

Michigan  
Technological  
University

Office Memo

TO: Fred Dobney, Provost  
FROM: John H. Adler, Chair  
Department of Biological Sciences  
SUBJECT: Charter

DATE: October 20, 1995

COPY: Max Seel

Attached is a copy of a revised charter for the Department of Biological Sciences. The revisions we believe are in accordance with your memo of 9/13/95. Those sections altered from the original charter are highlighted in the attached copy. This charter was approved on 10/17/95 by the Department of Biological Sciences.

OCT 20 1995  
OFFICE OF THE EXECUTE V.P.  
AND PROVOST  
MICHIGAN TECH. UNIVERSITY

# Michigan Technological University

Office of the Executive Vice President and Provost

## Office Memo

Phone: (906) 487-2440

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TO: President Curtis J. Tompkins  
FROM: Fredrick J. Dobney  
Executive Vice President and Provost  
SUBJECT: Biological Sciences Department Charter

DATE: February 5, 1996

COPIES: T. J. Bornhorst  
M. J. Seel  
J. H. Adler

In accordance with Senate Policy 16-92, attached is the Biological Sciences Department Charter. I have reviewed the Charter and would like to commend the department for their efforts in developing operating procedures to guide department activities. I recommend acceptance of this Charter. If accepted by you, the leadership position in the department will change from Head to Chair.

/dll

Enclosure

## Charter

### Department of Biological Sciences

This charter was prepared by the Biological Sciences faculty and staff to establish policies and procedures for essential elements of departmental governance and operation, and to specify the distribution of responsibility for these elements. It was developed in the Spring of 1995 and adopted unanimously by those present at the faculty meeting on October 17, 1995.

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#### I. Vision Statement

Challenges of the future and the tools needed to meet them will be increasingly understood in their biological dimensions and contexts. The continuing growth of Earth's human population is currently coupled to expansion of non-sustainable technologies in agriculture, industry and extraction of natural resources. During the last decade, we began to recognize the emerging, unprecedented challenges in food and materials production, health maintenance and environmental quality that this growth is creating on a global scale. Lasting progress will be achieved only through development of technologies that can be sustained within the context of global biological systems. The biological sciences must provide both the understanding and the tools needed to meet the challenges and opportunities before us today and in the future.

The MTU Department of Biological Sciences aspires to provide one of the best programs in the midwestern U.S. contributing to meeting these challenges through undergraduate and graduate education and research. Best is understood in terms of both quality and efficiency. At the undergraduate level, we want the majority of MTU undergraduates to have at least one course in biology to provide some biological science literacy for their lives as adults. For Biological Sciences majors, we want to ensure forward-looking, comprehensive curricula that meet the highest national standards. This

must include instruction and laboratory experience in each of the principal areas within biological sciences, and supporting course work in mathematics, physics, chemistry and communications. In addition, we want to provide undergraduate majors with the support necessary to build careers beyond the undergraduate level in employment and graduate and professional schools. At the graduate level and in research, we want to support the education of biological science professionals up through the Ph.D. degree and at the Postdoctoral level. Two areas of graduate study and research identified for growth are ecology/environment with emphasis on the Great Lakes Region, and biochemistry/microbiology/molecular biology with emphasis on environment.

Within the MTU community, the Department of Biological Sciences aspires to continue and expand its leadership role in interdisciplinary education and research.

## II. Departmental Governance

### A. Policy Decisions

1. Authority for setting policy within the department rests with the faculty.
2. For the purposes of this document, faculty are defined as tenured faculty, tenure track faculty, research faculty, and lecturers, with those individuals holding a 50% or greater appointment in the Department of Biological Sciences. Staff are regular, full-time (including 9-month), non-faculty employees.
3. Faculty will determine which matters are major policy issues. Major policy issues require faculty approval before action is taken. The Chair will consult with the faculty whenever a determination is needed.

### B. Department Meetings

1. Department meetings will be the primary forum for discussion of all governance and policy issues among the faculty and staff and the Chair. Items of information may be distributed to the faculty and staff in writing or electronically when a meeting is impractical, or not otherwise necessary.
2. Department meetings normally will be at 1:00 PM on Tuesdays. Meetings may be cancelled if the Chair is absent or there is insufficient business to transact.
3. Regular departmental meetings should be limited to one hour.

4. The Chair is free to run meetings in whatever manner he/she deems appropriate as long as each faculty and staff member's right of participation is respected.
5. A major policy issue must have been discussed at a previous meeting in order to vote on the issue. A quorum (2/3 of faculty) must be present to vote on major policy decisions. A simple majority of those voting is necessary for passage of major policy decisions.
6. When votes are taken in department meetings they may be by voice or ballot, according to the consensus of those present unless otherwise stipulated.

### C. Committees

Much of the departments planning and problem solving is accomplished by committees: teams of faculty and staff whose efforts are focused on tasks defined in written charges. Each member of the faculty is expected to be an active contributor to the work of committees. Out of respect for the value of faculty and staff time, every effort will be made to limit committee work to tasks that are essential to the department, and to make committee charges clear and precise so that committee work can be efficient and effective.

The membership of many committees is appointed by the Department Chair as described below. Prior to making these appointments, the Chair will consult with each faculty member to determine on which committees that person would prefer to serve. Assignments will be consistent with preferences to the extent possible while at the same time considering the need for balance in representation of various departmental constituencies. Staff may be asked to participate on any committee unless stated otherwise below. To provide continuity over the summer, members of standing committees will be appointed during the spring term for the next academic year.

The committee structure of the department will consist of standing committees and *ad hoc* committees.

1. Standing committees of the Department of Biological Sciences include Reappointment, Promotion and Tenure; Grievance; Outreach; Graduate; Curriculum; Safety; and Communications and Computation.

a. Reappointment, Promotion and Tenure- The Reappointment, Promotion and Tenure Committee will consist of 3 tenured faculty, other than the Department Chair. The committee will be appointed by the Departmental Chair with priority given to achieving broad representation of departmental constituencies including those based

on gender and academic discipline. The Chair will be cognizant of interpersonal conflicts that may affect the committee's recommendations and will minimize this potential in establishing the committee's membership. The committee must then be affirmed by a vote of the faculty. An individual may not serve on the committee and the College Promotion and Tenure Committee at the same time. The committee will follow established departmental promotion, tenure, and reappointment guidelines (see Appendix A) and will make a recommendation to the Department Chair on all promotion, tenure, and reappointment decisions. Revision of promotion, tenure, and reappointment guidelines shall follow provisions for major policy issues (Section II B 5).

b. Grievance Committee- The Grievance Committee will be comprised of three faculty members of the department elected by the departmental faculty by secret ballot. An alternate member will also be elected. The chair of this committee will be chosen by committee members. A representative from Human Resources will also serve on the committee, consistent with University Senate policy. The Department Chair is not eligible for membership on this committee. This committee shall follow the departmental grievance policy outlined in Section VI of this charter. If any member of the committee is involved in the grievance they will step down from the committee and be replaced for that particular action by the alternate member.

c. Other Standing Committees

- 1) Chairs and members of all other standing committees will be appointed by the Department Chair in consultation with the faculty and staff.
- 2) Committee members and chairs will function in that capacity for one academic year.
- 3) The responsibilities of the Outreach, Graduate, Curriculum, Safety, and Communications and Computation committees are outlined below.

Outreach Committee: The responsibility of the Outreach Committee is the development and maintenance of programs that build awareness and recognition of our department both on campus and in our region.

Graduate Committee: The primary function of this committee is to oversee the operation of the departmental graduate program. The committee will recommend to the

Department Chair and faculty procedures and policies for implementation. The Graduate Committee will be responsible for recruiting, screening and admitting well qualified students, tracking the progress of graduate students within the program, and providing recommendations on graduate course offerings.

Curriculum Committee: The Curriculum Committee is responsible for reviewing all departmental requests for course changes, deletions, and additions, and for ensuring compliance with the University rules on course changes. It is also responsible for assessing of the success of our curricula and for planning improvements based on assessment results.

Communications and Computation Committee: This committee is responsible for addressing issues of basic computing and communications services for undergraduate and graduate students, investigating enhancements to the departmental network, and exploring the addition of research tools to support the department's graduate program and scholarship.

Safety Committee: The responsibility of this committee is to educate faculty, staff, and students utilizing our safety program, to monitor the department by providing an inspection and maintenance program, and to assure compliance with federal, state, and University requirements.

d. *Ad hoc* Committees

1) An *ad hoc* committee may be formed at any time during the calendar year as a need for departmental consideration or management arises.

a) The need for such a committee and its composition should be agreed upon by the faculty and staff in a Department meeting whenever possible.

b) *Ad hoc* committees may be appointed by the Chair when a department meeting is impossible. Faculty and staff should be informed of such appointments in writing or electronically in a timely manner.

c) Committee chairs may be appointed by the Department Chair or selected by committee members at their first meeting.

2) *Ad hoc* committees will continue to function until the project is complete or the issue is no longer of concern. Existing *ad hoc* committees may be reconstituted by the faculty and staff at the beginning of the fall term.

### III. Administrative Structure

#### A. Department Chair

The Chair may be selected from within the department or by an open search (see Appendix B .Search procedures for the Chair). She/he will serve a term of office of 3 years. The Chair may be reappointed for additional terms (see Appendix C . Evaluation Process).

##### 1. Responsibilities of the Chair

- a. General operation of the department;
- b. Control and maintenance of the budget;
- c. Faculty and staff hiring and recruitment;
- d. Evaluation of the faculty and staff;
- e. Personnel development;
- f. Assignment of merit raises (see Article V);
- g. Maintenance of all records relevant to personnel actions;
- h. Assignment of teaching loads (see Article IV);
- i. Scheduling of courses;
- j. Program development.

##### 2. Search Procedure for the Position of Chair

The search will be conducted following guidelines outlined in Appendix B.

##### 3. Evaluation of the Chair

The procedures for evaluation of the Chair are outlined in Appendix C.

#### B. Other Administrative Positions

Faculty assigned to administrative positions within the Department will be nominated by the Chair, and confirmed by majority vote of the faculty.

1. Department Director of Graduate Studies

The Director of Graduate Studies in Biological Sciences serves as coordinator for all aspects of the department graduate program. The administrative tasks include:

- a. serving as chair of the departmental graduate committee;
- b. processing of graduate application files;
- c. making support determinations (GAs, TAs, Fellowships) in consultation with the graduate committee and department Chair;
- d. initial advising of new graduate students who do not have advisors;
- e. new graduate student orientation coordination;
- f. providing advice to all graduate students within the program soliciting such advice;
- g. approval of transfer credits for graduate students with the students advisor and Graduate School;
- h. writing requests for GA and TA positions;
- i. making quarterly checks on present student progress towards degree completion;
- j. responding to inquiries about our graduate program;
- k. providing department approval for various forms as required by the Graduate School.

2. Directorship of Clinical Laboratory Science Program

The Clinical Laboratory Science (CLS) Program Directorship administrative tasks are:

- a. approval of transfer credits (referrals from MTU Admissions);
- b. first-year and transfer student orientation;
- c. CLS undergraduate program curriculum design, degree schedule revision, and catalog copy revision;
- d. development and maintenance of CLS Laboratory Safety Program;
- e. annual granting of "Tech Is..." and "Jack Holland" scholarships;
- f. development and maintenance of hospital affiliation agreements;
- g. CLS Program Adjunct Faculty appointment maintenance;
- h. Clinical Practicum coordination/Application/Computer Match
- i. tuition sharing (3+1 Program);
- j. assignment of grades for hospital-based 3+1 Program seniors;
- k. curriculum design and maintenance of M.S. program in Clinical Laboratory Management:
- l. alumni newsletter production (periodic joint effort with Biology faculty).

#### IV. General Policy on Teaching Loads and Release Time

Quantity of Teaching: Faculty support the Department's educational mission both by teaching formal classes and by supervision of student research. The level of effort for a full time load will consider the relative equivalence between teaching (credit hours taught) and research supervision (graduate students supervised). The equivalency will not apply perfectly to any one faculty member. Considerations of assignments of a full-time load must include the teaching and research efforts as well as the efforts toward an active program of scholarship, participation in committee work, and student advising. Each faculty member makes a unique set of contributions that require consideration in determining an appropriate teaching load.

The general policy is summarized as follows: One credit of assigned teaching is roughly equivalent to supervision and external support of one graduate student. A graduate student supported by internal funds is the equivalent of 0.5 extramurally supported graduate students. With rare exceptions, all faculty will be involved in classroom teaching and most will achieve a full time load by a combination of teaching and supervision of research students.

Courses to be Taught: The Chair will solicit from the faculty their preferences for teaching assignments, and will take these into consideration while at the same time making sure the instructional needs of the curriculum are met.

#### V. Merit Raises

Merit raises for the Biological Sciences faculty shall be determined by the Chair working in conjunction with each faculty member following the procedure here outlined.

A. During the spring term each faculty member will meet with the Chair to discuss goals in the areas of teaching, scholarship and services for the next academic year. At this time the faculty member and the Chair will agree on a specific, written list of expectations and accomplishments.

B. This meeting will also serve to review current year's accomplishments and to discuss merit raises. At this time the faculty member will provide the Chair with a written self-evaluation of her/his efforts to meet the goals set the previous year.

#### VI. Departmental Grievance Policy

The Biological Sciences Department has provided the following procedure for reviewing and resolving faculty grievances. It follows the requirements of the University grievance policy, which contains the definitions of grievable issues under this procedure.

Because most faculty complaints can be resolved informally through normal collegial communications faculty members should communicate with the Chair in the normal spirit of faculty problem solving.

If this does not lead to a mutually satisfactory outcome, the faculty member may pursue the issue further through the following procedure.

The grievant shall meet with the Chair to file a grievance in writing, specifying the grounds on which the grievance is based. The grievance shall be filed within thirty (30) work days after the discovery of the event, act, or omission that is the basis for the grievance, or thirty (30) work days after the date on which the grievant reasonably should have known of such an event, act, or omission, if that date is later. (In cases where a basis for the grievance is an alleged historical pattern of inequity, the thirty work days shall commence after an identifiable action, event, or omission, if that date is later.) No grievance need be accepted for processing unless a written grievance is provided to the Chair within this thirty (30) day period.

The Chair will submit a written response to the grievant within five (5) work days after the meeting. This period may be extended in the event the Chair is off campus.

Within five (5) work days after receiving the written response from the Chair, the grievant will notify the Chair in writing whether the Chair's written response is a satisfactory resolution of the grievance.

If the grievant is not satisfied with the Chair's response, within five (5) work days the Chair will pass the written materials on to the departmental grievance committee for review. It is the responsibility of the committee to maintain a written record of the grievance process, consistent with the maintenance of due process, and with the possibility of a review of its deliberations by the University Grievance Committee. Within a time period of thirty (30) work days after receiving the materials from the Chair, that committee must notify in writing the grievant and the supervisor of its decision whether to support the grievant. The committee decision shall be based on a simple majority vote.

If the committee decision supports the grievant, within five (5) work days the committee chair shall notify the department chair in writing of the committee's decision. At the grievant's request, the committee shall refer the grievance to the University Faculty Grievance Committee. If the committee does not support the grievant, the grievant may appeal the decision, following procedures of the University Grievance Policy (see Faculty Handbook).

## VII. Amendment of the Charter

Amendment to this charter may be proposed by any member of the faculty at any time by the following procedure.

A. Written proposals must be given to the Chair in writing. The Chair will form an *ad hoc* charter committee for review of the proposed amendment, or request that the faculty select such a committee.

B. The committee will report to the faculty in writing or electronically in time to allow for sufficient review and approval. Reports are to include:

1. A copy of the original proposal.
2. Written comments about the possible ramifications of the proposal.

C. The *ad hoc* committees report will be treated as a major policy issue (Section II B 5).

D. After approval by the faculty, amendments will be forwarded to the University Provost and President for final approval.

#### VIII. Conflicts with University Policy

In any event in which the provisions of this charter are in conflict with University policies and procedures, the University policies and procedures shall take precedence.

# Michigan Technological University

Office of the Executive Vice President and Provost

## Office Memo

Phone: (906) 487-2440

Fax: (906) 487-2935

TO: John H. Adler, Chair

FROM: Fredrick J. Dobney

Executive Vice President and Provost

SUBJECT: Department Charter.

DATE: October 17, 1996

COPIES: T. J. Bornhorst

M. J. Seel

I have reviewed and endorse your recommended amendment to Appendix A of the Biological Sciences Department Charter

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Enclosure

# Michigan Technological University

## Office Memo

TO: Max Seel, Dean  
College of Sciences & Arts

DATE: April 3, 1996

FROM: John H. Adler, Chair  
Department of Biological Sciences

SUBJECT: Amendment to Charter

COPY: File

Attached is the amended Appendix A from the Department of Biological Sciences' Charter. Section I "Criteria for Promotion & Reappointment" is unchanged from the approved Charter. Section II is entitled "Reappointment of:" and Section III "Adjunct Positions" are all new additions to the Charter.

## APPENDIX A

### I. Criteria for Promotion and Reappointment

#### A. To Assistant Professor

The title of Assistant Professor is awarded to faculty members who show promise for continued professional growth as evidenced by such activities as publications, presentations at professional meetings, and effective teaching. To qualify for such recognition the candidate should:

1. Normally have a Ph.D., although a degree at another level may be considered terminal in some fields.
2. Evidence competence as a teacher and demonstrate the ability to work and communicate effectively with students and peers.
3. Maintain active membership in appropriate professional societies.
4. Have publications in refereed professional journals and presentations at professional meetings.

#### B. To Associate Professor

The title of Associate Professor is awarded to faculty members who have demonstrated active professional development during recent years and who hold promise of continuing this development. The candidate should have demonstrated:

1. That all requirements for promotion to the rank of Assistant Professor have been met.
2. Effective contributions to the educational mission of the university as evidenced by effective performance as a teacher, as judged by students and peers in lecture, laboratory, and seminar. The following will strengthen these contributions:
  - a) contributions to curriculum development
  - b) concern for the academic welfare of students through advising and counseling, and other inter-personal interactions
  - c) obtaining grants or gifts for educational equipment or programs
  - d) development of improved methods or techniques in education resulting in the publication of workbooks, laboratory manuals, textbooks, or articles
3. Continuing and active participation in research that makes the candidate and department known beyond the confines of the campus should be evidenced by publication in refereed national or international journals, writing grant proposals, and some combination of the following:
  - a) presentation of research papers at regional, national, or international professional meetings
  - b) serving as an advisor or committee member for graduate students
  - c) obtaining contracts or grants

- d) filing of an application for a patent based on research accomplishments
- 4. Service to the university or the profession should be evidenced by one or more of the following:
  - a) serving on committees within the university.
  - b) serving as reviewer for journals or granting agencies.
  - c) service to professional organizations.

### **C. To Professor**

The title of Professor is awarded to those faculty members who have achieved outstanding professional recognition -- local, regional, and national -- in education or research (2 or 3 below). This recognition can be obtained through a variety of activities that demonstrate professional achievement. For promotion to Professor an individual will have a longer period of productive activity and be recognized by a wide circle of peers. The qualifications of the candidate will indicate continuing professional activity in each of the following, with nationally recognized contributions in 2 or 3:

1. All requirements for promotion to the rank of Associate Professor have been met.
2. Continuing, contributions to the educational mission of the university as evidenced by effective performance as a teacher, demonstrating excellence well beyond the average in his/her knowledge of subject and ability to communicate this knowledge at the appropriate level in a variety of teaching situations, as judged by students and peers, and by some combination of the following:
  - a) contributions to curriculum development
  - b) concern for the academic welfare of students through advising and counseling, and other inter-personal interactions
  - c) obtaining grants or gifts for educational equipment or programs
  - d) development of improved methods or techniques in education resulting in the publication of workbooks, laboratory manuals, textbooks, or articles
  - e) development of innovative teaching programs
  - f) group leadership and involvement in inter- or multi-disciplinary teaching program
  - g) national leadership in biological education through leadership in such activities as symposia, consulting, or workshops
3. Provide strong and continuing evidence of scholarly activity in research by publication in appropriate refereed national or international scientific or educational journals or by publication of nationally recognized professional books, by submitting grant proposals, and by continuing an active participation in the profession in a way that makes the candidate and department known in a positive way. He/she would also participate in some combination of the following as evidence of strong professional development:

- a) involvement with graduate students as a major advisor
  - b) continued, consistent record of publication
  - c) development of improved methods or techniques in education as demonstrated by either publication or classroom effectiveness as judged by student and peer evaluation
  - d) membership in professional organizations and participation in activities such as chairing sessions, organizing symposia, reviewing papers and proposals, holding a national or international office, serving on editorial board of a professional journal or professional newsletter
  - e) obtaining contracts or grants
  - f) filing of an application for a patent, based on research accomplishments
  - g) presentation of papers at appropriate professional meetings
  - h) involvement in the departmental graduate program
  - i) group leadership and involvement in inter- or multi-disciplinary research
  - j) development of innovative research programs
4. Service to the university or the profession should be evidenced by some combination of the following:
- a) serving on committees within the university
  - b) serving as reviewer for journals or granting agencies
  - c) holding an office in a national or international professional organization
  - d) significant contributions to the academic and professional programs of the university through such activities as serving on the university curriculum committee, graduate council, research council, university senate, college or university search committee, and presentation of guest seminars in other departments
  - e) effective handling of administrative duties within the department and university
  - f) serving as a professional consultant for local, state, or national government as a result of expertise in one's field
  - g) presentation of seminars or workshops at other universities
  - h) presentations of seminars or workshops for K- 12 students or teachers

**D. Reappointment** to the rank of Assistant Professor, Associate Professor and Professor will utilize the departmental criteria outlined above to determine progress within the rank and if applicable toward promotion.

## **II. Reappointment of:**

### **A. Untenured Tenure-Track Faculty**

Reappointment must be reviewed by the Departmental Reappointment, Promotion, and Tenure Committee and the Department Chair as outlined in the

Criteria for Promotion and Tenure. Reappointment is based on steady and sufficient progress toward the next faculty rank as outlined in the departmental guidelines for promotion and tenure. Following the regular review process, the faculty member will be notified in writing by the chair, in consultation with the Departmental Reappointment, Promotion, and Tenure Committee, of those strengths and weaknesses in progress toward tenure as considered by the departmental committee and chair. If that progress is considered insufficient, the Chair, under advice from the Reappointment, Promotion, and Tenure Committee, will provide written documentation of the deficiencies and strengths. The department is under no obligation to renew the contract if the Committee considers that the untenured faculty member is unable to contribute adequately to the mission of the department.

**B. Lecturer**

Re-appointment of Lecturer shall be based on teaching and service only, using the same criteria as for faculty on tenure track. In most cases, the teaching responsibilities will be greater than those for tenurable faculty who have research responsibilities. In cases where lecturers hold administrative positions, administrative duties may be credited in lieu of some teaching/service responsibilities. Since lecturers are neither tenurable nor promotable, salary considerations will include their performance in teaching, administrative duties, and service as defined in the criteria set for tenurable faculty.

**C. Research Assistant Professor, Research Associate Professor, and Research Professor**

Research faculty positions are one-year renewable appointments that depend on available funding. A successful researcher in these ranks is not eligible for tenure, but should expect to proceed in rank as appropriate. For faculty ranks preceded by the title "Research," criteria for promotion will follow guidelines for tenure-track faculty. However, progression through the ranks will depend almost entirely on research performance. Therefore, publication and funding achievements must exceed those for faculty at the same rank whose titles do not include "Research." Research faculty must be externally funded sufficiently to support their appointment and research independent of university support. Furthermore, the research must support the goals of the department. Such faculty are expected to support the department and university by contributing to graduate advising, presenting and/or teaching seminars, and collaborating in research.

**III. Adjunct Positions**

An adjunct position within the department permits a scholar to use departmental and university facilities, but does not obligate the university to provide any financial compensation. Appointments to adjunct positions must be approved by the departmental Reappointment, Promotion, and Tenure Committee. Such a person may be encouraged

but not required to seek external funding. A successful researcher in these ranks is not eligible for tenure, but should expect to proceed in rank as appropriate. Adjunct faculty who hold a tenurable position or research faculty position in another department in this university will automatically receive the adjunct rank bestowed upon them by that department. For those who do not hold another position in the university, criteria for promotion will follow guidelines for tenure-track faculty. However, importance of service, teaching, and research must be modified as appropriate to the role of the particular adjunct position.

## APPENDIX B: Search Procedure for Department Chair

### 1. Search Initiation

The College Dean will initiate the search. The Dean in consultation with the department will decide whether the search will be restricted to internal candidates, or if there will be an open search for internal and external candidates.

### 2. Search Committee

The search committee will consist of four departmental faculty, and one person from outside the department appointed by the College Dean. The departmental faculty will elect the search committee in an election conducted by the department's Senator and a representative appointed by the present chair. Ties will be resolved by random selection. The chair of the search committee will be elected by the committee at its first meeting.

### 3. Position Description

The search committee, with input from the present Chair, the Dean, and the Affirmative Action Officer, will produce the first draft of the position description and position advertisement. The committee will also produce a document that lists necessary and desirable qualifications and attributes of candidates. These documents will be treated as departmental major policy issues (Charter, Section II.B.5).

### 4. Candidate Identification

The committee will complete the Request for Posting Memo and send it to the Human Resources Office. The committee is responsible for ensuring that the search conforms to current legal requirements, and for maintaining the applicant flow log.

Applications for the position are made to the committee. Departmental faculty may nominate candidates. In the case of an open search, the position will be advertised in appropriate professional journals, and faculty should distribute position descriptions to their professional colleagues.

### 5. Short List of Candidates

In an open search, the committee will review the applications to produce a short list of at least two candidates. These candidates will be invited for an interview. The committee should attempt to obtain independent assessments from referees not listed by the candidates, and should solicit faculty help in identifying these referees.

If the search is only internal, all applicants will be on the short list of candidates.

## 6. Candidate Interviews

The application materials of each candidate on the short list will be available to all departmental faculty and staff. The letters of recommendation will be accessible to members of the department, but the letters cannot be copied. The candidates will be informed of this requirement, and will be furnished with copies of the position description, departmental charter, statements of departmental goals, and recent annual departmental report.

The search committee will arrange for each candidate on the short list to make one or two presentations to the faculty, staff, and graduate students of the department:

- a) A technical presentation in the field of the candidates specialization (optional in the case of an internal candidate);
- b) A presentation addressing issues of administration, which may include topics such as the candidates administrative philosophy, plans for meeting departmental goals, departmental directions in research and in undergraduate and graduate education, and allocation of resources.

In addition, the candidate will participate in a forum open to all faculty, staff, graduate students and undergraduate students.

The search committee will arrange the candidate's schedule and set up appointments with appropriate administrators and other persons outside of the department.

## 7. Selection of the Chair

After the candidates have completed their interviews, the selection committee will arrange a meeting of faculty and staff to discuss the candidates. The committee will solicit the opinions of graduate and undergraduate students. In addition, faculty and staff may meet individually with the Dean to discuss the candidates.

The Deans office will send ballots to the departmental faculty. The ballots will list the names of the candidates. On the ballot, each candidate may be marked as preferred/acceptable/unacceptable. The ballots will be returned to the Deans office and tabulated by impartial personnel.

The vote of the faculty is advisory; however, it is expected that the Dean will select a Chair consistent with the faculty balloting. The Dean will notify the department faculty and staff of the results of the vote, and of the Dean's decision regarding the candidates.

The Dean's decision requires approval by the University Provost and President.

## 8. Failure of the Search Process

The search process fails if the Dean finds no candidate acceptable. In this case, the search process is re-initiated (Section 1 of this Appendix).

## APPENDIX C: Evaluation Process for Department Chair

This appendix describes the evaluation process for the Department Chair to be conducted by a faculty Evaluation Committee as a precondition for reappointment of the Chair.

### 1. Frequency of Evaluation

The Chair must be evaluated in the final year of the Chair's term. The evaluation process also may be initiated by the Chair at any time, but not more than once a year. The College Dean may also initiate the process. The process may be initiated also by a simple majority vote of the faculty, but not more than once a year.

### 2. Evaluation Committee

The evaluation will be conducted by a three-member faculty committee. The departmental faculty will elect the evaluation committee in an election conducted by the departments Senator and a representative appointed by the present chair. Ties will be resolved by random selection. The chair of the evaluation committee will be elected by the committee at its first meeting.

### 3. Chairs Self Evaluation

The Chair must prepare a written report which should include but need not be limited to:

- a) Achievement of the departmental goals for the period of evaluation;
- b) The departmental budget and its management;
- c) Growth and quality of academic, research, and service programs;
- d) Future needs and directions of the department;
- e) The charge given to the Chair or any goal of the department which the Chair thinks is controversial in the department, and the effort the Chair has made to address the controversy.

The report will be distributed to all departmental faculty and staff. After distribution, the committee will call a meeting of faculty and staff to discuss the report with the Chair.

### 4. Evaluation Form

After the meeting discussing the Chair's self-evaluation, the committee will distribute an evaluation form to all departmental faculty and staff. A sample form is attached. Additional questions from the Chair, the Dean, or the faculty may be added.

### 5. Processing of Evaluations

The faculty and staff will be given one week to return the completed form to the evaluation committee. Results will tabulated and analyzed separately for faculty and staff. The committee will summarize the comments from open-ended questions.

The committee will write review statements about the major accomplishments and problem areas of the Chair. The committee also will prepare a commentary on progress in problem areas identified in previous evaluations. (Previous evaluation reports and responses may be obtained from the office of the College Dean.)

The completed evaluation forms with individual comments will not be released by the committee except to the Dean to verify the committee's summary. These forms will be withheld from the Chair of the department within lawful limits.

The committee will compile an evaluation report consisting of tabulated results, the committee's summary of responses to open-ended questions, and the summary statements of the committee.

## 6. Chair's Response

The committee will provide the Chair with a copy of the evaluation report.

At this point in the evaluation process, the Chair may decide to terminate the evaluation process, and not to seek reappointment. In this case the committee will inform the faculty and staff of the Chair's decision and all written and electronically stored material related to the evaluation process will be destroyed. If the Chair decides to seek reappointment, the Chair will be asked if he/she would like to prepare a written response to the report before the department sees the report. Ten working days will be allowed for preparation of the response.

## 7. Dissemination of Results

The committee will arrange a closed meeting for all departmental faculty and staff, except the Chair. The purpose of the meeting is only to disseminate the evaluation material, and not to discuss the Chair's performance. Copies of the evaluation report and the Chair's response will be circulated at the meeting. These copies will not be taken outside the meeting room. All electronic copies and all but one written copy will be destroyed immediately after the meeting.

The one remaining copy of the report will be kept in the office of the College Dean. Any member of the department may see the evaluation report and the Chair's response at the office of the Dean at any time during the reappointment process.

## 8. Balloting

A vote on reappointment will be conducted with ballots sent to the departmental faculty. The ballots will be counted by the evaluating committee.

<p>BALLOT</p> <p>(Name of Chair) should be reappointed as the Chair of the Department of Biological Sciences</p> <p>YES_____ NO_____ Undecided_____</p>
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## 9. Implementation of Evaluation Results

The committee will inform all faculty and staff of the department of the ballot results, and will forward the results to the Dean as the basis for a decision on reappointment.

The Dean will inform the department faculty and staff of the decision to reappoint or not to reappoint the Chair. The Deans decision requires approval by the University Provost and President.

When the decision of the administration is contrary to a simple majority vote of the faculty, the Dean should explain the reasons for that decision in writing to the department in conjunction with the written statement in Item 10 below.

## 10. Report by Dean

For all reappointments, the Dean will prepare a written statement on the strengths and weaknesses of the Chair and the department, including but not limited to the following areas:

- a) Guidance and management of the quality and growth of academic programs;
- b) Guidance and support of research activities within the department;
- c) Practice of sound financial management within the department;
- d) Management and guidance of personnel within the department;
- e) Definition of goals within the department, and progress of the department toward these established goals.

The report should be delivered within 15 working days of the reporting of ballot results. The distribution of this report will be followed by a meeting with the Dean for all members of the department for answering questions and providing clarification.

## 11. Storage of Reports

The original evaluation forms from faculty and staff will be destroyed.

The evaluation report, the Chairs response and the ballot results will be kept in the office of the Dean and will be supplied to the next evaluation committee. These documents will be destroyed immediately when the Chair moves to a different position.

Department of Biological Sciences

Chair Evaluation Form

Chair name: \_\_\_\_\_

Respondent Identification (check one): Faculty \_\_\_\_\_ Staff \_\_\_\_\_

Please circle one response to each of the statements below. Use the following scale for all responses:

1-Strongly disagree 2-Disagree 3-Neutral 4-Agree 5-Strongly agree I-Insufficient Information

COMMUNICATION

- |  |             |
|--|-------------|
| 1. The Chair has clearly communicated the goals of the department.   | 1 2 3 4 5 I |
| 2. I had sufficient input into the formulation of the departmental goals.  | 1 2 3 4 5 I |
| 3. The Chair is an effective advocate for the department to the higher administration.                             | 1 2 3 4 5 I |
| 4. The Chair effectively and accurately communicates the positions of the higher administration to the department. | 1 2 3 4 5 I |
| 5. The Chair has shown the ability to maintain high departmental morale.   | 1 2 3 4 5 I |
| 6. The Chair communicates effectively with departmental committees and respects committee decisions.               | 1 2 3 4 5 I |
| 7. The Chair used a participative approach to management.  | 1 2 3 4 5 I |
| 8. The actions of the Chair enhance the image of the department outside the University.                            | 1 2 3 4 5 I |
| 9. The Chair is in touch with the student attitudes toward the department and its curriculum.                      | 1 2 3 4 5 I |
| 10. The Chair works to create an environment which fosters faculty/staff development.                              | 1 2 3 4 5 I |
| 11. The Chair treats me with respect.  | 1 2 3 4 5 I |
| 12. The Chair encourages and nurtures effective teaching.  | 1 2 3 4 5 I |

ADMINISTRATIVE DETAIL

- 13. The Chair ensures that resources are distributed equitably within the department. 1 2 3 4 5 I
- 14. The Chair ensures that work is assigned fairly and suitably. 1 2 3 4 5 I
- 15. Equitable decisions are made on salary adjustments. 1 2 3 4 5 I
- 16. The Chair ensures that the financial resources of the department are managed well. 1 2 3 4 5 I
- 17. The Chair makes decisions in a timely manner. 1 2 3 4 5 I

PROGRESS

- 18. During the tenure of this Chair the department has made steady progress toward achieving its academic goals. 1 2 3 4 5 I
- 19. During the tenure of this Chair the department has made steady progress toward achieving its research goals. 1 2 3 4 5 I
- 20. The Chair had been an effective advocate for resource development external to the department. 1 2 3 4 5 I
- 21. The Chair has progressed adequately in addressing problem areas described in the previous evaluation(s). 1 2 3 4 5 I

OPEN-ENDED QUESTIONS AND COMMENTS

Please reply to the three specific questions below. Add any additional comments that are appropriate for this evaluation.

- 1. In what areas does the current Chair needs to improve, and what actions are needed to implement these improvements?
- 2. What are the greatest strengths of this Chair?
- 3. What changes should be made to enhance the department's performance?
- 4. Other comments.