

OPERATING PAPER
DEPARTMENT OF MICROBIOLOGY
May 7, 2008

I. PURPOSE

The purpose of this Operating Paper is to define the organizational structure and operating procedures within the Department of Microbiology to provide for the orderly conduct of Department business.

II. ORGANIZATION¹

The Department of Microbiology consists of undergraduate majors in microbiology and graduate students actively pursuing an advanced degree in the Department; full-time, part-time, or cross-appointed University faculty to the Department and emeritus faculty with teaching or research appointments² ; and supportive staff, including civil service and other employees not covered above.

III. MISSION

The Department of Microbiology serves the participating faculty, graduate, and undergraduate students of Southern Illinois University, providing education, research opportunities and scholarly activity in the diverse areas of microbiology. The primary goals are:

- A.** To provide formal education and laboratory training in microbiology for undergraduate students.
- B.** To provide training and promote research opportunities in microbiology and associated fields, including, but not limited to, molecular biology, biochemistry, immunology, genetics, bacteriology, microbial physiology and microbial ecology for Microbiology faculty and graduate students at Southern Illinois University.
- C.** To promote faculty development by providing opportunities for enhancement of teaching and research skills.

IV. GOVERNANCE

A. Voting members and voting

All faculty members having their primary academic appointment (continuing or tenured) in Microbiology as Instructors, Assistant Professors, Associate Professors and Professors shall be eligible to vote on Departmental matters while in residence.

Votes shall normally be cast directly in open ballot by eligible faculty attending duly called Departmental meetings, except when specific exceptions are made in this document. A quorum of faculty for voting purposes is at least 2/3 of the eligible voting members. Voting *in absentia* (by written or electronically transmitted ballot), or voting by secret ballot may occur with concurrence of 2/3 of the faculty. There will be no voting by proxy.

B. Office of the Department Chair

- 1.** The Chair serves at the pleasure of the Dean of the College of Science and is responsible to the faculty of the Department. The Chair's performance shall be evaluated by the faculty every three

¹ In matters pertaining to graduate education, the Department of Microbiology shares a joint graduate program with the faculty of the Department of Medical Biochemistry and the Department of Medical Microbiology and Immunology of the SIU School of Medicine. The operational understandings which govern the relationship between the Carbondale and Springfield faculties are detailed in a document entitled "Operating Paper for a Graduate Program in Molecular Biology, Microbiology, and Biochemistry" which is appended to this operating paper. Where appropriate, the Operating Paper for a Graduate Program in Molecular Biology, Microbiology, and Biochemistry is part of the departmental operating paper.

² Procedures governing non-continuing, non-tenured research faculty are included in Appendix 1. Procedures governing non-continuing, non-tenured adjunct and visiting faculty are included in Appendix 2.

years through the review mechanism of the College. Faculty may request an early evaluation of the Chair with a majority vote.

2. The Chair, in conjunction with the faculty, shall formulate long-range as well as short-range objectives. The Chair shall provide for an annual review and evaluation of the Departmental achievements, goals, policies, plans, programs and operating principles in light of changing conditions and circumstances. The Chair shall deliver to the faculty at least one State of the Department Report per year.

3. The Chair is responsible, in accordance with University and Departmental procedures, for the following functions and any others necessary for the operation of the Department:

- a. Preside at faculty meetings which may be called by himself or by a majority of the voting faculty.
- b. Prepare the annual budget, supplying supportive evidence that it represents, in line with its responsibilities and practical limitations, the desired and realistic educational activities of the Department.
- c. Recruit faculty.
- d. Make teaching assignments to faculty and graduate assistants, and appoint faculty to various operating committees in accordance with Departmental and institutional procedures.
- e. Where possible, publish the names of the instructors with their classes in the University Schedule of Classes and ascertain that changes in the Schedule are posted by the time of registration.
- f. Recommend faculty for promotion and tenure.
- g. Recommend salaries and salary adjustments for Department faculty.
- h. Make space assignments. This function may not be delegated.

C. Committees

These bodies are advisory and do not perform administrative and executive functions, except in matters specifically charged to them by the Chair or by the Operating Paper. Committee assignments are made by the Chair with approval of the faculty. Committees report directly to the Chair unless specifically designated otherwise.

1. **Standing committees** are established by this Operating Paper to handle long-term or continuous assignments. Standing Committees normally will include:

- a. **A Curriculum Committee** to make continuous evaluations of curricula in accordance with general College and University requirements. It shall review and evaluate current curricula and recommend changes in degree requirements to keep the curriculum of the Department appropriate and relevant in its disciplines. Its membership shall be broadly representative of Departmental interests.
- b. **A Budget, Equipment, and Space Committee**, which shall obtain and disseminate, in a timely manner, information particularly relating to equipment needs, and will advise the Chair on matters relating to budget and space as requested by the Chair. This committee is charged with soliciting from the faculty information on needs pertaining to teaching and research equipment, and with determining, preparing, and updating lists of equipment priorities, which shall be made available to the faculty.
- c. **A Graduate Admissions Committee**, which shall review applications for admission to the Graduate Program and recommend actions that are deemed appropriate. This committee shall keep appropriate records and serve as a source of information to the Department. It shall consist of the Chair or the Chair's designate and the Microbiology Graduate Advisor.

2. **Ad Hoc Committees** may be formed or disbanded by the Chair to consider specific, non-recurring problems.

3. **Membership.** Faculty and students are eligible to serve on committees. A current list of committees and their assignments shall be distributed to faculty members at the beginning of the Fall semester.

4. **Meetings.** Committees are urged, where appropriate, to hold well-advertised, open meetings. Open meetings may be requested by any member of a committee or by other interested parties.

D. Executors. These individuals shall be appointed by the Chair, generally with the approval of the faculty, and assigned specific roles. The two principal executors are:

1. An Undergraduate Advisor, who shall advise undergraduate microbiology majors in matters pertaining to Departmental, College, and University baccalaureate degree requirements. The Undergraduate Advisor shall cooperate with and assist the College of Science Advisement Office in the selection of a curriculum appropriate for the orderly progress of the student to his/her degree.

2. A Microbiology Graduate Advisor, who shall counsel all Department graduate students in matters of course work and degree requirements prior to their selection of a Research Director. The Microbiology Graduate Advisor shall assist graduate students in the selection of their Research Directors and advise students and faculty in all matters pertaining to graduate degree requirements in cooperation with members of the Molecular Biology, Microbiology and Biochemistry graduate program. The Microbiology Graduate Advisor is a member of the Graduate Admissions Committee.

V. PROCEDURES

A. Selecting the Chair

After consultation with the faculty, the Dean shall inform the faculty concerning whether the chair search is to be external or internal.

1. External Search. A Chair Search Committee consisting of at least three voting members of the Microbiology faculty and additional faculty as appropriate to meet the requirements set forth by the Southern Illinois University Policies and Procedures for Hiring will be appointed by the Dean of the College of Science. The search committee will publish the description of the position and place appropriate advertisements in accordance with applicable University employment guidelines and procedures. Minimum qualifications for the position of Chair shall be the same as for continuing faculty, with the exception that the Chair must be tenured or qualified for tenure in the Department. Upon receiving and examining appropriate data from applicants, the committee will select a reasonable number (10 or fewer) of the most qualified applicants to be considered by the entire voting faculty. The voting faculty will examine the data of the remaining candidates, and, by secret written ballot, will reduce the number of candidates to three, who will be invited to visit the campus for an interview. The voting faculty will examine the data of the selected candidates, and one candidate will be selected by at least two-thirds of the voting faculty in secret ballot. In the event that no single candidate receives at least two-thirds of the vote, the top two candidates will be selected and the vote will be repeated. If neither candidate receives at least two-thirds of the vote, the search will be terminated and a new search will be initiated. The candidate finally receiving two-thirds or more of the vote will be recommended to the Dean of the College of Science for appointment.

2. Internal Search. A Chair Search Committee consisting of at least three voting members of the Microbiology faculty and additional faculty as appropriate to meet the requirements set forth by the Southern Illinois University Policies and Procedures for Hiring will be appointed by the Dean of the College of Science. The search committee will publish the description of the position and place appropriate advertisements in accordance with applicable University employment guidelines and procedures. Minimum qualifications for the position shall be that the Chair must be tenured or eligible for tenure in the Department. Upon receiving and examining appropriate data from applicants, the committee will select a reasonable number (three or fewer) of the most qualified applicants to be considered by the entire voting faculty. The voting faculty will examine the data of the selected candidates, and one candidate will be selected by at least two-thirds of the voting faculty in secret ballot. In the event that no single candidate receives at least two-thirds of the vote, the top two candidates will be selected and the vote will be repeated. If neither candidate receives at least two-thirds of the vote, the search will be ended and a new search will be initiated. The candidate finally receiving two-thirds or more of the vote will be recommended to the Dean of the College of Science for appointment.

3. Acting Chair. If the Chair is unavailable for more than one month but intends to return to the position within one year, an Acting Chair shall be appointed. In the case of a planned absence,

such as a sabbatical leave, the Chair will solicit the faculty for applications or nominations for the position of Acting Chair. In the Chair's absence, the Dean will solicit the faculty for applications or nominations for the position of Acting Chair. Upon receiving and examining appropriate data from applicants/nominees, the voting faculty will examine the qualifications of the candidates. One candidate will be selected by at least two-thirds of the voting faculty in secret ballot. In the event that no single candidate receives at least two-thirds of the vote, the top two candidates will be selected and the vote will be repeated. If neither candidate receives at least two-thirds of the vote, the search will be ended and a new search will be initiated. The candidate finally receiving two-thirds or more of the vote will be recommended to the Dean of the College of Science for appointment. The position of Acting Chair shall end upon return of the Chair to normal duty or upon the appointment of a new Chair.

4. Interim Chair. If the Department is between permanent chairs, with the search for a new permanent chair forthcoming, an Interim Chair shall be appointed using the Internal Search mechanism described above (Section V-A-2). The position of Interim Chair shall be a term appointment.

B. New Continuing Faculty

The Chair will announce that there is a position to be filled. Publication of a position description, advertisement, and selection will be conducted as described for the Chair (Section V-A), except that the Chair will appoint a search committee consisting of at least three members of the voting faculty and additional faculty as appropriate to meet the requirements set forth by the Southern Illinois University Policies and Procedures for Hiring. Minimum qualifications for appointment as a continuing faculty member and Assistant Professor in Microbiology include an earned doctorate in an area of expertise relevant to the needs of the position as stated in the position description. The final candidate will be recommended to the Dean of the College of Science for appointment.

C. Recommendation of Candidates for Promotion and Tenure

1. Qualifications for Promotion and Tenure

a. Tenure. The decision to grant tenure must rest on evidence of a past and ongoing commitment to, and successful performance in, the areas of teaching, research scholarship, and professional service.

Evidence for long-term teaching effectiveness **must** be obtained and presented. It is the responsibility of the candidates to present evidence regarding teaching effectiveness, including teaching evaluations of courses taught at the University. It is the responsibility of the Department to review evidence, including formal teaching evaluations and peer evaluations, regarding the teaching effectiveness of candidates.

For assessment of research/scholarship, the tenure decision should be based on an overall assessment of the candidate's research/scholarly achievements and of the candidate's personal commitment to scholarship, not merely on some required number of publications. Evidence of scholarly commitment must include the publication of peer-reviewed articles as well as other evidence the department may consider appropriate. It is the department's responsibility to thoroughly assess the scholarly record of the candidate when reaching a decision regarding tenure and to present a carefully reasoned and documented case regarding the scholarly achievements of the candidate.

Professional service is less critical in the tenure decision than are teaching and research/scholarship. It is the responsibility of the Department to assess and review evidence of professional service in making a tenure recommendation.

b. Promotion. Academic promotion is awarded for past teaching, research and service accomplishments. Recommendations and decisions for promotion must be based on evidence of specific accomplishments in these areas.

1) Associate Professor: Promotion from the rank of Assistant Professor to the rank of Associate Professor requires 1) a demonstrated record of effectiveness as a teacher; 2) a record of peer-reviewed research publications within the discipline, and other appropriate types of evidence for research accomplishments such as funded external grants or

contracts; 3) a record of professional service appropriate to the discipline, the academic unit and where possible, the College and /or University; and 4) promise of growth in teaching and research/scholarship.

2) Professor: For promotion to the highest academic rank, the candidate's academic achievements and professional reputation should be superior. This rank can be earned only by the faculty member who has demonstrated continued academic growth, and has a cumulative record of teaching effectiveness, substantial peer-reviewed research publication, and professional contributions and service.

2. Procedures for Promotion and Tenure

- a.** A personnel file for each faculty member shall be maintained by the Department in accordance with the Personnel File Policy of the University. It is the responsibility of each faculty member to keep his/her file current. However, the Chair shall set a specific date for annual updating of the file for each faculty member and another specific date by which time each faculty member can be expected to provide data and documents to be reviewed in conjunction with promotion or tenure decisions on his/her behalf. The annual updating of the file shall include removing unnecessary or outdated material, which shall be returned to the faculty member.
- b.** If the faculty member desires that recommendations or evaluations from colleagues, students, or persons outside the Department or University be submitted as part of the promotion or tenure dossier, but in a confidential folder, he/she must sign a statement to that effect after examining a list of potential evaluators. The person under consideration shall sign this statement before the recommendations or evaluations are solicited, and the request for recommendations or evaluations shall contain a statement to the evaluator as to whether the material is to be kept confidential.
- c.** The person under consideration for tenure and promotion shall determine what confidential documents are to be a part of his/her promotion or tenure file.
- d.** Written statements, letters, memoranda, evaluations, and reports made by a Dean, the Chair, or a duly constituted committee, which are made part of a dossier, shall be available to the individual and shall not be maintained in the confidential file.
- e.** The person under consideration for promotion and tenure will be responsible for inviting all tenured Microbiology faculty to attend at least one classroom lecture for the purpose of soliciting written teaching evaluations. This request will be made preceding submission of the dossier.
- f.** Candidates for promotion or tenure may be nominated by a poll, by secret ballot of the voting faculty, or by themselves. Those who must be considered by reason of the University Guidelines and those who wish to be considered will be directed by the Chair to update their personnel files, which will then be made available to the faculty for inspection.
- g.** Recommendation for tenure shall be voted on by all tenured faculty.
- h.** Recommendation for promotion shall be voted on by all tenured faculty members of that rank, or higher rank, to which promotion is being considered.
- i.** The Chair shall inform the individual faculty member of the recommendation, either positive or negative. All dossiers prepared and reviewed by the department will be forwarded to the Dean with the results of the faculty vote. The faculty member may at this time formally request in writing that his/her dossier be withdrawn from further consideration.
- j.** The Chair is responsible for the preparation of dossiers for promotion and tenure. The Chair shall review with the faculty member all material comprising the dossier, with the exception of the confidential material, before the dossier is forwarded to the Dean's office. The dossier submitted to the Dean's office shall be accompanied by a statement from the faculty member that he/she has seen the material being submitted, exclusive of confidential material, and is satisfied that this is what he/she wants to have submitted. It shall also contain the Chair's own recommendation with appropriate justification.
- k.** Cross appointments: The Department wishes to be involved in decisions of tenure and promotion of any cross-appointed faculty. The Chair will provide to the appropriate unit or

person an evaluation of individual performance when such evaluation is requested. The department will also seek such an evaluation for its members which have a cross-appointment in another unit.

D. Standards and Criteria for Assignment of Salary Increments

Scholarly activity, which includes teaching, research, and service, is the basis of the professional activities of the faculty in the College of Science. Evaluation of the teaching, research and service activities of the faculty will be made annually by the Chair and will include both qualitative and quantitative considerations and will correspond to the percentage of time assigned to each of these activities. Consideration shall also be given to the degree of relatedness of these activities to the position description of the faculty member and the missions and goals of the department. The Chair shall assign faculty raises annually based on the considerations described below using a formula approved by the voting faculty.

Above average salary increases cannot be given to any faculty member unless at least one other faculty member is evaluated by the Chair as being below average.

1. Evaluation of Teaching

The aspect of teaching considered to be most important is performance of the classroom teaching assignment and the development of new courses and curriculum to improve the quality of instruction. Evaluation of classroom teaching will be based upon the quality and effectiveness of the presentation of the subject matter contained in each approved course syllabus and on the effective use of student evaluations. All course syllabi shall be approved by the Chair.

Other activities to be considered include the writing and award of teaching-related grants and publications of articles, books and other instructional material of a pedagogical nature. Also of importance in the category of teaching is program and research direction of graduate and undergraduate students.

The following items will be used to evaluate yearly performance:

- a. The Chair may attend and evaluate at least one class, and shall do so for all untenured faculty.
- b. The standard evaluation forms from Instructional Evaluation, administered in the Professor's absence, shall be used for 200, 300 and 400 level lecture courses. The evaluations will be included in the faculty member's personnel file.
- c. The faculty member shall submit to the Chair a list of published textbooks and manuals, teaching grants or awards, graduate students advised, or any other such material deemed appropriate.

Meritorious performance shall consist of substantially above average evaluations in areas a and b and/or a record of accomplishment regarding those items in area c. Below average evaluations will result from essentially two considerations: 1) if the instructor's performance remains deficient after being advised by the Chair of specific criticisms, or 2) if scores on the standard evaluation forms fall below an average rating of 3.5.

2. Evaluation of Research

Research is an intrinsic component of the professional activities of faculty in the College of Science. A faculty member whose position description includes time assigned to research will be evaluated correspondingly. This evaluation must consider, but is not necessarily restricted to, the following evidences of activity: (a) publications, (b) external grant and contract awards, (c) presentation of papers and publication of abstracts, and (d) published reviews and critiques of journal articles, books and monographs.

- a. **Refereed publications, including original research and review articles in professional journals, proceedings, monographs, books, book chapters, etc.**, are the primary evidence of research and scholarly accomplishment. Editorship or authorship of books and/or monographs may be considered research contributions.
- b. **Funded external research grants and contracts** are an important aspect of faculty research. Submission of proposals for grants and contracts not subsequently funded should be

considered evidence of research effort, and evaluations and/or reviewers' scores may be used as supporting evidence. Personal remuneration for consulting or other activities will not merit the same consideration as grants and contracts.

c. Paper presentations and published abstracts are less important evidence of scholarly activity and should be evaluated on the basis of whether the paper was presented at an international, national or regional meeting, and whether or not it was invited.

d. Published reviews and critiques of: journal articles, books and monographs are also less important evidence of scholarly activity.

For the Department of Microbiology, a faculty member who has accepted a 50% time research assignment will be considered to have an average performance:

1) If the faculty member has two publications in refereed journals per year. (New faculty will be given two years before publications are required.) The Chair will evaluate the quality of journal, and take this into account if more than two papers are published per year. No publication will be considered in more than one year, but publication records can be averaged over two years upon the request of a faculty member. However, if an above average salary increase was given on the basis of a particular year's publication record, this record cannot be used to average with subsequent years. Papers presented at international, national and regional meetings, and published abstracts cannot be used to offset lack of published work in refereed journals.

2) Unless a faculty member has external funding, he or she will be expected to submit at least two research proposals to outside agencies per year (no exceptions for new faculty).

Below average salary recommendation for research will be made: 1) if the faculty member fails to publish at the acceptable rate or 2) if the faculty member fails to submit proposals at the acceptable rate. Above average salary recommendation for research will be made: 1) if the faculty member publishes at a rate in excess of the average and/or 2) if the faculty member obtains a new grant or a grant is renewed (extensions without new funds are not considered as renewals).

3. Evaluation of Service

Service is an important but multifaceted category of a faculty member's assignment and includes service to the department, the college, the university, the science and the profession. The evaluation of service will be based upon such items as the degree and quality of active participation in departmental, college, and university committees, councils, and panels; a faculty member's involvement in special departmental, college or university assignments; advisement of student organizations; service activities for, or offices held in professional societies; and other professional activities, such as invited seminars, manuscript and grant reviews, and the organization of national or international meetings.

Service evaluation is more difficult to accomplish but no less important. The subjective judgment of the Chair will be based on the above categories. Faculty must submit documentation of service.

Negative performance will be considered to result from the failure to carry out reasonable departmental or university assignments.

E. Grievance Procedures

1. In the event of a grievance involving members of the Department, the Chair shall call the parties together and attempt to achieve a fair settlement of the grievance.

2. If the grievance cannot be settled at the Department level, the Department shall abide by the Grievance Procedures established by the College of Science and the Graduate School.

VI. AMENDMENTS

This document may be amended by a 2/3 majority vote of the eligible voting members. Amendments must be presented in writing to the faculty at least two weeks before the regular faculty meeting at which the amendment is to be discussed. A discussion of the amendment shall be a regular agenda item at the faculty meeting prior to the faculty meeting at which the vote is taken.

APPENDIX 1

Procedures for the Hiring, Retention and Promotion of Research Faculty

These procedures will apply to all individuals with the titles Research Assistant Professor, Research Associate Professor, or Research Professor. The positions are non-tenure track, term appointments funded by external grants. The individuals holding such positions are expected to be capable of developing independent research programs. These positions are not intended for short-term appointments.

1. Hiring Procedures:

The Department will conform to University Rules and Regulations on Hiring (including Affirmative Action Guidelines). The departmental procedures and requirements will be identical to those used in hiring regular tenure-track faculty with one modification; since these positions are primarily research positions, the dominant requirements will be research competence and productivity.

2. Promotion Procedures:

These will be identical to those for tenure-track faculty with the exception that the primary consideration will be given to the individual's research competence and productivity.

3. Review Procedures:

Research Faculty will be reviewed yearly as part of the annual review of faculty/merit salary process by the Department Chair. Each Research Faculty will be reviewed by a committee of three senior research-active faculty appointed by the Department Chair every three years (or sooner if the Department Chair is convinced of the need). This committee will report to the faculty acting as a committee-of-the-whole for disposition. Renewal will be denied if in any consecutive 24 month period the individual does not have one or more external grants on which they serve as Principal or co-Principal Investigator, and from which their salary is derived.

4. Resources:

Resource requirements including space will be determined and agreed on prior to hiring of the individual. Space allocations will be determined by the Department Chair in consultation with the individual. The Department is not required to provide the Research Faculty any financial support.

5. Direction of Graduate Students:

Research faculty will be encouraged to serve on graduate student committees and to direct graduate student research. However, there must be a tenured or tenure-track faculty member from the Department of Microbiology serving as Chair of the student's graduate committee.

6. Other Duties:

Research faculty will not have normal teaching or service activities. However, such activities can be carried out by mutual agreement of the individual and the Department.

APPENDIX 2

Procedures for the Hiring of Adjunct and Visiting Faculty

These procedures will apply to all individuals (Scientist, Lecturer, Instructor, Assistant Professor, Associate Professor or Professor) with the additional titles "Adjunct" or "Visiting". Generally, the term "Adjunct" will be used for off-campus individuals while the term "Visiting" shall apply to individuals physically on-campus at the time of appointment. The positions are non-tenure track, term appointments for the purpose of serving as co-Principal Investigators on funded grants, instructional support, research endeavors or other duties as defined by the appointment. The departmental role of the appointee will be determined by the Microbiology faculty. The Adjunct or Visiting faculty member may attend open faculty meetings or committee meetings but may not be a voting member, except by special vote of the faculty. In the case of non-university employees, a salary may be provided from some entity other than an educational unit of the university.

1. Hiring Procedures:

Upon request by a Microbiology faculty member, the Chair will circulate the Curriculum vitae of the candidate for Adjunct or Visiting appointment to the entire faculty along with a description of the purpose of the appointment. The rank of the Adjunct or Visiting individual will be determined by their experience. Following review, the Microbiology faculty will vote on the appointment; a positive vote by two-thirds or more of the faculty will be required. In this case, the Chair will follow normal University procedures to initiate the appointment.

2. Review Procedures:

Prior to the end of their term appointment, Adjunct or Visiting faculty will be reviewed by the Microbiology faculty as described above. A positive vote by two-thirds or more of the faculty will be required for renewal of the term appointment.

3. Resources:

Resource requirements including space will be determined and agreed on prior to appointment of the individual. Space allocations will be determined by the Department Chair in consultation with the individual. The Department is not required to provide the Adjunct or Visiting appointee any financial support.

4. Direction of Graduate Students:

Adjunct or Visiting faculty may serve on graduate student committees and direct graduate student research. However, there must be a tenured or tenure-track faculty member from the Department of Microbiology serving as Chair of the student's graduate committee.