

# Department of Biology Operations and Procedures Guide

This document details the administrative structure for faculty in the department including committees, tenure-track and non-tenure-track faculty positions and appointments, and faculty review procedures.

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## **I. Departmental Administrative Structure**

### **A. Chair/DEO**

#### **Selection and Term**

The Department Chair or Department Executive Officer [DEO] shall be appointed by the Dean of the College of Liberal Arts and Sciences, after consultation with the members of the Department faculty and with other persons the Dean may regard as appropriate. The Dean shall specify the term of the Chair/DEO at the time of appointment. If the Chair/DEO is to be selected internally, one or more faculty meetings may be held, with the ultimate goal of informing the Dean of the Faculty's preference expressed through a secret ballot. A faculty recommendation regarding the term may be presented to the Dean at the time of balloting. However, the length of the term is ultimately determined by the Dean. The Chair/DEO is eligible for re-appointment by the Dean.

#### **Duties**

The DEO has general executive responsibility for all aspects of the Departmental enterprise, and is an ex-officio member of all Department committees. While the DEO is accountable on all matters to the Collegiate Dean and to the Central Administration of the University, he or she is also responsible for implementing actions taken by the faculty. Responsibilities include, but are not limited to:

- Continuing critical review of Departmental objectives, programs, and priorities; analysis of the extent to which objectives are being achieved; initiation or review of proposals for changes in objectives, programs, and priorities.
- Allocation of existing financial resources; developing short-term and long-range budget proposals.
- Development of faculty personnel plans; preparing general and specific guidelines related to the recruitment of faculty members; monitoring the actual conduct of recruiting efforts; making recommendations to the Collegiate Dean regarding faculty appointments.
- Implementation of curricular needs through faculty teaching assignments.
- Implementation of established procedures for evaluating faculty; supervising the conduct of evaluations by appropriate faculty groups; providing feedback to individual faculty under evaluation; recommending to the Dean reappointment, termination, and promotion actions.
- Development and implementation of 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 College, to the University, to the profession, and to society generally.
- Allocation of space and facilities; developing proposals regarding modification, reassignment or expansion of space and facilities, and formulating space and facilities requests.
- Nomination or assignment of faculty members to particular committees and other Departmental duties.
- Implementation of policies regarding appointments of adjunct faculty, postdoctoral students, visiting scholars, research associates, visiting professors, etc.
- Maintenance of a continuing review of Departmental needs for staff personnel; supervising the selection, assignment, and evaluation of staff members.
- Responding to, or seeing to the appropriate disposition of, proposals or requests that arise from individuals or groups within the Department or from outside agencies.

- Establishment of agendas for faculty meetings; chairing Faculty and Executive Committee meetings. Distribution of reports, minutes, memoranda, etc. to provide adequate information for discussion.
- Meet on a regular basis with the Administrative Executive Committee consisting of the Executive Associate Chair and the Associate Chairs.
- Maintenance of Departmental records and files.
- Supervision of the security of personnel, facilities, and equipment.

## **B. Executive Associate Chair**

This position is understood to be an opportunity for leadership development of senior faculty from within the Department's ranks. The Executive Associate Chair is appointed by the DEO. The length of the term of appointment is determined by the DEO but is expected to be 1-2 years.

The Executive Associate Chair will serve as ex-officio member of the Executive Committee attending all meetings except for the purposes of annual salary determination.

The Executive Associate Chair will participate in the Administrative Executive Committee meetings with the DEO.

The Executive Associate Chair will serve as acting DEO and assume limited administrative responsibility in the DEO's absence. The DEO may assign duties or responsibilities as necessary to facilitate the Department's operation.

## **C. Associate Chairs**

Two Associate Chairs are appointed by the DEO. At the DEO's discretion, he or she may consult with the elected members of the Executive Committee before making his/her final selection.

Associate Chairs will participate in all decisions made by the Executive Committee [see Part D of this section] except the evaluation of faculty for purposes of annual salary determination.

Associate Chairs will participate in the Administrative Executive Committee meetings with the DEO.

An assistant to each of the Associate Chairs may be chosen by the DEO in consultation with the Associate Chair. The assistant becomes the Associate Chair Designate and may assume the duties of the Associate Chair in his/her absence, including participation in Executive Committee meetings.

### **Graduate Program**

One Associate Chair will be responsible for administration of the graduate program and will serve as Director of Graduate Studies. He or she will coordinate activities related to graduate recruiting, admissions, and curriculum. The Director of Graduate Studies will supervise, monitor and co-ordinate the activities of the staff coordinator of the graduate program. Specific duties and responsibilities are listed below. The DEO may assign other duties as necessary to facilitate the program's operation. The Director of Graduate Studies will:

- Lead the Graduate Affairs Committee in overseeing and revising the graduate curriculum, course offerings, and departmental degree requirements.
- Serve as ex-Officio member of the Graduate Recruiting and Admissions Committee.

- Approve the Graduate Recruiting and Admissions Committee's development of the forms and content of published materials relating to the graduate program (University Catalog copy, recruitment materials, graduate teaching assistants, etc.). The staff Graduate Program Coordinator ensures that all graduate students are aware of the content of these materials.
- In cooperation with the staff Graduate Program Coordinator, develop and implement policies and procedures for evaluating student performance, monitoring progress toward the degree, and renewing financial aid; coordinating departmental nominations of students for departmental and University awards.
- Coordinate the formation of plans of study for each student and receive petitions for exceptions to requirements and review action plans starting with students who are in their 4<sup>th</sup> year.
- In cooperation with the staff Graduate Program Coordinator, serve as primary advisor for new students who have not yet chosen an advisor.
- Handle graduate student problems and complaints.

### **Undergraduate Program**

The second Associate Chair will be responsible for administration of the Undergraduate Program and will serve as Director of Undergraduate Studies. He or she will coordinate activities related to undergraduates. The Director of Undergraduate Studies will supervise, monitor and co-ordinate the activities of the staff Senior Academic Advisor. Specific duties are listed below. The DEO may assign other duties as necessary to facilitate the program's operation. The Director of Undergraduate Studies will:

- Conduct the annual and three-year reviews of Lecturers and Chair the Departmental Advancement Committee for advancement to Senior Lecturer.
- Lead the Undergraduate Enrollment Management and Curriculum Committee in reviewing/revising the undergraduate curriculum. In cooperation with the Undergraduate Enrollment Management and Curriculum Committee.
- Prepare the annual report on outcomes assessment of the undergraduate major.
- In cooperation with the Senior Academic Advisor, implement policies on requirements for the departmental majors, including decisions (and communications with the Registrar's Office and students) on transfer courses, course substitutions, and waivers of requirements for good academic reason.
- Oversee the development or revision of printed and web-based materials (University Catalog copy, degree requirements, the department's undergraduate student handbook, etc.) for undergraduate majors in the department.
- Oversee the assignment of new majors to faculty advisors by the Senior Academic Advisor.
- In cooperation with the Undergraduate Honors Program Advisor and the Senior Academic Advisor, make recommendations to the Chair for undergraduate recognition and/or awards.
- Advise the Chair on undergraduate student problems, complaints, and cases of student academic misconduct (plagiarism, cheating) brought by faculty.
- Maintain communication with other academic departments and with offices throughout the University that serve undergraduate students.

## **D. Executive Committee**

### **Elected Members**

Four tenured faculty members are elected to the Executive Committee for overlapping three-year terms that begin July 1 of the year in which they are elected. For purposes of the election, the faculty whom they represent is divided into four groups: Cell/Development, Evolution, Genetics, and Neurobiology. Faculty members choose a primary group to affiliate with. When a vacancy arises, the appropriate group selects nominee(s) for the faculty at large to vote on. The nominee must be a tenured faculty member. The vote can be by electronic means that assures confidentiality. A simple majority of those voting determines the outcome of the election. Authority to break a tie vote rests with the Administrative Executive Committee, consisting of the two Associate Chairs, the Executive Associate Chair, and the DEO.

When a temporary vacancy arises, for example, because a faculty member is on leave, a temporary replacement is elected according to procedures outlined in the paragraph above. When a faculty member resigns from the Executive Committee, a replacement to fill out the unexpired term is chosen in the same way. Although there is no limit to the number of times a tenured faculty member may be elected to the Executive Committee, at least one three-year gap must exist after two consecutive terms have been served.

### **Responsibilities**

The Executive Committee has the following duties. The Chair may assign other duties as necessary:

- Advise the Chair on curricular needs associated with specific tracks in the undergraduate and graduate majors.
- Advise the Chair on research needs associated with the specific area of representation. Examples are the need for particular common equipment or the need to adjust teaching loads to enhance the research goals of individuals within the group or the group as a whole.
- Elected representatives are expected to communicate with their group, informing them of Executive Committee discussions, except those of a confidential nature, and provide feedback to the DEO prior to the faculty meeting.
- Elected representatives, along with the Chair, evaluate faculty performance for purposes of the annual salary adjustments. In addition, they will serve in an advisory role to the DEO for the annual review of tenured faculty.
- In consultation with the Chair, determine Evelyn Hart Watson and Cone Graduate Scholars.
- The Executive Committee members may advise the Chair on department policy, long-range planning, budgets, expenditures, personnel, interactions with other segments of the University community, and special situations requiring administrative action.
- Make recommendations for nominations for College and University awards for excellence in teaching, research, and/or service.

### **Participation**

The Executive Committee should meet a minimum of once per month during the academic year to advise the Chair and may bring matters requiring departmental attention to the Chair. Such matters can be discussed by the Committee and, if appropriate, may be placed on the agenda for action by the full faculty.

Meetings will be scheduled by the Chair. Committee members should be notified by email at least one week prior to the meeting.

The Chair is responsible for conducting the Executive Committee meetings. His or her role is to facilitate orderly and open discussion of the agenda items.

In the event an elected representative is unable to attend a regularly scheduled Executive Committee meeting, he or she may designate a delegate from the group to attend in his or her place.

Associate Chairs routinely attend Executive Committee meetings and have all the rights and privileges of the elected members, except for participation in the yearly faculty salary reviews. Associate Chairs cannot be elected to serve as group representatives.

The Departmental Administrator and the Assistant to the DEO will attend the meetings of the Executive Committee and can bring matters relating to the administration of the department to the attention of the Committee.

Meetings of the Executive Committee are generally closed meetings. However, faculty may request attendance in the event they wish to present an issue directly to the Committee. The Chair may also request that a faculty member attend and report to the Committee or provide additional information regarding an issue being addressed. Summaries of these meetings will be distributed to all department faculty.

## **E. Other Committees**

Other committees may be created by the Chair, at the recommendation of the Executive Committee, or at the Chair's discretion, as specific needs dictate. The department committees listed below are not all inclusive, but are representative of committees currently active or routinely appointed. Service will be limited to no more than two departmental committee assignments in any given year, except as ad hoc member or teaching evaluator. Faculty will serve on their assigned committees for a three year rotation period. Extenuating circumstances may dictate a longer rotation period.

### **Graduate Affairs Committee (GAC)**

Membership in the GAC will consist primarily of associate and full professors. The GAC is responsible for:

- Monitoring graduate curricula and proposing changes when necessary. Monitoring progress of graduate students in meeting degree requirements.
- Monitoring faculty sponsors' annual written reports on graduate student progress.
- Administering the research rotation program and assuring that faculty submit reports on students' performance in rotations.
- Attend rotation seminars.
- Approving comprehensive exam questions.
- Administering the Qualifying Exam to first year graduate students and soliciting questions from faculty to maintain a question bank.
- Providing advice to first-year students.
- Hearing student appeals and advising the Chair on those appeals.
- Monitoring all aspects of student welfare.
- Coordinating graduate seminar presentations.

### **Graduate Recruiting and Admissions Committee (GRAC)**

Membership in the GRAC will consist primarily of assistant professors. The GRAC is responsible for:

- Considering applications for approval/disapproval.
- Conducting a visitation program for prospective graduate students.
- Conducting telephone interviews.
- Participating in external programs designed to recruit graduate students.
- Developing and maintaining a current communication recruitment plan, and developing/updating/modifying the departmental web site to enhance its effectiveness as a graduate student recruiting tool.

### **Undergraduate Enrollment Management and Curriculum Committee**

Membership in the UEMCC will consist of the Director of Undergraduate Studies, four Faculty appointed by the DEO, including at least one Instructional Track faculty, the Senior Academic Advisor, and the Honors Advisor. Ad hoc members of the committee consist of the Academic Services Coordinator and the Marketing and Outreach Coordinator. The Director of Undergraduate Studies will serve as Chair of the committee. The UEMCC is responsible for:

- Assessing, reviewing, and updating the curriculum toward the goal of maximizing its effectiveness in meeting clearly stated objectives of the undergraduate majors offered by the department.
- Providing oversight and guidance on course offerings, teaching effectiveness, and course evaluations.
- Maintaining processes for engaging prospective and current undergraduate students through open forums, departmental visits, Hawkeye Visit Days, and other events coordinated by CLAS and/or Admissions.
- Engaging with undergraduate organizations and living and learning communities.
- Evaluating spaces used for instruction and providing guidance for requests to modify teaching spaces.
- Monitoring undergraduate enrollments in courses and majors.
- Soliciting applications for and selecting recipients of undergraduate awards and scholarships.

### **Promotion and Tenure Review Committee**

The Promotion and Tenure Review Committee is charged with performing the reviews and writing the summaries of teaching, research, and service for all candidates eligible for promotion prior to the Department Consulting Group meeting. Membership consists of three full professors who serve as the standing committee for all candidates. An ad hoc “expert” is appointed by the DEO for each candidate to be an active member of the committee for purposes of preparing the summary of that faculty member’s research accomplishments. In extenuating circumstances, it may be necessary to appoint additional faculty as ad hoc for the purpose of preparing teaching or service summaries. The ad hoc must be a tenured faculty member above the rank of the candidate seeking promotion. The DEO appoints the Chair of the Promotion and Tenure Committee. The Chair of the Promotion and Tenure Committee conducts the Department Consulting Group meeting.

The charge and procedures for this committee are outlined in the [CLAS/UI Procedures for Promotion and Tenure Review](#).

### **Third-Year Review Committee**

Membership consists of at least two associate or full professors who serve as the core committee for all candidates. The DEO appoints the Chair of the Third-Year Review Committee. The Third-Year Review Committee is charged with conducting evaluations of teaching and writing the summaries of teaching, research, and service prior to the Department Consulting Group meeting. An ad hoc is appointed by the DEO for each candidate for the purposes of preparing the summary of that faculty member's research. The Chair of the committee conducts the Department Consulting Group meeting.

### **Post-Tenure Review Committee [for Five-Year Review]**

Membership consists of at least two faculty at or above the rank of the faculty member under review. The DEO, in consultation with the faculty member under review, selects the members of the committee. The DEO appoints the Chair of the committee. The Post-Tenure Review Committee is charged with conducting an evaluation of teaching and submitting a summary assessment to the DEO.

### **Instructional Track Review and Promotion Committee**

The Director of Undergraduate Studies will be responsible for conducting annual and three-year reviews of Lecturers as well as five-year reviews of Associate Professors of Instruction and Full Professors of Instruction. He or she may enlist other faculty to assist in the reviews, if necessary.

Reviews for promotion to Associate Professor of Instruction or Professor of Instruction are conducted by a Departmental Advancement Committee consisting of the Director of Undergraduate Studies and at least three other members of the faculty eligible to vote on the decision. Instructional track faculty above the rank of the candidate seeking promotion and all tenured faculty are eligible to participate in the advancement and decision-making process, including by attending and voting in the Department Consulting Group meeting. The Director of Undergraduate Studies serves as Chair of the committee and conducts the Department Consulting Group meeting.

### **Seminar Committee**

The Seminar Committee consists of three faculty appointed by the DEO, one serving as past chair, one as current chair, and one as future chair. The committee will rotate in a coordinated fashion through the four tracks, with a new member coming from a track that had not been represented previously. The committee will arrange invitation of speakers for the department's Friday seminar series. An effort will be made to select a Harold Beams Lecturer as part of the spring semester list of invited speakers. The chair of the Seminar Committee will interact with the graduate students to select the Raymond Fong speaker.

## **F. Faculty Meetings**

### **Participation**

Most faculty meetings are open to all members of the Department of Biology, including staff, students and postdoctoral scholars/fellows, except where personnel decisions are to be made, in which case only those with voting rights may attend. Faculty meetings will ordinarily be scheduled by the Chair on a monthly basis during the academic year. The Chair approves all items placed on the agenda. Faculty members should be notified by email at least one week prior to the meeting. The Chair is responsible for conducting the faculty meetings. His or her role is to facilitate orderly and open discussion of agenda items.

The Department Administrator and Assistant to the Chair will attend all general faculty meetings.

### **Matters for Consideration in General Faculty Meetings**

- Final determination of graduate and undergraduate curricula and/or degree requirements.



- Revision of established department procedures or administrative structure (e.g. structure of the Executive Committee)
- Responding to requests for advice from the Chair.
- Expressing opinions on matters requiring a departmental response to an action of the College or Central Administration.

### **Voting On Issues**

Instructional track, tenure-track, and tenured faculty with budgeted appointments in the department are eligible to vote on all issues, but should abstain from voting in the event of a conflict-of-interest. Eligibility of faculty to vote on promotion and hiring issues is outlined in sections I. E. and II.A but for additional details, see CLAS [Faculty Appointments & Review — Department-level Procedures](#) and [Procedures for Instructional-Track Promotion](#). Zero-time joint appointees, adjunct faculty, and visiting faculty are not eligible to vote in faculty meetings. Faculty members may submit written or email proxies to the Chair prior to the meeting.

A quorum consists of one more than half of the faculty eligible to vote; action can also be taken by a smaller group attending a scheduled faculty meeting if the number of positive votes exceeds the majority that would have been required if a quorum were present.

Some issues may be decided by e-mail ballot or other electronic means. Approval of an action by e-mail or electronic means requires a majority vote providing the number of positive votes exceeds the number that would be required for a majority if one more than half the eligible faculty voted.

## **II. Faculty Appointments**

### **A. New Tenure-Track and Tenured Appointments**

#### **Recruitment**

After receiving input from faculty, the DEO formulates a prioritized hiring plan that reflects planning initiatives and anticipated faculty losses over a three-to-five-year period. The DEO may revise the plan whenever there is a change that affects the department's priorities. Proposals for new faculty searches are based on the most current hiring plan.

Proposals for a new faculty search are submitted for approval to the Dean of the College of Liberal Arts and Sciences.

#### **Formation of the Search Committee**

After approval, the DEO appoints an ad hoc recruiting committee. The committee is responsible for reviewing applications, including letters of recommendation, and developing a short list of desirable candidates. When the position(s) has/have been filled, the ad hoc recruiting committee ceases to exist.

#### **Interviewing Candidates**

The recruiting committee, in consultation with the DEO, selects the most desirable candidates. The request to interview must be submitted to the Dean of the College of Liberal Arts for approval before invitations can be extended.

#### **Making an Offer**

Following campus interviews, the search committee drafts a report for discussion by the tenure-track faculty. The report will discuss the acceptability of each candidate for an offer of appointment and will rank the acceptable candidates.

In the DCG meeting:

- (a) For each candidate in succession, a vote is taken on the acceptability of that candidate for an offer of appointment. The search committee chair, or designated member, will begin the discussion by

summarizing the committee's assessment of the acceptability of the candidate. Discussion will be followed by a vote on whether an offer will be made to that candidate if a more highly ranked candidate does not accept an offer. Acceptability for an offer of appointment requires a two-thirds affirmative vote of the tenure-track faculty.

- (b) Following votes on the acceptability of each candidate, ranking will be determined to provide the order in which the department executive officer will present candidates to the Dean of the College. This will begin with the committee chair proposing the adoption of the search committee's ranking of the candidates and explaining the rationale for the ranking. Discussion of ranking will be followed by a vote. Should the proposed ranking fail to achieve a two-thirds affirmative vote, the meeting chair will propose an alternative ranking for discussion. Additional discussion will be followed by a second vote. Should this second proposed ranking fail to achieve a two-thirds affirmative vote of those voting and if there are more than two acceptable candidates, the meeting chair will propose a third alternative ranking for discussion.
- (c) Should the third proposed ranking fail to achieve a two-thirds affirmative vote of those voting, the ranking proposed in the committee report will be adopted.
- (d) Votes on all motions related to faculty hiring are conducted by secret ballot.

## **B. Criteria for Appointment to Tenure-Track Faculty Rank**

Please refer to the Biology Faculty Assessment, Promotion, and Review policy or the [Faculty Appointments & Review](#) page on the CLAS website.

## **C. Criteria for Appointment to Instructional Faculty Tracks**

Instructional track faculty positions (Lecturer, Associate Professor of Instruction, and Professor of Instruction) are renewable, academic-year, non-tenure track faculty appointments. The responsibilities of Instructional Faculty in the Department include the administration and instruction of all or part(s) of undergraduate course(s) in biology, development / revision of curricula, and service at the departmental or collegiate level at a degree commensurate with the faculty member's rank. Appointment to the position of Lecturer requires an advanced degree [such as PhD or the equivalent]. Recruitment of Lecturers is subject to affirmative action procedures. Procedures for promotion of Lecturers to Associate Professor of Instruction and Professor of Instruction are described in section III. E.

Please refer to the Department of Biology Review and Promotion for Instructional Faculty Track policy and the [Faculty Appointments & Review – Instructional Track Positions](#) page on the CLAS website for detailed information about Instructional Faculty track appointments.

## **III. Procedures for Review of Faculty**

Faculty members being reviewed should be mindful of the timing of reviews and should respond in a timely way to requests for information from the Department Chair or from review committees. Each faculty member must submit materials for use in his or her periodic reviews. For this purpose, the faculty member must maintain an updated curriculum vitae, keep student evaluations of teaching on file, and preserve copies of scholarly publications, records of creative work, and copies of teaching materials. Specific guidelines regarding procedures for review of faculty are stated on the [Faculty Appointments & Review](#) page of College of Liberal Arts and Sciences website.

### **A. Annual Review of Non-Tenured Tenure-Track Faculty (Assistant Professors)**

Each year the DEO or a departmental committee reviews every non-tenured, tenure-track faculty member in the department. The review provides the faculty member with an assessment of his or her performance in teaching, scholarly or creative work, and professional service. The purpose of the annual review is to inform the faculty member being reviewed of his/her progress and provide guidance in meeting the standards for promotion with tenure. Guidelines are detailed on the [Annual Review of Probationary Faculty](#) page of College of Liberal Arts and Sciences website.

### **B. Third-Year Contract Renewal Review**

In the third year, the non-tenured, tenure-track faculty member receives a comprehensive review covering the entire period since the initial appointment. The purpose of the review is to assess whether the faculty member is making appropriate progress toward a tenure review that is likely to have positive results. As part of the third year review, the faculty member gives a seminar on their research. Detailed guidelines are provided on the CLAS website under [Annual Review of Probationary Faculty](#). A document containing departmental target dates is provided to candidates at the beginning of the review process.

#### **Review Committee Chair’s Instructions to the Department Consulting Group**

The Chair of the Review Committee will read the following instructions to the DCG at the beginning of the meeting:

“According to the CLAS guidelines, I will conduct the meeting. I will try to make sure I call on you in the order you signal. Please be patient. The DEO will ensure procedural correctness and can provide factual information, but will not participate in the discussion or vote. Discussion of the candidate’s qualifications can only be made in relation to College and Department criteria and benchmarks. It is inappropriate to make comparisons to present or past candidates. The DEO will take notes and write a summary report describing the recommendations of the DCG and his own recommendations for or against renewal of the contract. No comments in the report will be attributed to identifiable DCG members. DCG members are also expected to keep all discussions confidential. Disclosure of confidential review matters by faculty may be considered a violation of the University Policy on Professional Ethics and Academic Responsibility. Only the candidate will receive a copy of the DEO’s summary report that is submitted to the Dean. No separate summary of the discussion is distributed to the DCG.”

### **C. Reviews for Promotion and/or Tenure**

#### **Process and Timetable**

Reviews for tenure and/or promotion are governed by the [CLAS/UI Procedures for Promotion and Tenure Decision Making](#), available on the College’s website. The web page contains all department-specific additions to the procedures, including those that are specific to the Department of Biology. A document containing departmental target dates in the review process is provided to candidates for tenure and/or promotion early in the promotion process. The candidate will give a seminar on their research as part of the review.

#### **The Tenure Decision**

According to University policy, [Operations Manual, III.10.1\(4\)](#), the first step in a tenure decision should be an evaluation of teaching effectiveness. While teaching and research are inextricably intertwined, teaching is a faculty member’s primary obligation. Therefore, unless a determination is made that the faculty member is an effective teacher, tenure is not and should not be granted. The University is committed to the proposition that neither teaching nor research standing alone justifies the granting of tenure.

#### **Extensions of the Probationary Period**

According to University policy, [Operations Manual, III-10.1\(4\)](#), an automatic one-year extension of the probationary period is granted if a faculty member becomes a parent during the first five years of the probationary period or became a parent within two years before appointment. In some cases, the probationary period may also be extended when a faculty member takes an approved unpaid leave for personal or professional reasons or because of a significant but temporary impediment such as a serious illness.

#### **Promotion and Tenure Review Committee Chair’s Instructions to the Department Consulting Group**

The Chair of the Promotion and Tenure Review Committee will read the following instructions to the

DCG at the beginning of the meeting:

“According to CLAS regulations I will conduct the meeting. I will take notes and the DEO and I will try to make sure we call on you in the order you signal us. Please be patient with us. The DEO will ensure procedural correctness and can provide factual information, but cannot participate in the discussion or the vote. The DEO will not be involved in the writing of the report based on this meeting. Discussion of the candidate’s qualifications can only be made in relation to College and Department criteria or benchmarks. It is inappropriate to make comparisons with past or present candidates. Discussion will begin with teaching. After the discussion has concluded, a vote will be taken on teaching effectiveness. Research productivity will be discussed only after an affirmative vote on teaching effectiveness has taken place. If there is a negative vote on teaching effectiveness, tenure will not be granted. The summary report:

- Is based solely on the discussion that takes place.
- It will reflect the range of opinions expressed, both positive and negative.
- CLAS explicitly directs that it include the DCG’s analysis of the external evaluations of the candidate’s scholarship. The reason for this is that when we wrote the Promotion and Tenure report, we did not have access to these documents.
- The report will not violate DCG members’ expectations of confidentiality. No comments will be attributed to identifiable DCG members. DCG members are also expected to keep all discussion confidential. Disclosure of confidential review matters by faculty maybe considered a violation of the University Policy on Professional Ethics and Academic Responsibility.
- The report will include a recommendation for or against tenure based on the criterion that a 60% majority defines a positive recommendation for promotion.
- All DCG members will receive a draft copy of the summary report and edits can be submitted to me. The turnaround on this is very fast. Each of you will get a copy of the final version.
- Any faculty member on the DCG may submit a further confidential evaluation to the DEO. A form is available on the CLAS website.
- The candidate will receive a duplicate of the summary report including the vote. Any confidential evaluations remain so.”

**For candidates who were granted an extension of the probationary period:** If an extension was granted to the candidate, the following statements should be read by the Chair of the Promotion and Tenure Review Committee following the instructions to the Department Consulting Group:

“The candidate received a one-year extension of the standard tenure-clock, approved by the College and the University. This extension does not change the normal criteria for a tenurable record, nor does it imply that the candidate will be held to a standard higher than the one he or she would have had to meet if the tenure decision had been made in the year when it was originally scheduled.”

## **D. Review of Tenured Faculty**

### **Annual Reviews**

The annual review of tenured faculty is an evaluative process, which may also be formative and developmental. The review takes place in the spring semester as part of the salary setting process. The faculty member’s record of activity from the previous calendar year is evaluated using the Collegiate Standards for Tenured Faculty Review and the departmental Standards for Tenured Faculty Review. The DEO conducts the annual review with the elected members of the Executive Committee serving in an advisory capacity. For detailed guidelines, visit the [Annual Review of Tenured Faculty](#) page on the CLAS website.

### **Five-Year Peer Reviews**

The five-year review provides an assessment that is meant to facilitate and encourage professional vitality. The DEO will oversee the review process. There are two kinds of reviews, the standard and the extended. For details regarding the standard and extended reviews, please refer to the [Five-Year Peer Review of Tenured Faculty](#) page on the College of Liberal Arts and Sciences website. Faculty undergoing a five-year post-tenure review will give a seminar on their research as part of the review.

Associate Professors may request a review for the purposes of promotion by January 15 of the year in which they wish to be considered. This is to allow sufficient time for teaching evaluations to take place.

## **E. Review and Promotion for Instructional Faculty Track**

### **Annual and Third-Year Reviews**

Lecturers are reviewed annually for the first six years of appointment. Following the initial six-year annual evaluation cycle, a performance evaluation is conducted every third year.

### **Review for Promotion to Associate Professor of Instruction or Professor of Instruction**

After five or more years of service in the Department at their current rank, a Lecturer may request advancement to Associate Professor of Instruction.

A document containing departmental target dates in the review process is provided to candidates for advancement to Associate Professor of Instruction and Professor of Instruction early in the promotion process. Please refer to the Biology Criteria for Appointment to Instructional Faculty Tracks policy for more detailed information. Collegiate guidelines are available on the CLAS website under [Faculty Appointments and Review](#).

## **F. Post-Tenure Effort Allocation**

Each year, the DEO meets with faculty individually to discuss the distribution of their effort for the following year within the established unit norms: teaching 40%, research 45%, and service 15%. When negotiating an individualized portfolio, for effort that deviates from the unit norms, the DEO takes into account the faculty member's extramural research. For more detailed information regarding policies on Post-Tenure Effort Allocation, refer to the [CLAS website](#).

## **G. Faculty Salary Recommendations**

### **General Policy**

Annual adjustments to salary are recommended to the Chair by the department's elected Executive Committee members, individually or in a group determination with the Chair. Adjustments are based largely on the information supplied in the faculty member's CV, but also takes into account the two- to five-year perspective of a faculty member's activity. The review by the Executive Committee should take place during late February or early March. Final authority for salary adjustments rests with the Dean. Each year, the Dean's office also requests an updated curriculum vitae, which the Dean uses to monitor the progress of the department and to assess the validity of salary adjustments recommended by the Department.

### **Point System**

The annual evaluation takes the form of an assignment of "points" in four categories: teaching (40 points maximum), research (40 points maximum), service (15 points maximum), and "other" (5 points maximum). For both teaching and research, each evaluator should rank at least one faculty member at the maximum value (40 points). The scores are discussed among the departmental Executive Committee and Chair and an average point total is calculated. The points allocated to each of the three categories are adjusted to reflect 100% of the time, taking into consideration the actual division of effort in the portfolio of each faculty member.