

Rules of Procedure
UK Department of Physics and Astronomy
May 1, 2007

A. The Faculty and its Responsibilities

The Faculty shall consist of a Chairperson and the members of the Department who are members of the faculty of the College of Arts and Sciences. Also included as faculty are adjunct appointees and faculty holding joint appointments with a primary appointment in another college. The Department of Physics and Astronomy (referred to herein as the Department) gives full voting rights in departmental meetings to all members of the faculty with rank of Assistant Professor or above for whom the Department provides at least one-half of the academic year salary and to others as approved by the departmental faculty.

The faculty has jurisdiction over matters concerning its internal educational policies, insofar as these do not conflict with the rules of the University Senate, the College of Arts and Sciences (the College), or the Administrative Regulations of the University of Kentucky (University). It shall hold regularly scheduled meetings. The faculty is charged specifically to establish or amend these Rules of Procedure by means of the committee structure described herein and by voting at faculty meetings. It has primary responsibility for the development of policies regarding academic requirements, courses of study, class schedules, undergraduate, graduate and research programs, and service functions. Jointly with the department Chairperson and in compliance with the rules and policies of the College and the University, the Kentucky Archives and Records law, and the 1992 Open Meetings of Public Agencies Law, it shall establish procedures to be used in making recommendations on the appointment of new members of the Department, promotions, reappointments, terminal appointments, decisions not to reappoint, the granting of tenure, and faculty performance evaluations.

B. Responsibilities of the Department Chairperson

The Chairperson shall preside over faculty meetings except as the Chairperson may delegate this function and shall be an ex officio member of all departmental committees. The chairperson has administrative responsibility for implementing the Department's program within the limits established by the regulations of the University, the University Senate, and the College. The Chairperson is responsible for recommendations on the appointment of new members of the Department, promotions, reappointments, terminal appointments, decisions not to reappoint, and the granting of tenure. Procedures and criteria shall be those established by the University, the College, and the Department faculty. The Chairperson is responsible for the periodic Distribution of Effort (DOE) agreements, merit performance evaluation of Department faculty, and merit performance evaluation of Department staff members by procedures and criteria established by the University, the College, and the department faculty. Evaluations of faculty are based on the DOE, which is recommended to the Dean by the Chairperson after negotiation with the individual faculty member. The DOE should best reflect the needs of the Department

and the abilities of the faculty member at that time. The Chairperson submits the budget request for the Department and administers the budget in consultation with the faculty after its approval. The Chairperson is responsible for making recommendations of salaries. In connection with the above major administrative functions, the Chairperson shall seek the advice of the members of the Department through the mechanism of the Directors of Undergraduate and Graduate Studies, the Department Council, the Promotions, Tenure, the Evaluations committee, and the Undergraduate and Graduate Program Committees. The Chairperson shall speak for the Department. In the event that the conclusion of the Chairperson differs from that of the Department faculty, the Chairperson shall communicate the faculty opinion as well as the Chairperson's conclusion, stating reasons for differing from the faculty opinion, and notifying the faculty of such action.

In the event of extended temporary absence from the Department, the Chairperson may appoint either the Director of Undergraduate Studies or the Director of Graduate Studies, subject to the approval of the Dean, as acting Chairperson to conduct non-policy making operations and to carry out public relations and information service for the Department.

C. Rules of Procedure—Faculty Personnel Actions

Criteria to be used in evaluations of faculty performance and the relative weighting of the criteria will be developed separately and approved by members of the faculty in a meeting. Copies of these criteria will be given to all faculty and kept on file in the department office. The Chairperson will discuss these criteria with all new faculty members and, on request, with an individual faculty member.

The department faculty must participate in personnel decisions which will affect the long-term scholarly productivity of the Department. In the case of decisions requiring individual faculty members to write letters of recommendation, those faculty will have full access to the information required by the University and College rules, and will meet together as a group to discuss the case before submitting their letters. These include decisions involving the following:

- a. Appointment of new faculty. When approval to fill a faculty position has been obtained, the Chairperson shall appoint an ad hoc search committee, invested with responsibility to advertise for the position, evaluate the applications, vitae, and outside letters of recommendation received, invite the final candidates to campus for interview and to give council to the Department and Chairperson. The Chairperson shall call a full faculty meeting to vote on and/or amend the search committee recommendation as to which candidate shall be offered the position.
- b. Reappointment of faculty. Recommendations for reappointment of nontenured faculty will be made by the Chairperson after consultation with the Promotions, Tenure, and Evaluations committee and with other members of the faculty.

- c. Terminal reappointment, and non-reappointment of faculty. Initial evaluations will be made by the Promotions, Tenure, and Evaluations Committee and recommendations made to the Chairperson. In the event that the Chairperson is considering terminal reappointment or non-reappointment, he/she will convene a faculty meeting to discuss the case. If a recommendation for this action is made, all faculty members, except those on leave, must supply letters along with the Chairperson's recommendation.
- d. Promotion, including tenure decisions. The Promotions, Tenure, and Evaluations Committee will annually consider all such cases, and when requested by either the Chairperson or an individual faculty member. If the committee recommends promotion or if a promotion/tenure decision is mandatory, it will initiate preparation of a promotion dossier following the rules and guidelines of the University, College, and Department. All faculty members at a rank equal to or above the rank to which promotion is being considered will have access to this dossier, and will meet as a group, when the dossier is completed except for the inclusion of faculty letters, in order to evaluate the case. All of these faculty members and the Chairperson are required to submit written judgments with this dossier to the University Administration. Other faculty members may submit written judgments.
- e. Reviews of progress toward tenure and promotion. Such reviews will be made periodically, according to University and College guidelines. After discussion with the Promotions, Tenure, and Evaluations Committee, consultation with the individual faculty member and other faculty members, the Chairperson will supply written reviews of progress toward tenure and promotion to the individual faculty member, with copies to the Dean and the faculty personnel file of the Department. The faculty member will first be asked to supply a written statement of progress to the Committee and may, if he/she wishes, meet with the Committee.
- f. Performance evaluation. On a yearly basis for nontenured faculty and on a biennial basis for tenured faculty, a formal Faculty Merit Evaluation Review will be made, based on information supplied by each faculty member on the University Merit Review form. Members of this committee will be excused from review of their own cases. The committee will review and give advice to the Chairperson, who will make the final recommendations to the Dean of the College. In the case of disagreement between the recommendations of the Committee and the Chairperson, this fact will be transmitted to the Dean.
- g. Distribution of Effort assignments. Recommendations for these assignments will be made by the Chairperson to the Dean after consultation with the individual faculty member. If the faculty member disagrees with the Chairperson's recommendation, this fact will be transmitted to the Dean. The DOE agreement recommended by the Chairperson will represent the Department's recommendation.

D. Rules of Procedure—Staff Personnel Actions

The rules of procedure with regard to staff personnel shall be in accord with University rules as stipulated in the Staff Policies and Procedures Manual. Criteria to be used in evaluations of staff and the relative weighting of the criteria will be developed by the Chairperson, with the aid of the Department Council and staff personnel with supervisory responsibilities. Copies of these criteria will be given to all staff members and kept on file in the department office. The chairperson is responsible, with advice from staff supervisors, for recommendations with respect to the hiring, termination, merit salary increases, and job classifications for all staff positions with the Department.

E. Rules of Procedure of Budgetary Matters

The Chairperson, aided by the Administrative Staff Officer, and in consultation with the faculty will prepare the Departmental budget request for submission to the College. In this process, the Administrative Staff Officer will request budget estimates from all supervisory staff members, other staff members, committee chair's and all relevant faculty members. The Departmental Council will review expenditures of this budget on a periodic basis.

F. Management Structure of the Department

- a. Chairperson. All administrative authority of the Department is vested in the Chairperson
- b. Director of Undergraduate Studies. The Director of undergraduate Studies, appointed by the Chairperson with faculty consultation, shall be responsible for the implementation of policy concerning the undergraduate program and shall maintain a continuing review of undergraduate enrollment patterns, student requests, programmatic needs, and records of achievement of current and past students. He/she is responsible, with help from the Chairperson, for class assignments, teaching assistant assignments, undergraduate student recruitment, awarding of undergraduate student scholarships, public representations of the Department's undergraduate program, supervision of undergraduate student advising, monitoring of the development of undergraduate laboratory curriculum and teaching. This position represents 25 percent of a normal workload and the Distribution of effort will reflect this assignment, subject to approval of the Chairperson and the Dean.
- c. Director of Graduate Studies. The Director of Graduate Studies, appointed by the Dean of the Graduate school upon recommendation of the Chairperson, shall be responsible for the implementation of policy concerning the graduate program and shall maintain a continuing review of graduate enrollment patterns, student requests, programmatic needs,

and records of achievement of current and past students. He/she is responsible, with help from departmental committees, for class assignment, recruitment and selection of graduate students, awarding of Teaching Assistantships and Fellowships, and supervision of graduate student advising. This position represents 25 percent of a normal work load and the Distribution of Effort will reflect this assignment, subject to approval of the Chairperson and the Dean.

- d. Administrative Staff Officer. The Administrative Staff Officer shall be responsible for the day-to-day operation of all non-faculty aspects of the Department not specifically assigned elsewhere in this document, including supervision of staff as designated by the Chairperson. This position is essential for organizing and overseeing all of the department's academic, research, and service functions, supervising the department's office staff, developing and administering the department budget and student and human resource policies keeping in compliance with UK guidelines.
- e. Office Administrative Assistant. The office Administrative Assistant shall be responsible for the departmental payroll for all faculty, staff, students and visitors (regular and summer salary), all visa processing and communications with the Office of International Affairs, FMERs, DOEs, promotion dossiers, new faculty job searches, the minutes of regularly scheduled faculty meetings, and the administrative support for the Chairperson.
- f. Electronics Shop Supervisor. The Electronics Shop Supervisor shall be responsible for the operation of the department electronics shop, including supervision of its staff as designated by the Chairperson. This position is essential for the design, construction, and repair of electronic equipment used for research and instruction by the department, maintenance of the electronic shop equipment and supplies, and supervision of electronic shop personnel
- g. Machine Shop Foreman. The Machine Shop Foreman shall be responsible for the operation of the department machine shop, including supervision of its staff as designated by the Chairperson. This position is essential for the design and construction of mechanical equipment used for research and instruction by the department and college, maintenance of the machine shop equipment and supplies.
- h. Academic Coordinator Senior. This position includes administration of all general physics laboratories and the department summer school: training & supervising of TA's, preparing/updating lab manuals, setting laboratory policies, and ordering and maintaining laboratory equipment and computers (also back up for the IT manager during his absence).

Supervising and managing the Lecture Demo area and personnel, keeping all demo equipment maintained and upgraded as needed.

G. Committee Structure of the Department

Each committee will function in accordance with Kentucky Open Meetings of Public Agencies Law. Written records will be kept, and a written record of any action involving an individual will be placed in the individual's personnel file. All committees unless otherwise specified will be chosen by the Chairperson with advice of the Department Council. Appointments will be announced at the beginning of the academic year, and the term shall be one year, unless otherwise indicated below. Ex-officio members of committees shall have the privilege of discussion, but do not vote. The Chairperson, upon consultation with the Department Council, shall have the authority to appoint such additional committees as are necessary and to abolish any committee which becomes unnecessary, with the exception of the Department Council, the Futures Committee, the Undergraduate and Graduate Program and Curriculum Committees, and the Promotions, Tenure, and Evaluations Committee which shall be permanent standing committees of the Department.

Department Council. The council shall advise the Chairperson on the implementation of procedures and the interpretation of policies of the Department. In particular the Council shall advise the Chairperson on such matters as

- 1) the implementation of program policy in teaching, research and service,
- 2) issues or problems that threaten and/or damage the teaching, research and service missions of the Department,
- 3) personnel policy affecting faculty and staff recruitment, interviewing, hiring, promotion, evaluation, and the granting of tenure,
- 4) the assignment of administrative, committee and teaching responsibilities to faculty and staff,
- 5) receiving and advising on all committees reports,
- 6) determining the agenda for full faculty meetings of the Department, and
- 7) all other matters for which the Chairperson seeks advice.

The Council shall be appointed by the Chair, shall reflect to the extent possible the various research groups in the Department, and shall include the Director of Undergraduate Studies, and the Director of Graduate Studies. The Chairperson and the Administrative Staff Officer shall serve as ex officio members.

The council shall consist of tenured faculty representatives, except that each year one member shall be a non-tenured faculty member, if possible. The term of office of Council members shall be one year, but may be reappointed. The council shall be scheduled to meet on a biweekly basis, unless canceled by notice of the Chairperson because no issues are to be presented.

- a. Futures Committee. This committee shall be composed of three tenured faculty members, with the Chairperson serving as an *ex officio* member. The Chair will select members of the Committee based on *both* their high degree of research productivity and their demonstrated excellence in teaching and/or outreach. The committee is charged with regularly surveying the strengths and weaknesses of the Department in achieving its research, teaching and outreach missions, and with making recommendations to the Department concerning long range hiring plans, curriculum reform and other issues it views as important to advancing departmental goals and objectives. The Committee shall play the leading role, with the assistance of the Chairperson, in preparing the Department for its periodic self-studies and external reviews, in interacting with external review panels, and in responding to and addressing recommendations of those reviews.

- b. Promotions, Tenure and Evaluations Committee. This committee shall consider all annual and biennial reviews of non-tenured faculty members, so as to advise the Chairperson what actions should be taken and what advice given to said faculty members to improve their professional opportunities and performance. All recommendations for promotion and/or award of tenure, non-renewal of appointments, and terminal year appointments shall be initiated within the committee. Faculty merit evaluations shall be conducted within this committee. The committee shall be composed of representatives with rank of full professor from all major research areas, with the Chairperson serving as an *ex officio* member.

- c. Undergraduate Program and Curriculum Committee. The duties of this committee and its subcommittees (Recruiting and Scholarships, Society of Physics Students (SPS) Steering Committee) are to review undergraduate curriculum requirements in the Department as they relate to the College and to recommend changes as they affect the departmental undergraduate degree requirements. This committee coordinates the development of syllabi in accordance with University guidelines and makes continuing evaluation of prerequisites for undergraduate course offerings as well as recommending the addition, deletion, renumbering, or revision of courses as required by changing conditions. It is responsible for implementing the recruitment of undergraduate students of the highest quality and of ethnic and gender diversity, and the awarding of scholarships. It also provides necessary encouragement and guidance for student members of the SPS. The Undergraduate Program and Curriculum Committee shall be composed of the Director of Undergraduate Studies, a representative of the SPS, and at least four additional faculty members, chosen by the Chairperson with the advice of the Director of Undergraduate Studies and the Department Council. The Committee is also responsible, in collaboration with the Graduate Program and Curriculum committee, for the training and orientation program for graduate assistants and other new

graduate students in the Department. The Committee shall annually review the progress toward degree of all students in the program, and shall submit a summary report of this review to the entire voting faculty at a scheduled faculty meeting.

- d. Graduate Program and Curriculum. The duties of this committee and its subcommittees (Recruiting, Admissions and Fellowships) are to review graduate curricula requirements in the Department as they relate to the Graduate School, and to recommend changes as they affect Graduate degree requirements. This committee coordinates the development of syllabi for course offerings in the graduate program and makes a continuing evaluation of the graduate offerings. This committee makes recommendations to the Graduate Faculty of the Department concerning admission and performance standards for graduate students within the program, and reviews and makes recommendations on all other pertinent aspects of the graduate program. This committee is responsible for implementing ethnic, gender, and international diversity. It is responsible, in collaboration with the Undergraduate Program and Curriculum committee, for the training and orientation program for graduate assistants and other new graduate students in the Department. The Committee shall annually review the progress toward degree of all students in the program, and shall submit a summary report of this review to the entire voting faculty at a scheduled faculty meeting. The Graduate Program and Curriculum Committee and its subcommittees are appointed by the Chairperson, with advice from the Director of Graduate Studies and from the Department Council. It shall consist of the DGS, a graduate student representative, and as many faculty members as necessary to effectively constitute these committees.
- e. Staff Services Committee. This committee shall be responsible for periodic reviews and recommendations with respect to the operations of all technical services and the office staff. In addition it shall serve as a medium for discussion between staff and faculty within the Department. This committee is composed of all supervisory staff members, as well as the Accelerator Engineer, the Laboratory Supervisor, the Computing Consultant, and two faculty members.
- f. Safety Committee. This committee has the responsibility for annual review of safety procedures and conditions within the Department. It is composed of two faculty members, the Administrative Staff Officer, and the Radiation Safety Officer of the Department.
- g. Colloquium Committee. This committee, composed of one or two faculty members, plans and implements the colloquium program of the Department.

- h. Computing Policy Committee. This committee, composed of the computing systems manager and two faculty members, shall be responsible for recommendations concerning the development and implementation of policies with respect to the effective, long-range computational needs of the Department.
- i. Library Committee. This committee shall be responsible for recommendations concerning the development and implementation of policies with respect to the library needs of the Department. It shall be concerned with communications between the faculty of the Department and the Librarian for the Chemistry/Physics Library.

H. Departmental Faculty Meetings

Departmental faculty meetings shall be held monthly during the regular school term unless there is no business, and at other times upon call of the Chairperson. A meeting of the faculty shall be called at the written request of five or more faculty members. Items for the agenda at such meetings are submitted to the Chairperson in advance by faculty members and may be added to the agenda during the course of any faculty meeting. Notices of faculty meetings, with agenda, are circulated in advance of the meeting, and posted in public view in the Department Office.

A quorum shall be considered as one-half of those eligible to vote at a particular meeting. Decisions shall be by majority voice vote; however, a show of hands majority vote of the Faculty will normally be required for all major policy matters of the Department. Minutes of the meetings, including all actions and policy adoptions, shall be taken by the Department Administrative Assistant, who shall act as Recording Secretary for Department meetings. Such minutes are retained as part of the Department Records and kept on file within the Department office.

Questions of parliamentary procedure not covered by these Rules of Procedure shall be resolved according to Robert's Rules of Order.

I. Faculty Personnel Files

The Chairperson will maintain a department personnel file. The Chairperson shall maintain in the file copies of all records and documents issued or received by the Chairperson concerning academic status or activities of that faculty member and all other documents required by law or University regulations. The faculty must submit, either in hardcopy or in electronic form, a current Curriculum Vitae, updated annually, and any documents required by University regulations, and the most recent copy of the Vitae will be kept in the file. No record, other than outdated Vitae, shall be removed from the file or destroyed. Access to this file shall be in compliance with the Kentucky Open Records Act.

The faculty member shall maintain his/her own records of 1) research productivity and 2) a teaching portfolio consistent with university policy, both of which are joined to items from the department personnel file to make a dossier when a change of faculty status is being proposed. These files can be kept in electronic form.

J. Location of Relevant Laws and Regulations

The following documents are located in the Department Office:

1. University Governing and Administrative Regulations
2. File of administrative policy memoranda affecting faculty
3. University Senate Rules
4. Rules of Procedure for the Department of Physics and Astronomy
5. Rules of Procedure for the College of Arts and Sciences
6. Student Rights and Responsibilities
7. Copies of relevant Kentucky and federal laws
8. Staff Policies and Procedures Manual
9. University Business Procedures Manual
10. Department Procedures and Criteria for Evaluation, Promotion, and Tenure of Faculty
11. Department Procedures and Criteria for Evaluation of Staff

K. Amendments to Rules of Procedure of the Department of Physics and Astronomy

Amendments to the Rules of Procedure and adoption of these current Rules shall require a positive vote of at least two-thirds of the voting members, and shall be by either of the following procedures:

1. By conducting a mail vote of the voting membership of the Department provided the proposed amendment was presented, and approved for voting at a previous faculty meeting. The voting members shall be allowed at least two weeks from the date of mailing to return their ballots. The election shall be conducted in a manner to preserve the secrecy of the ballots.
2. By the action at any regular or special meeting of the department faculty, which has been announced in advance with agenda specified, and provided a quorum of the voting membership is present and the proposed amendment as enacted was either presented and discussed at a previous faculty meeting OR the faculty was issued a copy of the amendment at least two weeks prior to the meeting.