

## PHYSICS DEPARTMENT CODE

### I. Mission

The Mission of the Department of Physics is:

- i. to conduct high-quality research and to increase national and international recognition as a department committed to excellence in research,
- ii. to graduate highly competent, well-educated students at all degree levels,
- iii. to teach high-quality service courses matched to the needs of students in other disciplines, and
- iv. to provide professional services to the people of Colorado.

In addition, the Department may set specific short-term goals and objectives.

### II. Organization

#### 1. Faculty

- a. The goal of the Physics Faculty is to accomplish the Mission. It is the responsibility of each faculty member to do his or her share toward meeting this goal.
- b. The Faculty shall determine the specific departmental goals and the general strategy for meeting these goals (e.g., curriculum, degree requirements, hiring priorities, and budget philosophy).
- c. The Faculty shall conduct formal self-evaluations of the department at intervals of five to seven years as specified in Section C.2.4.2.2.d of the Academic Faculty and Administrative Professional Manual (hereafter referred to as the Manual).
- d. The tenured Faculty members shall be consulted annually regarding the reappointment and progress toward tenure of all untenured, regular members of the Physics Faculty.
- e. The Voting Faculty shall consist of the regular full-time, regular part-time, and transitional members of the Physics Faculty (see Section E.2 of the Manual), including the Department Chair (see Section II.2).

Rev. Fall 2009

- f. Joint Faculty Appointments shall be for a specified period of up to five years. There must be a written agreement specifying the term and specifying the rights and responsibilities of the Faculty member with regard to the Department of Physics, including a statement that the Faculty member is not a member of the Voting Faculty. The Joint Faculty Appointment and the agreement must be approved by at least two-thirds of the Voting Faculty.
- g. During the last year of a Joint Faculty Appointment, and at least three months before its expiration, the Voting Faculty shall discuss the appropriateness of the renewal of the Joint Faculty Appointment at a Faculty Meeting.
- h. Joint Academic and Administrative Professional Appointments, Faculty Affiliate Appointments, and Visiting Faculty Appointments require approval by at least two-thirds of the Voting Faculty.

## 2. Department Chair

- a. One member of the Physics Faculty shall serve as Department Chair. This individual is the administrative head of the Department and shall be responsible for the executive management of the Department in carrying out its mission and coordinating progress toward its goals and objectives.
- b. All regular, full-time, tenured Physics Faculty members are eligible to serve as Department Chair.
- c. The Department Chair shall be selected by the Dean of the College of Natural Sciences in consultation with the Voting Faculty.
- d. The Voting Faculty shall give the Dean its fullest assistance and its strongest input in the selection process, including the results of votes on the acceptability of the prospective candidates and a rank ordering of the acceptable candidates.
- e. A candidate is considered unacceptable if at least one-third of the Voting Faculty votes that he or she is unacceptable. Only an acceptable candidate may be selected to be Department Chair.
- f. The term of office of the Department Chair shall be as specified in the Manual.
- g. The duties of the Department Chair include recommendations to the Dean concerning new appointments, continuing appointments, tenure, and salaries. They also include the allocation of teaching and service assignments, office and laboratory space, and the departmental budget.

- h. The Department Chair may delegate responsibilities for various aspects of departmental operation to other persons within the Department. In particular, the Department Chair may choose to appoint Associate Chairs and/or Assistant Chairs.
- i. The Department Chair may also appoint committees as he or she deems appropriate.
- j. The Department Chair, in consultation with a graduate student and his or her proposed advisor, shall appoint the members of the student's graduate advisory committee.
- k. The Department Chair shall maintain permanent records of all important departmental actions.
- l. The Department Chair shall conduct the annual evaluation of each Faculty member (see Section III.1).

### 3. Physics Council

- a. The Physics Council shall consist of three Voting Faculty members, and its purpose is to serve as a formal medium for advising the Department Chair and providing Faculty input into departmental decisions.
- b. Each year, the Voting Faculty shall elect a Voting Faculty member to serve a three-year term on the Physics Council. All Voting Faculty members are eligible, except for the previous member of the Physics Council whose term has just expired and any persons with administrative appointments at the level of Department Chair or higher.
- c. The election of the new member of the Physics Council shall occur at the first Faculty Meeting of the academic year after classes have begun (see Section II.4). Candidates shall be nominated by the Voting Faculty members in attendance or participating electronically, and an election shall then be held by secret ballot. If no candidate receives a majority of the votes cast, there shall be a runoff election between the two candidates receiving the most votes.
- d. The Physics Council shall advise the Department Chair on substantive decisions within the Department, as well as on other matters for which the Department Chair requests counsel.
- e. The Physics Council shall participate in the Annual Review of each Faculty

Member (see Section IV.1).

- f. The Physics Council shall review each application for tenure and/or promotion, make recommendations to the members of the Tenure and/or Promotion committee, and coordinate the formal recommendations of the Tenure and/or Promotion Committee to the Department Chair (see Section IV.2).
- g. The Physics Council shall be responsible for the Comprehensive Reviews of Tenure-Track Faculty and the Periodic Comprehensive Reviews of Tenured Faculty.
- h. The Physics Council shall hear grievances by employees and students in the Department (see Section IV.5).
- i. The Physics Council shall be responsible for reviewing this Code during the year prior to the end of each term of office of the Department Chair.
- j. If the Physics Council is dealing with an issue for which one of its members has a conflict of interest, that member shall recuse himself or herself from dealing with that particular issue. In some cases, a member of the Physics Council may not be eligible to serve in a specific situation (for example, see Paragraph IV.4.c).
- k. If a vacancy occurs on the Physics Council, or if a temporary replacement is needed for one of its members, a Faculty Meeting shall be called (see Section I.4), and an election shall be held as described in Paragraph II.3.c.

#### 4. Faculty Meetings

- a. The Department Chair shall call at least one meeting of the Voting Faculty each semester. Additional meetings may be called by the Department Chair, by the Chair of a Search Coordination Committee (see Section III.1), by any member of the Physics Council with the written agreement of the other two members, or by any Voting Faculty member with the written support of at least one-fourth of the Voting Faculty members.
- b. All Voting Faculty members shall receive written notice of a Faculty Meeting, together with an agenda, at least 48 hours prior to the meeting. Email notification is acceptable.
- c. The Voting Faculty member calling the Faculty Meeting shall chair the meeting.

- d. A simple majority of the Voting Faculty members shall constitute a quorum. A quorum is required for any official vote, but it is not required for discussions. Electronic participation and proxies are included as part of the quorum for a particular vote. The Voting Faculty member chairing the meeting is allowed to vote and is included as part of the quorum.
- e. An exception to the previous paragraph occurs when the vote is a nonbinding recommendation to the Department Chair. In this case, the Department Chair is not allowed to vote, and he or she is not considered when determining whether or not a quorum is present.
- f. Any vote regarding specific persons shall be conducted by secret ballot. Any other vote shall be conducted by secret ballot if so requested by at least one Voting Faculty member.
- g. Unless specified otherwise, the outcome of a vote shall be determined by a simple majority of votes cast, not including abstentions.
- h. A Voting Faculty member who cannot be present for a vote at a Faculty meeting may submit a proxy vote. This proxy vote must be in writing, and it must be signed by the Voting Faculty member (email messages are acceptable). The wording of the proxy must conform to the specific vote being conducted. The Voting Faculty member may deliver the proxy vote to any other Voting Faculty member for submission at the Faculty Meeting. A Voting Faculty member may not authorize someone else to vote on his or her behalf.
- i. Persons other than Voting Faculty members may be invited by the Department Chair to attend a Faculty Meeting as guests. Such guests must be announced in the agenda for the Faculty Meeting.
- j. The Department Chair shall appoint a Recorder to keep an accurate record of the actions taken at Faculty Meetings. The minutes of each Faculty Meeting shall be distributed to all members of the Voting Faculty within two weeks of the Faculty Meeting.
- k. The Department Chair may conduct an email vote without calling a Faculty Meeting if he or she feels that the issue being voted on has been discussed thoroughly at an earlier Faculty Meeting, or that the issue is sufficiently routine that discussion at a Faculty Meeting is not necessary. However, if at least four members of the Voting Faculty object in writing (including email) to the Department Chair to having the vote by email, then the email vote shall be canceled.

## 5. Staff

The Administrative Professionals and State Classified Staff in the Department shall be consulted in all matters where their input is relevant.

## 6. Students

The undergraduate and graduate Physics majors may each elect a representative to provide input to the Department Chair on matters of student concern. The election of the Undergraduate Student Representative shall be organized by the CSU Chapter of the Society of Physics Students. The election of the Graduate Student Representative shall be organized by the previous Graduate Student Representative.

### III. Performance Reviews of Faculty Members

#### 1. Criteria for Performance Reviews

- a. Individual performance is judged with respect to the Mission of the Department of Physics and standard expectations within the discipline.
- b. Performance evaluations of each faculty member shall take into account his or her individual effort distribution (see Section E.9.1 of the Manual), his or her individual workload (see Section E.9.2 of the Manual), his or her salary, and his or her rank.
- c. Each faculty member is expected to contribute in all three of the standard areas: research, teaching and advising, and service and outreach. The effort distribution among these three areas may vary considerably from one faculty member to another, with each faculty member negotiating an appropriate effort distribution with the Department Chair. The Department of Physics considers it healthy to have faculty concentrating their efforts in their areas of strength.
- d. The following contributions are considered of high value to the Department:
  - i. Externally recognized contributions to research.
  - ii. Significant external funding.
  - iii. Publication in refereed journals.

- iv. Mentoring of student research.
- v. High-quality teaching.
- vi. High-quality advising.
- vii. Significant service to the Physics profession
- viii. Significant service to the Department, the College, and/or the University.
- ix. Significant outreach to the local community and/or the State of Colorado.

In judging the teaching workload, the factors described in Section E.9.2 of the Manual shall be taken into account.

- e. The expectation is that most Faculty members will establish world-class research programs and secure significant external funding. A faculty member who does not achieve this goal is expected to compensate by contributing more in the areas of teaching, advising, service, and/or outreach. This must be acknowledged by an adjustment in his or her effort distribution, as negotiated with the Department Chair.
- f. It is the duty of the Department Chair and the Physics Council to weigh the value of each Faculty member's contributions to the Department and its Mission.

## 2. Annual Reviews

- a. Annual Reviews of Faculty members are an important element in the development of the Department. These Reviews are meant to encourage creativity and productivity for each Faculty member through a self-evaluation of his or her work during the previous year and the setting of goals for the next year. These Reviews shall classify performance as being superior, exceeding expectations, meeting expectations, being below expectations, or being unsatisfactory.
- b. Each year, the Department Chair shall inform all Faculty members of the time frame for the Annual Reviews at least one month in advance.
- c. Each Faculty member shall supply written evidence to the Department Chair of his or her performance during the previous year. He or she shall also set goals for the next year and propose an effort distribution for the next year.

- d. The Department Chair shall meet privately with each Faculty member to discuss his or her performance during the previous year and progress toward the goals set the previous year.
- e. The Department Chair shall also discuss with the Faculty member appropriate goals for the next year and an acceptable effort distribution for the next year.
- f. The Department Chair shall review with the Physics Council the written material from and the performance of the Faculty member and solicit input from the Physics Council regarding the evaluation.
- g. The Department Chair shall then provide the Faculty member with a written assessment of his or her performance during the past year and progress toward meeting the goals set the previous year, as well as the appropriateness of the goals and effort distribution chosen for the next year.
- h. The Faculty member shall have the opportunity to respond in writing to the written assessment of the Department Chair.
- i. This Annual Review is the primary basis for merit-based salary increases (see Section E.14.1 of the Manual).

### 3. Reviews of Tenure-Track Faculty

- a. Each year, the Department Chair shall consult the tenured faculty members and the Physics Council regarding the reappointment and progress toward tenure of all untenured, tenure-track members of the Physics Faculty.
- b. For the Comprehensive (Midpoint) Review of a tenure-track Faculty member, the Review Committee shall consist of all eligible Voting Faculty members as specified in Section E.14.2 of the Manual.
- c. The Physics Council shall prepare a preliminary review and distribute it to all members of the Review Committee.
- d. The Physics Council shall then call a Faculty Meeting for the members of the Review Committee to discuss the preliminary review.
- e. Based on this discussion, the Physics Council shall prepare the final review.
- f. If the tenure-track Faculty member being reviewed is a member of the Physics Council, a temporary replacement shall be elected as described in Paragraph II.3.k.



4. Phase I Reviews of Tenured Faculty

- a. Phase I Reviews of tenured Faculty shall be conducted as described in Section E.14.3.1 of the Manual.
- b. The Department Chair shall consult with the Physics Council regarding each Phase I Review.

5. Phase II Reviews of Tenured Faculty

- a. If the Department Chair decides that a Phase II Review is necessary, this Review shall be conducted by the Physics Council.
- b. If the Faculty member being reviewed is a member of the Physics Council, a temporary replacement shall be elected as described in Paragraph II.3.k.
- c. If a member of the Physics Council is not tenured or is not of at least the faculty rank of the Faculty member being reviewed, a temporary replacement shall be elected as described in Paragraph II.3.k.
- d. A member of the Physics Council who has a conflict of interest or bias shall recuse himself or herself, and a temporary replacement shall be elected as described in Paragraph II.3.k.
- e. If the Faculty member being reviewed objects to a member of the Physics Council, due to alleged bias, the Department Chair shall call a Faculty Meeting to address this claim. After discussion of the claim of bias, the Voting Faculty shall vote by secret ballot on whether or not a replacement is needed. If at least one-third of the votes cast, not including abstentions, agree that a replacement is needed, a temporary replacement shall be elected as described in Paragraph II.3.k.
- f. The Faculty member shall have the right to require that one member of the Physics Council be replaced without having to justify a claim of bias.
- g. The Faculty member being reviewed shall be given at least one month to prepare for the Phase II Review and may submit any material that he or she considers relevant.
- h. The Review Committee shall be responsible for collecting any other relevant information.

- i. The standard for the Review shall be the Faculty member's overall contribution to the Mission of the Department, as well as the consistency of this contribution with the Faculty member's individual effort distribution and individual workload.

#### IV. Procedures

##### 1. Hiring of a Tenure-Track Faculty Member

- a. The Search Committee shall consist of all Voting Faculty members.
- b. The Department Chair shall constitute a Search Coordination Committee chaired by a Voting Faculty member in the Department of Physics.
- c. The Search Coordination Committee shall solicit applications for the position and call a Faculty Meeting to make recommendations to the Search Committee regarding the strongest candidates.
- d. The Search Committee shall then decide which candidates to interview.
- e. After the interviews have been completed, the Chair of the Search Coordination Committee shall call a Faculty Meeting. At this meeting, the Search Committee shall discuss the candidates and vote by secret ballot on their acceptability and the rank ordering of the acceptable candidates.
- f. A candidate is considered acceptable only if a majority of the Search Committee votes that he or she is acceptable. Only acceptable candidates may be recommended to the Dean by the Department Chair.
- g. The rank ordering of the acceptable candidates is a recommendation to the Department Chair. The Department Chair decides which of the acceptable candidates to recommend to the Dean and the rank ordering of these recommendations.

##### 2. Tenure and/or Promotion

- a. The Tenure and/or Promotion Committee shall consist of all eligible Voting Faculty members as specified in Section E.10.5.1 and/or Section E.13.1 of the Manual.
- b. The three elected members of the Physics Council shall review the application

for tenure and/or promotion, solicit additional input as appropriate, and then make a recommendation to the Tenure and/or Promotion Committee.

- c. If the Faculty member applying for tenure and/or promotion is a member of the Physics Council, a temporary replacement shall be elected as described in Paragraph II.3.k.
- d. If a member of the Physics Council is not an eligible Voting Faculty member as specified in Section E.10.5 and/or Section E.13.1 of the Manual, a temporary replacement shall be elected as described in Paragraph II.3.k.
- e. The Tenure and/or Promotion Committee shall then conduct a formal vote on the tenure and/or promotion, and the results of this vote shall be included in the official recommendation of the Committee.
- f. These procedures shall also be followed for the hiring of a new faculty member with immediate tenure.
- g. The general criteria for tenure and/or promotion are the same as those for Performance Reviews (see Section III.1). However, there is a serious expectation that the Faculty member has established a strong research program.

### 3. Disciplinary Action for Faculty

- a. As described in Section E.15.1 of the Manual, disciplinary action against a Faculty member on a regular full-time, regular part-time, or multi-year research appointment (hereinafter referred to as the Faculty Member) is initiated by the submission of a Statement making official allegations.
- b. When such disciplinary action is initiated against a member of the Physics Faculty, and a Hearing Committee is formed as described in Section E.15.4.1 of the Manual, this Hearing Committee shall consist of all tenured members of the Voting Faculty other than the Department Chair, the Faculty Member, and the person(s) making the allegation(s). These members include Voting Faculty on sabbatical leave or paid leave, but not those on unpaid leave.

### 4. Appeals of Academic Decisions

- a. Any student has the right to appeal an academic decision made by a member of the Physics Faculty.

- b. Before making a formal appeal, the student should first discuss the academic decision with the Faculty member involved.
- c. If the discussion with the Faculty member fails to resolve the matter to the student's satisfaction, then the student should discuss the matter with the Associate Department Chair.
- d. If the discussion with the Associate Department Chair fails to resolve the matter to the student's satisfaction, then the student may request the involvement of the Department Chair. This request must be in writing, and it must be accompanied by supporting documentation.
- e. The Department Chair shall consult with the Faculty member and the Physics Council and shall then respond in writing to both the student and the Faculty member within two weeks of receiving the request. However, the response of the Department Chair is not binding on either the student or the Faculty member.
- f. If the request to the Department Chair fails to resolve the matter to the student's satisfaction, then the student may file a formal appeal with the Department Chair as specified in Section I.7.1 of the Manual.
- g. For a formal appeal, the Physics Council shall select the Appeals Committee as specified in Section I.7.1 of the Manual.
- h. Any graduate student has the right to appeal an academic decision made by his or her Graduate Committee. Such an appeal is filed with the Vice Provost for Graduate Studies as specified in the Graduate and Professional Bulletin.

## 5. Grievances

- a. Any employee or student in the Department of Physics or any student enrolled in a course offered by the Department of Physics is entitled to a Grievance Hearing by the Physics Council, as long as the grievance is not in regard to an academic decision.
- b. In order to initiate such a Grievance Hearing, the Grievant must submit a written Grievance to a member of the Physics Council. The Grievance must state the basic problem, what action is desired by the Grievant, and what attempts have been made to achieve an informal resolution.
- c. The Physics Council shall investigate the situation and make a written Recommendation for the disposition of the Grievance to the Department

Chair, or to the College Dean if the Grievance involves the Department Chair. Copies of this Recommendation shall be given to all relevant parties. This process shall be completed within two weeks.

- d. The Physics Council may instead decide to refer the Grievance to the Voting Faculty. In this case, the Physics Council will call a Faculty Meeting at which the Voting Faculty will make the written Recommendation.
- e. This recommendation is not binding on any of the parties involved.
- f. If this process fails to resolve the problem to the Grievant's satisfaction, then the Grievant may follow University procedures to file a formal Grievance (for example, see Section K of the Manual).

6. Amendments to the Physics Department Code

- a. Any Voting Faculty member may propose an amendment to the Physics Department Code, provided that the amendment is consistent with the Manual.
- b. This Faculty member must arrange for a Faculty Meeting to be called for discussion of the proposed amendment and a vote on its approval. The written amendment must be included in the agenda for the Faculty meeting.
- c. Adoption of the proposed amendment requires approval by two-thirds of the Voting Faculty members (not just those in attendance or casting votes at the Faculty Meeting).