Faculty Handbook of Departmental Procedures
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, Head, or DEO

Selection and Term
The Department Chair 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 at the time of appointment. If the Chair 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. The Chair is eligible for re-appointment.

Duties
The Departmental Chair has general executive responsibility for all aspects of the Departmental enterprise, and is an ex-officio member of all Departmental committees. While the Chair is accountable on all matters to the Collegiate Dean and to the Central Administration of the University, he/she is also responsible for implementing actions taken by the faculty.

- 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, but not inundative, information for discussion. Maintenance of Departmental records and files.
- Supervision of the security of personnel, facilities, and equipment.

In this document, the terms Department Chair and DEO are meant to be interchangeable. If the DEO of the Department is appointed as Head, then the responsibilities of the Head will be those listed in this document for the Chair.

B. Associate Chairs

Two Associate Chairs are appointed by the Chair. At the Chair’s discretion, he/she may consult with the elected members of the Executive Committee before making his/her final selection.
The Chair will designate one of the Associate Chairs to serve as acting Chair and assume limited administrative responsibility in the Chair’s absence.

Associate Chairs will participate in all decisions made by the Executive Committee [see Part C of this section] except the evaluation of faculty for purposes of annual salary determination. An assistant to each of the Associate Chairs may be chosen by the Chair 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 act as Graduate Program Director. He or she will coordinate activities related to graduate recruiting, admissions, and curriculum. The Associate Chair will supervise, monitor and co-ordinate the activities of the staff coordinator of the graduate program. Specific duties and responsibilities are listed below. The Chair may assign other duties as necessary to facilitate the program’s operation. The Graduate Program Director will:

- Lead the Graduate Affairs Committee in overseeing and revising the graduate curriculum, course offerings, and 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 coordinator of graduate studies, 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.
- In cooperation with the staff coordinator of graduate studies, 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 act as Undergraduate Program Director. He or she will coordinate activities related to undergraduates. This Associate Chair will supervise, monitor and co-ordinate the activities of the staff coordinator of undergraduate advising. Specific duties are listed below. The Chair may assign other duties as necessary to facilitate the program’s operation. The Undergraduate Program Director will:

In consultation with the appropriate faculty, undertake a thorough review of curriculum every five to seven years to ensure that:

- The curriculum reflects the current status of the discipline, the composition of the faculty, students’ needs, and instructional technology;
- The departmental major comprises a reasonable proportion of course work taken in residence;
- Courses are sequenced clearly and that reasonable prerequisites are in place for advanced courses;
- Course experiences are reflected in the lower division and upper division course numbering.
In cooperation with the Undergraduate Advising Coordinator:

- conduct the outcomes assessment of the undergraduate major;
- in consultation with the Chair and Department Administrator, develop or revise 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 Undergraduate Advising Coordinator;

In cooperation with the Undergraduate Honors Program Advisor and Undergraduate Advising Coordinator:

- 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;

Regularly review and develop the curriculum for the major, particular course sequences, and program requirements, and present recommendations to the Executive Committee;

Implement policies on requirements for the major, including decisions (and communications with the Registrar's Office and students) on transfer courses, course substitutions, and waivers of requirements for good academic reason;

Maintain communication with other academic departments and with offices throughout the University that serve undergraduate students.

C. Executive Committee

Elected Members.

Five 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 five groups: Cell/Development, Evolution, Genetics, Neurobiology, and Plant Biology. Faculty members choose a primary group to affiliate with. When a vacancy arises, the appropriate group selects two nominees for the faculty at large to vote on. The nominee must be a tenured faculty member. The vote can be by email ballot. A simple majority of those voting determines the outcome of the election.

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.
- 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 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 two weeks 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. The usual order of business shall consist of call to order, announcements, administrative staff report, new business, old business, and adjournment.

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 Chair 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.

The Assistant to the Chair shall keep a list of such award deadlines and the timelines for nominations.

D. 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 committees 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)

The GAC is responsible for:

- Membership in the GAC will consist of associate professors and assistant professors who have completed their third year.
- 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.
- 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 and rationalizing graduate seminar course offerings.
Graduate Recruiting and Admissions Committee (GRAC)

The GRAC is responsible for:

- Membership on the GRAC will consist of primarily assistant professors
- 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
- In consultation with the Chair, determining Evelyn Hart Watson and Cone Graduate Scholars
- 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.

Seminar Committee

- The Seminar Committee consists of three faculty appointed by the DEO, one serving as past chair, one serving as current chair, and one serving as future chair.
- The committee members 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 organize the invitation of the seminar speakers.
- A list of seminar speakers will be distributed to the DEO at least one month before the fall and spring semesters.
- An effort will be made to select an H.W. 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 a Raymond Fong Memorial Speaker. This speaker will also be included in the list of invited speakers.

Promotion and Tenure Committee

The Promotion and Tenure Committee is charged with performing the reviews for all candidates eligible for promotion.

- 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.
- The DEO appoints the chair of the Promotion and Tenure Committee.

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 two or three associate or full professors plus an ad hoc member for each probationary faculty member under review
- Writes summaries of candidate's records of teaching, research and service prior to meeting of the Department Consulting Group
- Chair of the committee conducts the Department Consulting Group meeting
- Membership consists of two or three tenured faculty at or above the rank of the tenured faculty member under review.
- Writes summary assessment of candidate's records of teaching, research and service measured against department standards.

Post-Tenure Review Committee (for Five-Year Review)

- The Undergraduate Program Director will be responsible for conducting reviews of Lecturers. S/he may enlist other faculty to assist in the reviews, if necessary.
- Conducts evaluation of candidate's teaching effectiveness
- Writes summary assessment of candidate's record in teaching and professional development
Lecturer Review Committee

• The Undergraduate Program Director will be responsible for conducting reviews of Lecturers. S/he may enlist other faculty to assist in the reviews, if necessary.
• Conducts evaluation of candidate’s teaching effectiveness
• Writes summary assessment of candidate’s record in teaching and professional development.

E. 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 two weeks 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 usual order of business shall consist of call to order, announcements, administrative report, new business, old business, and adjournment.

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.

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. Zero-time joint appointees, adjunct faculty, visiting faculty, and lecturers are not eligible to vote in faculty meetings. Faculty members may submit written proxies to the Chair prior to the meeting.

Voting on Issues

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. Zero-time joint appointees, adjunct faculty, visiting faculty, and lecturers are not eligible to vote in faculty meetings. Faculty members may submit written 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. Approval of an action by e-mail ballot 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) 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 set of recommendations for discussion by the full faculty. The full faculty may vote to accept the recommendations of the committee or propose changes in the recommendations.

The offer of an appointment requires a two-thirds affirmative vote of those voting (eligibility to vote as defined in Section I. E. of this document).

The departmental DEO obtains the necessary approvals from the Dean for the offer of the position, including start up and salary.

B. Criteria for Appointment to Faculty Rank

See Faculty Assessment, Promotion, and Review Guide - 2010

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 College of Liberal Arts and Sciences website.

A. Annual Review of Non-Tenured 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 College of Liberal Arts and Sciences website.
B. Third-Year Contract Renewal Review

In the third year, the 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. Additional information and detailed guidelines can be found on the College of Liberal Arts and Sciences website. A document containing departmental target dates is provided to candidates at the beginning of the review process.

C. Reviews for Tenure and/or Promotion

Process and Timetable

Reviews for tenure and/or promotion are governed by the Collegiate/University Procedural Guidelines 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.

Extensions of Probationary Period

According to University policy [Operations Manual, III-22.8] 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. Please consult the CLAS website and the Provost website for details.

The Chair of the Promotion and Tenure Review Committee will read instructions to the DCG at the beginning of the meeting.

Chair's Instructions to the Department Consulting Group (DCG)

1. According to CLAS regulations I will chair the committee. The Assistant to the DEO and I both take notes and try to be sure we call on you in the order you signal us. Please be patient with us.
2. The DEO will ensure procedural correctness and can provide factual information, but cannot participate in the discussion or the vote. He will not be involved in the writing of the report based on this meeting.
3. 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.
4. The summary report:
   - It 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.

If an extension was granted the following should be read:

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 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. The DEO conducts the annual review with the elected members of the Executive Committee serving in an advisory capacity.

For detailed guidelines, visit the College of Liberal Arts and Sciences website.

Associate Professors may request a review for the purpose of promotion by February 15 of the year in which they wish to be considered (which would have the effect of re-setting the clock).

E. 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 (approximately) 45%, and service 15%. For more detailed information regarding the University's policies on Post-Tenure Effort Allocation, refer to the CLAS website.

F. 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 must 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.