

OPERATIONS AND PROCEDURES MANUAL

Department of Psychological and Brain Sciences

THE UNIVERSITY OF IOWA

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I. AUTHORITY, DEFINITIONS, AND GENERAL PROCEDURES

A. Authority

This document details the operations and procedures for faculty governance of the Department of Psychological and Brain Sciences. The Department shall follow the operating rules of the University of Iowa and the College of Liberal Arts and Sciences and shall follow the operations and procedures in this document as a supplement thereto.

B. Definitions

1. *Department / Departmental*

When capitalized, these terms refer to the Department of Psychological and Brain Sciences (PBS).

2. *College*

When capitalized, this term refers to the College of Liberal Arts and Sciences (CLAS).

3. *University*

When capitalized, this term refers to the University of Iowa (UI).

4. *Regular Faculty*

When capitalized, this term refers to all individuals holding active tenure-track, clinical-track, or instructional-track appointments within the Department, as defined in ¶ II.A.1, below.

5. *Quorum*

A quorum for any formal action is the presence or remote participation (when authorized) of more than one-half of those with voting rights.

6. *Majority (Vote)*

A majority is more than one-half of those voting, abstentions excluded.

7. *Super-majority (Vote)*

A super-majority is at least two-thirds of those voting, abstentions excluded.

8. Faculty Action

When capitalized, this term refers to a formal decision, requiring a majority or super-majority vote, made by the Regular Faculty (or a defined subgroup thereof) who are present at a duly announced meeting or who respond by a specified time to a call for a written response, assuming in either instance that the quorum requirement is satisfied.

9. Faculty Consideration

When capitalized, this term refers to an organized but informal discussion of the faculty (or of a defined subgroup thereof), which involves debate and deliberation either in face-to-face meetings (including electronic participation) or in written exchanges, but does not require a vote or a quorum to occur.

10. Faculty Confirmation

When capitalized, this term refers to a vote by the Regular Faculty, usually by electronic means, with respect to an appointment or other unilateral action by the Department Chair. The appointment or action is confirmed by majority vote.

C. Conduct of Meetings

Except as provided otherwise in this document, all Departmental business shall be conducted in accordance with the current edition of *Robert's Rules of Order* with the following adjustments:

1. For Regular Faculty Meetings, the Department Chair is responsible for soliciting items for the agenda at least three calendar days in advance, setting the agenda, and then providing a copy of the agenda to all attendees at least 24 hours in advance. When an emergency meeting is called, these requirements may be suspended.
2. When such is required, the chair of a meeting is responsible for appointing a meeting secretary.
3. A temporary suspension of the rules requires unanimous consent or a super-majority vote.
4. Unless specifically provided otherwise, voting may be by voice, hand, roll call, or written ballot, at the discretion of those present.
5. Members may participate remotely (e.g., via Skype or Zoom) and can vote electronically through private communication (e.g., by text or email) with the chair or secretary of the meeting.

6. There shall be no voting by proxy.
7. Members who are absent for any reason may, at the discretion of those present, have their pre-written ballots included in a vote.

D. Amendments

This document may be amended by those Regular Faculty with full voting rights, subject to approval by the College, by the following process:

1. At least one week prior to any regular meeting of the faculty, the proposed changes must be distributed (by email or hard copy) to all faculty, with a cover letter describing the changes.
2. At the meeting, the proposed changes are subject to debate and amendment (by majority vote), with cloture requiring a super-majority.
3. The proposed changes (as amended) then receive a written vote, with passage requiring a super-majority.

II. DEPARTMENT FACULTY AND STUDENT REPRESENTATIVES

A. Membership

1. Regular Faculty

Regular Faculty in the Department of Psychological and Brain Sciences shall include all individuals holding active tenure-track, clinical-track, or instructional-track appointments.

a. Individual Rights

All Regular Faculty as defined in ¶ II.A.1 are entitled to full participation in all Departmental affairs. Only those with appointments of at least 50% in the Department have voting rights, as follows:

- (i) *Tenure-track faculty*: Full voting rights.
- (ii) *Clinical-track faculty*: Voting rights extend to any Departmental issue, except those pertaining to the hiring, promotion, tenure, and review of tenure-track faculty. When serving on Departmental committees, full participation is assumed.
- (iii) *Instructional-track faculty*: Voting rights extend to any Departmental issue, except those pertaining to the hiring, promotion, tenure, and review of tenure-track faculty. When serving on Departmental committees, full participation is assumed.

b. Individual Responsibilities

All Regular Faculty are responsible for achieving the Department's mission in accordance with the policies and procedures of the College of Liberal Arts and Sciences, the Graduate College, and the University. Individual faculty members fulfill these responsibilities in accordance with the University's policy on professional ethics and academic responsibility. All faculty members are expected to share in the responsibilities of the Department, with due allowance for responsibilities to other units which provide part of the person's salary. Specific responsibilities of individual faculty include:

- (i) Participation in all Departmental events, including regular and special faculty meetings, and awareness of all issues requiring Faculty Action.
- (ii) Providing information relevant to issues requiring Faculty Consideration (e.g., updated Course Descriptions) in a timely manner.

- (iii) Providing feedback to the Department Chair or a member of the Faculty Advisory Committee on all issues of importance to the Department.
- (iv) Serving on and chairing Departmental Ph.D. committees.
- (v) Serving on various Departmental committees when needed.
- (vi) Maintaining an accurate and up-to-date vita.

c. Faculty Release from Teaching and Post-Tenure Allocation of Effort

According to the Department's norms, research-active faculty are expected to teach 3 courses per year. Non-research-active faculty are expected to teach at least 4 courses per year. Faculty members who have grants with funds for such purpose may purchase release from teaching, provided adequate advance notice has been given so that the Department Chair can make plans for either substitute instruction or substitute courses. As a general rule, all Regular Faculty, regardless of research activity and grant funding, must teach at least one undergraduate course each academic year.

Any adjustment from a normal teaching load (e.g., due to a grant buy-out, a special service contribution, or a post-tenure allocation of effort) requires negotiations between the Department Chair and the faculty member, in consultation with other faculty when appropriate, to assure that the Department's teaching needs are met.

d. Summer Teaching Salaries

Because summer teaching funds are quite limited, courses to be offered are determined primarily by Departmental teaching needs.

e. Overload Teaching

Overload teaching by tenure-track faculty, whether during the academic year or summer, is not allowed except to address an emergency need. Overload teaching by non-tenure-track faculty is allowed with approval by the Department Chair.

2. Joint and Affiliate Faculty

Joint appointments are appointments where an individual has a faculty appointment at the rank of Professor, Associate Professor, Assistant Professor, or Instructor in another department at The University of Iowa. Such appointments can be budgeted (>0%) or unsalaried (zero-time or affiliate), as described by the policies of the College of Liberal Arts and Sciences.

a. Procedures for Appointment

A candidate for a joint or affiliate appointment can be proposed by any faculty member or group of faculty members. A super-majority vote of the Regular Faculty is required to approve a joint appointment. The Executive Officer of the individual's home department, the Dean of the College of Liberal Arts and Sciences, and other Deans in cross-collegiate appointments, must agree in writing to the joint appointment. Any role the Department may play in the review of a joint faculty member must be specified in advance of the appointment.

b. Duration of Appointment

Appointments will usually be made for a period of five years and are renewable for five-year periods given a two-thirds vote of the faculty. In the case of a non-tenured faculty member, the term of the joint appointment cannot be longer than the term of the primary appointment.

c. Privileges of Appointment

Individuals with joint appointments may direct Honors theses and Ph.D. research. These faculty may contribute to the research participation requirement of introductory psychology courses and may attend faculty meetings. At the discretion of the Department Chair, they will also have access to Departmental resources insofar as it facilitates activities important to the Department (e.g., in the context of research supervision or committee work).

d. Responsibilities of Appointment

Individuals with a joint appointment should be prepared to make at least a small but sustained and recognizable contribution to the teaching, research, and/or service missions of the Department. The individual should be prepared to indicate his/her affiliation with the Department on public documents (e.g., vita, publications, grant proposals), as appropriate.

3. Adjunct Faculty

Adjunct faculty are generally P&S staff members within the University or professionals in the local community whose areas of expertise are insufficiently represented on the faculty; they ordinarily hold the terminal degree in the field. Adjunct faculty are typically appointed to provide instruction in courses for academic credit, but they may also be appointed to help supervise clinical or practicum experiences or support the teaching of others.

a. Procedures for Appointment

Adjunct appointments are typically made to address instructional needs in the Department. Appointments are made by the Department Chair, in consultation with the Extended Faculty Advisory Committee and, when appropriate, other interested faculty or groups within the Department. If the individual is already employed by The University of Iowa, the Department Chair or Head of the individual's home department must agree in writing to the appointment.

b. Duration of Appointment

Appointments will be made for a term of three years. Appointments are renewable.

c. Privileges of Appointment

Adjunct faculty may attend faculty meetings but do not have voting privileges. At the discretion of the Department Chair, they will have access to Departmental resources insofar as it facilitates activities important to the Department.

d. Responsibilities of Appointment

An individual with an adjunct appointment should be prepared to make at least a small but sustained and recognizable contribution to the teaching, research, and/or service missions of the Department. The individual should be prepared to indicate their adjunct affiliation with the Department on public documents (e.g., vita, publications, grant proposals), as appropriate.

4. Graduate Student Representatives

Graduate student representatives serve as a conduit of information between the faculty and the graduate student body. Student representatives participate in some Departmental functions.

a. Procedures for Election

At the start of academic year, two graduate representatives shall be elected by the current graduate students. All graduate students are eligible, but the two elected students must be from different Training Areas, with the Individualized Graduate Training Track being considered a Training Area for this purpose.

b. Term of Office

Terms shall be for one year or until a successor is elected.

c. Privileges of Office

Graduate student representatives may attend faculty meetings when the order of business includes topics unrelated to either personnel or student progress. Graduate student representatives may participate in the discussion of some matters requiring Faculty Consideration.

d. Responsibilities of Office

With timely warning, graduate student representative should be prepared to provide the faculty with information related to the graduate student body and, when asked, to disseminate information from the faculty to all other graduate students.

B. Duties of the Faculty as a Collective Body

1. Matters Requiring Faculty Action

These matters require explicit action by the Regular Faculty in a timely manner.

a. Appointments

- (i) Recommendations to the Collegiate Dean for appointment or removal of the Department Chair.
- (ii) Recommendations for appointment of faculty members (super-majority vote). When a recommendation for appointment could entail a promotion recommendation, rank and tenure recommendations shall be based on a subsequent review by the appropriate faculty body as specified in the University/Collegiate Procedural Guidelines on Promotion and Tenure Decision-Making.
- (iii) Appointments of affiliate faculty.
- (iv) Selection of members for the Faculty Advisory Committee.
- (v) Confirmation of Department Chair nominations for Associate Chair, Director of Graduate Studies, Director of Undergraduate Studies, and Chair of the Faculty Review Committee.

b. Departmental Policy and Organizational Changes

- (i) Proposals for significant changes in Departmental objectives or organization (e.g., establishment of new degree programs, creation or

dissolution of recognized positions or units within the Department, establishment of formal relations to other agencies).

- (ii) Amendments to the *Operations and Procedures Manual*.
- (iii) Policies and procedures related to evaluation of faculty members.

c. Academic Policies and Procedures

- (i) Graduate and undergraduate curricula, i.e., required courses, course sequences, prerequisites, degree requirements, etc.
- (ii) Policies related to undergraduate evaluation, supervision, and advising.
- (iii) Policies and procedures governing admission, evaluation, and retention of graduate students.
- (iv) Policies governing assignment of graduate students to teaching, research, and service duties.
- (v) Overall evaluation of progress and performance of individual graduate students, including decisions to terminate, impose requirements, and admit to comprehensive examination.
- (vi) Graduate student appeals for waiver of requirements or review of decisions.

3. Matters for Faculty Consideration

These matters often require advisory faculty feedback to the Department Chair or relevant standing committee.

a. Scheduling and Public Information

- (i) Departmental course offerings, i.e., course listings for the *General Catalog*.
- (ii) Course schedules and teaching assignments, i.e., listings for the *Schedule of Courses*.
- (iii) Format and content of documents describing Departmental activities, programs, and requirements.
- (iv) Items for the Department calendar.

b. Temporary Assignments

- (i) Assignment of graduate students to teaching, research, or service duties.
- (ii) Assignment of temporary instructors to teaching, research, or service duties when the appointment is for longer than a semester duration.
- (iii) Single-semester assignments of instructors and other temporary faculty.
- (iv) Proposals for informal or temporary arrangements with other units inside or outside the University.
- (v) Assignment of faculty members to special positions or duties, relief of faculty members from normal duties, requests for leave-of-absence.

c. Departmental Resources

- (i) Allocation of space and facilities.
- (ii) Policies and procedures governing the allocation of general expense, equipment, and travel funds.
- (iii) Grant applications or contract proposals and requests for allocation of internal resources, which entail significant impact on Departmental objectives, priorities, or resources.

d. Students

- (i) Graduate admission plans, i.e., numbers, distribution by area, support allocations, etc.
- (ii) Nominations of graduate or undergraduate students for special awards.
- (iii) TA/RA assignments and graduate student "slot" sheet.
- (iv) Reports on comprehensive exams and Ph.D. dissertation exams.
- (v) Faculty undergraduate advisory assignments, and undergraduate research supervision assignments.
- (vi) Faculty responsibilities for graduate student advising and graduate student research supervision.
- (vii) Roster of current Ph.D. committees.

C. Procedural Guidelines**1. *Regular Meetings***

The faculty will conduct regular and special meetings over the course of the academic year, as needed to satisfy Departmental responsibilities, including matters requiring Faculty Action or Faculty Consideration. The Department Chair will serve as chair. In regular meetings, items pertaining to the hiring, promotion, tenure, and review of tenure-track faculty will occur after all other agenda items have been addressed and when only Regular Faculty with full voting rights remain present.

2. *Special Meetings*

Special meetings pertaining to personnel matters or student evaluations will be attended by Regular Faculty with voting rights only. The Department Chair will serve as chair.

III. FACULTY ADVISORY COMMITTEE

A. Membership and Terms

1. *Membership*

Three members of the Regular Faculty are elected by ballot vote of the Regular Faculty as provided in ¶ III.A.5, below.

2. *Eligibility*

All Regular Faculty shall be eligible for election to the Advisory Committee except the Department Chair. Elected members of the Faculty Advisory Committee may not simultaneously hold the position of Associate Chair, Director of Graduate Studies, or Director of Undergraduate Studies.

3. *Terms*

Members shall be elected for three-year terms. Terms shall begin and end at the start of the fall semester.

4. *Time of Election*

- a. Regular election of member(s) for the Faculty Advisory Committee shall be held between April 15 and May 15 of each year.
- b. The results from an election shall be retained until the following election, being used to fill vacancies that may occur (e.g., resignation to take on the position of Associate Chair, Director of Graduate Studies, or Director of Undergraduate Studies).
- c. A special election will occur when there is an opening on the Committee and no nominees from the previous election remain available.

5. *Election Procedure*

a. *Responsibilities*

The current members of the Faculty Advisory Committee, individually or collectively, shall be responsible for initiating and conducting the election. Departmental staff can be charged with managing the election process on behalf of the Faculty Advisory Committee.

b. Nominations

To fill N vacancies, each faculty member will be asked in writing to submit a rank-ordered list of N + 3 nominees; weights will be assigned inversely to rank; the nominees will be those N + 3 faculty members receiving the largest total score obtained by summing over all ballots received before a specified deadline.

c. Election

The names of the N + 3 nominees will be submitted in writing, in alphabetical order, to each member of the Regular Faculty for ranking; weights will be assigned inversely to rank and the nominee(s) elected will be those N receiving the largest total score, obtained by summing over all ballots received before a specified deadline. If terms of different duration, whether regular or replacement, are to be filled at the same election, the nominee receiving the largest score shall fill the longest term, etc.

B. Duties

1. The Faculty Advisory Committee is established to provide a recognized but somewhat informal channel for discussion between faculty representatives and the Department Chair on any aspects of Department activities. In such discussions the Committee is expected to:
 - a. Challenge the Department Chair regarding the various responsibilities of that office, especially those concerned with objectives, priorities, personnel, and facilities.
 - b. Keep the Department Chair frankly informed about faculty viewpoints, about current and potential problems, and about possibilities for improving the overall excellence of the Department's contribution to the scholarly enterprise.
 - c. Provide the Department Chair with anonymous feedback from faculty when requested by the faculty member providing the information.
 - d. Facilitate consideration of issues by the faculty or other appropriate groups by assisting in drafting and reviewing proposals, and in suggesting timing and format for presentations; e.g., budget briefings, review of Departmental contributions to undergraduate education, structure, etc.
 - e. Advise the Department Chair regarding appropriate disposition of substantive and procedural issues.

- f. Advise on actions to be taken on matters not covered by existing policies and which arise under circumstances precluding prior consideration by the faculty.
 - g. Conduct an annual review of the Department Chair, with input from all Regular Faculty, and prepare a summary letter to be sent to the Department Chair.
2. The areas in which the Faculty Advisory Committee will be most actively and consistently involved are those listed under the duties of the Department Chair in ¶ IV.B.2, below.
 3. The Faculty Advisory Committee shall not have any collective executive functions or decision-making responsibilities. Members do not vote on matters under discussion; may not be blamed for errors of omission or commission by the Department Chair; or used by the Department Chair as an excuse for unreasonable delay in dealing with matters for which that individual is responsible.
 4. The existence of the Faculty Advisory Committee shall not preclude any other forms or channels of contact between the Department Chair and the faculty.

C. Procedural Guidelines

1. Meetings

- a. Meetings must be called by the Department Chair at the request of any member of the Faculty Advisory Committee. The Faculty Advisory Committee is also free to meet without the Department Chair at the call of the faculty member senior in point of service on the Committee.
- b. Individuals or groups from within the Department or from outside agencies may be invited by the Department Chair or by any member of the Faculty Advisory Committee to attend meetings, subject to mutual consent of the Department Chair and a majority of the Committee. Executive sessions will be the norm for meetings of this Committee, subject to applicable statutes.

IV. DEPARTMENT CHAIR

A. Selection and Term

1. The Department Chair is appointed by the Dean of the College of Liberal Arts and Sciences. The term of the Department Chair will be specified by the Dean at the time of appointment. The Department Chair is eligible for re-appointment.
2. When circumstances require that the faculty make a recommendation to the Dean regarding the next Department Chair, the following procedures shall be followed:
 - a. During the week following the notification of the need for the nomination of a Department Chair, the Faculty Advisory Committee will distribute a nomination ballot to all Regular Faculty via hard-copy, email, or other electronic means (such as an online voting system). The ballot will provide the names of those faculty members who are eligible to serve as Department Chair. Each Regular Faculty with full voting rights can submit no more than five names in nomination and must do so within 10 calendar days of receiving their ballot.
 - b. The nomination ballots shall be tallied by at least two members of the Faculty Advisory Committee. These individuals will produce a list of nominees in alphabetical order, without an indication of the number of nominations received.
 - c. The Faculty Advisory Committee shall distribute the list of nominees to all Regular Faculty. Nominees must indicate their willingness to stand for election within 7 calendar days of the distribution of the nomination list.
 - d. From this point forward, the longest-serving tenured member of the Faculty Advisory Committee who has not accepted nomination to be the next Department Chair becomes the Coordinator of the Department Chair Nomination. In the event that all tenured members of the Faculty Advisory Committee have accepted nomination, the Coordinator shall be elected by all Regular Faculty who have not accepted nomination.
 - e. If four or more nominees agree to stand as candidates for the office of Department Chair, there will be a runoff election to reduce the number of nominees to three. In the event of a runoff election, the Coordinator will distribute a ballot to all Regular Faculty with full voting rights, who shall each vote a single preference. The runoff ballots must be returned to the Coordinator within 7 calendar days of distribution. The ballots shall be tallied by the Coordinator and at least one full-time member of the Department staff (e.g., the Department Administrator). The three nominees with the highest

vote totals will be placed on the final nomination ballot. In the event of a tie for third place, a runoff vote for the third position will be conducted by the Coordinator, using the same procedures as the previous ballot.

- f. At the conclusion of the nomination balloting, the list of up to three nominees will be distributed to the faculty. Within one week of the distribution of this list, each nominee shall prepare and distribute to all voting faculty a written statement detailing their philosophy of educational mission, scholarship, and proposals for future directions of the Department. During the week following the distribution of the written statements, a faculty forum will be held, chaired by the Coordinator, during which each candidate will have an opportunity to make a brief oral presentation, with the order of presentation determined randomly. Following the oral presentations there will be an opportunity for the faculty to ask questions of the candidates.
- g. Immediately after the forum, the Coordinator will distribute an election ballot to all Regular Faculty with full voting rights, with the nominees listed in alphabetical order. Each voting member must select only one candidate and return their ballot to the Coordinator within 5 calendar days. The ballots will be opened and tallied by the Coordinator and at least one full-time staff member (e.g., the Department Administrator).
- h. The results of the election will be conveyed to the faculty at a Regular Faculty Meeting, or a Special Faculty Meeting, within one week of the completion of the balloting. The voting faculty will then vote to affirm the results of the election process. The results will then be conveyed to the Dean by the Coordinator or by a process detailed by the Dean.

B. Duties

1. The Department Chair has general executive responsibility for all aspects of the Departmental enterprise; is an ex-officio member of all Departmental committees described in this manual; and is accountable on all matters to the faculty, to the Collegiate Dean, to the Central Administration of the University, and in many cases also to students and staff.
2. The activities of primary importance and concern for the Department Chair are the following:
 - a. Long-term Planning and Internal Review
 - (i) Continuing critical review of Departmental objectives, programs, budget, and priorities; analysis of the extent to which objectives are being achieved; initiation or review of proposals for changes in objectives, programs, budget, and priorities.

- (ii) Developing and carrying out plans to maintain the vitality of the faculty, to stimulate their scholarly activity and development, and to maximize their contribution to the Department, to the University, to the profession, and to society generally.
- (iii) Developing faculty personnel plans; preparing general and specific guidelines and documents related to the recruitment of faculty members; consult with the Extended Faculty Advisory Committee, other faculty when appropriate, and the College to prepare hiring plans and proposals; monitoring the actual conduct of particular recruiting efforts; making recommendations to the Collegiate Dean regarding faculty appointments.
- (iv) Formulating criteria and procedures for evaluating the performance of faculty members; supervising the conduct of such evaluations by appropriate faculty groups; providing feedback to individuals under evaluation; recommending to the Dean re-appointment, termination, and promotion actions.

b. Policy Development

- (i) Formulating policies related to research and/or training grants, contract proposals, etc. with due regard for compatibility with Departmental objectives and impact on Department resources; reviewing and acting on particular grant applications, contract proposals, etc.
- (ii) Developing or reviewing proposals for changes in the organization and operating procedures of the Department.
- (iii) Formulating proposals regarding the relationship of the Department to other units within the University, and to relevant agencies outside the University.
- (iv) Formulating policies regarding appointments of adjunct and affiliate faculty, postdoctoral students, visiting scholars, research associates, visiting professors, etc.

c. Appointments and Staffing

- (i) Making nominations and appointments of faculty members to the roles of Associate Chair, Director of Graduate Studies, Director of Undergraduate Studies, and Chair of the Faculty Review Committee, as defined in this document; suggesting mentors for junior faculty, as defined in this document; and assigning other faculty to various Departmental duties, including Training Area Coordinator.

- (ii) Creating ad-hoc committees and temporary assignments, in consultation with the Extended Faculty Advisory Committee.
 - (iii) Approving recommendations regarding teaching, research, and service assignments of faculty members.
 - (iv) Working with the Departmental Administrator to perform continuing review of Departmental needs for staff personnel, and supervising the selection, assignment, and evaluation of staff members.
 - (v) Supervising the security of personnel, facilities, and equipment.
- d. Record-keeping and Communication
- (i) Establishing the agenda for each faculty meeting, providing the agenda to all Regular Faculty prior to meetings, and chairing these meetings.
 - (ii) Informing the faculty of appointments to named Departmental positions and both standing and ad-hoc committees.
 - (iii) Supervising the maintenance of Departmental records and files; ensuring that information relevant to matters for Faculty Action or Faculty Consideration are available to all faculty.
 - (iv) Distributing (or supervising the distribution of) relevant reports, minutes, memoranda, etc., to provide an adequate information base for faculty discussions.
 - (v) Meeting with the Extended Faculty Advisory Committee on the Tuesday before each regular faculty meeting and/or on the first Tuesday of each month during the academic year.
 - (v) Presenting a “State of the Department” address early each fall semester, highlighting past accomplishments and identifying short- and long-term goals and aspirations with respect to faculty, staff, and students.
- e. Resources
- (i) Making allocations of existing financial resources; developing short- and long-range budget proposals.
 - (ii) Allocating existing space and facilities; developing proposals regarding modification, re-assignment or expansion of space and facilities, and formulating space and facilities requests.

- (iii) Responding to (or making appropriate disposition of) proposals or requests that arise from individuals or groups within the Department or from outside agencies.

C. Procedural Guidelines

1. Faculty Action on matters listed in ¶ IV.B.2 of this document shall be regarded as binding on the Department Chair. Deliberate failure of the Department Chair to act in accordance with the expressed majority vote of the faculty, after reasonable efforts to secure faculty reconsideration of the action, could be grounds for initiating a vote of no confidence.
2. Faculty expressions (or inaction) on matters listed in ¶ IV.B.2 shall not be regarded as binding on the Department Chair, but the sense of the meeting and the points in discussion certainly will provide guidance for subsequent action, negotiation, revision, etc.
3. Informational matters in ¶ IV.B.3 ordinarily are the results of action taken by the Department Chair on the basis of judgment in accordance with established policies and prior input from several faculty sources. They usually reflect specific personnel and budget decisions that have been taken, which need to be known, but cannot be revised in the instant case.
4. Concerns about the Department Chair's performance or decision-making should be communicated to the Department Chair directly or, alternatively, through members of the Faculty Advisory Committee for timely communication to the Department Chair.

V. ASSOCIATE CHAIR

A. Selection and Term

1. The Associate Chair is appointed by the Department Chair in consultation with the Faculty Advisory Committee, subject to Faculty Confirmation.
2. The Associate Chair may not simultaneously hold the office of Department Chair, Director of Graduate Studies, Director of Undergraduate Studies, or Chair of the Faculty Review Committee, or be a member of the Faculty Advisory Committee.
3. The Associate Chair shall be appointed for a one-year term, and is eligible for re-appointment, again subject to Faculty Confirmation.
4. Selection of the Associate Chair shall take place before August 1, except that a replacement shall be nominated and confirmed when the need arises.
5. The Associate Chair may be offered an individualized portfolio under the University's Post-tenure Effort Allocation Policy.
6. The Associate Chair should be compensated with summer pay or an administrative supplement for administrative work in accord with agreements on such compensation between the Dean of the College of Liberal Arts and Sciences and the Department Chair on the one hand, and between the Department Chair and the Associate Chair on the other hand.

B. Duties

1. The Associate Chair will serve as Acting Department Chair when the Department Chair is unavailable to carry out their duties.
2. The Associate Chair will work with the Department Chair and all Departmental committees in the governance of the Department and will serve as an ex-officio member of all Departmental committees described in this manual.
3. Other major assignments each year will be arranged in negotiations between the Department Chair and the Associate Chair and specified at the time of the nomination for faculty approval. In this respect, the duties will be conceived so as to maximize the Associate Chair's interest in and talent to engage the various major administrative activities of the Department.

VI. DIRECTOR OF GRADUATE STUDIES AND COMMITTEE ON GRADUATE STUDIES

A. Membership and Terms

1. The Committee on Graduate Studies shall be chaired by a Director of Graduate Studies, appointed by the Department Chair in consultation with the Faculty Advisory Committee, subject to Faculty Confirmation.
2. The Director of Graduate Studies may not simultaneously hold the office of Department Chair, Associate Chair, Director of Undergraduate Studies, or Chair of the Faculty Review Committee, or be a member of the Faculty Advisory Committee.
3. The Director of Graduate Studies shall be appointed for a one-year term, and is eligible for re-appointment, again subject to Faculty Confirmation.
4. Selection of the Director of Graduate Studies shall take place before August 1, except that a replacement shall be nominated and confirmed when the need arises. The term of office shall begin and end at the start of the fall semester.
5. After confirmation, the Director of Graduate Studies will appoint 3-4 additional faculty members to the Committee on Graduate Studies, in consultation with the Department Chair.

B. Duties

The Director of Graduate Studies, with the advice and assistance of the other members of the Committee on Graduate Studies, shall be responsible for recommendations to the Department Chair on the matters listed below; and for the carrying out of such functions related to these matters as are indicated in the following paragraphs or may be specified by the Department Chair.

1. Graduate curricula, course offerings, degree requirements, coordinated as necessary with the Director of Undergraduate Studies.
2. Form and content of brochures, *Catalog copy*, *Graduate Student Handbook*, and other materials describing graduate programs and degree requirements; drafting these materials, coordinating as necessary with the Director of Undergraduate Studies.
3. Policies and procedures related to the admission of graduate students, including nature and timing of follow-up contacts, orientation, etc.; supervising

and coordinating the actual admissions, follow-up and orientation process, in accordance with established guidelines.

4. Policies and procedures pertaining to the evaluation of graduate student performance, the monitoring of student progress, the format of graduate student records; supervising the maintenance of graduate student records.
5. Guidelines for faculty and students regarding the participation of graduate students in the teaching, research, and service functions of the Department; drafting such guidelines, assuring adequate student input to proposed guidelines.
6. Policies regarding levels and patterns of graduate student support.
7. Oversight of assignment of individual students to various types and sources of financial support.
8. Guidelines concerning graduate student academic loads, student participation in interdisciplinary, inter-institutional, off-campus, or other special programs.
9. Policies and procedures related to the placement of graduate students; development of follow-up information on graduates, departure interviews, etc.
10. Appeals and petitions from graduate students for waiver of Departmental or University requirements.
11. Procedures for selection of graduate students as Department nominees for special awards or honors.
12. Oversight of the Graduate Program website.
13. For all graduate students in the Individualized Graduate Training Track, the Director of Graduate Studies serves in lieu of an Area Coordinator and the members of CGS serve as the oversight body in lieu of a Training Area.

C. Procedural Guidelines

1. Meetings

The Committee on Graduate Studies shall hold meetings as needed to fulfill its responsibilities at the call of the Director of Graduate Studies. The Director of Graduate Studies will serve as chair.

2. Reporting

- a. When appropriate, a summary report on major issues considered and recommendations developed should be sent to the Department Chair for distribution to the faculty, together with such comments as the Department Chair may deem appropriate.
- b. A report from the Committee on Graduate Studies shall be a fixed agenda item for each regular faculty meeting.
- c. A special faculty meeting devoted entirely to issues formulated by the Committee on Graduate Studies shall be called by the Department Chair at the request of the Director of Graduate Studies.

3. Coordination

- a. The Director of Graduate Studies shall consult with the Director of Undergraduate Studies before submitting to the Department Chair recommendations on matters of overlapping concern (e.g., faculty and graduate student teaching assignments, course offerings, and arrangements for faculty duties regarding student advising and research supervision).
- b. The Director of Graduate Studies shall be responsible for proposing procedures to assure timely and effective communication with graduate students, and for supervising the implementation of such procedures following their consideration by the Department Chair and the faculty.

VII. DIRECTOR OF UNDERGRADUATE STUDIES AND COMMITTEE ON UNDERGRADUATE STUDIES

A. Membership and Terms

1. The Committee on Undergraduate Studies shall be chaired by a Director of Undergraduate Studies, appointed by the Department Chair in consultation with the Faculty Advisory Committee, subject to Faculty Confirmation.
2. The Director of Undergraduate Studies may not simultaneously hold the office of Department Chair, Associate Chair, Director of Graduate Studies, or Chair of the Faculty Review Committee, or be a member of the Faculty Advisory Committee.
3. The Director of Undergraduate Studies shall be appointed for a one-year term, and is eligible for re-appointment, again subject to Faculty Confirmation.
4. Selection of the Director of Undergraduate Studies shall take place before August 1, except that a replacement shall be nominated and confirmed when the need arises. The term of office shall begin and end at the start of the fall semester.
5. After confirmation, the Director of Undergraduate Studies will appoint additional faculty members to the Committee on Undergraduate Studies, in consultation with the Department Chair.
6. The Committee on Undergraduate Studies will also include the Department's current Academic Advisor(s).

B. Duties

The Director of Undergraduate Studies, with the advice and assistance of the Committee on Undergraduate Studies, shall be responsible for recommendations to the Department Chair on the matters listed below; and for carrying out such functions related to these matters as are indicated in the following paragraphs or may be specified by the Department Chair.

1. Undergraduate curricula, course offerings, and degree requirements, coordinating recommendations as necessary with the Director of Graduate Studies.
2. Faculty teaching assignments in the undergraduate area, coordinated as necessary with the Director of Graduate Studies.

3. Form and content of materials describing undergraduate programs and degree requirements, coordinated with the Director of Graduate Studies.
4. Policies and procedures related to Departmental responsibilities for undergraduate advising, and duties of the Academic Coordinator.
5. Assignment of faculty members to serve as undergraduate advisors (Departmental, general, pre-professional, Honors); monitoring the conduct of advisory activities.
6. Establishment of policies and procedures for outcomes assessment of the undergraduate programs.
7. Serve as a liaison between the faculty and the Iowa Student Psychology Association and *Psi Chi*; recommendations regarding faculty advisors to the Iowa Student Psychology Association and *Psi Chi*.
8. Establishment and maintenance of files on the progress and performance of individual undergraduate majors.
9. Assembly and interpretation of actuarial data about undergraduate students, programs and functions; e.g., course enrollments, student backgrounds, numbers of degrees awarded, drop rates, grade distribution, etc.
10. Contacts with prospective undergraduates; responding to inquiries; managing the Department's participation in summer pre-registration for transfer and new freshmen; student orientation activities, etc.
11. Job placement and graduate school admission information for graduating majors, including collection and dissemination of such information.
12. Methods for improving the Department's undergraduate programs; for example, modification of facilities, acquisition of new equipment, more extensive application of computer technology, the establishment of alternative teaching patterns.
13. Honors in the Major Program; the identification of undergraduate majors to be recommended for special Departmental, Collegiate, University, or other awards.
14. Methods to develop better communication with our undergraduates.

C. Procedural Guidelines**1. Meetings**

The Committee on Undergraduate Studies shall hold meetings as needed to fulfill its responsibilities at the call of the Director of Undergraduate Studies. The Director of Undergraduate Studies will serve as chair.

2. Reporting

- a. A summary report on major issues considered and recommendations developed should be sent to the Department Chair for distribution to the faculty, together with such comments as the Department Chair may deem appropriate.
- b. A report from the Committee on Undergraduate Studies shall be a fixed agenda item for each regular faculty meeting.
- c. A special faculty meeting devoted entirely to issues formulated by the Committee on Undergraduate Studies shall be called by the Department Chair at the request of the Director of Undergraduate Studies.

3. Coordination

- a. The Director of Undergraduate Studies shall consult with the Director of Graduate Studies before submitting to the Department Chair recommendations on matters of overlapping concern, e.g., faculty and graduate student teaching assignments, course offerings, arrangements for faculty duties re student advising and research supervision.
- b. The Director of Undergraduate Studies shall be responsible for proposing procedures to assure timely and effective communication with undergraduate students, and for supervising the implementation of such procedures following their consideration by the Department Chair and the faculty.

VIII. EXTENDED FACULTY ADVISORY COMMITTEE

A. Membership

The Extended Faculty Advisory Committee is composed of the three members of the Faculty Advisory Committee, the Associate Chair, the Director of Graduate Studies, and the Director of Undergraduate Studies.

B. Duties

This committee serves as an executive committee to provide guidance and feedback to the Department Chair.

C. Procedural Guidelines

Meetings will occur regularly during the academic year, typically on the Tuesday before a regular faculty meeting and/or on the first Tuesday of each month. In addition, meetings can be called at any time by the Department Chair or by any member of the Committee. Other members of the faculty can be invited to participate in meetings of the Extended Faculty Advisory Committee as deemed appropriate.

IX. FACULTY REVIEW COMMITTEE

A. Membership and Terms

1. The Faculty Review Committee shall be chaired by a full professor, appointed by the Department Chair in consultation with the Faculty Advisory Committee, subject to Faculty Confirmation.
2. The Chair of the Faculty Review Committee may not simultaneously hold the office of Department Chair, Associate Chair, Director of Graduate Studies, or Director of Undergraduate Studies.
3. The Chair of the Faculty Review Committee shall be appointed for a one-year term, and is eligible for re-appointment, again subject to Faculty Confirmation.
4. Selection of the Chair of the Faculty Review Committee shall take place before August 1, except that a replacement shall be nominated and confirmed when the need arises. The term of office shall begin and end at the start of the fall semester.
5. After confirmation, the Chair of the Faculty Review Committee will appoint two additional full professors to the Faculty Review Committee, in consultation with the Department Chair.

B. Duties

The Faculty Review Committee has the following duties:

1. Oversee and perform annual, third-year, tenure, and promotion reviews of tenure-track faculty.
2. Oversee and perform post-tenure reviews of tenure-track faculty.
3. Collect information needed for Department Chair to perform annual reviews of clinical-track and instructional-track faculty.
4. Collect information needed for Department Chair to perform contract-renewal reviews of clinical-track and instructional-track faculty.
5. Oversee and perform promotion reviews for clinical-track and instructional-track faculty.
6. In consultation with the Department Chair, appoint a group of faculty to coordinate and perform classroom teaching observations.

7. Work with faculty to help them submit necessary documents in a timely fashion.
8. Work with application developer as needed to make necessary modifications to online review application.
9. Provide all necessary documents to the Department Chair in a timely manner so that the next stage in the review process (e.g., writing letter, submission of documents to College) can be completed.
10. Coordinate with the Department Chair to schedule faculty meetings to review faculty.

C. Procedural Guidelines

Meetings will occur regularly during the academic year. In addition, meetings can be called at any time by the Department Chair or by any member of the Faculty Review Committee. Other members of the faculty can be invited to participate in meetings of the Faculty Review Committee as deemed appropriate.

X. TRAINING AREAS AND RESEARCH GROUPS

A. Establishment and Dissolution of Training Areas and Research Groups

1. A Training Area may only be established or dissolved after full consideration by the Regular Faculty and a super-majority vote at a faculty meeting.
2. A Research Group may be established or dissolved by any group of faculty within the Department and does not require approval by the faculty.

B. Membership and Coordinators

1. *Membership in a Training Area*

- a. There are two levels of membership in a given Training Area:
 - (i) *Primary members*: participate fully in all functions of the Training Area, including supervising graduate students, conducting student evaluations, attending Area meetings, and teaching Area-related courses at both the undergraduate and graduate level. Primary members have full voting rights with respect to actions and decisions made by the Area.
 - (ii) *Secondary members*: participate in some but not all functions of the Training Area functions (e.g., they serve as members on graduate student committees and contribute to evaluations, but rarely act as advisor or mentor of graduate students in the Area). They do not have voting rights, but may participate fully in all Area discussions.
- b. Each tenure-track member of faculty is ordinarily a primary member of at least one Training Area. Membership in more than one Area, whether primary or secondary, is possible. A faculty member wishing either to change their Area or to join an additional Area, shall proceed as follows:
 - (i) Discuss the proposed change first with the Department Chair, then in a meeting involving the Department Chair and the Committee on Graduate Studies (this step is necessary only in cases involving primary area membership).
 - (ii) Submit to the Area to be joined a request for membership.
 - (iii) If the request is approved by the present primary members of the Area to be joined, submit the proposed new arrangement to a majority vote of the tenure-track faculty.

2. Membership in a Research Group

Research groups are informal collections of faculty and students with common research interests. As such, any faculty member or student can join (or leave) a given research group at any time. Faculty who are part of a given Research Group will be listed on the Research Group's website, along with a description of their research interests.

3. Training Area Coordinators

- a. The Coordinator of each Training Area shall be appointed by the Department Chair on the recommendation of the members of that Area. Such appointments will be reported to the faculty before August 1, except that replacement appointments shall be reported as they may occur.
- b. At the time of reporting the appointment of a Training Area Coordinator, the Department Chair shall indicate the term of the appointment (ordinarily three years) and the conditions, if any, to be associated with the appointment.
- c. To be consistent with external bodies, the Coordinator of the Clinical Science Training Area may also use the title "Director of Clinical Training" in any correspondence and contacts with outside agencies and other training facilities.
- d. The Training Area Coordinator shall call and chair meetings of the Area and shall be generally responsible for assuring that the various duties of the Area are carried out in a timely and efficient manner. These duties include:
 - (i) Assemble Committee proposals and recommendations, see that they are coordinated with other Training Areas as appropriate, and forward them through proper channels.
 - (ii) Coordinate recruiting contacts with prospective graduate students for the Area, in accordance with established policies and procedures.
 - (iii) Assure that information on graduate student progress is submitted in a timely manner and proper form to the Director of Graduate Studies for incorporation in student files.
 - (iv) Assure coordination with other Training Areas on matters of overlapping concern, e.g., course offerings, laboratory scheduling, student supervision.

C. Collective Duties of a Training Area or Research Group

1. Training Areas

Each Training Area shall be responsible for recommendations to the Director of Graduate Studies or to the Director of Undergraduate Studies, as appropriate, on the matters listed below; and for the carrying out of such functions related to these matters as may be indicated in the following paragraphs or may be specified by the Director of Graduate Studies, the Director of Undergraduate Studies, or the Department Chair.

- a. Form and content of graduate training program(s) for the Area, including coursework, comprehensive exams, and other requirements.
- b. Selection of graduate students for the Area, in accordance with general and specific guidelines adopted by the faculty.
- c. Evaluation of and reporting on the progress and overall performance of graduate students in the Area; conduct of such evaluations in accordance with general policies established by the faculty.
- d. Advising of graduate students; arranging supervisory responsibilities; recommending particular training assignments; performance of advising functions.
- e. Establishment of effective mechanisms for student input into the development and continuing review of the Area Training Program(s).

2. Research Groups

Research Groups shall be responsible for recommendations to the Committee on Graduate Studies for the admission of students who select the Individualized Graduate Training Track and whose interests fit with a given Research Group.

D. Procedural Guidelines

1. Meetings

- a. Training Areas shall have formal meetings to fulfill their responsibilities, as well as at the call of the Area Coordinator, acting independently or at the request of any Area member.
- b. Meetings may be called by the Area Coordinator at the request of the Director of Graduate Studies, Director of Undergraduate Studies, or the Department Chair if regular meetings of the Area faculty do not occur frequently enough to permit reasonably prompt responses to reasonable requests from these individuals for information or decisions which are essential to the orderly

conduct of Departmental affairs and the effective discharge of collective responsibilities.

2. Reporting

A recommendation or proposal from any Training Area or Research Group may become an agenda item for a faculty meeting.

E. Individualized Training Track

The Individualized Training Track exists as an alternative program for graduate study and, therefore, shares many features with a Training Area with the following notable differences:

1. The Individualized Training Track cannot be dissolved and membership is defined in terms of Committee on Graduate Studies, as provided in ¶ V.B.13.
2. When needed, the Director of Graduate Studies shall act as the Coordinator of the Individualized Training Track.
3. When needed, the members of the Committee on Graduate Studies shall act as the Area members.

XI. FACULTY MENTORING

A. Rationale

A system of faculty mentoring is important for ensuring that assistant and associate professors receive the guidance they want and need.

The purpose of a faculty mentor is to serve as a resource to assist junior faculty in their development as scholars, mentors, teachers, and contributing members to the university community. It is understood that the needs of junior faculty for mentoring can change from year to year.

It is typically assumed that assistant professors will benefit the most from faculty mentors, but associate professors (especially during the first years post-tenure) may also benefit. For both groups of professors, however, there is an option to opt out of a formal mentoring relationship.

B. Procedure

1. At the beginning of the academic year, the Department Chair will discuss with each junior faculty member (preferably during an in-person meeting) the most appropriate individuals to serve as faculty mentors.
2. Based on this discussion, the junior faculty member will suggest the names of individuals to serve as mentors. As many as three mentors can be assigned.
3. The junior faculty member can opt out of this system, if desired.
4. The Department Chair will contact the identified senior faculty members to seek their willingness to serve as mentors. Based on the responses received, the junior faculty member will be notified.
5. The Department Chair will maintain a record for each faculty mentor as to the names of assigned mentors and whether a junior faculty member has opted out of the system.
6. In subsequent years, it may be sufficient for the Department Chair to consult with the junior faculty member via email. However, senior mentors will be notified at the beginning of each academic year if they are to continue serving as a faculty mentor.

C. Expectations

Faculty mentors will provide advice to junior faculty, when asked, about such topics as:

1. manuscripts and grant proposals;
2. timing of professional activities;
3. achieving proper balance between teaching and research;
4. research directions;
5. identification of possible research collaborators;
6. classroom pedagogy;
7. graduate and undergraduate student mentoring;
8. managing personnel within the laboratory;
9. overall progress toward tenure and promotion.