

Center for High Energy Physics Internal Governance Policy

This INTERNAL GOVERNANCE POLICY provides the formal codification of the process for the development and maintenance of internal governance policies for the Center for High Energy Physics. Internal governance issues are limited to those that deal with the methods and manners by which policies are set within this research center, inclusive of the requirement to provide for appropriate and equitable representation of faculty.

1. Appropriate and Equitable Faculty Governance Participation

The following areas constitute major areas of internal governance within the Center, as mandated by the Collective Bargaining Agreement (CBA). Appropriate and equitable faculty governance participation is provided for in each area as follows.

- 1.1. Internal Governance Policy – Internal Governance Policy within the Center is developed and approved by the faculty.
- 1.2. Merit Increase Policy -- Policy regarding non-tenured merit increases are to be established and amended via interaction between the Center Director and the Leadership Committee, with input from the faculty.
- 1.3. Non-Tenure Track Faculty Professional Responsibility Policy - Policy regarding the professional responsibilities of non-tenure track faculty are to be established and amended via interaction between the Center Director and the Leadership Committee, with input from the faculty who supervise non-tenure track faculty (NTTF) in the Center.
- 1.4. NTTF Performance Review and Promotion Policy - Policy regarding the performance review and promotion for non-tenure track faculty are to be established and amended via interaction between the Center Director and the Leadership Committee, with input from the career NTTF and faculty who supervise career NTTF in the Center.
- 1.5. Professional Development Policy – Policy regarding professional development are to be established and amended via interaction between the Center Director and the Leadership Committee.

The Center Director will make all reasonable attempts to adhere to the policies in those areas served by those policies. In cases where policies conflict with federal, state, and university policy, those federal, state and university policies will have priority.

2. Meeting Protocol

The Center Director will provide a minimum of three days' notice to Center faculty via email regarding any all-faculty meeting where governance topics are addressed as significant items on the

meeting agenda. These meetings provide a forum where individual viewpoints can be put forth for consideration. As practicable, meetings will include opportunities for faculty, including faculty who are on leave or sabbatical, to participate via telephone or other means of remote access. Faculty unable to attend may provide written input to the Director prior to the meeting. Meetings may occur virtually via email, telephone, or video conference. The Director may choose to call for formal votes during these meetings, as either a method to determine policy or to determine faculty preference on policy. All faculty present either in person or by remote access may vote in formal votes called in meetings. A majority of those voting shall decide the outcome of the vote.

One possible issue on which a formal vote may be needed is whether the Center recommends to a university academic department that a tenure track faculty member in that department be promoted or granted tenure. In this case, only TTF in the Center at an academic rank equal to or greater than the proposed rank after a promotion may vote, and if tenure is proposed, only tenured Center members may vote.

Emergency situations may arise that do not allow for the agreed upon notice to be given prior to the meeting. In such situations, the Center Director will make all reasonable accommodations to ensure faculty are represented in the meeting. It is further understood that such emergency situations are intended to address short-term accommodations, and that these meetings will not be used to discuss or decide upon longer-term policy.

3. Appropriate Documentation of Decisions

Formal meeting minutes will be kept for each Center meeting that discusses or decides on issues pertaining to participatory governance. Meeting minutes will be distributed to all Center faculty members via email, and will also be available on the center web site.

Written responses from a provost, vice president, or designee to Center to proposed unit policies will be delivered to the Center Director. Center Director or designee will circulate them to all faculty in a timely manner via email.

4. Definition of “members” and “all faculty” in the Center context

4.1. The “members” of the Center are faculty recognized by the Leadership Committee by virtue of their engagement in research in high energy physics. Members may include TTF and retired TTF as well as other university employees and includes both faculty who are members of the bargaining unit and those who are not. The “members” of the Center shall initially be all persons who were deemed members at the time this policy took effect. A list of those members is contained in the Appendix.

4.2. “All faculty” in the Center means members of the Center together with others who are employed in a scientific capacity to work on Center particle physics research grants and contracts. These include TTF, retired TTF, career NTTF, adjunct faculty, post docs, and the Center Director. “Faculty” includes both faculty who are members of the bargaining unit and those who are not.

5. Standing Committees

5.1. Leadership Committee

- 5.1.1. The Leadership Committee has authority to work with the Center Director on behalf of all faculty in matters as defined in Section 1.
- 5.1.2. The Leadership Committee is composed of three Center members selected by the Center membership. At least one member must be principally engaged in theoretical research and at least one in experimental research. The Center Director relies on the Leadership Committee for advice on Center matters. All meetings of the Leadership Committee will be attended by the Center Director.
- 5.1.3. The members for the Leadership Committee are nominated by the faculty and elected by the members of the Center.
- 5.1.4. The term of service on the Leadership Committee is three years.

5.2. Other Standing Committee(s) – Other standing committees will be created as needed.

6. Ad Hoc Committees

The Director may form ad hoc committees for addressing issues where the Leadership Committee or standing committees are not appropriately positioned to equitably address these situations. In such situations, the formation of such a committee will be discussed in the earliest available faculty meeting. At this faculty meeting, all faculty can provide feedback regarding the committee, including how the committee can be structured so as to provide appropriate and equitable participation of both TTF and NTTF faculty. The meeting minutes will document the scope and authority of the committee.

7. Search Committees

For faculty to be hired to perform work on projects sponsored by an external entity, the Director will work with the principal investigator (PI) to determine the appropriate search committee composition. The search committee will be structured so as to provide appropriate and equitable participation of both TTF and NTTF faculty. Normally, it is not appropriate for current postdoctoral research associates to participate in hiring a new postdoctoral research associate, but the PI could recommend the participation of a current postdoctoral research associate or other NTTF with exceptional expertise in the physics relevant to the search. The PI will propose the committee to the Director who will appoint the search committee. The PI will normally chair the search committee, although this can be delegated to a co-PI or other senior investigator.

8. Center Director Nomination Participation and Selection

The Center Director serves three year, renewable terms. Prior to the completion of each term, the Leadership Committee will discuss Center issues with the Director and then independently with other identified Directorship candidates. If any member of the Leadership Committee is a candidate, she or he will be recused from the discussion. After discussing their interest with potential candidates, the Leadership Committee will bring a slate of nominations to a meeting of the full faculty. A vote of the membership will determine which candidates to nominate to the Vice President for Research & Innovation (VPRI). Each member may vote for as many of the nominees as

they wish. The candidate receiving the most votes will be nominated as well as any other candidate receiving at least 2/3 of the votes. The names of the nominated candidates will be forwarded to the VPRI by the Leadership Committee.

9. Faculty Administrative Roles in the Center

All individual faculty members of the Center are responsible for their sponsored research programs.

Time spent by funding contingent faculty members on service to the university, including shared and internal governance, must comply with the terms and conditions of their sponsored project and all federal and state laws and regulations.

10. Development of Key Collective Bargaining Agreement Center Policies

The Center will use the following processes to develop policies regarding merit, NTTF professional responsibilities, NTTF performance review and promotion, and professional development funds:

10.1. Merit Increase Policies

- 10.1.1. Vice President for Research & Innovation or designee will provide guiding principles regarding merit policies to the Center Director.
- 10.1.2. Using these materials, the Leadership Committee and Center Director will draft the recommended policy.
- 10.1.3. The Leadership Committee will hold at least one meeting open to faculty in the Center where individuals can provide input into the draft policy. Formal meeting minutes will be kept of all such meetings and will be made available as per Section 3.
- 10.1.4. Center Director will submit recommended policy for review to the Vice President for Research & Innovation or designee, who will provide the faculty with a written explanation for and an opportunity to discuss any alterations (s)he makes before submission to provost or designee.

10.2. Professional Responsibilities Policies

- 10.2.1. Vice President for Research & Innovation or designee will provide guiding principles regarding professional responsibility policies to the Center Director.
- 10.2.2. Using these materials, the Leadership Committee and Center Director will draft recommended policy.
- 10.2.3. The Leadership Committee will hold at least one meeting open to faculty who supervise NTTF in the center/institute where individuals can provide input into the draft policy. Formal meeting minutes will be kept of all such meetings and will be made available as per Section 3.
- 10.2.4. Center Director will submit recommended policy for review to the Vice President for Research & Innovation or designee, who will provide the faculty with a written explanation for and an opportunity to discuss any alterations (s)he makes before submission to provost or designee.

10.3. NTTF Performance Review and Promotion Policies

- 10.3.1. Vice President for Research & Innovation or designee will provide guiding principles regarding performance review and promotion to the Center Director.
- 10.3.2. Using these materials, the Leadership Committee and Center Director will draft recommended policy.
- 10.3.3. The Leadership Committee will hold at least one meeting open to career NTTF and those who supervise career NTTF in the center/institute where individuals can provide feedback on guidelines. Formal meeting minutes will be kept of all such meetings and will be made available as per Section 3.
- 10.3.4. Center Director will submit recommended policy for review to the Vice President for Research & Innovation or designee, who will provide the faculty with a written explanation for and an opportunity to discuss any alterations.

10.4. Professional Development Funds Policies

- 10.4.1. Vice President for Research & Innovation or designee will provide guiding principles for professional development funds policy to the Director.
- 10.4.2. Using these materials, the Leadership Committee and Center Director will draft recommended policy.
- 10.4.3. The Center Director will have final authority in providing the Vice President for Research & Innovation with the recommended policy.
- 10.4.4. The Center Director will submit recommended policy for review to the Vice President for Research & Innovation or designee, who will provide the faculty with a written explanation for and an opportunity to discuss any alterations (s)he makes.

11.0 The Leadership Committee and all faculty acknowledge the urgency of policy development, and accept responsibility for meeting deadlines. In the event that a committee misses a deadline, the Director maintains the ability to make unilateral decisions on affected subject matters until such time that the Leadership Committee completes assigned tasks and affected deliverables are approved by the Vice President for Research & Innovation or designee.

12.0 The Center Director, VPRI, Provost or designee may initiate changes to established policy by informing faculty of changes being considered, thereby initiating this process for policy development

APPENDIX

The “members” of the Center for High Energy Physics at the time of initiation of this policy are:

- James Brau
- Spencer Chang
- Tim Cohen
- Paul Csonka
- Nilendra Deshpande
- Raymond Frey

Rudolph Hwa
Graham Kribs
 Stephanie Majewski
Robert Schofield
Nikolai Sinev
Davison Soper
 David Strom
 Eric Torrence