

# Institute for Fundamental Science Governance Policy

**AUGUST 12, 2020**

**APPROVED BY THE OFFICE OF THE PROVOST NOVEMBER 17, 2020**

This INTERNAL GOVERNANCE POLICY provides the formal codification of the process for the development and maintenance of internal governance policies for the Institute for Fundamental Science (IFS). Internal governance issues are limited to those that deal with the methods and manners by which policies are set within this research institute, inclusive of the requirement to provide for appropriate and equitable representation of faculty as defined in the Collective Bargaining Agreement (CBA).

## **1. APPROPRIATE AND EQUITABLE FACULTY GOVERNANCE PARTICIPATION**

The following areas constitute major areas of internal governance within the IFS, as mandated by 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 institute is developed and approved by the voting membership (as defined in section 4). Policies will be discussed at meetings set per section 2, Meeting Protocol, where faculty will have opportunity to provide feedback on governance policy. Where appropriate, the director will call for formalized votes on internal governance policy decisions, such that faculty perspectives will be represented accurately.

### **1.2. MERIT INCREASE POLICY**

Policy regarding merit increases are to be established and amended via interaction between the Institute Directorship and the Leadership Advisory Committee (LAC), with input from the membership.

### **1.3. NON-TENURE-TRACK PROFESSIONAL RESPONSIBILITY POLICY**

Policy regarding the professional responsibilities of non-tenure track faculty (NTTF) is to be established and amended via interaction between the Institute Directorship and the LAC, with input from the NTTF and the faculty who supervise NTTF in the institute.

### **1.4. NTTF PERFORMANCE REVIEW AND PROMOTION POLICY**

Policy regarding the performance review and promotion for NTTF is to be established and amended via interaction between the Institute Directorship and the LAC, with input from the NTTF and faculty who supervise NTTF in the institute.

### **1.5. PROFESSIONAL DEVELOPMENT POLICY**

Policy regarding professional development is to be established and amended via

interaction between the Institute Directorship and the LAC, with input from all membership.

#### 1.6. DISCRETIONARY SPENDING

The Institute Directorship is responsible for decisions regarding discretionary spending. The Institute Directorship will involve the LAC and/or membership in such decisions if they deem it necessary or desirable. The yearly budget is proposed by the Directorship and approved by the LAC within the Fall quarter. Any changes to the yearly budget in excess of 5% of the total institute budget shall be approved by the LAC.

The Institute Directorship 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, or university policy, those federal, state, or university policies will have priority.

## 2. MEETING PROTOCOL

The Institute Directorship shall provide a minimum notice of one week to institute faculty via email regarding any all-faculty meeting, membership meeting, or meeting of the voting members. For any proposed policy or governance changes, written notice of these changes shall be provided to the membership a minimum of two weeks before a meeting or vote is to be held. For all other considerations, including votes on membership, Institute Leadership elections, and recommendations on promotion or tenure, a minimum one week's notice shall be provided.

Meetings provide a forum where individual viewpoints can be put forth for consideration and discussion. 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 Institute Directorship prior to the meeting. Meetings may occur virtually via email, telephone, video conference, or other means of communication available to the members.

The director may choose to call for formal votes during these meetings, as either a method to determine policy or to determine voting membership preference on policy. All voting members present either in person or by remote access may vote in meetings, provided they are eligible to vote on the topic at hand. For votes related to formal policy changes or governance topics, at least two thirds of all voting members (present or not) must vote in favor for the change to be approved. For any other issues, a simple majority of the voting members present shall decide the outcome of the vote. Any ties will be broken by the institute director. Minor changes to formal policy or governance issues can be made during the course of a meeting and voted on, but any significant changes shall be made in writing and redistributed to the membership for at least one more week before a vote of approval may be held.

Any votes or elections may also be executed using a secure online voting service. Votes or elections held in this way shall follow the same notification rules as an equivalent

meeting, and online votes should typically be held open for at least three working days. Institute Leadership (as defined in section 4) shall define the specific rules under which elections are run, and these rules will be announced before any election takes place.

If the institute is called upon to make a recommendation in a promotion case, only voting members in the institute at an academic rank equal to or higher than the proposed rank after the promotion may vote. In particular, for career NTTF promotions, all voting members (tenure track faculty [TTF], career NTTF, or other members) at an equivalent rank or higher are eligible to 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 Institute Directorship will make all reasonable accommodations to ensure faculty are represented in the meeting. It is 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 institute meeting that discusses or decides on issues pertaining to participatory governance. Meeting minutes will be distributed to all institute faculty members via email and will also be available on the institute web site.

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

### **4. MEMBERSHIP AND VOTING RIGHTS**

As defined in Sections 5 and 8, the Institute Directorship consists of the appointed director and elected deputy director, whereas the Institute Leadership consists of the Institute Directorship and the members of the elected LAC.

#### **4.1. MEMBERS**

Members are expected to be active participants in institute activities. Membership may be granted to TTF, career NTTF, and other candidates deemed suitable by the institute, irrespective of whether or not candidates are members of the bargaining unit. In all cases members shall be expected to lead a nationally recognized research program as evidenced by publications in research journals, PI status on grants, supervision of students and postdocs, or other generally accepted metrics for scholarly activity.

The members of the institute shall initially be all persons listed in the Appendix at the time this policy took effect. New memberships are typically sponsored by one or more existing voting members. Researchers interested in becoming members should consult with the Institute Directorship. Proposed new members will be evaluated by Institute Leadership and, if the evaluation is favorable, a

recommendation on membership will be forwarded to the voting members for approval. The voting membership list may then be amended by a majority vote of the members in a formal meeting (in person or online), with votes being cast by secret ballot.

The membership list will be reviewed by Institute Leadership at the start of each Fall term and the official membership list for the new academic year will be established by Institute Leadership at that time. As part of this process, each member will be identified with a particular “research discipline” that summarizes the main research effort of that individual. The research discipline categories are defined by institute policy and are used to determine eligibility for various Institute Leadership roles as discussed below. The research discipline categories shall initially be those listed in the Appendix at the time this policy took effect. Each member’s status as a voting or non-voting member will also be evaluated by the Institute Leadership during this review, following the membership criteria. The Institute Leadership can withdraw membership or remove voting privileges if the relevant criteria have not been met. The Institute Leadership can also propose adding voting rights to existing members if the criteria for voting rights have been satisfied and if the member accepts. Recommendation for voting rights will be forwarded to the current voting membership for approval. Any changes in member status can be appealed by written request to the institute director, and the Institute Leadership will consider the appeal, potentially reconsider the decision, and reply with a written response.

#### 4.1.1. MEMBERSHIP PRIVILEGES

Members have access to the administrative support provided by the institute.

#### 4.2. VOTING MEMBERS

The “voting members” of the institute are a subset of the membership who are expected to be grant supported and to submit grants through the institute. If a voting member is actively involved in securing external funding (*e.g.* donations) to the institute, this activity can serve to replace the requirement of grant support. If a member makes no significant financial contributions for a continuous period exceeding three years and shows no ongoing efforts to secure external funding, they will lose voting rights, but retain membership. In special circumstances (*e.g.* taking on substantial service at the University or Department level), voting membership can be maintained at the discretion of the Institute Leadership. TTF are exempt from the financial requirement for voting membership until being granted tenure.

Only voting members are eligible for serving as institute director, deputy director, or member of the LAC. Voting members have voting rights on all institute matters. Voting members on sabbatical or other leave may still participate in policy development and voting; votes submitted by electronic means to the institute director shall be counted. Granting of voting rights follows the same procedure as membership election, with a recommendation from the Institute Leadership

followed by a vote of the voting members. New members can be directly elected with voting rights, if the appropriate criteria are met.

#### 4.2.1. Voting Membership Privileges

- Voting members can vote on institute related matters.
- Voting members can serve in the Institute Leadership.
- Voting members have access to the administrative support provided by the institute.
- Voting members have access to the seminar speaker funds.
- Voting members can make requests for spending institute discretionary funds.

#### 4.3. ALL FACULTY

“All faculty” in the institute means all members of the institute together with others who are employed in a scientific capacity to work on research consistent with the institute's mission. These include TTF, retired TTF, NTTF, adjunct faculty, and postdocs who are supervised by a member. “Faculty” includes both faculty who are members of the bargaining unit and those who are not.

#### 4.4. RESEARCH DISCIPLINES

Each member of the institute will be classified into a single “research discipline” category. The research discipline classification is intended to describe the primary research activity of each member and is used to determine eligibility for different Institute Leadership roles. The possible research disciplines shall initially be the three listed in the Appendix at the time this policy took effect. When a new membership is considered, the proposed research discipline shall also be specified. It is not expected that the research discipline of a member will change often, but as part of the review of the membership list each Fall, the Institute Leadership can also propose to change the research discipline of a member. As long as the member accepts the change, no vote is needed. Changes to the defined research discipline categories should be very infrequent but can be changed by a formal vote on governance matters. Every three years, the Institute Leadership shall review the research disciplines and recommend any changes if needed.

### 5. STANDING COMMITTEES

#### 5.1. LEADERSHIP ADVISORY COMMITTEE

The Leadership Advisory Committee (LAC) has responsibility to work with the Institute Directorship on behalf of all faculty in matters as defined in Section 1. In addition to providing advice to the Institute Directorship, the LAC is charged with ascertaining that the interests and concerns of all faculty are fairly and equitably taken into account in all decisions regarding the institute. Any member of the LAC can call a meeting of the LAC, and the Institute Directorship can be invited to attend at the discretion of the LAC.

The LAC is composed of three institute voting members who are not currently serving in the institute director or deputy director positions. The LAC is selected by

the institute voting membership. The LAC shall represent the intellectual diversity of the institute. In particular, each member of the LAC should represent a unique research discipline from the other members of the LAC. The Institute Directorship relies on the LAC for advice on institute matters. The candidate members for the LAC are nominated by the faculty, a final list of suitable candidates is assembled by the Institute Directorship, and the LAC members are selected by a vote of the institute voting membership. If no members of the appropriate research discipline are available or willing to stand for election to the LAC, candidates from other disciplines can be considered. The term of service on the LAC is three years, and usually the terms of the LAC members should be staggered so that only one position needs to be filled each year. Members are usually not allowed to go up for immediate reelection into the LAC, unless the member is the only eligible candidate of a required research discipline.

If a member of the LAC is unable or unwilling to complete their term, an election will be held to replace that member. The newly elected member will serve out the term of the originally elected member. If that remaining term is one year or less, the elected replacement will be eligible to stand for election after the replacement term has concluded.

#### 5.2. OTHER STANDING COMMITTEES

Other standing committees will be created as needed.

#### 6. AD HOC COMMITTEES

The Institute Directorship may form ad hoc committees for addressing issues where the LAC 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

The hiring process for institute faculty and staff shall follow university guidelines for best practices to ensure broad and inclusive searches. For faculty or staff to be hired to perform work on institute-related activities, the principle investigator (PI) shall work with the Institute Directorship to determine an appropriate search strategy and 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 relevant to the search. The PI will normally chair the search committee, although this can be delegated to a co-PI or other senior investigator.

## **8. INSTITUTE LEADERSHIP**

The general goal of the Institute Leadership is to ensure that the institute achieves its mission. The Institute Directorship is comprised of an institute director and a deputy director, as defined in this section. The Institute Leadership is comprised of the Institute Directorship and the LAC. The director or deputy director shall ask the LAC to assist in decision-making processes whenever either deems it appropriate.

Due to the broad needs of the institute membership, a diversity of expertise within the Institute Directorship and LAC is required. In particular, the director and deputy director should come from different research disciplines.

### **8.1. INSTITUTE DIRECTOR**

The institute director is responsible for final decision making within the institute and is the point of contact for the Office of the Vice President for Research and Innovation on institute matters.

### **8.2. INSTITUTE DEPUTY DIRECTOR**

The institute deputy director's role is to assist the director in the decision-making process, assist with the day-to-day operations responsibilities of the institute, and to serve as acting director upon the institute director's request.

### **8.3. SELECTION OF THE DIRECTORSHIP**

The Institute Directorship is appointed by, and serves at the discretion of, the Vice President for Research and Innovation. The director serves for a three-year term, and a single member cannot serve more than two terms in succession. The deputy director serves for a three-year term, and there are no term limits on this position.

During the final six months of the director's term, but not less than three months before the expiration of the term, the LAC shall discuss possibilities for a successor with the director, and seek input on this issue from all faculty. If it becomes apparent that a member of the LAC is a candidate for the Institute Directorship, they will recuse themselves from further deliberations. The issue will then be discussed in a meeting of all faculty. After that meeting, the voting members will nominate director candidates; each voting member may nominate as many candidates as they wish. The LAC shall tally these nominations and communicate the preferred candidate or candidates to the Vice President for Research and Innovation. In special situations, the Vice President for Research and Innovation may modify this nomination process as appropriate.

After the Vice President for Research and Innovation has selected a director, an election will be held by the voting membership for the deputy director. The LAC will prepare a ballot of candidates and the deputy director will be selected by the voting members.

## **9. FACULTY ADMINISTRATIVE ROLES IN THE INSTITUTE**

Administrative tasks, such as organizing seminars, maintaining the library, maintaining

IT equipment, etc., shall be assigned to faculty by the Institute Directorship as appropriate and mutually agreeable.

All individual faculty members of the institute 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. SPACE AND RESOURCES**

The Institute Leadership is responsible for developing policies for any space or resources allocated to or paid for by the institute. The Institute Directorship is tasked with making all decisions regarding institute space and resources, following the approved institute policies. This managed space may include any offices, labs, and other rooms directly controlled by the institute. Managed resources include administrative staff, computing resources, and any other equipment and facilities controlled by the institute. The institute does not have any formal role in managing space allocated to institute members by other units, such as the Department of Physics, or resources controlled by institute members. Upon request, the Institute Directorship can agree to provide assistance in managing space or resources controlled by a member for the good of the institute, but the ultimate responsibility for the appropriate use of that space or resource remains with the member to whom the space or resource was assigned.

#### **11. DEVELOPMENT OF KEY COLLECTIVE BARGAINING AGREEMENT INSTITUTE POLICIES**

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

- The Vice President for Research and Innovation or designee will provide guiding principles regarding CBA-mandated policies to the institute director.
- Using these materials, the Institute Leadership, which represents all faculty, will draft the required policy, with input from all faculty who may be affected by the policy.
- The Institute Leadership will hold at least one meeting open to faculty in the 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 2.
- The institute director will submit recommended policy for review to the Vice President for Research and Innovation or designee, who will provide the faculty with a written explanation for and an opportunity to discuss any alterations made before submission to the provost or a designee.

#### **12. DEADLINES**

The Institute Leadership 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 Institute Directorship maintains the ability to make executive decisions on affected subject matters until such time that the Institute Leadership completes

assigned tasks and affected deliverables are approved by the Vice President for Research and Innovation or designee.

### **13. POLICY CHANGES**

The Institute Directorship, Vice President for Research and Innovation, Provost or designee may initiate changes to established policy by informing faculty of changes being considered, thereby initiating the process for policy development described in this document.

## APPENDIX

### A. MEMBERSHIP

The Members of the IFS at the time of initiation of this policy are listed below.

- Jayanth Banavar
- Dietrich Belitz
- Boris Botvinnik
- Greg Bothun
- James Brau
- Spencer Chang
- Tim Cohen
- Paul Csonka
- Charles Curtis
- Nilendra Deshpande
- Ben Farr
- Scott Fisher
- Ray Frey
- Peter Gilkey
- Marina Guenza
- James Imamura
- James Isenberg
- Laura Jeanty
- Elsa Johnson
- Michael Kellman
- Graham Kribs
- Stephanie Majewski
- Jens Nöckel
- Jayson Paulose
- Chris Potter
- Robert Schofield
- James Schombert
- Jake Searcy
- Nick Sinev
- Davison Soper
- David Strom
- Jan Strube
- John Toner
- Eric Torrence
- Steven van Enk
- Tien-Tien Yu
- Frank Winklmeier

### B. RESEARCH DISCIPLINES

The research disciplines at the time of initiation of this policy are listed below.

- **Astro/LIGO** - members primarily involved in astrophysics or astronomy research, including LIGO.
- **Experimental HEP** - members primarily involved in experimental high energy physics research including ATLAS and ILC.
- **Theory** - members primarily involved in theoretical research.

### **C. VOTING MEMBERSHIP**

The Members with voting privileges at the IFS at the time of initiation of this policy, along with their research discipline, are listed below.

- Dietrich Belitz - Theory
- James Brau - EHEP
- Spencer Chang - Theory
- Tim Cohen - Theory
- Ben Farr - Astro
- Ray Frey- Astro
- Marina Guenza - Theory
- James Isenberg - Theory
- Laura Jeanty- EHEP
- Graham Kribs- Theory
- Stephanie Majewski - EHEP
- Jayson Paulose- Theory
- Robert Schofield- Astro
- James Schombert- Astro
- Davison Soper- Theory
- David Strom- EHEP
- John Toner- Theory
- Eric Torrence- EHEP
- Tien-Tien Yu- Theory