I. DEFINITIONS
1. “The Department” shall mean the Department of Biological Sciences at USM.

2. “Faculty” shall mean all unit members in the rank of assistant professor, associate professor, and professor holding full-time tenure track appointments.

3. Unit members shall mean persons defined in Article I (Recognition) of the AFUM Agreement.

4. “Governance Constitution” shall mean the Governance Constitution of USM, as approved by the Board of Trustees of the University of Maine System in June 1995 or its official replacement. “Contract” shall mean the Agreement between the University of Maine System and Associated Faculties of the University of Maine, System, MEA/NEA.

5. The regulations contained in the AFUM Agreement and the Governance Constitution implicitly shall supersede all Procedures and Policies of the Department.

II. PERSONNEL

A. Procedures
1. The Personnel Committee of the Department of Biological Sciences functions as the peer committee for evaluating Biology faculty. The Personnel Committee comprises all faculty of the Department of Biological Sciences. The Department Chairperson serves as the Chairperson of the Personnel Committee. When the Department Chairperson is the faculty member to be evaluated, the Personnel Committee will elect a chair from among tenured faculty members.

2. Faculty shall provide the Personnel Committee with an updated Presentation at least one week prior to the scheduled Personnel Committee meeting at which they will be evaluated.

3. When a member of the Department is to be considered for tenure, promotion, continuing contract, or performance review, the Personnel Committee will have access to the member’s Personnel File in accordance with the University of Maine/AFUM Agreement. The Chairperson shall convene the Personnel Committee to insure that such administrative deadlines are met in a timely fashion.

4. Faculty applying for tenure or promotion will submit a list of at least six (6) potential external reviewers in order of preference, including name, contact information, and statement about the nature of their professional relationship with each reviewer, to the Personnel Committee in the spring semester prior to their tenure or promotion review. The Personnel Committee will review the list and may request changes in consultation with the candidate. The Department Chairperson then will contact reviewers, solicit letters from positive respondents based on the candidate’s order of preference, and ensure that letters are received by the due date. If external reviewers decline, then the candidate has the option of submitting additional names of external reviewers.
5. If more than one individual is being evaluated for the same deadline, order of evaluation shall be established by lot. The Chairperson shall have each member of the Department (in alphabetical order by last name) blind draw from a container holding numbered objects (at least one object per member, each numbered differently). Evaluation of members shall then proceed in numerical order, from lowest number being evaluated first to highest number last.

6. Faculty may make oral statements at their review, followed by a question and answer session. That faculty member may choose to remain during discussion of his or her performance.

7. Only those items listed under “Evaluation Criteria” will be discussed.

8. Hearsay evidence shall be avoided.

9. A member of the Personnel Committee shall write a summary of comments during the evaluation. All members involved in the evaluation will initial the summary as being a factual record of the evaluation. A copy of the handwritten and typed summaries will be given to the evaluated faculty member within one week of the meeting. For one week prior to placing the final report in the faculty member’s official Personnel File, the faculty member shall have the opportunity to supply written comments, which if provided will be attached to the final report. In addition, the final report, written by the Department Chairperson, shall be signed by those faculty present at the meeting. Signing of the report indicates that the report is an accurate reflection of the summary of comments.

10. The final report, with response, if any, shall be placed in the faculty member’s Personnel File by the custodian of the file.

11. When a departmental member is being considered for tenure, promotion, continuing contract, or performance review, voting by secret written ballot shall take place at the conclusion of all testimony and discussion. Only tenure track faculty members of the Department shall vote on personnel matters; in addition, the member being considered is not allowed to vote. The Chairperson shall appoint two ballot-counters who shall count the ballots and immediately announce the results.

12. Any votes of the Personnel Committee shall be recorded from those in attendance at the meeting of the Personnel Committee who are eligible to vote; however, an absentee ballot will be accepted from a Committee member who is absent because of university business and from members on approved leave. An absentee ballot may be accompanied by a written evaluation of the candidate for presentation at the personnel meeting.

All ballots shall be placed in an envelope clearly marked with the name of the member being voted on. The envelope shall be sealed and retained by the Chairperson until the conclusion of all evaluations. At the conclusion of all evaluations, the ballots shall be counted according to previously established procedures. (See 10, above)

B. Evaluation Criteria
1. Instruction

Teaching is the primary mission of the Biology Department. During personnel evaluations, therefore, major emphasis must be placed on judging teaching effectiveness. To facilitate this aspect of the evaluation, each Biology faculty member shall submit to the Personnel Committee:

a. A copy of the comprehensive final examination for each course taught or if the final examination is not comprehensive, a copy of each examination, including the final one given during the semester.

b. A syllabus and course policies, as dictated by the Faculty Handbook.

c. Summaries of student evaluations for each course taught. When aggregate means from more than course are used, they will be weighted by sample size.

d. Texts, lab exercises and manuals used in courses taught.

e. If applicable, the number of students supervised and the nature of the supervision.

Course evaluation questionnaires: Course evaluation questionnaires will be filled out by students at the end of each semester in which a course is given; questionnaires must include written comments and/or ratings on texts, course content, instructor and examinations; they must be summarized (unless computer-scored) by a faculty or staff member chosen by the instructor with the summary then certified by the Department Chairperson and instructor within six weeks after students have filled out questionnaires. Upon certification of summaries, questionnaires will be returned to the instructor for disposal, if so desired. The instructor will not be present when student questionnaires are distributed, completed and collected. Completed questionnaires should be delivered by a student to the faculty or staff member selected to summarize them, to the Department office, or to the campus library to be placed in campus mail. Summarized questionnaires are returned to the instructor only after semester grades have been placed with the Registrar.

In addition, labs and lectures in any Biology course will be open for attendance by interested faculty upon prior notification of the instructor. In this way, some direct evidence of teaching effectiveness may be gained. Faculty being evaluated for tenure or promotion shall be evaluated at least once for each promotion.

For reappointment beyond the second year, the faculty member shall have begun to demonstrate a sustained pattern of effective teaching during the evaluation period. Effective teaching may be demonstrated through course preparation as evidenced through syllabi and course materials, class management as determined through one or more classroom or teaching lab visits, and student reception as evidenced by student evaluations.

For reappointment beyond the fourth year, the faculty member must demonstrate a sustained pattern of effective teaching and progress toward high quality teaching. High quality teaching is evidenced by at least one of the following: excellent care in preparation, excellent student evaluations, and excellent development of courses, curricula, pedagogy, and assessment.
A recommendation of tenure and (or) promotion to Associate Professor presumes a sustained record of high quality teaching.

Promotion to the rank of Professor requires a sustained pattern of high quality teaching, as evidenced by at least two of the following: excellent care in preparation, excellent student evaluations, and excellent development of courses, curricula, pedagogy, and assessment.

2. Research, scholarly writing, and papers at scientific meetings
Research is the secondary part of the faculty member’s obligation to the Department and the University. To obtain tenure and (or) promotion, faculty must have an active and productive research program that leads to publication of the research in refereed journals. The timeliness of the University’s provision of the necessary resources for a member to initiate a research program must be considered during the course of evaluation.

To facilitate this aspect of the evaluation, each Biology faculty member shall submit to the Personnel Committee:
   a. papers published, submitted, or in preparation,
   b. grant proposals submitted or in preparation,
   c. panel and ad hoc reviews of grants submitted, if available,
   d. abstracts of conference presentations, and
   e. progress reports on all internal and external awards.

For reappointment beyond the second year, the faculty member must submit evidence of implementing a research program.

For reappointment beyond the fourth year, the Personnel Committee must be able to discern progress in scholarly activity and contributions to their field, as evidenced by scholarship published in refereed journals, presentations at professional scientific meetings, and (or) submission of grant proposals that seek funding through a peer review process for purposes of original research.

A recommendation of tenure and (or) promotion to Associate Professor requires a sustained record of substantial and quality scholarship and a clearly evident pattern of intellectual development and growth, as recognized by peers in the field. Evidence includes publication in refereed journals, presentations at professional scientific meetings, and submission of grant proposals that seek external funding through a peer review process for purposes of original research.

Promotion to the rank of Professor presumes a significant contribution to the field of Biology and a reputation beyond the local or regional. Such standing requires a substantial and distinguished body of scholarship, as recognized by peers in the field, which recognition could
include publications in refereed journals, external funding for research, and authorship of scholarly books.

3. Service
The proportion of a faculty member’s time devoted to service will vary throughout their career. Service at the departmental level is required. Because faculty members have different strengths and opportunities, additional service may take one or more of the following forms:
   a. college and university assignments or service
   b. professional service in the discipline
   c. community service in the discipline.

For reappointment beyond the second year, the faculty member shall have participated in departmental affairs.

For reappointment beyond the fourth year, the faculty member must participate in service beyond the Department level.

A recommendation of tenure and (or) promotion to Associate Professor requires evidence of continued service to the Department and beyond.

Promotion to the rank of Professor requires an ongoing pattern of service to the Department and to the profession.

C. Seminar
1. In the year prior to their personnel action, candidates for tenure and promotion shall present a seminar at the University of Southern Maine, describing their scholarship.

D. Definition of satisfactory performance for post-tenure reviews
1. In addition to maintaining an effective teaching program, the faculty member shall be active in scholarship and (or) service.

E. Shared appointments
1. Evaluation of shared appointments will be based upon the faculty member’s appointment documents.

III. THE DEPARTMENT CHAIRPERSON
A. Duties
1. The Chairperson is the advocate for the Department and its appointed intermediary in communications with University Administration.

2. The Chairperson shall:
   a. call and preside at all Department meetings;
b. appoint a temporary Acting Chairperson in the event of his/her absence from the University for more than three (3) business days;

c. prepare and distribute a printed agenda at least three (3) days in advance of each meeting. Faculty members should notify the Chairperson of items they wish to include on the agenda.

d. see that detailed written Minutes are recorded at each meeting and be responsible for their distribution to the Faculty;

e. promptly and faithfully forward all authorized communications from the Faculty to the Administration;

f. promptly and faithfully forward all authorized communications from the Administration to the Faculty;

g. approve budget expenditures and course allocations;

h. attend all CAS chairs meetings and retreats or, if unable to attend, appoint a representative;

i. approve classified, professional and faculty time as appropriate through MaineStreet;

j. be responsible for supervising and evaluating classified and professional staff as appropriate.

k. act as the course schedule coordinator.

3. Nothing in these policies shall prohibit any member(s) of the Faculty from direct communication with the University Administration. Common courtesy mandates that the Chairperson should be informed of the fact of such communication, but not necessarily of its content.

B. Selection
1. Only full time tenure track or tenured Department members are eligible to vote for Chairperson.

2. The term of office shall be two years, starting 1 July.

3. The maximum number of terms that may be served consecutively is three (a total of 6 years).

4. A nominee for Chairperson must be a faculty member of the Biology Department and must have a minimum of three years’ teaching experience at an accredited college or university.
5. The selection of the nominee shall be made no later than 1 April of the year in which the Chairperson will assume office. If there is more than one nomination, elections will be held one week after the meeting at which nominations occurred.

6. The Biology Department shall not accept absentee votes unless a faculty member is unable to attend due to sabbatical leave, university business, or ill.

7. A majority vote of Department members shall suffice to elect the Chairperson. Voting shall occur by secret ballot. The Chairperson shall appoint two ballot-counters who shall count the ballots and immediately announce the results.

8. Should the office of Chairperson be vacated, an election shall take place within ten (10) days to choose a replacement, who shall hold office until the following 30 June.

IV. OTHER ELECTED POSITIONS IN THE DEPARTMENT
1. The following positions will be filled by volunteers or will be elected on an annual basis by a majority vote of the Department, using a secret ballot. These positions may include, but not be limited to, the following:
   a. Advising Coordinator
   b. Biology 106 Lab Manual Coordinator
   c. Curriculum Review Committee Representative (see section VIII below)
   d. Department Scribe
   e. Ethanol Officer
   f. Graduate Coordinator (see section XIV below)
   g. Graduation Certifications Reviewer
   h. Library Liaison
   i. Safety Officer
   j. Seminar Coordinator

V. SEARCH COMMITTEES
1. All faculty members are eligible to serve on a Search Committee. The Chairperson will call for volunteers, and the Search Committee will elect a Committee Chairperson. By a majority vote of the Department, additional persons may be invited to serve on the Search Committee. Faculty members cannot serve on a Search Committee for which they are candidates.

2. The Search Committee shall follow the University policies and procedures governing searches.

3. The Department shall vote on the Search Committee’s recommendation. The Department Chairperson then will forward that recommendation to the Dean. In the event that the majority of the Department disagrees with the Search Committee’s recommendation, the Search Committee shall reconvene.

VI. ADJUNCT FACULTY
1. Candidates for adjunct status will be invited to present a seminar at the regular Biology seminar series. Subsequently, the candidate’s status must be approved by a majority vote of the faculty members of the Department.

2. Adjunct faculty have no voting rights concerning departmental matters.

3. Adjunct faculty are subject to the University’s policies and procedures concerning adjunct appointments.

4. All adjunct appointments will be reviewed on an annual basis during the Fall semester.

5. Termination of adjunct status, prior to the end of the appointment period, must be approved by a majority vote of the faculty members of the Department.

VII. EVALUATION OF PART TIME FACULTY
1. If a course is taught regularly by full time faculty members, the part time faculty must follow that course syllabus and use the same textbook.

2. Acceptance of part time faculty must be approved by a majority vote of the Department.

3. The Chairperson will call for volunteers to serve on the Part Time Faculty Evaluation Committee.

4. On an annual basis, the Part Time Faculty Evaluation Committee shall review part time faculty performance, using the following:
   a. A copy of the comprehensive final examination for each course taught or if the final examination is not comprehensive, a copy of each examination, including the final one given during the semester
   b. A detailed outline of subject matter covered in each course
   c. Summaries of student evaluations
   d. Texts, lab exercises and manuals used in courses taught (unless the course is taught regularly by the Department)

5. Labs and lectures in any Biology course will be open for attendance by interested faculty upon prior notification of the instructor. In this way, some direct evidence of teaching effectiveness may be gained.

6. The Evaluation Committee will recommend to the Department either continuation or termination.

7. Continuation or termination must be approved by a majority vote of the Department.

VIII. CURRICULUM
1. Regarding the curriculum, the Department has the following responsibilities:
   a. approval of new courses;
   b. approval of course changes;
   c. approval of changes to the degree program(s);
   d. approval of textbook used in BIO 105K, BIO 107, and BIO 109.

2. The Department representative to the CAS Curriculum Review Committee (CRC) shall volunteer or be elected by majority vote of the Department Faculty and shall serve for a one-year term, which can be renewed.

3. The duties of the CRC Representative shall include:
   a. regular attendance (when possible) at the Committee meetings;
   b. acquisition and retention of published Minutes from CRC meetings in the Biology Department office;
   c. presentation and advocacy of Department Curriculum Committee decisions before the CRC.

4. Any course change or new course offering in the Department, whether permanent or experimental (“X99” designation), must be approved by a majority vote. The faculty member preparing the course shall provide the Department with a detailed syllabus and course policies at least three (3) days before a faculty meeting. Any new course proposals and any changes to degree requirements will be presented at a department meeting and voted upon at the next meeting. Department approved undergraduate courses then will be sent to the CRC.

5. If there is a lab course associated with a lecture course, at least one section of the lab must be taught concurrently, or the Department will not offer the lecture course.

6. Department approval is required before any course with a BIO prefix is offered online. If any course is offered online, content and success will be assessed by the department for the first two times the course is offered.

7. Faculty who wish to bank credit for independent study projects (BIO 441) must follow the following procedures:
   a. The student must complete the Registrar’s Independent Study Approval form. Once the instructor approves the form, that instructor will present the proposal to the Department, which will vote on the proposal within one week. Once approved, the Department Chair must sign the form prior to the initiation of the project.
   b. A record of all approved independent study project proposals and approval forms will be kept in the Biology Department’s files and by each individual faculty supervisor.
c. Upon completion of the independent study project, the student must present written evidence of progress to the Department. If the student receives a grade of “F”, the instructor will not receive credit for the independent study.

d. Upon accumulation of 30 independent study credits, a faculty member will be afforded the opportunity to receive a course release. Such course release must be planned in consultation with the Department. The faculty member will be granted a course release within one year of their written request.

8. Each instructor shall indicate in their syllabus the following grade related policies.
   a. They shall follow the syllabus guidelines listed in the Faculty Handbook.
   b. They shall explain how they determine students’ final grade, i.e., whether or not they curve and how they set the curve.

9. Faculty will submit a copy of current course syllabi to the administrative assistant at the start of each semester.

10. Faculty will arrange for make up exams, if appropriate, with their students. Such arrangements will not involve the administrative assistant or lab manager.

IX. QUORUM
1. For all faculty meetings, graduate faculty meetings, and Department committee meetings, a quorum, defined as 50% or greater of the members, must be present, or the meeting will be rescheduled.

X. ELECTRONIC BALLOTS
1. Electronic ballots (i.e., e-mail vote) may be conducted on a case by case basis. Any member of the Department may veto an electronic vote.

2. After a solicitation of an electronic ballot, the members of the Department will have two (2) working days to reply.

3. Within one working day after receipt of all ballots, the Chairperson will publish, electronically, the results of the ballot.

4. The Department Chairperson will print hard copies of all electronic ballots, and these will be placed in a file designated “Electronic Ballots” in the Department Office for the remainder of the academic year.

5. A copy of the ballots and the outcome will be attached to the minutes of the next Department meeting.

XI. BUDGET
1. When allocating faculty travel funds, if available through the Department, the Department shall follow the policies set forth by the CAS Faculty Professional Development Committee.
XII. WORK LOAD
1. Any full time tenure track faculty member in the Department may request release time for scholarship for a specific, externally funded project, contingent upon the grant being funded. To minimize the impact on course scheduling, such requests normally must be received by the Department Chairperson at least four weeks prior to the deadline for grant proposal submission.

2. The Department Faculty shall consider such requests no later than three weeks prior to the deadline for grant proposal submission. Such requests must be approved by a majority vote of the Department, and are dependent upon the following:
   a. the Department’s ability to offer its programs are not impaired
   b. the faculty member does not drop below 6 contact hours of teaching per semester.

3. If approved, the Chairperson shall forward a recommendation for release time for scholarship to the Dean, including a statement about the impacts on the Department’s ability to deliver its courses no later than two weeks prior to the deadline for grant proposal submission.

4. Such approval is valid for one year.

5. The Department Chair may drop below the minimum 6 contact hour teaching load per semester.

6. In accordance with applicable collective bargaining agreements, opportunities for overload teaching assignments shall be offered first to full time faculty, and any unclaimed sections thereafter shall be offered to qualified part time faculty. The Department Chairperson shall forward proposed overload teaching assignments to the Dean for consideration and approval. The distribution of overload teaching assignments among qualified full time faculty shall be made in an equitable manner.

XIII. SPACE
1. Requests for changes in space allocation must be discussed at Department meetings.

XIV. GRADUATE PROGRAM
1. Department faculty who wish to be recommended as Full members of the Graduate Faculty must meet these criteria:
   a. Ph.D. in a biological discipline;
   b. ongoing engagement in scholarship;
   c. active involvement in the graduate program.

To be considered for membership, the faculty member shall provide the Department with written evidence in support of the above criteria. The Department faculty will vote by secret written ballot at the conclusion of all discussion. Only faculty members of the Department shall vote on graduate personnel matters; in addition, the member being considered is not allowed to vote. The Chairperson shall appoint two ballot-counters who shall count the ballots and immediately
announce the results. The Graduate Coordinator shall then forward the Department’s recommendation to the CAS Dean.

At the end of the term of appointment, the Department faculty shall review the appointment, which may be renewed.

2. An individual who does not meet all of these criteria, but who nonetheless possesses significant experience otherwise qualifying him/her to teach or advise students in the Biology graduate program, may be recommended as an Associate member.

3. Candidates for adjunct and visiting graduate faculty status will be invited to present a seminar at the regular Biology seminar series. Subsequently, the candidate’s status must be approved by a majority vote of the Graduate Faculty. Adjunct and visiting graduate faculty are encouraged to contribute to Biology graduate faculty meetings. However, Adjunct and Visiting Graduate Faculty have no voting rights concerning departmental matters and are subject to the University’s policies and procedures concerning adjunct appointments. All adjunct graduate appointments will be reviewed on an annual basis during the Fall semester. Termination of adjunct or visiting status, prior to the end of the appointment period, must be approved by a majority vote of Graduate Faculty.

4. The Graduate Coordinator shall:
   a. serve as liaison between the Department and the Dean of Graduate Studies;
   b. serve as the Department’s representative to the CAS Graduate Affairs Committee and to the University’s Graduate Council;
   c. convene and chair meetings of the Graduate Faculty of the Department, as necessary;
   d. coordinate graduate assistant appointments;
   e. resolve problems that may arise with graduate students;
   f. oversee Department literature associated with the graduate program;
   g. prepare and distribute a printed agenda three (3) days in advance of each meeting to the Faculty. Graduate Faculty should notify the Graduate Coordinator of items they wish to include on the agenda;
   h. see that detailed written Minutes are recorded at each meeting and be responsible for their distribution to the Faculty.
   i. maintain academic records of graduate students, including Graduate Advisory Committee assignments, Plans of Study, Thesis Proposal and Thesis signature pages;
j. identify students who are not making satisfactory academic progress, as defined in the Graduate Catalog and the Graduate Handbook, and communicate their status to the Faculty Advisor;

k. coordinate the admissions process each spring and fall semester;

l. convene at least one meeting of the Graduate Faculty each academic year to discuss students on academic probation, student progress in completing degree requirements, and related issues;

m. coordinate Adjunct Faculty appointments and reappointments.

5. The Graduate Coordinator shall be elected during Spring semester, with their duties beginning on 1 July and continuing for two (2) years. A majority vote of Department members shall suffice to elect the Graduate Coordinator. Voting shall occur by secret ballot. The Chairperson shall appoint two ballot-counters who shall count the ballots and immediately announce the results.

6. Any new graduate courses or changes to existing graduate courses offered in the Department must be approved by a majority vote of the Department’s Graduate Faculty. The faculty member preparing the new course shall provide the Graduate Faculty with a detailed syllabus and course policies at least three (3) days prior to a Graduate Faculty meeting.

7. Membership on the Graduate Admissions Committee is limited to Graduate Faculty.

8. The Graduate Faculty will hold at least one meeting each academic year to discuss students on academic probation, student progress in completing degree requirements, and related issues. Faculty who are serving as primary advisors are required to attend.

XV. OPPORTUNITY HIRES
1. Opportunity Hires are those potential hirings for which the search is waived. These procedures apply to full time tenure track positions and full time fixed length appointments.

2. Candidates shall submit the following: a) a written statement outlining teaching interests and teaching philosophy; b) three letters of reference; c) a written statement of research interests and goals, space needs and start up costs. In addition, the candidate shall present a seminar to the Department on current research. The seminar shall be open to the USM community.

3. For full time fixed length appointments, items 2c and the research seminar may be omitted by consent of a majority of the faculty members in the Department.

4. After the Department receives the materials, the dean will allow no fewer than five (5) working days for the Department to consider the appointment.

5. Appointments will be recommended to the dean by a majority vote of the faculty members in the Department.
XVI. AMENDMENTS to these Policies and Procedures shall be adopted, with the exception of the personnel portion, by a simple majority vote of the Department and added to the official copy of the Department Policies and Procedures maintained in the Department Office. Personnel procedures shall be approved in accordance with the Contract.