

**SCHOOL OF LIFE SCIENCES GOVERNANCE POLICIES AND PROCEDURES**  
*Revised and Adopted April 14, 2004*

**1. ADMINISTRATIVE STRUCTURE AND PROCESSES**

**1.1. Director of the School of Life Sciences**

The Director will be selected, evaluated, and have responsibilities comparable to department chairs (see the CLAS and ACD manuals). Specifically, the Director will serve *ex officio* as the Chair of the Executive Committee with voting privileges.

**1.2. Associate Directors for Graduate Programs, Research and Training Initiatives, and Undergraduate Programs**

- 1.2.1.** A recommendation regarding an internal vs. external search will be generated by the Executive Committee in consultation with the Director, to be approved by the Dean as in the case of searches for departmental chairs.
- 1.2.2.** In the case of an internal search, the position vacancy will be announced to the SOLS Assembly no later than the beginning of the semester when the term of a current AD expires. The Executive Committee will serve as the Search Committee, which will solicit nominations and applications. After review of applications, the committee will select finalists about whom faculty input is solicited. The Search Committee will present a report, including faculty comments, to the Director. The Director will appoint the Associate Director, seeking reasonable, longer-term balance between Faculties and disciplines in the backgrounds of the Associate Directors for Undergraduate Programs, Graduate Programs, and Research and Training Initiatives. The initial appointment term is three (3) years for all Associate Directors, renewable thereafter. Review processes will be concordant with relevant policies and procedures for the unit. In the case of an external search, the selection process should be initiated at least two semesters prior to the vacancy.
- 1.2.3.** Each Associate Director reports to the Director and is evaluated annually by the Director with written and signed input invited from SoLS Assembly members.
- 1.2.4.** The Associate Director cannot be a Faculty Leader simultaneously with this position.

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**1.3. Executive Committee**

The Executive Committee shall meet at least once per month during the academic year, although this requirement may be waived if there is no business. The agenda of Executive Committee meetings will be circulated to School Members; Faculty Leaders or Associate Directors can add items to the agenda. Decisions of the Executive Committee generally will be made by consensus.

**1.4. Faculties**

The set of Faculties should be reviewed every 3-5 years, as specified by the bylaws. Each voting member of the SA shall select one Faculty for primary appointment, which is the voting home and the home for all evaluations. Secondary affiliations do not bring voting privileges.

**1.5. Faculty Leaders**

**1.5.1.** Faculty Leaders will be selected from among the voting members of the School Assembly (SA) with primary appointment in the individual Faculty. Faculty Leaders typically will be tenured Full Professors and may not serve simultaneously as an Associate Director or program committee member. Faculty Leaders will serve three-year terms that are renewable and are evaluated annually by the Director with written and signed input invited from the voting members of the Faculty.

**1.5.2.** A Selection Committee, consisting of the three members of the steering committees (Undergraduate, Graduate, and Research & Training Initiatives) from the Faculty in question, will solicit nominations and/or applications for the position of Faculty Leader from the members of the Faculty. [Note: If one or more of the three steering committee members is a candidate for Faculty Leader, additional Selection Committee members will be appointed by the Director.] Faculty Leaders shall be elected by majority vote of the primary members of the Faculty from the slate of candidates presented by the Selection Committee.

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**1.6. Personnel/Evaluation Committee**

**1.6.1. Structure and Selection of Members**

A Faculty may function as a committee of the whole. If a Faculty chooses to elect a Personnel Committee, the committee will consist of the Faculty leader as chair plus at least three members who are elected annually by those SA faculty members with primary affiliation in that Faculty and who have full voting privileges. At least two committee members will be Full Professors. The Committee may include both non-tenured and tenured faculty; non-tenured faculty will be recused in matters dealing with Promotion and Tenure decisions. If it is not possible to match this composition, the Director rules on the appropriate committee membership. Committee members are elected by April 1<sup>st</sup> to serve for the next academic year. Replacements needed after the initial appointments are drawn from the ballot taken the previous spring. The Director gives all Faculties identical guidance regarding when to start their respective reviews.

The Personnel/Evaluation Committee shall carry out tenure, promotion, probationary, and other reviews for those members with primary appointment in that Faculty.

**1.6.2 Duties**

**1.6.2.1.** Probationary reviews. The committee prepares a recommendation that summarizes its deliberations and includes an assessment of the candidate's strengths and weaknesses. The final recommendation is submitted to the Director who reports the recommendation to the Executive Committee, and may seek that committee's advice in developing a final recommendation for the School. At the appropriate time specified by university guidelines, the Director reports the final decisions on personnel reviews to the SoLS Assembly (SA).

**1.6.2.2.** Review candidates for tenure and/or tenure and promotion to Associate Professor. The committee prepares a recommendation regarding a candidate's request, which is reported to all members with tenure of higher rank in the relevant Faculty. Following SoLS Policies and Procedures the preliminary recommendation is presented orally at an informational meeting of those members of the SA with tenure and holding a higher rank [this would be changed by a vote to change the Policies]. The final report will summarize the committee's deliberations including an assessment

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of the candidate's strengths and weaknesses, a summary of relevant comments received at the SA meeting, and the committee's final recommendation. The final recommendation is submitted to the Director who reports the Faculty's recommendation to the Executive Committee, and may seek the committee's advice in developing a final recommendation for the School. At the appropriate time specified by university guidelines, the Director reports the final decisions on personnel reviews to the SA.

**1.6.2.3.** Review candidates for promotion from Associate to Full Professor. The committee prepares a recommendation regarding a candidate's request, which is reported to all members of higher rank with tenure in the relevant Faculty. Following SoLS Policies and Procedures the preliminary recommendation is presented orally at an informational meeting of those members of the SA with tenure and holding a higher rank [this would be changed by a vote to change the Policies]. The final report will summarize the committee's deliberations including an assessment of the candidates' strengths and weaknesses, a summary of relevant comments received at the SA meeting, and the committee's final recommendation. The final recommendation is submitted to the Director who reports the faculty's decision to the Executive Committee, and may seek the committee's advice in developing a final recommendation for the School. At the appropriate time specified by university guidelines, the Director reports the final decisions on personnel reviews to the SA.

1.6.2.4. Annual performance reviews begin with the Faculty leader, who will consult with the personnel committee if the Faculty decides for that year that the committee should be part of the process. Recommendations will go to the Director, who makes the final performance evaluations.

**1.7. AP Personnel Committee**

**1.7.1. Structure and selection of members**

The AP Personnel Committee will consist of four members including two Academic Professionals with continuing status and one tenured faculty member. These members are elected by Academic Professionals for three-

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year, staggered terms. The fourth member is the Associate Director for Research and Training Initiatives, who is Chair of the committee. If it is not possible to match this composition, the Director rules on the appropriate committee membership. New committee members are elected by April 1st to serve for the next academic year. Replacements needed after the initial appointments are drawn from the ballot taken the previous spring.

**1.7.2. Duties**

**1.7.2.1.** Probationary reviews. The committee requests the AP to write a self-review based on the goal statement for the past evaluation period(s), and to write a goal statement for the next years. In addition, the committee requests information from faculty and staff who are regular users of the facility managed by the candidate. The committee prepares a recommendation that summarizes its deliberations and includes an assessment of the candidate's strengths and weaknesses. The final recommendation is submitted to the Director who reports the recommendation to the Executive Committee, and may seek that committee's advice in developing a final recommendation for the School. At the appropriate time specified by university guidelines, the Director reports the final decisions on personnel reviews to the SoLS Assembly (SA).

**1.7.2.2.** Review candidates for continued appointment and/or promotion. The committee requests the APs to write a self-review based on the goal statement(s) for the past evaluation periods, and to write a goal statement for the coming years. In addition, the committee requests information from faculty and staff who are regular users of the facility managed by the candidate. The committee prepares a recommendation that summarizes its deliberations and includes an assessment of the candidate's strengths and weaknesses. Further input is requested at an informational meeting of tenured SoLS faculty members and APs holding a higher rank. The final report will summarize the committee's deliberations including an assessment of the candidate's strengths and weaknesses, a summary of relevant comments received at the School Assembly meeting, and the committee's final recommendation. The final recommendation is submitted to the Director who reports the recommendation to the Executive Committee, and may seek the committee's advice in developing a final recommendation for the School. At the appropriate time specified by university guidelines,

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the Director reports the final decisions on personnel reviews to the SA.

**1.7.2.3.** Annual performance evaluations. The committee requests the APs to write a self-review based on the goal statement for the evaluation period, and to write a goal statement for the next evaluation period. In addition, the committee will solicit information from faculty and staff who are regular users of the facility managed by the AP. The committee prepares a recommendation that includes an assessment of the AP's strengths and weaknesses. Each performance evaluation shall document consideration of: (a) job performance during the evaluation period, (b) professional development and future potential and expectations, and (c) professional service. The AP is provided with a copy of the written evaluation developed by the committee at least 24 hours before conducting a discussion of the performance evaluation with the AP. As appropriate, APs in conjunction with the committee may update the written job description, which must be approved by the School Director. The committee sends the annual performance evaluation recommendation to the School Director.

**1.8. Senators**

**1.8.1.** Senators will be elected by the School Assembly as described in the ACD Manual.

**1.9. Colloquium Coordinator**

**1.9.1.** There will be at least one colloquium series for the School, with the Associate Director for Research and Training Initiatives (ADI) serving as the Colloquium Coordinator in consultation with the Research and Training Initiative Programs Committee. The ADI will seek to balance across the Faculties throughout the year as possible. Faculties, Research Initiative groups, or other groups including graduate students may apply for funds from the ADI to offer other seminar series, workshops, small meetings, distinguished lectures, and special events.

**1.10. Budget**

**1.10.1.** The Executive Committee serves as the Budget Committee as is dictated by the ACD Manual and CLAS bylaws. Budget policies and related decisions

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are made by the Director, with advice from the Executive Committee working in conjunction with the Business Office.

**1.10.2.** The Associate Directors and the Director together will develop the budget.

**1.10.3.** Requests for travel, computers, and other needs will be made through the Director's office.

**1.10.4.** Policies about matching funds for grants and about indirect cost recovery reside at the Director's level, with input from the Executive Committee. Implementation will be at the level of the Associate Director for Research and Training Initiatives, in coordination with the Director.

**1.10.5.** All supplies, phone, copying, and other operating expenses will be centralized within the School.

**1.11. Hiring**

**1.11.1.** Requests for positions may come from program committees, Research Initiative groups, Faculties, or others. All requests must provide justification for how the hire will enhance the teaching, research, and/or other accepted strategic goals of the School.

**1.11.2.** Position requests shall be submitted to the Director, who will seek advice and recommendations from the Executive Committee in developing hiring priorities and will then present recommendations to the full faculty for input. In all cases, the Director will seek input and guidance from appropriate constituencies both within and outside the School.

**1.11.3.** Appointment of Regular Faculty Members and Academic Professionals

**1.11.3.1.** Identification of Area

The Director solicits proposals for new hires as outlined in SoLS Policies and Procedures. The Executive Committee reviews proposals from the SoLS faculty, establishes hiring priorities, and recommends a strategic hiring plan (list of areas for recruitment and justification) to the Director.

**1.11.3.2.** Search Committee

The Director appoints a Search Committee Chair plus at least three additional SoLS faculty members and a graduate student. Once a

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specific area for hiring has been identified, faculty, primary or secondary, members from the appropriate Faculties will form the core of a search committee, with others as relevant. The graduate student may vote in committee, but not in meetings of the School. The Director is an ex-officio, non-voting member of all search committees.

**1.11.3.3. Defining the Position**

**1.11.3.3.1.** The Search Committee prepares an advertisement, and SoLS faculty members have at least 48 hours to comment on its content. The Executive Committee approves the final version of the ad and recruitment plan, and recommends it to the Director.

**1.11.3.3.2.** Before reviewing applications the Search Committee prepares job-related criteria, and the SoLS faculty has at least 48 hours for review and comment on these criteria, which must follow SoLS guidelines. The Executive Committee approves the final list of criteria and recommends the criteria to the Director.

**1.11.3.4. Reviewing Applicants**

**1.11.3.4.1.** Access to Application Materials. All SoLS faculty members, and any others invited by the Search Committee Chair or Director, have access to all application materials including referees' letters for junior candidates; letters for senior candidates are available only to the search committee, Executive Committee, and Director, except with permission of the candidates at defined points in the process.

**1.11.3.4.2.** Screening. The Search Committee solicits written comments at the search stages specified below, but may solicit additional written comments at any time. SoLS faculty members may submit signed, written comments at any time to the Search Committee or Director. Applicants are evaluated using job-related criteria.

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**1.11.3.4.3.** Invitation to Candidates. (1) At least two days before a SoLS informational, non-voting meeting where the recommendations will be discussed, the Search Committee announces the proposed interviewees, typically three, recommended for interviews. Application materials for all candidates will be available for faculty review; this includes referees' letters for all junior candidates and, with permission, senior candidates. (2) The Search Committee justifies its recommendations in light of job-related criteria at a School meeting after which faculty members have at least two days to send written, signed comments to the Search Committee.

**1.11.3.5.** The committee integrates all information and recommends interviewees to the Director.

**1.11.3.5.1.** Interview. The Director is responsible for inviting the candidates to interview.

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**1.11.2.5.2.** Developing a Hiring Recommendation. (1) After the interviews the committee asks SoLS faculty members, and any others invited by the Search Committee, for signed, written comments assessing the candidates' strengths and weaknesses. (2) The Search Committee makes a preliminary determination of the acceptability and ranking of each candidate, and presents these recommendations in writing to the SoLS faculty at least two days before a meeting where they are justified. SoLS members then have at least two days to send the Search Committee written, signed comments addressing at least the following questions: (i) Which candidates are acceptable? (ii) Do you agree or disagree with the Search Committee's ranking? (iii) Based on job related criteria why do you agree or disagree with the recommendations? (3) The Search Committee makes its final recommendations using all information and submits a final report in writing to the Director. (4) The Director makes a decision based on the acceptability and ranking of each candidate and forwards a recommendation to the EO/AA Office and the Dean. The Director, after consulting with the Dean, reports to the SoLS faculty a summary of the Search Committee's report, a summary of faculty input, and a final decision.

**1.11.3.6.** Offer of Appointment and Negotiations

**1.11.3.6.1.** Upon approval for hiring, the appropriate administrative official sends an offer letter as outlined in the ACD manual.

**1.11.3.6.2.** The Director negotiates the terms of an appointment with the candidate, who chooses a Faculty to join. Once SoLS decides to hire a candidate, the Faculty chosen by the newly recruited faculty member must accept the appointment.

**1.11.3.7.** Notification of Unsuccessful Applicants

The search committee Chair notifies unsuccessful applicants that the position is filled.

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**1.12. Votes**

When appropriate, mail ballots will be allowed, consistent with the CLAS By-Laws.

**2. UNDERGRADUATE PROGRAMS**

**2.1. Organization**

The undergraduate programs in SoLS are overseen by the Undergraduate Programs Committee (which is the Steering Committee referred to in Section 1.06 of the By-Laws) chaired by the Associate Director for Undergraduate Programs. The Degrees currently awarded within SoLS are in Biology, Biology (emphasis: Biology and Society), Clinical Laboratory Sciences, Conservation Biology, Microbiology, Molecular Bioscience and Biotechnology, Plant Biology, and Plant Biology (concentrations: environmental science and ecology, plant biochemistry and molecular biology). The curriculum for the Bachelor of Arts in Education with an academic specialization in biological sciences is also governed by the SOLS undergraduate programs.

**2.2. Appointments**

**2.2.1. Associate Director for Undergraduate Programs (ADU):** The appointment of the ADU is described in the Governance Policies and Procedures for the School of Life Sciences.

**2.2.2. The Undergraduate Programs Committee (UPC)** shall consist of the Associate Director for Undergraduate Programs (chair of the committee), the Coordinator of Student Services, and one member from each of the SoLS Faculties, with staggered three (3)-year terms. An undergraduate student shall be a non-voting member of the committee and shall serve a one (1)-year, renewable term. One member shall be elected by the voting members with primary appointment in each of the Faculties. The undergraduate student shall be appointed by the Coordinator of Student Services and the ADU, based on performance and interest in the Life Science curriculum and programs. Because the UPC will address issues pertaining directly to undergraduate degree programs, the Committee composition generally shall be such that one or more members is familiar with each of the degree programs. The ADU shall appoint additional members as necessary to ensure representation of all degree programs.

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- 2.2.2.1** The UPC shall designate a degree program coordinator for each undergraduate degree program. The degree program coordinator will serve as the point-of-contact for faculty and students on issues related to their program, curriculum and practices.

**2.3. Responsibilities**

**2.3.1. Associate Director for Undergraduate Programs**

The ADU shall work with the Director in the development, implementation, review and evaluation of curriculum and policy concerning all School undergraduate programs and in consultation with the UPC.

**2.3.1.1 Responsibilities include:**

- 2.3.1.1.1** Serves on the SoLS Executive Committee,
- 2.3.1.1.2** Serves as Chair of the UPC,
- 2.3.1.1.3** Has budgetary responsibility for funds designated for School undergraduate programs,
- 2.3.1.1.4** Makes recommendations to the Director on School budget issues pertaining to undergraduate programs,
- 2.3.1.1.5** Identifies and spearheads efforts to procure extramural funding opportunities in support of undergraduate programs, instruction and students,
- 2.3.1.1.6** Recommends teaching assignments of faculty to the Director. Assignments are to be made in consultation with individual faculty members, Faculty Leaders, the UPC, and the ADG,
- 2.3.1.1.7** Makes recommendations to the Director regarding relevant personnel issues, such as teaching evaluations and service to the School,
- 2.3.1.1.8** Works with the ADG and teaching-lab coordinators and/or instructors to formulate recommendations on teaching assignments of graduate students,

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- 2.3.1.1.9** Schedules undergraduate classes and supervision of the preparation of catalog materials in consultation with the UPC,
- 2.3.1.1.10** Oversees undergraduate student services and extracurricular programs through the direct supervision of the Coordinator of Student Services and Director of Pre-Health Professions Program and extracurricular programs staff,
- 2.3.1.1.11** Monitors student satisfaction and effectiveness of the advising process,
- 2.3.1.1.12** Develops and cultivates on- and off-campus internship and research opportunities for undergraduate students and serving as chief administrator for these programs,
- 2.3.1.1.13** Recruits diverse and highly qualified pre-college and undergraduate students to the School,
- 2.3.1.1.14** Serves as liaison to ASU academic units that serve undergraduate students in the life sciences, such as the Barrett Honors College and academic departments that offer required courses in life science curricula (e.g., Chemistry and Biochemistry),
- 2.3.1.1.15** Acts as liaison to the College of Education on matters pertaining to the undergraduate degree programs in science education,
- 2.3.1.1.16** Acts as liaison to the Bachelor of Interdisciplinary Sciences program,
- 2.3.1.1.17** Communicates and works with the larger Arizona life sciences academic community through the Biology Articulation Task Force,
- 2.3.1.1.18** Develops and maintains a Faculty Mentor Program and recruiting faculty members in the School to serve as mentors for undergraduates and organizing appropriate support and recognition for such mentors,

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**2.3.1.1.19** Maintains effective communication with the School faculty concerning undergraduate programs.

**2.3. The Undergraduate Programs Committee**

**2.3.1** The UPC shall work with the ADU in the development, implementation, review and evaluation of curriculum and policy concerning all School undergraduate programs. Responsibilities include:

**2.3.1.1** Reviews and evaluates existing and proposed curricula and courses, and preparing curriculum proposals for approval by the Director,

**2.3.1.2** Examines the curriculum for duplication of and programmatic omissions in courses and programs,

**2.3.1.3** Evaluates and develops policies and procedures pertaining to student services including advising, internships, and mentoring programs,

**2.3.1.4** Evaluates curricular and advising effectiveness, and developing plans for improvement,

**2.3.1.5** Develops new initiatives in undergraduate education,

**2.3.1.6** Advises the ADU on budgetary issues pertaining to undergraduate programs,

**2.3.1.7** Works with faculty members and the Office of University Evaluations on the development and implementation of student learning outcomes and assessments at the level of the School, individual degree programs, and courses,

**2.3.1.8** Follows reports on national and international trends in employment requirements, education content and preparation for advanced studies in the life sciences,

**2.3.1.9** Maintains effective communication with the School faculty, students, and student services staff concerning undergraduate programs, including advising, faculty mentoring, and extracurricular opportunities for students.

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**2.4. Processes**

**2.4.1. Proposals for New Courses, Course Deletions, and Course Modifications**

Faculty members wishing to teach a new course under an omnibus course number (i.e., 194, 294, 394, 494) will submit a request to the ADU prior to the development of the course skeleton for a given semester. Courses that are required in a degree program or that have been taught at least twice under an omnibus number are eligible for a formal course number. Course deletion or modification requests will also be directed to the ADU. Generally, courses listed in the catalog will be taught at least once every three years or be deleted. Curriculum Action Request packets (i.e., required forms and supplementary materials) for new courses or course deletions/modifications will be reviewed by the UPC who will invite comments from other departments. If approved by the committee, the packets will be forwarded to the Director for final approval and routing to the CLAS Curriculum Committee. Faculty will be informed regarding decisions made.

**2.4.2. Degree Program Modifications, Certificate Program Proposals, Proposals for a Minor**

Proposals to delete, modify, or develop new degree programs, certificates, or minors must be submitted to the UPC for review. The committee will present the proposal to the School Assembly along with a recommendation for action. All proposals will require a vote of the School Assembly. Proposals that are approved at the School Assembly will be forwarded to the Director for final approval and routing to the CLAS Curriculum Committee. In the case of a negative majority vote of the SA, the UPC and the ADU can elect to modify a proposal and bring it back to the SA for reconsideration at a future meeting.

**3. GRADUATE PROGRAMS**

**3.1. Organization**

The graduate programs in SoLS are overseen by the Graduate Programs Committee (which is the Steering Committee referred to in Section 1.06 of the Bylaws) chaired by the Associate Director for Graduate Programs. The Degrees currently awarded within SoLS are the Ph.D. and M.S. in Biology, Microbiology, Molecular and Cell Biology, Plant Biology, and the Masters of Natural Science.

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**3.2. Appointments**

- 3.2.1 Associate Director for Graduate Programs (ADG):** The appointment of the ADG is described in the Governance Policies and Procedures for the School of Life Sciences.
- 3.2.2 The Graduate Programs Committee (GPC)** shall consist of the Associate Director for Graduate Programs (chair of the committee) and one member from each of the SoLS Faculties, with staggered three (3)-year terms. A graduate student shall be a non-voting member of the committee and shall serve a one (1)-year, renewable term. One member shall be elected by the voting members with primary appointment in each of the Faculties. The graduate student shall be selected by the ADG, based on recommendation of the president of the SoLS graduate students and on performance and interest in the Life Science graduate curriculum and programs. Because the GPC will address issues pertaining directly to graduate degree programs, the Committee composition generally shall be such that one or more members is familiar with each of the degree programs. The ADG shall appoint additional members as necessary to ensure representation of all degree programs.

**3.3. Responsibilities**

- 3.3.1 Associate Director of Graduate Programs**  
The ADG shall work with the Director in the development, implementation, review and evaluation of curriculum and policy concerning all School graduate programs and in consultation with the GPC.
- 3.3.2 Responsibilities include:**
- 3.3.2.1** Serves on the SoLS Executive Committee,
  - 3.3.2.2** Serves as chair of the GPC,
  - 3.3.2.3** Oversees and coordinates graduate programs, including the application and recruitment processes, receipt of applications, curriculum, placement of graduate students, annual evaluation of students, and student eligibility for awards and financial support,

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- 3.3.2.4** Interfaces with adjunct and affiliate faculty at other locations regarding graduate student training and supervision,
- 3.3.2.5** Oversees production of recruitment materials and graduate student handbooks,
- 3.3.2.6** Forwards decisions on acceptance of applicants to the Graduate College,
- 3.3.2.7** Helps with development of new graduate programs and concentrations,
- 3.3.2.8** Serves as a point of communication between the Graduate Programs and GPC and the Director of SoLS.

### **3.3.3. The Graduate Programs Committee**

The GPC shall work with the ADG in the development, implementation, review and evaluation of curriculum and policy concerning all School graduate programs. Responsibilities include:

- 3.3.3.1.** Advises the ADG on policy matters pertaining to graduate programs,
- 3.3.3.2.** Coordinates graduate student applications and collects recommendations from appropriate faculty guided by applicants interests,
- 3.3.3.3.** Ranks applicants in coordination with Graduate Programs and makes recommendation of acceptance or denial to the ADG,
- 3.3.3.4.** Advises the ADG on suitability of accepted candidates for financial support,
- 3.3.3.5.** Advises on admission and placement of students with consideration of available resources and graduate program sizes,
- 3.3.3.6.** Assists the ADG in coordinating recruitment and admissions for the respective degree programs,
- 3.3.3.7.** Reviews existing curriculum and proposed changes to the graduate program curriculum,

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- 3.3.3.8. Oversees evaluation and assessment of graduate programs,
- 3.3.3.9. Assigns interim faculty advisors to new graduate students and assures that students are counseled on course selection, rotations, and research opportunities until a Major Professor is selected,
- 3.3.3.10. Ensures a formal evaluation of graduate student progress on an annual basis and oversees annual reports of graduate student progress and monitoring of progress toward completion of degrees.

**3.4. Membership in Graduate Programs**

Each faculty member in SoLS can associate with any graduate degree program for which he or she participates in the training of those students. Members of the degree programs shall designate a program coordinator or committee as appropriate to oversee the program. The program coordinator will serve as the point-of-contact for the ADG, the GPC, faculty and students on issues related to each graduate program, curriculum and practices.

**4. INITIATIVE PROGRAMS**

**4.1. Organization**

Research and Training Initiative (RTI) programs in SoLS are overseen by the Initiative Programs Committee (which is the Steering Committee referred to in Section 1.06 of the Bylaws) chaired by the Associate Director for Research and Training Initiatives.

**4.2. Appointments**

**4.2.1 Associate Director for Research and Training Initiatives (ADI):** The appointment of the ADI is described in the Governance Policies and Procedures for the School of Life Sciences.

**4.2.2** The Initiative Programs Committee (IPC) shall consist of the ADI (chair of the committee), one member with primary appointment in that Faculty elected by the voting members of each of the SoLS Faculties, with staggered three (3)-year terms, one AP or faculty member significantly associated with major facilities and support infrastructure (three (3)-year term), and a

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representative from ORSPA who has non-voting, *ex officio* status. The “Facilities representative” will be selected by the ADI. The ORSPA representative will be appointed by the VPR in consultation with the ADI. When needed, the Associate Director may temporarily appoint additional non-voting members to represent particular interests during the consideration of projects requiring broader expertise than represented on the committee. These appointments will last only for the consideration of the projects in question.

**4.3. Responsibilities**

**4.3.1. Associate Director for Research and Training Initiatives**

In consultation with the IPC, the ADI shall work with the SoLS Director in the development, review, selection, implementation, and evaluation of SoLS initiative programs Responsibilities include:

- 4.3.1.1. Serves on the SoLS Executive Committee,
- 4.3.1.2. Serves as Chair of IPC,
- 4.3.1.3. Serves as supervisor of research and IT infrastructure support staff according to the reporting lines of SoLS,
- 4.3.1.4. Exercises budgetary responsibility for funds designated for SoLS initiative programs,
- 4.3.1.5. Makes recommendations to the Director on School budget issues pertaining to initiative programs,
- 4.3.1.6. Coordinates colloquium series and other events associated with SoLS that promote unit cohesion,
- 4.3.1.7. Makes recommendations to the Director regarding relevant personnel issues, such as contributions of faculty members to the School initiative programs,
- 4.3.1.8. Works with graduate and undergraduate Associate Directors to coordinate initiative activities which impact teaching loads, curriculum, graduate students,

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- 4.3.1.9. Actively seeks major opportunities for development of research / education initiatives and communicate these to relevant SoLS faculty,
  - 4.3.1.10. Coordinates initiative connections with entities beyond SoLS (e.g. other departments, off-campus, industry, etc),
  - 4.3.1.11. Allocates the efforts of, and supervise, support staff associated with SoLS RTI so they effectively serve SoLS initiative efforts,
  - 4.3.1.12. Engages in generalized fund-raising in support of SoLS RTI activities as appropriate (e.g. foundations),
  - 4.3.1.13. Maintains effective communication with SoLS faculty concerning ongoing and new initiative programs and the processes and criteria involved,
  - 4.3.1.14. Identifies scholarly awards for individuals and nominate SoLS faculty as appropriate.
- 4.3.2. The Initiative Programs Committee**  
The IPC shall work with the Associate Director in the development, review, selection, and evaluation of SoLS initiative programs.
- 4.3.3 Responsibilities include:**
- 4.3.3.1. Acts as a committee of review for proposals for funding submitted to SoLS RTI,
  - 4.3.3.2. Acts as a committee of review for selection of any scholars, postdocs, or grad students to be supported via SOLS-wide programs administered via SoLS RTI,
  - 4.3.3.3. Works with the ADI to provide information to the Executive Committee or other appropriate bodies in review of the activities of the SoLS RTI program,
  - 4.3.3.4. Reviews, formulates, and articulates the criteria and procedures for the operation of SoLS RTI,
  - 4.3.3.5. Actively communicates opportunities and to initiate contacts as appropriate with relevant SoLS faculty in promoting innovation and interaction,
  - 4.3.3.6. Reviews, formulates, and articulates policies and procedures for enhancement and efficient use of SoLS facilities and infrastructure.

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**4.4. Processes**

- 4.4.1. The ADI will oversee day-to-day operations associated with the SoLS RTI program, including any personnel with reporting lines through the ADI.
- 4.4.2. The IPC shall meet regularly to discuss initiative, research agendas, and support within SoLS. The ADI may fund research and training activities up to \$3,000. Requests for more than \$3,000 shall be reviewed and prioritized by the IPC.

- 5. AFFILIATED AND ADJUNCT FACULTY.** Prospective affiliated and adjunct members must submit a letter of request, a cv, and a list of collaborations with SoLS faculty. A committee consisting of one member appointed from each Faculty will review the proposals and make a recommendation to the Director. For those passing initial review, each candidate will provide written faculty input and the Committee will make a recommendation to the Director about appointment. Appointments will follow CLAS and ASU guidelines. Under unusual conditions, the Director or Executive Committee may decide to forego the required seminar.

**6. PROMOTION AND TENURE**

**6.1. Tenure and Continuing Appointments**

- 6.1.1. Eligibility for Tenure/Continuing Status: The criteria for eligibility are described in the ACD Manual 506.
- 6.1.2. **Notification of eligibility for tenure/continuing status (see the ACD Manual 506-10)**  
The Director shall notify candidates of their eligibility and summarize the review process during the semester prior to the deadline for submission of materials.
- 6.1.3. **Evaluation procedure for retention and tenure/continuing status (see the ACD manual 506-07, 506-09).**  
Upon appointment, faculty members and academic professionals shall be informed by the Director of the procedures and criteria for probationary and tenure/continuing status evaluations. Evaluation for tenure/continuing status shall follow the policies and procedures listed below and those described in the ACD manual. Initial evaluation will be done by the Personnel Committee in the Faculty in which the candidate is a primary member (hereafter referred to as the Committee).

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**6.1.3.1. Criteria**

In evaluating an applicant for tenure, continuing status, and/or retention, teaching effectiveness, the quality of research and other creative activities and the quality of service to the School, College, University, and profession shall be examined. Criteria used by the School are described in detail in the document "Evaluation of Candidates for Promotion and Tenure: Criteria and Guidelines." [Under Development]

**6.1.3.2. Documentation**

Performance relative to the criteria shall be documented for each review. The documentation will take the form of a portfolio of materials as described by the ACD Manual. The required and expected materials in the portfolio are listed in the "Evaluation of Candidates for Promotion and Tenure; Criteria and Guidelines." A candidate for tenure shall submit the names of recommended reviewers by April 15 of the academic year before the tenure review so the Committee may organize reviewers during the summer. In addition, the Committee shall solicit evaluation letters from appropriate officials for any program in which the candidate is formally affiliated (following the ACD manual and CLAS guidelines). Personnel Committees must be established each spring for the following year.

**6.1.3.3. Personnel Committee Reviews**

The Committees shall carefully review the qualifications of their candidates. Candidates may be asked to appear before their Committee to answer questions or provide additional information. Each Committee shall then prepare a preliminary recommendation concerning whether the candidate should be granted retention (probationary reviews) or tenure and promotion. The Chair of each Committee shall prepare a report summarizing the candidate's strengths and weaknesses and the basis for the Committee's preliminary recommendation.

**6.1.3.4. Review by the SA [this was already approved]**

The Committee's report including the preliminary recommendation and a summary of the salient points of the external letters shall be orally presented for discussion at a meeting of the SA with a rank higher than that of the candidate being evaluated. All SA members

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of higher rank may review the candidate's dossier (except for letters from external reviewers) prior to the presentation. No formal vote shall be taken.

**6.1.3.5. Final report of the Committee**

The Committee will finalize its report following the SA meeting. The report must include a summary reflecting salient aspects of the committee's deliberations, including an assessment of the candidate's strengths and weaknesses (if any), a summary of relevant comments received at the SA meeting, and the committee's final recommendation. This report will be submitted in writing to the Dean through the Director.

**6.1.3.6. Director's Review**

The Director shall submit to the Dean a letter, which presents his/her evaluation of the candidate, his/her recommendation, and a copy of the Committee's final report.

**6.1.4. Notification of SoLS Action (see the ACD manual 506-10)**

Each candidate shall be informed orally by the Director of the recommendations before they are sent to the Dean, following the ACD Manual.

**6.1.5. Appeal**

All appeals of tenure and promotion recommendations from SoLS must follow procedures described in the ACD manual.

**6.2. Promotion Policies for Faculty**

**6.2.1. Promotion from Instructor to Assistant Professor**

The rank of instructor shall be reserved for faculty who, although hired on a line for an Assistant Professor, begin employment prior to completion of the doctorate. Individuals while in this rank are not eligible for tenure and do not accrue time toward tenure. At the time of initial hiring, the conditions for promotion must be outlined in the offer letter.

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**6.2.2. Promotion from Rank of Assistant to Associate**

Faculty members are typically considered for tenure and promotion to Associate Professor at the same time, following the procedures described in the previous section.

**6.2.2.1 Criteria for Tenure and Promotion to Associate Professor**

As part of the tenure and promotion process, candidates are evaluated on the basis of quality research, teaching, and service.

**6.2.2.1.1. For Research,** candidates must provide a statement of research and must present a substantial record of continuing productive, and creative research program, indicative of future sustained performance at a high level as demonstrated as evidenced by criteria such as:

**6.2.2.1.1.1.** A significant body of refereed publications that present original research in primary journals and important refereed books in the field

**6.2.2.1.1.2.** In collaborative efforts, evidence that the candidate has played a significant leadership role

**6.2.2.1.1.3.** Invited and contributed presentations and active participation in important meetings and conferences in the field, and invited seminars at major universities

**6.2.2.1.1.4.** Substantial peer-reviewed extramural grant support from one or more major funding agencies, which may include collaborative work

**6.2.2.1.1.5.** Evaluations in external letters

**6.2.2.1.2. For Teaching,** candidates must submit a statement of teaching philosophy, student evaluations from courses taught, and a portfolio of teaching materials to

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demonstrate successful teaching and mentoring including a combination of:

**6.2.2.1.2.1.** Effective and inspiring teaching in undergraduate and graduate courses

**6.2.2.1.2.2.** Success with undergraduate mentoring

**6.2.2.1.2.3.** Success with graduate mentoring and students advised to degree

**6.2.2.1.2.4.** Participation in teaching, learning, and mentoring workshops and teaching preparation

**6.2.2.1.3.** For **Service**, candidates must provide conscientious and effective performance in service, through such contributions as:

**6.2.2.1.3.1.** Departmental, college, and university committees

**6.2.2.1.3.2.** Professional service through refereeing for journals or funding agencies

**6.2.2.1.3.3.** Service to the community through scholarship-related lectures, seminars, and committees

**6.2.2.1.3.4.** Service on professional society committees, organizing sessions, and editorial service

**6.2.2.1.4.** In all categories, awards and other exceptional recognition provide additional evidence in favor of the candidate's strength in that area.

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**6.2.3. Promotion from Associate to Full Professor (see the ACD manual 506-07)**

**6.2.3.1. Eligibility**

Any SA member at the rank of Associate shall be eligible to apply for promotion to the rank of Full Professor. A member who wishes to be considered for such a promotion shall inform the Chair of the Personnel Committee of the Faculty in which he or she is a primary member. This will be done by April 15 of the year before that in which the review is to occur. It is recommended that the candidate first discuss his/her intentions with their Faculty Leader and the Director.

**6.2.3.2. Criteria**

In evaluating an applicant for promotion to Full, teaching effectiveness, the quality of research and other creative activities and the quality of service to the School, College University, and profession shall be considered.

[Criteria used by the SoLS are described in detail in the document "Evaluation of Candidates for Promotion and Tenure: Criteria and Guidelines." Under Development]

**6.2.3.3. Criteria for Promotion from Associate to Full Professor**

As part of the promotion process, candidates are evaluated on the basis of quality research, teaching, and service.

**6.2.3.3.1.** For **Research**, candidates must provide a statement of research and must present a substantial record of continuing productive, creative, and independent internationally-recognized research program, indicative of future sustained performance at a high level as demonstrated by:

**6.2.3.3.1.1.** A substantial and continuing body of refereed publications that present a body of original research in primary journals and important refereed books that substantially enrich the field (and/or

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publication of books and edited volumes, where appropriate)

- 6.2.3.3.1.2.** In collaborative efforts, evidence that the candidate has played a leadership role
- 6.2.3.3.1.3.** Significant invited presentations and active participation in important meetings and conferences in the field, and invited seminars at major universities; invitations to contribute to distinguished publications and conferences
- 6.2.3.3.1.4.** Continuing and substantial peer-reviewed extramural grant support from major funding agencies, which may include collaborative work
- 6.2.3.3.1.5.** Awards of patents, where appropriate
- 6.2.3.3.1.6.** Evaluations in external letters

**6.2.3.3.2** For **Teaching**, candidates must submit a statement of teaching philosophy, student evaluations from courses taught, and a portfolio of teaching materials to demonstrate successful teaching and mentoring including a combination of:

- 6.2.3.3.2.1.** Effective and inspiring teaching in undergraduate and graduate courses
- 6.2.3.3.2.2.** Success with undergraduate mentoring
- 6.2.3.3.2.3.** Success with graduate mentoring and students advised to degree and to success beyond
- 6.2.3.3.2.4.** Participation in teaching, learning, and mentoring workshops
- 6.2.3.3.2.5.** Success with postdoctoral training

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- 6.2.3.3.3.** For **Service**, candidates must provide evidence of sustained, conscientious and effective performance in service, through such contributions as:
- 6.2.3.3.3.1.** Departmental, college, and university committees
  - 6.2.3.3.3.2.** Professional service through refereeing for and editorial service for journals in the field
  - 6.2.3.3.3.3.** Service on panels and reviewing for funding agencies
  - 6.2.3.3.3.4** Service to the community through scholarship-related lectures, seminars, and committees
  - 6.2.3.3.3.2** Service on professional society committees, organizing sessions, and editorial service
- 6.2.3.3.4** In all categories, awards and other exceptional recognition provide additional evidence in favor of the candidate's strength in that area.

**6.2.3.4. Documentation**

Performance relative to the criteria shall be documented for the review. The documentation will be in the form of a portfolio of materials as described by the ACD Manual. The required and expected materials in the portfolio are listed in the "Evaluation of Candidates for Promotion and Tenure; Criteria and Guidelines." A candidate will submit the names of recommended external reviewers by April 15 of the academic year before their review so the Committee may arrange for reviewers during the summer. In addition, the Committee shall solicit evaluation letters from appropriate officials for any program in which the candidate is formally affiliated (following ACD manual and CLAS guidelines).

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Personnel Committees must be established each spring for the following year.

**6.2.3.5. Personnel Committee Reviews**

The Committees shall carefully review the qualifications of their candidates. Candidates may be asked to appear before their Committee to answer questions or provide additional information. Each Committee shall then prepare a preliminary recommendation concerning whether the candidate should be promoted. The Chair of each Committee shall prepare a report summarizing applicant's strengths and weaknesses (if any) and the basis for the Committee's preliminary recommendation.

**6.2.3.6. Review by the SA**

The Committee's report including the preliminary recommendation and a summary of the salient points of the external letters shall be presented orally for discussion at a meeting of the SA with a rank higher than that of the candidate being evaluated. All SA members of higher rank may review the candidate's dossier (except for letters from external reviewers) prior to the presentation. No formal vote shall be taken.

**6.2.3.7. Final report of the Committee**

The Committee will finalize its report following the SA meeting. The report must include a summary reflecting salient aspects of the committee's deliberations, including an assessment of the candidate's strengths and weaknesses (if any), a summary of relevant comments received at the SA meeting, and the committee's final recommendation. This report will be submitted in writing to the Dean through the Director.

**6.2.3.8. Director's Review**

The Director shall submit to the Dean a letter, which presents his/her evaluation of the candidate, his/her recommendation, and a copy of the Committee's final report.

**6.2.3.9. Notification of SoLS Action**

Same as for tenure review.

**6.2.3.10. Appeal**

Same as for tenure review.

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**6.3. Annual Performance (Merit) Evaluation**

**6.3.1. Timing of Performance Evaluations**

Each SA member's performance shall be evaluated at least once a year. These evaluations will not only guide decisions about distribution of any monies available for merit increases to salary but also represent the first step in the Post-Tenure Review Process (ACD 506-11). Each SA member will submit to the Faculty Leader in which they are a primary member, an activity report that follows guidelines and requirements set by the College of Liberal Arts and Sciences.

**6.3.2 Evaluation Process**

The Faculty Leader, in conjunction with the Personnel Committee will prepare a preliminary performance evaluation and submit it to the Director. Evaluation of Faculty Leaders will be prepared by the Director, with input from the primary Faculty. The Director will finalize all performance evaluations and make decisions about appropriate merit adjustments to salary.

**6.3.3 Criteria and Process for Annual Performance Review.**

**6.3.3.1.** Reviews begin when the Director solicits materials and forms from each member to be reviewed, following CLAS and ASU guidelines. Faculty Leaders will develop recommendations for annual performance reviews for each primary member of the Faculty, and the Associate Director for Research and Training Initiatives will develop recommendations for APs. Those will be submitted to the Director, who will assign the performance rating, finalize the report, and make final decisions about any salary adjustments. The Director will consult with the Executive Committee, as needed to be sure of consistency of standards across all Faculties.

**6.3.3.2.** The Faculty Leader, with Associate Directors as appropriate, will outline annual Workload Agreements. The Director finalizes and signs the annual Workload Agreement for all SoLS members.

**6.3.4. Appeal**

All appeals must follow procedures described in the ACD Manual.