

Department of Physics

Operating Paper

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Department of Physics Operating Paper

I.- Mission Statement

The Department of Physics serves the students, faculty and staff of Southern Illinois University Carbondale. It offers programs leading to Bachelor's and Masters' degrees in Physics, and service courses for other units and programs throughout the university. Faculty in the Physics department are expected and encouraged to conduct original research in their areas of expertise and expected to keep abreast of recent developments in their disciplines through professional activities. The Physics department has a role in furthering the education in Physics throughout the university and in raising the awareness of Physics and Physics education throughout the region. This is accomplished by providing resources and encouraging quality teaching by the Faculty in the department.

II.- Members of the Physics Department

The following individuals are members of the physics department:

- A.- All SIU-C Faculty members with either a Full-time, Part-time, or Cross-appointment in the Physics Department.
- B.- All other full and part-time employees of the Physics Department not covered by the above section.
- C.- Graduate students working towards an advanced degree in Physics and graduate students conducting their research under the supervision of a Physics Faculty member.
- D.- Undergraduate students coded by the Registrar as Physics majors and double majors having Physics as one of their two majors.

III.- Voting Members of the Physics Department:

A .- 1) The set of voting members in the Physics department is limited to continuing appointment Faculty in the Physics Department in the ranks of Assistant Professor, Associate Professor and Professor, holding appointments in the Department which are 51 % or greater, unless stated otherwise in this document.

2) Members of the Department (other than the Chair) with appointments which exclude them from voting in the bargaining unit, are not voting members in the department.

3) Chair Voting rights: Unless explicitly stated otherwise in this document, the Chair can vote on those occasions in which the Chair's vote will result in breaking or making a tie vote. In case there is a tie vote, the motion under consideration fails.

B.- Each voting member is entitled to cast one ballot in any vote held in the Department, unless otherwise stated in this document. If the voting member is unable to be present at the time the votes are collected, he/she can exert his voting right by proxy, by means of a written and signed proxy given to another voting member in the department.

C.- Faculty members absent from the department for a period greater than one year will have their voting rights suspended. These rights will be re-established upon the Faculty's re-incorporation to the department. Re-incorporation implies that the Faculty member will be physically present on campus on a permanent basis, and that he/she is actively participating, in Carbondale, in the teaching, service and research activities of the Department.

D.- Printed secret ballots will be held on all personnel decisions and all promotion and tenure decisions.

IV.- Department Structure:

A.-) Chair:

The Department of Physics is administered by the Chair, who has to be a member of the continuing Faculty, holding tenure in the Physics Department.

1.) Responsibilities and Duties

The duties of the Chair include, but are not limited to:

- a- Implementing within the time frame set in the corresponding motion, any decision approved by the majority of the voting Faculty which is compatible with the laws of the state of Illinois, the Bylaws and Statutes of the Board of Trustees, the Collective Bargaining agreement, and the College Operating paper.
- b- Being the chief fiscal officer in the Department.
- c- Being responsible for the administration of the Department
- d- Establishing and maintaining proper rapport with the rest of the Administration.
- e- Presiding over Faculty meetings.
- f- Making teaching assignments for the Faculty, in accordance with the policies set in this document and in the Collective Bargaining Agreement and, in general, as well in advance as possible from the beginning of each academic term..
- g- Making teaching assignments for the teaching assistants.
- h- Making recommendations for promotion and tenure, in accordance with the policies set forth in this document, and in accordance with the College operating paper, the Bylaws and Statutes of the Board of Trustees, and the Collective Bargaining Agreement.
- i- Nominating the Undergraduate and Graduate advisors. These nominations will require the approval of the Faculty, in a vote, before they take effect.
- j- Nominating the members for ad hoc committees and for the Graduate and Undergraduate Committees. The Chair's nominations to these committees have to be approved by the Faculty in a vote before they take effect.
- k- Implementing the annual salary merit recommendations made in accordance with the policies set forth in this document.
- l- Being responsible for providing documents and/or reports requested by other parts of the Administration that do not fall clearly within the province of advisors or standing committees.

m- The Chair is an ex-officio (that is to say, a non-voting) member of all the committees in the department.

n- The Chair is responsible for allocating departmental funds (state appropriated as well as overhead recovery funds) following the guidelines set forth by the department's Resource Allocation committee. This provision applies only when the existence of a Research Allocation committee is triggered into existence, as described elsewhere in this document.

o- The Chair is responsible for allocating space (office and laboratory) following the guidelines set forth by the Resource Allocation committee. This provision applies only when the existence of a Research Allocation committee is triggered into existence, as described elsewhere in this document.

p- The Chair is responsible for sending recommendation for admission letters and offers of assistantships to potential new graduate students. In doing this the Chair must follow the recommendations given to him/her by the Graduate committee.

Only students approved and recommended by the Graduate committee can be admitted into the Physics graduate program.

In case there is an emergency situation which precludes this procedure from being followed, and more students than those which have been recommended by the Graduate Committee need to be admitted, the Chair will contact all of the members of the Graduate committee who are in town and inform them of the situation. These members will have 24 hours to provide their additional recommendations.

The Chair will send offers to the additional students following the ranking order resulting from the responses of the Graduate committee members.

2.-) Selection:

When a new Chair is to be selected the following process shall be followed.

a- The current or the acting Chair will call a Faculty meeting with the sole purpose of initiating the Chair selection process. Under normal circumstances, this Faculty meeting shall take place six months before the completion of the Chair's three year term.

b- An ad-hoc Selection committee shall be elected at this meeting. This committee will be charged with conducting the process of selection of the new Chair.

c- Eligible voters for the selection of the Chair are:

i.- Bargaining unit tenured or tenure-track continuing Faculty, in the ranks of assistant professor, associate professor or professor, with at least a 75 % appointment in the Physics department

ii.- The current Chair, if he/she is a continuing member of the Physics department.

d- The first step in the process, to be conducted at the meeting, will be for the eligible voting

Faculty including the Chair to cast a ballot to determine whether the department wants to conduct an Internal or an External search.

If External Search gets the approval by majority of eligible voting members, the meeting will adjourn and the Selection committee will contact the Dean and request that an external search be conducted for the position of Chair.

If such search is approved by the Dean, the regular process for external hiring will be followed.

e.- If the External Search option is not approved by the required majority of eligible voting members or by the Dean, or if the Internal Search option gets the approval of the majority of eligible voting members, Internal Search procedures will be followed.

f.- Once the question of Internal vs. External search has been settled, the Selection committee, in conjunction with the Dean, shall prepare a position description and other appropriate documents and shall advertise the position in the media appropriate to the scope of the search. It is the duty of the Selection committee to see that the search is carried out in accordance with University regulations.

g- If an Internal search is to be conducted the following selection process will be used, while insuring that University guidelines are followed.

After appropriate advertising of the position, the Selection committee will contact each tenured Associate Professor and tenured Professor in the department to determine whether he/she is willing to stand for election.

The Selection committee will then prepare a ballot with the names of all those members willing to be considered.

At a Faculty meeting called for this purpose, the ballot will be distributed to the eligible voting members, who will then proceed to select the names of nominees. More than one nominee can be selected by each voting member.

The Selection committee will count the ballots and determine the names of the Faculty members with the three highest number of recommendations. The meeting will then adjourn.

The Selection committee will contact these three Faculty to see who is willing to be further considered. Those accepting will be the final candidates. The Selection committee will then seek permission to interview these candidates through the usual University channels.

h.- After the interview with the Faculty, and with other University officials as might be required, the Selection committee will prepare a ballot with the names of the finalists.

The eligible voting Faculty can only select one name from the ballot.

i- If no candidate receives a majority of the eligible votes, there will be a runoff election between the top two vote getters in the previous stage. The candidate obtaining the vote of at least a simple majority of the eligible voters (including that of the Chair) will be the department's selection for Chair.

j- No candidate receiving less than a simple majority of the eligible vote will have his/her name forwarded to the Dean.

k- In case no candidate receives a simple majority of the vote in the previous step, the entire selection process will be repeated until such a time as a candidate with a simple majority emerges.

l- When a candidate obtains a majority vote, the Selection committee shall inform the Dean of the results of the selection process.

m - In case the Dean does not agree with the Department's choice, the Selection committee will start the selection process over, following the guidelines and procedures described above.

3.-) Terms:

a.- The term of the Chair is three years.

b.- The Chair can be re-selected for a second, consecutive, three-year term of service. This first re-selection of the Chair will require a positive vote by a majority of the eligible voting Faculty on the retention/non-retention question in the Chair Review evaluation form (see items 4.-) c .- and 4.-) d.- below).

c.- Re-selection to a third consecutive term, and to any subsequent consecutive term of service, will follow the procedure outlined above, with one important difference: the re-selection to a third consecutive term and to any subsequent consecutive term of service shall require a two-thirds positive vote in the retention/non-retention question in the Chair Review evaluation form.

4.-) Review and Removal

a- The Department will follow the guidelines, schedules, and procedures for the review of the Chair established in the College of Science Operating Paper and in Addendum A (REVIEW OF ADMINISTRATORS) to the Collective Bargaining Agreement.

b- The review of the Chair will be initiated by the Dean and will be carried out by the Faculty of the Department acting as a committee of the whole.

c.- The Chair review process will include a "Chair Review evaluation form" that will be distributed to all eligible voting Faculty in the Department. This form will contain questions on each aspect of the job of Chair. In each question the Chair's performance will be rated from 1 (extremely poor) to 5 (outstanding).

d.- The Chair Review evaluation form shall include a question regarding the retention/non-retention of the Chair (i.e., a vote on whether or not the Chair should continue as Chair).

e.- It is anticipated that the Dean will accept the recommendation of the departmental review committee on the retention or non-retention of the Chair.

B.-) Interim or Acting Chair

All subsequent references to the selection of an Acting Chair will only take effect in case the Department does not have an Assistant Chair. If there is an Assistant Chair in the Department, he/she will take on the duties of Acting Chair when the Chair is absent but will be returning to his duties after a finite and well-determined period of time.

1.-) Selection

a- In case the position of Chair should become vacant, an ad-hoc selection committee shall be formed to proceed with the process of selecting an Interim or Acting Chair.

An Acting Chair will be selected if the Chair is expected to return to that position after a finite and well-determined period (e.g. after a sabbatical leave). An Interim Chair will be selected if the Chair will not return to the Chair position (e.g., after a resignation or retirement during the Chair's term).

b-The ad hoc committee will collect a ballot in which each eligible Voting member of the department will nominate a candidate for occupying the position of Interim or Acting Chair.

c-The persons nominated for Interim or Acting Chair do not need to be members of the department nor of the College.

d-The ad hoc committee will produce a ballot with all the names nominated by the Faculty. The Faculty will proceed to vote on the acceptability of each the nominees for becoming Interim or Acting Chair.

e- If the person nominated for Interim or Acting Chair is a Voting member of the Department, she/he will need to receive a 60 % positive acceptability vote to be acceptable for occupying the Interim or Acting Chair position. If the person nominated is not a Voting member of the Department a 75 % positive acceptability vote will be required.

In case more than one person meets the acceptability criterion, there will be a separate vote in which the acceptable candidates will be ranked.

f-The ad hoc committee will transmit to the Dean the name of the candidate with the highest acceptability.

g- The Dean will be asked to proceed to name this candidate as Interim or Acting Chair.

2.-) Terms and Duties

a- No Interim Chair shall serve in that position for more than 12 months.

b- At least two months prior to the completion of the Interim Chair's term, or ten months after her/his appointment as Interim Chair, whichever is shorter, formal elections for the selection of a permanent Chair must be held.

c- No Acting Chair shall serve in that position for more than 12 months.

d.- At the end of the Acting Chair's term of appointment, but in any event no longer than 12 months after being appointed to the Acting Chair position, the Acting Chair shall step down from that position, and the Chair that she/he was replacing shall resume administrative duties as Chair. The Chair will continue as Chair until his/her three year term is completed.

e- The duties and responsibilities for the Interim or Acting Chair are the same as those for the Chair.

C.-) Assistant Chair

1. The Chair shall select a tenured voting member of the Department to be Assistant Chair. The appointment will require approval by a 60 % majority of the voting members of the Department. The name of the person so selected will be transmitted to the Dean of the College.

2. The Assistant Chair shall assist the Chair and Faculty in administrative functions related to the Department as delegated by the Chair.

3. Included in the Assistant Chair's role are the following:

- a. Serve as the Acting Chair when the Chair is absent
- b. Prepare and sign documents relating to budget and fiscal matters
- c. Other duties assigned by the Chair."

D.-) Committees

There shall be four standing committees in the Physics department:

- 1- Personnel Committee
- 2- Resource Allocation Committee
- 3- Undergraduate Committee
- 4- Graduate Committee

In addition, there will also be ad-hoc committees, created as the need for them arises, as described below.

1.- Personnel Committee

The purpose of the Personnel committee is to provide a mechanism for assistant and associate professors to get a sense of how their progress is judged by their more senior colleagues at regular time intervals.

a. Membership and selection

The Personnel Committee will be constituted by all the faculty holding tenure in the Physics department.

i.- This committee has the responsibility of conducting the midterm review of untenured faculty. The midterm review of untenured assistant professors will take place during the Spring semester of the professors' third year as SIUC faculty members. The review can be conducted sooner and more than once, at the request of the untenured Faculty member.

It is the responsibility of the untenured faculty member to prepare a file which provides evidence of productivity in teaching, research, and service. This file will include an updated CV. It may also include copies of published articles, copies of proposals, teaching evaluations, chapters in books, other evidence of professional service, etc.

The Personnel committee will elect a chair among its members and two additional members to assist him/her in preparing the report. It will be the responsibility of the chair of the committee to present the untenured faculty member undergoing midterm review, with a report on the Personnel committee's evaluation of the untenured faculty's progress. This evaluation of progress will include a statement regarding whether in the judgment of the Personnel committee the progress made by the untenured faculty member is above the expected level, at the expected level, or below the expected level.

ii- The Professors in the Personnel committee shall constitute a sub-committee, the promotion sub-committee, in charge of the review of the progress made by tenured associate professors in the department, and it shall constitute the tenure and promotion sub-committee for untenured associate professors. The professors subcommittee of the Personnel committee shall elect a Chair who will be responsible for preparing a report of the evaluation of associate professors. This report must be approved in a secret ballot by a majority vote of the totality of the professors. The approved report will be given to the associate professor undergoing review. This report will include a statement regarding whether in the judgment of the professors the progress made by the associate faculty member is above the expected level, at the expected level, or below the expected level. The evaluation of associate professors shall occur every two years, or more often at the request of the associate professor.

2.- Resource Allocation Committee:

The existence of this committee, constituted and operating as described below, will be contingent on the size of the Faculty of the Department being a minimum of 12 tenured and tenure-track members. Until such time as there are sufficient Faculty members for this committee to come into existence, the Chair will be required to provide reports at the beginning, middle, and end of the fiscal year of the departmental allocations and expenditures.

a.- Membership and selection

i - The Resource Allocation committee shall be constituted of no less than three Faculty members. The composition of this committee should reflect, inasmuch as possible, the ratio of experimental to theoretical physicists in the Faculty of the department.

ii- The members of the Resource Allocation committee will be elected by the Faculty in the first Faculty meeting of the Spring semester for a two-year, non-renewable, term. Nominations for this committee will be made from the floor.

b.- Responsibilities

- i- To recommend to the Chair the amounts for the annual allocations to Faculty, and to report to the Faculty their recommendations
- ii- To assist in and recommend to the Chair the allocation of space for office and laboratories for Faculty, students and staff; when needed.
- iii- To recommend to the Chair a list of priorities for equipment purchases for the individual Faculty members' research, and to report their recommendations to the rest of the Faculty.
- iv- To assist the Chair in producing a prioritized list of departmental equipment purchases (i.e. items bought for the main office, instructional laboratories, machine shop, electronic shop or the Computer laboratory). The committee should update the list periodically, seeking broad input from the Faculty of the department in this task. Unless there is a compelling reason not to do so, the Chair is expected to follow the prioritized list when making departmental purchases.
- v- To produce a plan for future development of the department, to be upgraded every three years. The plan should include a list of future personnel and equipment needs for the department. This plan shall specifically detail any instructional needs in the department. The plan will then be submitted to the faculty of the Department for their approval.

3.- Undergraduate Committee:

a.-) Selection and Membership

At the beginning of the Fall semester the Chair shall nominate at least two members to the Undergraduate committee. The Faculty will vote on these nominations during the first Faculty meeting of the Fall semester. The term of service in this committee is two years. The Undergraduate Advisor, who is nominated by the Chair and approved by Faculty vote, is also a voting member of this committee and will be the chair of the committee.

The Undergraduate Advisor's term will be two years. The undergraduate advisor provides advice to the undergraduate Physics majors on the most efficient sequence of courses to make progress towards the Bachelor's degree, as well as on other academic matters.

b.-) Responsibilities

- i- This committee is in charge of undergraduate recruitment and retention for the department. Among the members of the undergraduate committee there will be an advisor in charge of recruitment, assigned by the Chair.
- ii- This committee is in charge of reviewing, upgrading, and modifying the undergraduate course offerings of the department, and to making appropriate recommendations on these issues to the rest of the Faculty.

Proposals for new undergraduate courses originate with this committee.

Prior to the submission to the College level of a new course request or a modification of requirements request such submission must first be approved by the Undergraduate committee, sent to the Faculty for their consideration, and approved at a Faculty meeting.

4.- Graduate Committee:

a.-) Selection and Membership

At the beginning of the Fall semester the Chair shall nominate at least two members to the Graduate committee. The Faculty will vote on these nominations during the first faculty meeting of the Fall semester. The term of service in the Graduate committee is two years.

The Graduate Advisor, who is nominated by the Chair and approved by Faculty vote, is also a voting member of the committee. The Graduate Advisor's term will be two years. The main responsibilities of the Graduate Advisor are to follow up and check on the progress of the graduate students towards their degrees, and advise them on the courses they should enroll in.

b.-) Responsibilities

i - To arrive at an admission list for graduate students. The names and the sequence of admission recommendation list made by the graduate committee has to be followed by the Chair when he/she is conducting the Admission process.

ii - To review, upgrade and modify the graduate course offerings of the department, and to make appropriate recommendations on these issues to the rest of the Faculty.

iii.- To conduct an annual evaluation of the teaching assistants in the department.

Proposals for new graduate courses originate with this committee.

Prior to the submission to the higher administration of a new course request or a modification of requirements request such submission must first be approved by the graduate committee, sent to the Faculty for their consideration, and approved at a Faculty meeting.

iii - The committee shall also assist the Chair in establishing an annual list of Teaching Assistant lines in the Department.

5.- Ad-hoc committees:

a.- Non-continuing needs in the Department (such as the conduction of a Faculty or Staff search, or the production of a specific departmental document), shall be addressed by ad-hoc committees. The formation of an ad hoc committee can be decided either by the Chair, or as the result of an approved motion by the Faculty in a Faculty meeting.

b.- The Chair will nominate the membership of the ad hoc committee, and the Faculty will approve the nominations.

c.- The term of existence of ad-hoc committees shall not exceed one academic year, unless explicitly agreed to by the voting faculty.

E.) Faculty

1.- Selection process:

a - In case of resignation, retirement, or permanent disablement of a Faculty member the Chair shall contact the Dean of the College within a week after the vacancy occurred, and request a written statement from the Dean indicating whether and when the position will be filled.

b -When a search is approved by the Dean, the Chair will announce the vacancy at a Faculty meeting and a three person ad-hoc committee (2 experimentalists and 1 theoretician for an experimentalist search or 2 theoreticians and 1 experimentalist for a theoretician search) will be formed.. It is the responsibility of the Search committee to see that the search process is carried out in accordance with University regulations and policies.

c - It is the responsibility of the Faculty of the department to establish the academic qualification requirements that have to be met by new Faculty. The Faculty shall determine the academic qualifications for the specific positions to be filled as the first step of the search process. These qualifications must include, but are not limited to:

- having a doctoral degree in Physics, or equivalent;
- having some expertise in teaching; and,
- having a record of research accomplishment.

d - The search committee will write the advertisement for the position. This advertisement will then have to be approved by a Faculty vote.

e - The chair of the Search committee will be in charge of all communications with the applicants, until the ones selected for interview arrive to Carbondale.

f - The Search committee will review the applicants' files and will make a first recommendation to the Faculty, in the form of a list of candidates.

g - There will be a Faculty meeting in which the Faculty of the department will make an initial review of the applicants. Applicants not chosen by the Search committee can be brought to the consideration of the entire Faculty at this meeting by any Faculty member in the Department.

h - Candidates will be considered individually at this meeting. A 2/3 favorable vote will be needed for a candidate to be considered for interview. The candidates receiving the 2/3 favorable vote for interview will then be ranked, and the top three names among these will be forwarded to the Dean to request authorization for interview.

i - After the interview process with all candidates is concluded, there will be a Faculty meeting in which the Department's final selection will be made. The first step in the final selection is to take a vote on the acceptability of each candidate.

j - It is required that a minimum of two-thirds of the eligible voting Faculty vote in favor of a candidate in order to make the candidate eligible for appointment.

k - Candidates obtaining the minimum required two thirds acceptability vote will then be ranked, in a second vote.

l - The Chair can cast a vote to make or break a tie at any and every step of the candidate selection process.

m - The Chair will provide the Dean with the department's top ranked candidate.

n - If the offer is rejected, steps k through m of this process will be repeated, until the offer is accepted, or the list of acceptable candidates is exhausted, or the search is canceled.

2.- Faculty Meetings:

a - There will be regularly held Faculty meetings, at least once every four weeks during the Fall and Spring semesters.

b - Additional meetings can be held at the request of 25% of the Faculty, or when the Chair deems it necessary.

c - The Faculty will be notified of the agenda for these meetings four working days before the meeting.

d - All departmental decisions which require a Faculty vote must be presented as motions at a Faculty meeting. This will apply whether the decision is taken as a vote at a Faculty meeting, or as a mail ballot.

e - Emergency meetings, for which the four working day prior notice and agenda is not needed, can only be held if there are no objections from any one of the Faculty members in the department. If there are objections to emergency meetings, the regular four working day prior notice and agenda notification for the meeting will be followed.

f- Voting by proxy is allowed on all ballots held in the department, provided that there is a proxy in the form of a written and signed note from the Faculty member issuing it.

3.-) Workload Assignment:

In the absence of a Workload clause in the Faculty Collective Bargaining Agreement, the following procedure will be used in determining the workload of the Faculty.

a - At the annual evaluation meeting, between each Faculty member and the Chair (which shall take place during the Spring semester) the Chair will discuss with the Faculty the working assignment for the following academic year and review the Faculty's performance. In making Faculty workload assignments (i.e., the assignment of teaching, funded or unfunded research/creative activity, and service, the Chair will consider the following primary factors: student's needs, the unit's needs; the Faculty member's expertise, interest and development needs (including a Faculty member's interest in seeking tenure and promotion); and the equitable distribution of workload within the department.

b - If a Faculty member disagrees with the evaluation or assignment, he/she can write a letter describing the disagreement; a copy will be kept on file and another copy will be forwarded to the Dean.

c - The work assignment shall, subsequently, be sent to the Dean for approval. A written document stating the assignment will be prepared by the Chair and copies shall be provided to the individual Faculty members, and to the Dean

F.- Lecturers and Adjunct Faculty

1.) Lecturers:

- a.- Lecturers will be hired after a selection process that will include the following steps:
 - i.- Approval of the term replacement position by the Dean
 - ii.- Selection of an ad-hoc search committee by the Faculty. It is the responsibility of the ad-hoc Search committee to see that the search process is carried out in accordance with University regulations and policies.
 - iii.- Approval of the advertisement, written by the ad-hoc committee, by the Faculty
 - iv.- Selection of candidates for interview by the Faculty
 - v.- Interview of the candidates
 - vi.- A vote to select the top ranking candidates
 - vii.- A candidate must obtain a positive vote of a majority of the Faculty in order to be hired as Lecturer.

b.- Evaluation

- i.- In those cases in which the Lecturership will last for more than one academic year, the Lecturer will be evaluated by the Faculty at the end of the first year.
- ii.- Lecturers must collect teaching evaluations from all the courses they teach.

2.) Adjunct Faculty

- a.- To become adjunct Faculty at the Physics department a person should request, in a letter, to be considered for acquiring this status and should make available for the evaluation of the Faculty of the department his/her curriculum vitae
 - b .- After evaluating the request for acquiring adjunct status at a Faculty meeting, the Faculty will have a vote to decide whether to grant it. A favorable majority is needed to obtain adjunct status.
 - c .- The adjunct status of any individual may be re-evaluated at any time, provided a majority of the Faculty in the department agrees to do so.

V.- Tenure and Promotion.

Promotion and Tenure procedures for the Physics department are governed by the Contract, University Policy, the applicable sections of the College of Science Operating Paper, and this document.

A.) General Considerations:

In determining whether it is appropriate to recommend a Faculty member for promotion and/or tenure, the Faculty in the Physics department will consider an individual's entire set of achievements. In particular, when considering the research accomplishments, there should be continued and clear demonstration of research productivity by the candidate after joining SIUC. However, all research produced by the individual will be considered, whether or not it was done at SIUC. The Board and the newly appointed Faculty member may mutually agree in writing (at the time of appointment) as to which prior demonstrable scholarly achievements may be credited toward subsequent tenure consideration. Any such agreement is subject to approval by the Dean of the College of Science.

A judgment on an individual's teaching must be primarily based on his/her experience at SIUC.

Promotions may occur after varying lengths of time in rank, in order to enable the Department to provide recognition for exceptional achievement.

For assistant professors, it is expected that the bulk of their assignment will be roughly equally divided into research and teaching, because it is in these two areas that the assistant professors are going to be primarily evaluated for tenure and promotion. In consequence, it is expected that the service load for assistant professors will be lower than that for tenured faculty.

The assigned effort in teaching, research, and service can be quite different for associate professors. In making a promotion recommendation to Professor, the eligible voting Faculty, while evaluating the candidate's record of accomplishment in the associate professor rank in teaching, research and service, will also take into consideration that individual's relative assignment in the different areas during the period being evaluated.

No one will be promoted or tenured solely on the basis of their service accomplishments.

1.- Teaching:

Teaching involves classroom performance, i.e., the communication of ideas and methods in a classroom setting. Teaching also involves appropriate instructional management (clear syllabus, timely assignments, exams, accurate class records, etc.).

Since a good record of teaching is required for granting a recommendation for tenure, a candidate for tenure should provide evidence of effective teaching both in large class (freshmen and sophomore) as well as in small class (junior/senior/graduate) settings. The number of large classes evaluated on the record should not be less than half of the number of large classes assigned to the candidate; a large class is one with an enrollment of at least 25 students.

Tenure shall only be recommended when there is evidence that the faculty member's teaching is effective.

It is the responsibility of the candidates for promotion/tenure to present evidence regarding teaching effectiveness, including teaching evaluations for at least one half of the courses taught

at the University. If the candidate so wishes, he/she can submit student evaluations on more courses.

At a research university, teaching also involves the individualized instruction provided to students, graduate and/or undergraduate, which enables them to participate in research. It is the responsibility of the candidate to provide evidence of this form of teaching, as well.

A Faculty member being considered for promotion/tenure will have to be evaluated with regards to research-related teaching in a manner that is consistent with that individual's workload assignment.

In addition to student evaluations, Faculty members being considered for promotion/tenure can provide additional information on their teaching. Examples of these additional materials include, but are not limited to: samples of handouts given to the students in order to facilitate the understanding of topics; the organization and development of a new course; the upgrading of an existing course; the writing of a textbook; the writing of laboratory manuals.

It is the responsibility of the Department to review all the evidence listed above as well as other evidence it can assemble, including peer evaluations, regarding the teaching effectiveness of candidates. Peer evaluation of a candidate's teaching will be arranged by the Chair after consulting with the candidate.

2.- Research:

The research record of an individual being considered for promotion or tenure should be clearly indicative of that individual's capacity and commitment to the production of original work of good quality in his/her area of expertise. This capacity will be demonstrated by the publication of a sufficient body of articles in well-recognized, peer-reviewed journals.

What constitutes "sufficient" will vary from case to case. It must, however, be enough to provide clear evidence of the capacity of the individual for conducting independent research on a continuing basis.

A Faculty member considered for tenure is also expected to demonstrate that he/she made a serious effort to attract external funding for his/her research by submitting research proposals at an adequate rate.

A Faculty member being considered for promotion is expected to submit external proposals at a rate which commensurate with that Faculty member's workload assignment.

Because of the great diversity of sub-fields in Physics, a significant role in the evaluation of a Faculty member's research will be played by evaluation letters from qualified colleagues off-campus. In addition to these letters, the candidate for promotion/tenure can submit as supporting evidence of the quality of his/her research the reviewers' evaluations of research proposals and of papers approved for publication, provided that a complete set of reviews is submitted in each instance.

3.- Service:

All members of the department are expected to perform responsibly on the committees into which they are nominated or elected. Promotion to associate professor and tenure can be favorably enhanced by the Faculty's Service record at the Department, College and University level. The importance of the Service effectiveness component in the evaluation of an associate professor being considered for promotion to Professor will be commensurate with that individual's assignment.

Service in University-wide bodies, such as the Faculty Senate, Graduate Council, or Faculty Association, will be duly recognized.

Service to the wider community, be it local or to the Physics community at large, will also be properly recognized by the department. A non-exhaustive list of such service includes the following non-ranked examples:

- organizing Summer camps or special Astronomy viewing events for the community
- serving in an official capacity for the American Physical Society
- reviewing proposals for external agencies
- serving in College-wide or University wide committees
- serving in thesis and dissertation committees
- reviewing manuscripts for journals
- organizing conferences
- representing the department in interviews with the press

B.) Standards for Promotion and Tenure

1.-) Tenure:

a.) An Assistant professor will not be recommended for Tenure, for all practical purposes, unless he or she is at the same time recommended for promotion.

b) The tenure and promotion timetable for assistant professors will follow University policy.

c) In order for an untenured Faculty member to be recommended for tenure, the individual must have demonstrated effective teaching at SIUC, and his or her other professional accomplishments must be commensurate with those required to promotion to the associate rank.

d) Time in Rank: For an assistant professor, time in rank will be considered the time spent in the rank of assistant professor at SIUC or at any other institution prior to coming to SIUC. Post-doctoral appointments, research professorships, lectureships, and other similar appointments will not count toward the establishment of time in rank as assistant professor. The Board and the newly appointed Faculty member may mutually agree in writing (at the time of appointment) as to which prior demonstrable scholarly achievements may be credited toward subsequent tenure consideration. Any such agreement is subject to approval by the Dean of the College of Science.

2.-) Promotion to Associate Professor:

a) Ordinarily an assistant professor will not be considered for promotion to associate professor until he/she has served a year at SIUC and at least three years in rank. A promotion to associate professor after only three years (or even earlier, in very exceptionally rare cases) will require substantial evidence that the candidate has an extraordinarily strong research record, and, a clearly above average teaching record.

b) Following the normal time sequence for tenure, an assistant professor can be recommended for promotion to associate professor by the department during the Fall semester of the sixth year in rank if he/she is an effective teacher, has an established record of good research and has a satisfactory record of service.

3.) Promotion to Professor:

a) Time in rank: For an associate professor, time in rank will be the time spent as associate professor at SIUC or at any other university. The Board and the newly appointed Faculty member may mutually agree in writing (at the time of appointment) as to which prior demonstrable scholarly achievements may be credited toward subsequent tenure consideration. Any such agreement is subject to approval by the Dean of the College of Science.

b) Ordinarily an associate professor will not be promoted to the rank of professor unless he/she has one year in rank at SIUC and at least three years in rank, overall. A promotion to professor after three years, however, will require clear evidence of above average teaching, and evidence of clearly above average research productivity while in rank as associate professor (to a degree commensurate with the associate professor's workload assignment).

c) An associate professor can be recommended for promotion after the fifth year in rank if he/she has: demonstrated to be an effective teacher, has demonstrated a substantial capacity for excellence in research, and has contributed to the welfare of the department and the university through significant service activities. A recommendation for promotion to professor prior to the fifth year in rank requires that the above standards be unequivocally met.

d) In making a promotion recommendation to Professor the eligible voting Faculty in the Department, while evaluating the totality of the candidate's record of accomplishment in the associate professor rank in teaching, research and service, will also take into consideration that associate professor's assignment in the different areas during the time in rank as an associate professor.

C.-) Procedures

1.-) Promotion:

The normal time-sequence and procedures for consideration of candidates for promotion are outlined below. The only exception to following these procedures will be in those cases in which the consideration of promotion occurs outside of the normal university time sequence, as a result of the university making a counteroffer to match an external employment offer. The procedure to be followed in that case will be discussed in item m.

a.- During the first week of the Fall semester, the Chair will contact all faculty in the assistant and associate professor ranks and find out from them whether they wish to be considered for promotion.

b.- Those Faculty members wanting to be considered for promotion will provide the Chair, at the end of the first week of the Fall semester, with a list of at least five external reviewers of the promotion candidate's achievements primarily in the research area (the candidate may include more than five names if he/she so wishes). The candidates will also supply the Chair at this time with a list of former students and of professional colleagues in a capacity to evaluate the teaching and service aspects of the performance of the candidate. The reviewers in the list should be acquainted with the promotion candidate's work. At least one half of the names in the list should be of colleagues that have not co-authored articles with the candidate during the past five years. The other half may include advisors, mentors and collaborators. The reviewers in the list should hold a rank at least as high as that which the candidate is seeking.

The Chair will ask, in writing, for a statement from the candidate regarding whether or not the candidate is willing to waive his/her right to examine the letters from the reviewers. The Chair

will send a letter to the reviewers listed requesting their input. The letter to the reviewer will include a deadline for responding corresponding to between two and three weeks from the time of mailing; it will also indicate whether or not the candidate has waived his/her rights to review the evaluation. The candidate will be given a copy of the letter to be sent to the reviewers and of the material to be sent accompanying that letter prior to it being sent to the reviewers. The list of reviewers supplied by the candidate, the letter sent by the Chair to the potential reviewers, and the responses from the reviewers will go to form part of the dossier of the Faculty.

c.- The candidates will have until the end of the third week of the semester to update and prepare for review their vitae and files.

d.- At least seven weeks prior to the College deadline for receiving promotion dossiers, the Chair will prepare a list with the assistant professors who want to be considered for promotion and distribute it to the associate professors and professors in the department; the Chair will prepare a list of the associate professors wanting to be considered for promotion and will distribute it to the tenured professors in the department.

e- Decisions on promotion to professor will be made by the tenured professors in the department; decisions on promotion to associate professor will be made by tenured associate professors and professors in the department.

g.- At least four weeks before the College deadline for receipt of the promotion dossiers, the Chair will call a meeting of the associate professors and professors in the department to review the promotion to associate professor and tenure cases. The Chair will call a separate meeting of the tenured professors in the department to consider the cases of promotion to professor.

It is the duty and responsibility of every Faculty member who will cast votes in promotion/tenure cases to become well acquainted with the candidates' files, CV, and review letters.

The candidates' cases will be discussed at the meeting. A secret ballot will follow. All of the tenured associate professors and professors will get to vote on the tenure and promotion to associate professor decisions. All tenured professors vote on promotion to professor.

h.- The Chair will participate in the discussions leading to the promotion decisions in both cases, regardless of the Chair's rank. When the Chair is being considered for promotion the Dean of the College or a designee of the Dean, will take the place of the Chair.

i.- A candidate will be recommended for promotion by the department if he/she gets a majority positive vote.

j- In case there is a negative vote, the eligible voting Faculty will select an ad hoc two-person committee to prepare a report providing the reasons which lead to the negative departmental decision. To ensure that this report accurately reflects the views of the majority of the Faculty that participated in the vote, the report will be submitted (and, if need be, re-submitted) to the Faculty which voted in the promotion case, for their approval, via a secret ballot. The report on the negative vote, approved by the majority of the Faculty participating in the promotion decision, will be given to the Chair within a week after the negative vote was cast. If the report is not ready and approved within this time frame, no negative report from the Faculty will be included in the dossier. The timely approved report will constitute part of the promotion dossier. The Chair will inform the candidate of the negative decision in a letter in which will include the result of the vote and the approved negative report of the Personnel committee.

k.- The Chair, in cooperation with the candidate receiving a positive Faculty recommendation, is responsible for the preparation of a formal dossier to be submitted to the Dean. The Chair will review with the candidate all the material included in the dossier, with the exception of the confidential letters. The dossier shall be accompanied by a signed statement from the candidate indicating that he/she has reviewed all the material in the dossier. Prior to its submission to the Dean, the promotion dossier will be made available to the eligible voting Faculty for their review. The dossier shall also include the Chair's own recommendation. In case the Chair's recommendation is different from that of the voting Faculty, the Chair will specifically point out in his/her letter the Chair's areas of disagreement with the Faculty's report.

l.- If a decision regarding promotion is negative, the candidate may prepare his/her own dossier, within the guidelines and the required format. The cover sheet of such a dossier will be the ad-hoc two-person Faculty committee's negative report. The candidate may respond to that report in his/her own letter of transmittal. The Chair will provide appropriate clerical support to the candidate in the preparation of his dossier.

When the candidate prepares his own dossier, the Chair will include a list of all the documents which were in the dossier at the time they were evaluated by the department, and the candidate shall provide a list of any material placed in the dossier after it was reviewed by the department.

m.- In case the consideration for promotion is the result of a university counteroffer, the above time-sequence will not be followed; and, the requirement for external review letters for evaluating the research of the candidate will no longer be mandatory. The departmental review process described in items a.- through l.-, including a vote by the Faculty in the rank being sought by the candidate will be followed, with the two exceptions mentioned at the beginning of this item.

The candidate seeking promotion in this abbreviated procedure will have to make available to the evaluating Faculty a copy of the external offer letter.

The deadlines for evaluation and vote by the Faculty will be agreed to between the candidate and the Chair.

2.- Tenure

The normal time-sequence and procedures for consideration of candidates for tenure are outlined below. The only exception to following these procedures will be in those cases in which the consideration of tenure occurs outside of the normal university time sequence, as a result of the university making a counteroffer to match an external employment offer. The procedure to be followed in that case will be discussed in item i.-.

a.- Anyone requesting an early tenure decision must submit their request to the Chair in writing during the first week of the Fall semester.

d.- For all Faculty being considered for a tenure decision, the process to be followed will be essentially the same (including the time sequence) as that outlined above for promotion decisions.

e.- A candidate will be recommended for Tenure if he/she receives a majority of positive votes in the Tenure decision.

f.- Anyone not recommended for tenure will be so informed by the Chair, in writing. The Chair's letter shall include as justification for the denial the results of the secret tenure ballot and a copy of the letter prepared by the ad hoc two-person committee and approved by the tenured voting faculty, explaining the reasons for the decision.

g.- The procedures for the preparation of a tenure dossier as the same as those stated above for promotion, with the exception that a dossier has to be forwarded to the Dean even in a case of a negative decision. In the case of a negative decision the dossier must include:

- the vote of the Faculty
- the statement of the ad-hoc two person committee arrived at after the tenure vote, and approved by a vote from the eligible Faculty in which the reasons for the Tenure denial are stated
- copies of the annual evaluations of the Faculty member, and of any Personnel committee reports
- the applicant's vitae
- a copy of the departmental guidelines with respect to tenure.

h.- At the professor rank, tenure can be granted at the time of appointment. If the department wants to hire a professor with tenure, a tenure vote must be had before the appointment offer is made. The recommendation on tenure will not be forwarded from the department, in this case, unless the applicant receives at least a favorable tenure vote.

i.- In case the consideration for tenure is the result of a university counteroffer, the above time-sequence will not be followed; and, the requirement for external review letters for evaluating the research of the candidate will no longer be mandatory. The departmental review process described in items a.- through h.-, including a vote by the tenured Faculty on the tenure issue for the candidate, will be followed with the two exceptions mentioned at the beginning of this item.

The candidate seeking tenure in this abbreviated procedure will have to make available to the evaluating Faculty a copy of the external offer letters.

The deadlines for evaluation and vote by the Faculty will be agreed to between the candidate and the Chair.

D.-) Midterm Review:

a.- In the Spring semester of the third year at SIU all untenured members of the continuing Faculty of the department must have their vitae and files updated and prepared for undergoing the midterm review. File updating should be completed by the end of the third week of classes.

b.- The entire tenured faculty, constituted as the Department's Personnel committee, will review the files and vitae of the untenured faculty undergoing midterm review during the fourth week of that semester. The Personnel committee will formulate a statement regarding the untenured Faculty member's progress toward promotion and tenure. When available, this report will be attached to the Chair's annual report to the Faculty member and to the Dean on the individual's progress toward tenure. This Personnel committee's report will be included in the faculty's file.

E.-) Evaluation of Progress

Each non-tenured Faculty member on continuing appointment shall be reviewed at least annually by the Chair and the Dean, and receive a written copy of this annual evaluation by May 1 of each year.

F.-) Procedures for student evaluations:

In order to achieve uniformity in the handling of student evaluations and in order to preserve the

integrity of the process and the reality as well as the appearance of propriety, the following procedure will be followed (the same procedure will be followed by tenured faculty for handling student evaluations for Merit Evaluation purposes)

- The student evaluations will be distributed to the Faculty by Department staff during the last two weeks of classes each semester, to be distributed to students in the same time frame.
- The day the Faculty will distribute the student evaluations, he/she will arrange for the assistance of one of the Department's OSS(secretaries), or of one of the departmental student workers, or of the Chair, or of one of the students in the class, or of one of the teaching assistants for that course, in collecting the evaluations and bringing them to the Department's office.
- On the day the evaluations are to be distributed to the students, either the Faculty or the person assisting the Faculty will distribute them before the end of the class period.
- The Faculty member should not be present in the classroom after the teaching evaluations have been distributed to the students.
- The OSS will keep a log of the number of student evaluations for each class.
- The evaluations will be kept in the Department of Physics office.
- A photocopy of the student evaluations will be made available to the Faculty
- The original evaluations will be included in the Faculty member's personal file.
- This entire process will only apply to those courses that the Faculty chooses to have evaluated.

VI.- Adoption and Amendments

A.- Adoption

As required by the Collective Bargaining Agreement, approval by a majority of bargaining unit members of the Physics Department participating in the vote is needed for the adoption of this operating paper.

This document will become effective on the date it is approved by the majority of the voting Faculty, the Dean and the Chancellor, as required by the Collective Bargaining Agreement.

B.- Amendment Procedure

- 1.- This document may be amended by a positive vote of at least 2/3 of the eligible Voting Faculty.
- 2.- Amendments must be presented, in writing, to the Faculty at least one month before the regularly scheduled Faculty meeting at which the amendment is going to be discussed.
- 3.- Amendments can only be discussed or voted on at regularly scheduled Faculty meetings.
- 4.- Discussion of an amendment to this document must be a regular agenda item at the regularly scheduled Faculty meeting prior to the regularly scheduled Faculty meeting at which the amendment is going to be voted on.

APPENDIX

Performance Evaluation for Merit Salary Increases

A. Faculty Assignment:

The Department Chair will meet individually with each faculty member during the spring semester to determine the faculty member's assignments for the coming academic year. This meeting will result in a written assignment describing the percentage of time to be allocated to Teaching, Research and Service, and outlining briefly the types of activity to be engaged in by the faculty member so as to fulfill the agreed upon assignments. This assignment will be signed by the faculty member and the Department Chair and approved by the Dean.

Merit increases will reflect percent assignments.

B. Evaluation Procedures:

1. Each faculty member will submit an Annual Achievement Report on January of each year listing his or her accomplishments in the areas of Teaching, Research, and Service for the previous calendar year or from the date of employment for new faculty. This Annual Achievement Report shall be consistent with the faculty member's assignment for the period in question.
2. The Department Chair will meet individually with each assistant professor following receipt of their Annual Achievement Report to review that report and to evaluate their performance in line with the Department's standards and criteria. The Chair may meet with faculty members of other ranks to discuss with them his/her merit evaluations.
3. All faculty members will be provided with a written evaluation of their performance, which will be signed by the Department Chair. A faculty member who disagrees with the Department Chair's evaluation will have the opportunity to append a statement. A copy will go to the Dean of the College of Science and the original will be retained by the Department Chair. Making use of this provision will in no way preclude the faculty member from availing him or herself to the grievance process.
4. The Department Chair will submit merit salary recommendations to the Dean of the College of Science in line with the evaluation described above.

C. Criteria for Evaluation of Merit

It is normally expected that all faculty members will contribute to activities in the areas of teaching and research with a smaller commitment to service. The exact levels of commitment to these three areas will be defined in the assignment mentioned earlier. While a major component of the evaluation will be actual performance in the previous calendar year, the Department Chair will take into account the pattern of activity over a period of three years. While objective data will be used where possible it must be understood that all evaluations contain a degree of subjectivity.

1. **Teaching**

Teaching is intended to encompass not only in-class activities but all efforts contributing to and supplementing those activities, such as development of courses, preparation of web based materials for courses, development and supervision of laboratories, development of computer-aided materials for instruction, and appropriate fulfilment of office hour duties.. Also encompassed in this category is supervision and training of graduate assistants. Scholarly activities such as the publication of articles in journals devoted to physics education, development of software for physics instruction, and the editing or writing of textbooks will also be considered under this heading.

Student course evaluations will be carried out using the procedures adopted by the Department in the Tenure and Promotion section of this Operating Paper.

Student course evaluations have to be submitted for at least one half of the large classes (i.e. either Core Curriculum classes or classes that may substitute for Core Curriculum classes) taught by each faculty member every year.

Meritorious performance in teaching will be evaluated on the basis of the following criteria:

- a. Outstanding student instructional evaluations including positive individual responses from students, peers and advisors.
- b. Receipt of grants for teaching-related proposals.
- c. Publication of refereed articles in national or international journals devoted to physics education.
- d. Editor or author of textbooks.
- e. Submission of grant proposals for teaching purposes.
- f. Development of new courses or of new course materials for existing courses..

Factors, which will lead to a below average evaluation, will include:

- a. A pattern of complaints from students regarding a faculty member's performance in teaching. These would be the subject of discussion among the Department Chair, the complainants and the faculty member concerned before being used in the evaluation process.
- b. Poor student evaluations.
- c. Failure to correct deficiencies in teaching after being made aware of them.

2. **Research and Other Scholarly Activity:**

Faculty whose assignment incorporates a research component will be evaluated on both the quality and quantity of their achievements in research and other scholarly activities. The percentage of a faculty member's time assigned to research will be incorporated into the evaluation. The level of activity demonstrated over a period of three years will also be a factor in the evaluation.

The following constitutes the type of activities, which will be considered meritorious in research:

- a. **Publications:** The primary emphasis will be on articles published in refereed journals. While generally one or two papers per year seems reasonable for an average performer, this number is subject to various factors. The quality of the journal, the level of the contribution where more than one author is involved, and the scientific significance of the publication are all factors that will be taken into account in the evaluation.
Proceedings papers will also be considered meritorious in research; however, they will not carry the same weight as peer-reviewed articles.
- b. **Grants:** The primary emphasis will focus on external grants or contracts awarded, on proposals submitted to external agencies and on internal grants in that order. In general an active researcher would be expected to submit 1-2 proposals to external agencies per year unless his/her research is fully funded for the following year. Among the factors to be considered are the extent of funding, continuity in funding, and the contribution of the individual when more than one person is involved. Evaluations and/or scores, to the extent they are available can be made available to assist the Chair in the evaluation process.

- c. Papers and Presentations: These include invited papers presented at meetings, talks given by invitation at other institutions, and non-invited papers presented at meetings.
- d. Editorships: Editing of research journals or research books will also be considered meritorious research contributions.

3. Service

Each faculty member is expected to serve conscientiously in a reasonable number of department, college and university wide committees. In case this condition is fulfilled, the performance of the faculty member will be considered to be deserving of average merit in this category.

Meritorious performance in Service includes:

- serving as an organizer of conferences
- serving as reviewer of external proposals and/or manuscripts
- serving as the undergraduate advisor; serving as the graduate advisor
- participating in national and international committees of scientific organizations
- participating in university-wide or college-wide committees
- participating in the Faculty Senate or the Graduate Council
- participating in the Faculty Association in an elected capacity or as an active member of a standing committee
- participating in departmental ad-hoc committees
- chairing sessions at a professional meeting
- organizing science-related activities for the community, such as the Summer Astronomy camp
- representing the department in the press.