

# Institute of Theoretical Science 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 Institute of Theoretical Science (to be referred to as “the Institute”). Internal governance issues are limited to those that deal with the methods and manners by which policies are set within the Institute, inclusive of the requirement to provide for appropriate and equitable representation of faculty as defined in the Collective Bargaining Agreement.

## 1. Appropriate and Equitable Faculty Governance Participation

The following areas constitute major areas of internal governance within the Institute. Appropriate and equitable faculty governance participation is provided for each area as follows.

- 1.1. Internal Governance Policy – Internal Governance Policy within the Institute is developed by the elected leadership committee (see Sec. 5), which represents all faculty, in consultation with the institute director (to be referred to as the “director”) and with input from all faculty (as defined in Sec. 4). Policies will be discussed at meetings called and conducted per Section 2, Meeting Protocol, where faculty will have opportunity to provide feedback on governance policy. Where appropriate, the director will call for formal votes on internal governance policy decisions, such that the faculty perspectives will be represented accurately.
- 1.2. Merit Increase Policy – Policy regarding merit increases is governed by the ITS Merit Increase Policy as approved by Academic Affairs on June 4, 2014. Amendments to this policy shall be developed by the elected leadership committee, which represents all faculty, in consultation with the director and the relevant principal investigators (if any), and with input from all faculty. Amendments shall be voted on by the members (as defined in Sec. 4).
- 1.3. Non-Tenured Professional Responsibility Policy – Policy regarding non-tenured professional responsibilities shall be developed by the elected leadership committee, which represents all faculty, in consultation with the director and the relevant principal investigators (if any), and with input from the non-tenure track faculty (NTTF) and faculty who supervise NTTF in the Institute. Policies and amendments shall be voted on by the members.
- 1.4. NTTF Performance Review and Promotion Policy – Policy regarding non-tenured professional responsibilities shall be developed by the elected leadership committee, which represents all faculty, in consultation with the director and the relevant principal investigators (if any), and with input from all NTTF. Policies and amendments shall be voted on by the members.
- 1.5. Professional Development Policy – Policy regarding professional development shall be developed by the elected leadership committee, which represents all faculty, in consultation

with the director and the relevant principal investigators (if any), and with input from all faculty. Policies and amendments shall be voted on by the members.

- 1.6. Service by Funding-Contingent Faculty – 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.

The 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 supersede the unit priority.

## **2. Meeting Protocol**

The director shall provide a minimum of three days' notice to institute 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, opportunities will be provided for faculty who are out of town to participate via telephone, video link, or other means of remote access. Faculty unable to attend may provide written input to the director prior to the meeting. Meetings may be conducted 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. Motions shall be passed by a simple majority of those voting. Ties will be broken by the director.

Emergency situations may arise that do not allow for the agreed upon notice to be given prior to the meeting. In such situations, the director will make all reasonable accommodations to ensure that all 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 shall be kept for each Institute meeting that discusses or decides on issues pertaining to participatory governance. Meeting minutes will be distributed to all faculty via email, and will also be available in hard-copy format in the Institute office.

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

## **4. Membership, and voting rights**

### *4.1. Members*

The “members” of the Institute 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. The membership list may be amended by a majority vote of the members in a formal meeting, or by resignations. Researchers interested in becoming members should consult with the director, who will consult with the leadership committee and with members at large. New memberships are typically sponsored by one or more existing members who make an appropriate motion. Membership may be granted to tenure-related faculty, career NTTF, and other candidates deemed suitable by the institute; 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. Votes for the purpose of amending the membership list shall be conducted by secret ballot. Only members are eligible for serving as director. Members have voting rights on all institute matters. Members on sabbatical or other leave may still participate in policy development and voting; votes submitted by electronic means to the director shall be counted.

### *4.2. Faculty*

“All faculty” in the Institute means all members, and in addition all non-member faculty employed in the unit, including tenure-track faculty (TTF), career NTTF, postdocs, and adjunct faculty. “Faculty” includes both faculty who are members of the bargaining unit and those who are not. All faculty have voting rights for the election of the leadership committee (see Sec. 5), which represents all faculty.

## **5. Standing Committees**

### *5.1. Leadership Committee*

- 5.1.1. The leadership committee has authority to work with the director on behalf of all faculty in matters as defined in Section 1.
- 5.1.2. The leadership committee normally consists of three members elected by all faculty. In addition to providing advice to the director, the leadership committee 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. Each year, the committee shall elect a chair. The committee will meet at the call of the chair.
- 5.1.3. The members of the leadership committee are elected by all faculty to staggered three-year terms, except that the initial election will be for one one-year term, one two-year term, and one three-year term. Thereafter, an annual election will replace the committee member whose term is about to expire. After serving on the leadership committee, members shall be ineligible for election to the committee for a period of one year. To ensure broad representation, one member of the leadership committee shall be a career NTTF, provided an eligible pool of members in that category is available. If no eligible

career NTTF is elected, the director shall conduct a special election for a fourth member of the committee, with the pool of candidates restricted to all eligible career NTTF.

5.1.4. The term of service on the leadership committee is normally three years, with a staggered replacement procedure as explained in Sec. 5.1.3. If a committee member resigns from the committee a special election will be held for a replacement that will serve for the remainder of the term of the resigning committee member.

## *5.2 Other Standing Committee(s)*

Other standing committees may be appointed by the director as needed.

## **6. Ad-Hoc Committees**

The director may form ad-hoc committees for addressing issues that the leadership committee or other standing committees are not appropriately positioned to deal with. The formation of such a committee shall be discussed in a meeting where all faculty can provide feedback. Formal meeting minutes shall be kept to document the charge and authority of the committee.

## **7. Search Committees**

For hires of faculty whose task will be to work on externally sponsored research projects, the director shall work with the relevant principal investigator (PI) to determine the appropriate search committee composition. The director shall appoint the search committee, which will be chaired by the PI unless the PI delegates this task to a co-PI or other senior investigator. All search committees must meet standard AAEO rules.

## **8. Institute Director Nomination Participation**

The director is appointed by, and serves at the discretion of, the Vice President for Research and Innovation (VPRI). These appointments are renewable. During the final six months of the director's term, but not less than three months before the expiration of the term, the leadership committee 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 leadership committee is a candidate for the directorship, (s)he will recuse him/herself from further deliberations. The issue will then be discussed in a meeting of all faculty. After that meeting, the members will nominate directorship candidates; each member may nominate as many candidates as they wish. The leadership committee shall tally these nominations and communicate the result to the VPRI. In special situations, e.g. if an external director appointment is necessary or advisable, the VPRI may modify this nomination process as appropriate.

## **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 director as appropriate and mutually agreeable.

## **10. Development of Key Collective Bargaining Agreement Institute Policies**

The Institute will use the following processes to develop CBA-mandated policies:

- 10.1. The VPRI or designee will provide guiding principles regarding CBA-mandated policies to the director.
- 10.2. Using these materials, the elected leadership committee, which represents all faculty, will draft the required policy, with input from all faculty who may be affected by the policy.
- 10.3. The proposed policy will be voted on by the members. Formal records will be kept of the outcome of the vote and will be made available as per Sec. 3.
- 10.4. The director shall submit the recommended policy to the VPRI or designee for review. The VPRI will provide the faculty with a written explanation for, and an opportunity to discuss, any alterations (s)he makes before submitting the policy to the provost or designee.

## **11. Deadlines**

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 VPRI or designee.

## **12. Changes to Established Policy**

The director, VPRI, provost or designee may initiate changes to established policy, including this governance policy, by informing faculty of changes being considered, thereby initiating this process for policy development.