faculty member and his/her department chair and allow for flexibility in responsibilities over time and for the changing nature of faculty appointments. The PRS should allow both faculty members and their department chair to understand the basis of the academic appointment and to place that into context with the annual review, and P&T criteria and PTR where applicable. The descriptions should be brief but may include detail important to the department and/or faculty member. The PRS cannot be changed unilaterally by either the department chair or the faculty member.

At the time of appointment, the department chair and the new economics faculty member will agree on a PRS that should be based on the job advertisement. In most cases involving tenure-

track appointments, this initial PRS will remain in effect until the tenure review. Any changes in the expectations for a tenure-track appointment must be made in consultation between the department chair and the individual concerned, and will be documented in the PRS.

**Conflict Mediation Panel.** In the event of a disagreement between a faculty member and the department chair on a proposed change to the faculty member's PRS, either party may refer the matter to the Economics Department's PRS Conflict Mediation Panel. This panel will consist of three members: one tenured economics faculty member selected by the faculty member involved in the disagreement, one tenured economics faculty member selected by the department chair, and the chair of the Economics Council. If the individual involved in the disagreement fails to provide a nomination to the panel, the Economics Council will select a member of Economics Council to fill this position. In the case where there are co-chairs of the Economics Council, the co-chair panel member will be selected by the Economics Council. The party advocating the change will submit the faculty member's existing PRS, the text of the new proposed PRS, and an explanation of why the change is being sought. The party not agreeing to the change should provide a written explanation of why the proposed change is not acceptable. The PRS Conflict Mediation Panel will review the materials that have been submitted, meet with both parties, deliberate on the issue, and write a timely (i.e., within two months) opinion on how the disagreement should be resolved. The faculty member and the department chair should then reconsider the matter to see if an agreement can now be reached based on the panel's recommendation. If an agreement between the faculty member and the department chair does not then emerge within ten working days, the matter will be forwarded to the faculty member's college where a mechanism will be in place for further consideration and resolution.

## **8.2. General Policies and Procedures**

Economics faculty members with appointments longer than one year are reviewed annually by the department chair for performance appraisal and development on the basis of their position responsibilities. This review should serve as a basis for determining merit salary increases and evaluations of the individual performance relative to his/her PRS.

The department chair conducts spring conferences with each faculty member reviewing the individual's activities and progress during the past year. The department Chair requests and reviews each semester the summaries of the teaching evaluation forms. In addition, an output file is available to individual faculty members for use in reporting output to the department chair.

Materials provided by the faculty member should include summary of activities in teaching, research, extension, service, and administration. The results of an individual's review must be shared with the individual faculty member.

## **9. Appointment of the Department Chair**

The department chair is appointed by the deans of LAS and AG, in consultation with the economics professors, for a term of three to five years. Candidates for the position of department chair should have credentials sufficient for tenure and the appropriate rank in the Department of Economics. Appointments are renewable.

## **9.1. Faculty Input on Selection of the Department Chair**

The following process is used to solicit faculty input for both internal and external searches.

- 9.1.1. The Economics Council conducts an election for six economics professor representatives on the department chair recruiting committee. The election is conducted in a manner similar to that for members of the Economics Council, with separate balloting for two members from AG, two members from LAS, and two members-at-large.
- 9.1.2. The process of the department chair search includes procedures which ensure that the economics faculty have the opportunity to evaluate the candidates' academic credentials and philosophy about directing the department. Normally this would include each candidate presenting a seminar on campus concerning his/her approach or philosophy about the responsibilities and leadership of a department chair, and time on campus to meet with economics faculty.
- 9.1.3. The economics professors vote on all of the final candidates interviewed after the completion of the campus visits. Normally, there is an economics professors meeting to discuss the final candidates and a secret mail ballot held following the meeting. The ballot asks members of economics professors to rank all the candidates and an additional option to search further. If no option gets at least 50 percent of the first-place votes cast, there is a second vote to rank the top two options as determined by first-place votes.
- 9.1.4. Candidates for department chair cannot serve on the department chair Recruitment Committee. If a committee member decides to become a department chair candidate, he/she will be replaced by vote of the economics professors.

## **9.2. Unusual Circumstances**

In the event of unusual circumstances not adequately covered by this document, the department chair Staff Planning and Recruiting Committee shall refer matters to the economics professors.

## **10. The Department Chair's Relations to Individual Staff Members**

The department chair should be available to confer with any economics faculty member or any student on any subject. No departmental organization shall be thought to abridge the individual's freedom of access to the department chair.

### **10.1. Annual Survey of the Department Chair**

An evaluation of the DEO by all tenure track faculty, non-tenure eligible faculty, P&S employees and Merit employees will be conducted annually, in the spring semester. The results of this evaluation will be made available only to the DEO.

## **11. Textbook Policy**

Individual economics faculty members ordinarily have the responsibility to select the textbooks and other resource materials that will be used in the courses that they teach. However, a department chair-appointed committee composed of five economics faculty members will review and make recommendations to the department chair concerning the textbooks to be used in courses under the following circumstances.

- a. The instructor for a course proposes to require that students purchase a book that he/she has authored or co-authored.
- b. Serious complaints have been raised by students or other economics faculty members regarding a required or recommended textbook.

## **12. Amendment to the Governance Document**

Any proposed amendments to this document, "Governance Document of the Department of Economics, ISU," must be made available in writing for at least seven days prior to being discussed and voted on at a duly called regular or special meeting of the faculty. Subsequent to the meeting, any approved changes to the Governance Document must be ratified through majority vote on an electronic ballot that will be distributed to all voting faculty and will be available for a minimum of 48 hours.

Any changes that affect the voting rights of different faculty groups require approval separately by a majority of the ballots cast by members of the Economics Professors and a majority of the ballots cast by members of the Term Faculty. All other changes require approval by a majority of ballots cast by the voting members of economics faculty in accordance with the voting rights specified in Section 1.4 of this document.