

University of Connecticut
College of Liberal Arts and Sciences

PHYSICS DEPARTMENT
BY-LAWS

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PHYSICS DEPARTMENT BY-LAWS

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Bylaws, Policies, and Procedures

The Physics Department's bylaws were developed during fall 2017 by the Advisory committee led by the Head of the department Nora Berrah. They have been approved at the Advisory committee meeting December 6, 2017. They were discussed and approved by the faculty at the special faculty meeting 12/14/2017.

Revisions to the bylaws were approved by the faculty vote that concluded on February 12, 2021.

I. Introduction/Preamble

I.1 Mission

The physics department mission is to conduct excellence in teaching, research, and service, which falls within the University of Connecticut Bylaws. This document and its appendices explain the different areas of our mission. Appendix A lists the current research areas.

I.2 Purpose of Policies and Procedures

This document contains the bylaws, policies, and procedures of the Department of physics at the University of Connecticut as approved by its faculty on December 14, 2017. Any bylaw, policy, or procedure of the University of Connecticut, or College of Liberal Arts and Sciences, or Collective Bargaining Agreements, supersedes that listed here if it is contradictory or otherwise in conflict. The physics department faculty wishes to endorse a spirit of shared governance within the department. The faculty will function as a Committee of the Whole and as the policy-making body of the Department. The faculty pledges to interact with collegiality, and civility, working toward a united faculty that embraces diversity and inclusion in a supportive and respectful climate toward students, staff, and faculty.

The Department policies and procedures are intended to govern the affairs of the Department in accordance with the guidelines of the College (<https://clas.uconn.edu/faculty-staff/guidelines/>) and the University's laws and Bylaws (<https://policy.uconn.edu/by-laws/>). According to the Bylaws of the University of Connecticut:

Departments are organized in terms of subject matter areas. They bear definite cross-relationships, but their organization into distinct administrative units is intended to assure that the attention of small groups of faculty members will be centered on teaching, research (see Appendix A), clinical activities, and/or service in these areas.

The functions of each department are to:

- 1. Develop an educational program designed to meet the needs of the students in the various Schools/Colleges and of other individuals and groups served by the teaching, research, clinical, and/or service programs.*
- 2. Evaluate and improve its educational programs.*

3. *Recommend to the faculty of its School/College changes intended to improve the work of the department.*
4. *Secure the safety and proper inventory of all University property assigned to it.*
5. *Integrate its teaching and research program with the general program of the University and to foster effective coordination of effort.*

I.3 Procedures for adopting/revising the Bylaws

Proposals to amend the bylaws must be included on the agenda of a faculty meeting and a written statement justifying the proposed changes must be provided to the faculty. Department's bylaws are suggested to be evaluated every five years. Any of the bylaws, policy, and procedures may be amended or otherwise revised by approval of the majority of the voting members of the department.

II. Administrative Structure of the Department

II.1. Head: The Department Head (DH) leads the Department and is appointed by the Dean of CLAS in conformance with the procedure described in the AAUP contract with the University. The Head is expected to represent the department in accordance with the University bylaws.

The faculty expects the DH to consult with ADHs, the Future of the Department Committee, and the Advisory Committee. The DH should seek the opinion of all faculty before creating new policies, including merit, and departmental expenditures. Furthermore, for the sake of transparency, the DH should share all important/relevant news or information with the faculty. At one faculty meeting, annually, the DH shall report to the faculty the financial state of the department. The DH is expected to advocate for departmental resources within the University and externally.

II.2 Associate Department Heads: The Department structure includes three Associate Department Heads (ADHs): the Associate Department Head of Graduate Affairs (ADH-GA), Associate Department Head of Undergraduate Affairs (ADH-UA), and Associate Department Head of Administration and Personnel (ADH-A). The DH appoints each of these officers after consultation with senior members of the department and with the office staff regarding the appointment of the ADH-A. The ADHs will be granted one semester of teaching release for every 2 years of ADH duties.

II.3. Department Committees: At the time of writing these bylaws, the Physics Department includes the committees listed below. The list is informational and may change as the needs of the department evolve. The functions and goals of the committees are to enable an effective and efficient operation of the department. Details are included in Appendix B.

As of approval date of the bylaws, the **Standing committees** include the:

Advisory Committee, Future of the Department Committee, Teaching Assignment Committee, Promotion, Tenure, and Reappointment (PTR) Committee, Graduate Affairs Committee, Graduate Admissions Committee, Undergraduate Affairs Committee, Curricula and Courses Committee, Awards Committee, Diversity and Multiculturalism Committee, General examination (prelim examination) Committee, External Relations Committee, Safety and Shop Committee, Computing Committee, and Space Committee.

Other Committees: include the UConn Physics Graduate Student Association committee & Physics Club

Ad hoc Committees may be formed and charged at any time at the discretion of the DH.

II.4 Colloquia, Distinguished Lectures, and Seminar Series: The department organizes five Colloquia/Seminars per week. They are: Colloquium, Atomic, Molecular, Optical physics Seminar, Astrophysics Seminar, Condensed Matter physics Seminar, and Particle or Nuclear physics Seminar. Each of these seminars has a faculty coordinator who is responsible for managing dates and facilitating faculty to invite and host speakers. All faculty share the responsibility for hosting healthy colloquia and seminar series. In addition, the department hosts annually distinguished lectures such as the Katzenstein, the Charles Reynolds, and the Edward Pollack Distinguished Lectures.

III. Faculty Operation and Governance

III.1 Members of the Department: As defined in the UConn bylaws, members of the department are *all the tenure-track, tenured, and in-residence faculty belonging to department as administratively organized, regardless of campus*. All voting members of the faculty (as explained below) are expected to serve on department committees. In addition, the department considers, in a broad sense, staff, students and postdocs as integral members of the department and they may be asked to serve on department committees.

III.2 Faculty Meetings: are called by the DH as often as required and are chaired by the DH. The faculty meetings are typically one per month for 90 minutes. The physics department invites Adjunct faculty, Research faculty, Emeritus faculty, and Retired faculty in addition to regular tenured, tenure-track, and in-residence faculty to its faculty meetings. Notice of meetings are sent to all the faculty where announcements, minutes from the past meeting, and agenda items are contributed by the DH and all faculty. Minutes of the meetings are recorded during these meetings, which are then reported and voted on at the next faculty meeting. Special Meetings are called by the DH when additional time is needed to discuss; for example, new hires or preparing Department Self-Study Reports, Promotion, and Tenure Processes, and Criteria as well as developing department bylaws. All the faculty members of the department are expected to attend the meetings unless on sabbatical or on leave.

III.3 Voting Faculty: Generally, all tenure-track, tenured, or in-residence faculty are allowed to vote, with the following exceptions. On tenure issues, only tenure-line (tenured and tenure-track) faculty can vote. On graduate program issues, voting faculty should be a member of the Graduate School. On undergraduate education issues, all regular tenured, tenure-track and in-residence faculty can vote. On any other issues where it is not clear who can vote, the DH will decide, in consultation with the Advisory Committee.

III.4 Regional Campus Faculty: Regional Campus faculty are treated the same way as Storrs campus faculty.

III.5 Non-Tenure-Track faculty: The department has in-residence faculty who teach and contribute to teaching innovations as well as serve in relevant departmental committees and/or administrative positions, important to our educational mission.

III.6 Professional Staff: The physics department has full-time professional staff, some of whom are members of the University of Connecticut Professional Employees Association (UCPEA) and member of the American Association of University Professors (AAUP). The staff are directly supervised by the ADH-A, although the DH interacts with them frequently.

- The technical staff include a Senior Machine Shop Engineer, a Computer Engineer, and an Academic Assistant (AAUP). Each of these positions provide technical support to the department's on-going research activities. They are directly supervised by the Associate DH for Administration and they interact frequently with the DH.
- The teaching staff include Laboratory Technicians who report to the Manager or Director of the Undergraduate Teaching Laboratories. Currently, the Manager/Director's position is two-thirds time and reports directly to the DH. Collectively, these positions provide technical support for the instructional laboratory programs of the department.
- The department's operations are administered by the team in the business office, which includes an Administrative Manager, who directly supervises an Academic Advisor, a Program Assistant, and a Financial Assistant. The Administrative Manager reports directly to the ADH-A and works closely with the DH. Collectively, this unit serves as the primary resource for all business matters and is responsible for implementing fiscal, administrative, personnel, and academic matters.

III.7 Affiliated Graduate Faculty: All non-Physics department faculty and all APiRs who are members of the graduate faculty in the Physics department will be reviewed every five years for continuation.

IV. Workload Policies

IV.1 Tenure-track and Tenured Faculty:

Tenure-track and tenured faculty members are expected to teach and advise students, to carry out research, and to contribute in service. The physics department follows University guidelines, which describe Faculty Responsibilities. See section IX describing the University's Policy on Faculty Professional Responsibilities.

Teaching assignments are made by the "Teaching Assignment Committee" as described in appendix B, item 15. This committee ensures that the appropriate suite of courses is offered, in conjunction with the surveyed teaching interests of the faculty and makes recommendations to the DH on all teaching assignments. The committee consists of four members: the chair (appointed by the DH) and as officio: the ADH-GA, ADH-UA, and the DH.

All tenure-track and tenured faculty are expected to be research active. Factors entering the determination of research active status may include evaluation of: scholarly publications; active and submitted research grants; research advisement of graduate and/or undergraduate students; participation in and organization of professional research activities, such as conferences, workshops and seminars; editorships of research journals, research; honors and awards; and other research accomplishments. The determination of research active status will be made by a committee consisting of the DH and Advisory Committee.

The standard course load for a research active tenure-line faculty member is 6 credit hours (2 courses) per year. This is the accepted norm for US Physics Departments at Research 1 Universities and is the system in which we operate and compete for recruiting students, postdocs, and faculty, for research grants, and for research achievements. Faculty members found to be research inactive will be strongly encouraged to become research active, but if this status persists for prolonged multi-year period, their teaching load may be increased to 9 credit hours (3 courses) per year. Parental leaves, family situations, or other extenuating circumstances will be considered before a teaching load increase will be considered. The decisions to increase the teaching load are made by the DH, who, may consult the ADHs and/or the Advisory Committee in this matter. Faculty who remain research inactive will have a course load of 18 credits (6 courses) per year. For exceptional research accomplishments, for other exceptional obligations, or for exceptional service to the profession- Department, College, or University, the DH may provide teaching release, in consultation with the ADHs and/or the Advisory Committee, if needed. Unless hired on a bridge position with reduced teaching load, tenure-track faculty are given a one-semester teaching release to be taken in their first five years.

Services to the Department are assigned by the DH to faculty and in some committees to students and staff. DH may nominate the faculty for College/University service. For some committees, as described in Appendix B, these committee assignments involve a faculty vote, others may involve consultation of the DH with the ADHs and/or the Advisory Committee, and others involve the appointment of committee members by the relevant committee Chair.

IV.2 In-Residence Faculty at Storrs:

While in-residence faculty members' positions are primarily focused on instruction and maintaining courses within the department, they typically hold a myriad of other duties including, but not limited to, supervising and managing teaching laboratories, serving as course coordinators and instructional designers, serving on departmental and university committees, advising undergraduate and/or graduate students, outreach activities, service to the profession, and/or research and development. Physics in-residence faculty carry a usual teaching load of six 3-credit courses or its equivalent per year. This load may be reduced with appropriate approvals from the DH and CLAS through teaching relief provided for exceptional service or additional appointments.

IV.3 In-Residence Faculty at the Regional Campuses:

In-residence faculty at the regional campuses play similar roles at their home campus. However, the administrative, teaching, service, and logistical structures at the regional campuses are different than at the Storrs campus and many regional campuses do not have graduate students. Thus, the detailed course load for in-residence faculty at regional campuses will be determined individually in consultation between the DH and the regional campus administration.

V. Search Committees and Hiring

The process for hiring new faculty is led by the "Future of the Department Committee" that consists of the DH and members appointed by the DH (see appendix B.6 for the charge of the committee). The members of this committee should represent the current research areas that consist of Astrophysics, Atomic, Molecular and Optical Physics, Condensed Matter Physics, Nuclear and Particle Physics, and Geophysics. The proposal for hiring is shared and discussed with the whole faculty prior to starting any search. The search committee is generally composed of faculty who are expert in the research or technical area where the search will be conducted. Each search committee will include at least one member from the under-represented group of people, which includes Hispanic Americans, African Americans, Native Americans, and women.

Startup funds and lab space for new faculty are negotiated by the DH. If hired faculty finds that the terms of their offer letter are not being honored by the University or institutes, in the case of joint appointments, the faculty member should contact the DH and Institute Director to request a review of the terms of the offer letter. The DH should consult with the relevant committee chairs and if the terms cannot be met within the department's means, the DH should draft a formal letter to the Dean, Provost, and Institute Director (if applicable) to document the failure of the University/DH/Institute Director to meet their obligations. This letter from the DH can be included, at the candidate's discretion, in the candidate's PTR file.

VI. Mentorship

The Physics Department recognizes the importance of mentoring for tenure-track, tenured, and in-residence faculty at all career stages. In the following the term “new faculty” refers to Assistant Professors, Assistant Professors in-residence, or untenured Associate Professors.

After a new faculty is hired at the Storrs or a regional campus, the committee, which conducted the search proposes to the DH a mentoring team consisting of 3 faculty. The mentoring team may include search committee members, faculty with similar duties or research background, or (if appropriate) faculty from other departments. Based on the search committee’s suggestions and considering the current contingencies the DH appoints the mentoring team whose members are expected to introduce themselves to the junior faculty as early as possible and offer advice and guidance. The junior faculty is encouraged to proactively seek advice from the mentoring team, other department members or the DH.

The DH and the PTR committee chair have special mentoring responsibilities. During the first semester of employment, the DH and the PTR committee chair meet with the new faculty to discuss the department’s expectations with respect to professional responsibilities in general and PTR in particular. At that time, the new faculty is encouraged to indicate any anticipated problems in fulfilling her or his professional responsibilities at the level of excellence necessary for reappointment and eventual Tenure and/or promotion. The DH solicits feedback from the mentoring team and the new faculty on the mentoring process and adjusts the composition of the mentoring team as new needs appear. The purpose of the mentoring is to guide and establish a productive professional relationship between colleagues. The mentoring team is a special source of advice in general and guides work toward the candidate’s improvement in areas that may require attention. Tasks of the mentoring team may include, for example, suggesting timetables for specific research projects/grant application, diversifying teaching portfolio, the reading of drafts of papers and proposals, help in the creation of syllabi, improvement in teaching, advising, and other agreed upon activities.

Mid-career faculty members are encouraged to continue seeking mentorship from members of their mentoring team or other more senior colleagues in or outside the department as they prepare for promotion from Associate Professor (in-residence) to Professor (in-residence). Such mentorship may also be valuable in preparing for other professional advancement, either in the institution or the discipline.

Mentoring in the department also occurs through the PTR process. The PTR candidates are encouraged to meet with members of their mentoring team prior to the submission of the PTR applications. At that meeting, the mentor(s) and the candidates may discuss the PTR process and the rights and responsibilities of the candidate. When the PTR committee has completed its deliberations, the chair of the committee will contact each candidate to provide them with feedback and advice. The DH will meet with the candidate in a similar manner when the DH’s review has been completed.

VII. Promotion, Tenure, and Review procedures (PTR)

See Appendix C for PTR related matters

VIII. Merit

Procedure: Faculty merit is established by the DH.

Criteria: Faculty are evaluated for merit using the following criteria. Excellence: 1) in teaching, research publications, and grant activity; 2) in advising, mentoring; and 3) in service to the profession, the department, and the University. The DH retains the discretion to consider any other significant accomplishments. Non-tenure line AAUP employees are evaluated separately, with a merit pool defined by the salaries of that group. Criteria are the same.

IX. Faculty Responsibilities

The physics department faculty follow the University's Policy on Faculty Professional Responsibilities (<http://policy.uconn.edu/2011/05/26/faculty-professional-responsibilities-policy-on/>):

As a member of a scholarly community, every faculty member is expected to contribute to the shared responsibilities that support the varied educational mission at the department, College/School, and University level. These responsibilities are clearly set forth in Article XV.L.1. of the University Bylaws, which states, "While members of the professional staff of this University are employed for a variety of duties, as a general rule the University will expect to assign to each full-time member of the professional staff duties, which are reasonable and consistent with good and effective teaching practices at both the undergraduate and graduate levels.

In conjunction with this, staff members will be expected to carry a reasonable amount of ordinary departmental duties and routine committee responsibilities and to undertake those activities of self-improvement, and professional development that are part of every faculty member's investment in their own future. Such assigned responsibilities as unusually heavy loads of student counseling, the chairmanship of committees that are unusually time-consuming, research projects, which have been designated as a part of the staff member's assigned load, unusually heavy enrollments in courses, and assigned administrative duties will be considered in determining the number of contact hours assigned to any individual."

In furtherance of these Bylaws' professional staff loads provisions, individual faculty member's responsibilities are determined in consultation with the DH or Dean in a non-departmental structure and are based on the academic unit's workload guidelines. These guidelines recognize

discipline-specific standards that ensure that individuals fulfill all facets of the responsibilities of a faculty member in a research University.

On occasion, some specific faculty responsibilities may be defined in an individual letter of appointment (e.g., appointment of a faculty member to be a director of a center), or the individual faculty member may be given a joint appointment. These special circumstances will govern the activity of that faculty member within the context of relevant general guidelines. DHs, with appropriate input from the faculty and the advice of regional campus associate vice chancellors, are charged with setting an appropriate distribution of responsibilities for individual faculty that reflects that member's particular strengths, the nature of their obligation to the University, and the needs of the academic unit. Annual meetings will be held between the DH and individual faculty. These meetings should serve to enhance the overall activities of the department as well as interdisciplinary research/scholarship, where appropriate. The DH will review and discuss the faculty member's productivity and present and future professional activities. The DH and faculty member should also discuss any problems encountered by the faculty member in the performance of their duties.

For regional campus faculty, similar meetings should occur with the appropriate regional Associate Vice Chancellor, as well as with the DH. Any adjustments in regional campus faculty member's activities must be made in concert with the faculty member's DH. These meetings may also be used, where appropriate, to accomplish, in consultation with the faculty member, proportional adjustments to the faculty member's responsibilities. These annual assessments of a faculty member's activity can include consideration of various measures commensurate with the unique constraints of creative endeavors or original research/scholarship. Such adjustments may be appropriate during a faculty member's career and are an essential component in maintaining a department's and the University's overall effectiveness.

When a graduate student is considering changing major advisor, the student should inform the ADH-GA of this decision. The ADH-GA will then reach out to the involved advisors (previous major advisor and the graduate faculty who is considering accepting that student) independently to determine if mediation is needed. If mediation is not needed, the new major advisor should have a conversation with the previous major advisor prior to sign-off. In addition, if the graduate student uses any work done with the previous major advisor as part of the thesis, the previous major advisor must be invited as an associate advisor to the committee and participate in the thesis defense.

IX.1 Teaching Recommendations for Graduate Courses

- (i). The instructor will provide a detailed syllabus to the students covering the subject matters to be taught. It could include about 12-14 subject areas ordered by weeks for a 14-week class. It could be the chapter headings of the book used, ordered by week. Generally, the course grade, i.e. total score for the class, consists of percentage scores in homeworks, midterms,*

and final exam. The syllabus needs to state percentages of homework (either graded or satisfactory/unsatisfactory, S/U), percentage for midterm/s, and percentage for final. Any mid-semester graded work (including homeworks) should be returned in a timely manner, so that it can provide feedback for further work such as examinations. The final exam is mandatory for core courses e.g. Math methods, CM, EM-I, QM-I, SM and QM-II. Per university rules, the plan for office hours needs to be stated in the syllabus.

(ii).The graduate faculty council (GFC) of the graduate school recommends that all graduate courses must be taught at the level desired (graduate course level) even if there are many undergraduate students in the class. The graduate course grade needs to reflect the competency level of the student in the syllabus of the course.

(iii).The instructor is expected to teach and be present in class, for all the course material, unless special arrangements are made with the consent of the DH.

(iv).Individual faculty matters (such as prolonged absence, student feedback) are outside the scope of the Grad Affairs Committee and are to be handled by the DH in the manner she/he desires.

X. Grievance Procedures

The Physics Department follows the grievance procedures according to the AAUP contract.

Appendix A. Current Research Areas

Currently the physics Department has five general core research areas, which include Astrophysics, AMO (Atomic, Molecular and Optical) physics, Nuclear physics, Particle physics, Condensed Matter physics/Material Science, and a small Geophysics area. These current core areas do not preclude growth in new research areas in the near-term and longer-term future.

Appendix B. Committee Compositions, Charges, and Activities

Members of the department's committees listed below include tenure-track faculty, retired faculty, in-residence faculty, students, postdocs, and staff, if applicable. The committee chair must hold at least one meeting per year. Terms of committee service vary by committee, but for faculty and staff members, the typical expected period of service is 5 years. For students, the terms of service on committees are typically shorter and more flexible; often one semester or one academic year, as appropriate. Department head (DH) and in some cases committee chairs, are responsible for filling out the committees, other than those determined by vote. The following write-ups are meant to be descriptive of current practice and a guide; they are not meant to prescribe particular procedures.

1.1 As of approval date of the bylaws, the standing committees and their descriptions are:

1. The Graduate Affairs Committee has at least one member from each of the major research areas of the department. It is chaired by the Associate Department Head of Graduate affairs (ADH-GA), who is also typically the Physics department's representative to the Graduate Faculty Council of the Graduate School. Members of the committee are appointed by the DH or by the ADH-GA. Members must be part of the graduate faculty. The DH may also appoint or re-appoint a graduate student to the committee for a two-year term.

The charges to the committee include periodically evaluating graduate courses offered, advising the ADH-GA on matters related to course changes, individual student performance, and granting of exceptions. The committee administers and analyzes annual surveys of incoming, continuing, and graduating students, and maintains current records on each student in the program. Additional charges may be made at the discretion of the DH. The ADH-GA (as a representative of the committee) will report to the members of the department at least once each semester. Additional reports will be made as requested by the committee or members of the department.

2. The Undergraduate Affairs Committee is chaired by the ADH of Undergraduate Affairs (ADH-UA). The other members of the committee are appointed by the DH or by the ADH-UA. One member of the committee should also be the department's Honors Advisor. The DH may also appoint or re-appoint an undergraduate student to the committee for a one-year term. In addition, the Physics Department Undergraduate Advisor is a member of the committee.

The charges to the committee include recruitment of undergraduate majors; reception and initial advisement of new majors; annual evaluation of the department's undergraduate program with respect to its integration with the department's strategic plan and College and University initiatives; and nominating current students for various awards and scholarships. The committee will also administer and analyze annual surveys of incoming, continuing, and graduating students. Additional charges may be made at the discretion of the DH.

The ADH-UA (as a representative of the committee) will report to the members of the department at least once each semester. Additional reports will be made as requested by the committee or members of the department.

3. The Graduate Admissions Committee has four members including the chair of the committee. Additional members may be appointed by the DH (at the request of the chair) on an as needed basis. Members of this committee must be part of the graduate faculty. Charges to the committee include recruitment of undergraduate majors, reception and initial advisement and appointment of initial advisors of new graduate students. The Chair of graduate admissions committee will report to the members of the department at least once each semester (primarily Fall semester).

4. The Curricula and Courses Committee has a chair appointed by the DH. This faculty member also serves as the department's representative to the CLAS Curricula and Courses Committee. The other members of the committee are also appointed by the DH, with at least one member representing the Graduate Affairs Committee, at least one member representing the Undergraduate Affairs Committee, and at least one member representing the Engineering School (for Engineering Physics program jointly offered with School of Engineering).

Charges to the committee include the evaluation of solicited and unsolicited proposals from any member of the department for a new course or a significant change in an existing course. Its reported evaluations are used by the members of the department in approving course proposals. Additional charges may be made at the discretion of the DH. The committee will report to the members of the department, at least once each semester. Additional reports will be made as requested by the committee or members of the department.

5. The General Examination (prelim) Committee chair is appointed by the DH. The committee is responsible for administering the general examination for graduate students in the PhD. Program. The results of the general examination are reported by the Chair of the general examination committee twice a year to the faculty. Majority of the faculty must vote in the affirmative to accept the results in a special prelim meeting.

6. The Future of the Department Committee consists of faculty members representing the current core research areas and is led by the DH. The committee's responsibility is to assess and determine the research areas that need growth as well as start new emerging research areas, while maintaining a balanced research portfolio in the Department core research areas. This committee is responsible to present annually a rank-ordered list of hiring priorities in existing and/or in new

areas at a faculty meeting for discussion and voting. The feedback received in the faculty meeting will be taken into an account by the DH, who may consult with this committee again. The DH has the discretion to negotiate with the University Administration concerning hiring priorities and opportunities, acting based on advice from the committee.

7. The External Relations Committee members are appointed by the DH. Charges to the committee include assisting the DH in external relations, outreach, and related events, assisting the DH in interacting with alumni, curating the web site, seeing that the public receives information about the department activities, and assisting the DH in seeking external financial support for departmental activities.

8. The Awards Committee chair is appointed by the DH and the committee members are appointed by its chair. The charge of this committee is to nominate members of the faculty for various awards and honors both within and outside the University. Additional charges may be made at the discretion of the DH. The committee will report to the members of the department at least once each semester. Additional reports will be made as requested by the committee or members of the department.

9. The Promotion, Tenure, and Reappointment (PTR) Committee has nine members. All members are elected by a faculty vote and serve for three years. Members of this committee must be tenured faculty of the department. In case someone is on leave, the DH may appoint a replacement for the duration of the leave. The PTR Committee's chair is elected every year by the committee of that year. In case the PTR Committee fail to appoint a Chair, they can request the DH to appoint the Chair.

The charge to the committee is to evaluate each PTR dossier and advise the DH as to the candidate's qualifications for promotion and/or tenure. The rules that govern elections to the PTR Committee are:

- (i). The committee consists of 9 members, 3 of whom are replaced each year.
- (ii). The 3 retiring members are ineligible for re-election that year.
- (iii). Only tenured Associate and Full Professors may be elected.
- (iv). Regional campus faculty members that are eligible for promotion and/or tenure may request that a regional campus faculty member be on the PTR Committee if there is no already one on the committee for that year.
- (v). There are to be at least 5 Full Professors from Storrs (two must be elected).
- (vi). Eligible voters are full time tenure-track faculty members.
- (vii). Short term vacancies will be filled with the appointment of one of the three recent retirees by the DH.

Conflict of Interest. In the case of any conflict of interest between a committee member and a tenure candidate (e.g., family member, close collaborators, etc.), the committee member will excuse himself/herself when the case is being discussed and shall not vote on the candidate's case.

10. The Advisory Committee's chair is the head of the department. The charge of the committee is to advise the DH on implementation of the department's policies and procedures, and other matters as requested. Actions and recommendations of the Advisory Committee will be reported to the members of the department at the discretion of the DH.

The rules that govern elections to the Advisory Committee are:

There are six members selected by faculty vote. The members are generally tenure-track or tenured faculty of the department. Three members are elected for overlapping three-year terms and three more are appointed by the DH for overlapping three-year terms. There is no restriction on individuals serving successive terms. If the APiR faculty gets appointed by the DH or elected in the Advisory committee, then they can also serve in this Committee. ADHs, if not already part of the committee by appointment or election, are ex-officio members of this committee and their membership of this committee continues for as long as they are serving as an ADH.

11. The Computing Committee charge is to advise the Department on computing issues relating to the support of research and teaching, and to coordinate with College and University IT and computing initiatives. The committee has seven faculty members and one graduate student.

12. The Diversity and Multiculturalism Committee charge is to provide direction and coordination for the department to contribute to a supportive, inclusive, and diverse environment for all students, staff, researchers, and faculty in order to realize our full potential in research, teaching, and service at UConn and beyond. The committee members could be regular faculty, graduate students, undergraduate students, and staff of the department.

13. The Safety and Shop Committee charge is to develop safety procedures and carry out laboratory inspections; and to advise the DH on the safe operation of the research laboratory facilities of the Physics department. The committee has faculty members and one graduate student member. The chair of the Shop and Safety committee reports to the faculty at least once per semester.

14. The Space Committee charge is to define policies for departmental office and laboratory space usage. It recommends to the DH assignments for specific rooms, with a focus on requests that involve either a change in the category of usage or a major commitment of departmental resources. It coordinates with planning and construction agencies to ensure that any building projects best serve the teaching, research, and service missions of the department. The committee has faculty members and one graduate student member.

15. The Teaching Assignment Committee surveys the teaching interests of all faculty and make recommendations to the DH on teaching assignments. The committee consists of four members: the chair (appointed by the DH) and as ex-officio: the DH, ADH-GA and ADH-UA.

Other Committees:

The UConn Physics Graduate Student Association: The expectation of this association is to bring the concerns of the graduate students to the DH and the faculty. The association also

organizes events for/with the graduate students to create a sense of community. Many of these events include faculty and staff participation.

The Physics Club: An organization of undergraduate physics students. The Physics Club is responsible for organizing social events, meetings, and seminars.

The physics department also has several coordinators and directors listed below:

***I.2* Directors, Coordinators, Liaisons, etc.:**

Associate Department Head for Graduate Affairs, Associate Department Head for Undergraduate Affairs, Associate Department Head for Administration, Faculty Advisor to SPS, $\Sigma\pi\Sigma$, Physics Club, and Astrophysics Club Advisor

Library Liaison

Radiation Safety Liaison

Laser Safety Liaison

Transfer Credit Evaluator

Honors Program Advisors

TA training and scheduling,

Coordinator Open House Coordinator

Majors Fair Coordinator

Marshal Walker TA Award Coordinator, Katzenstein Distinguished Lecture Coordinator

Katzenstein Award for Best Undergraduate Paper Coordinator, Charles Reynolds Distinguished-Lecture Coordinator, Edward Pollack Distinguished Lecture Coordinator

Institute for Materials Science Liaison and Advisory member Engineering Physics Liaison

Math-Physics Major Liaison CLAS Regional Campus Liaison

Grad Faculty Council (of the UConn graduate School) Liaison

Appendix C: Physics Department “Procedures” for Promotion and Tenure

Approved by the University of Connecticut Physics Department Faculty – December 23, 2014, with minor technical changes made by Physics DH Nora Berrah and PTR Committee Chair Philip Mannheim on April 6, 2015. Minor edits to the timeline were made on August 29, 2016 and again in April 2017.

1. Timelines and a copy of these procedures are given to each candidate at the time of each submission or application. The PTR chair familiarizes each candidate with the procedures described in this document.

2. The Physics Department's PTR timeline is:

April 1 PTR ballot goes out to the Department - vote for three. April 10 PTR ballots

must be returned - votes tallied.

April 15 Results reported to the department.

May 1 PTR Committee has first meeting and elects its chair (with DH present).

In preparation of the first meeting:

- Staff maintains and provides a current list of faculty (including regional campus and teaching faculty) who are to be considered for PTR and provides it to the PTR Committee Chair.
- Staff must also provide the PTR Committee Chair with copies of the offer letters for new hires.

May 8 PTR Committee Chair emails faculty eligible for PTR to declare intention.

June 1 Candidates provide an annotated list of outside reviewers to committee, including a short (e.g., NSF-style) CV and full list of publications with links to send to potential reviewers.

June 15 PTR Committee completes selection of their list of outside reviewers.

June 20 Committee sends out request letters/emails to potential reviewers, including short CV + publication list.

July 1 Candidates supply materials (one PDF file) for PTR Committee to send to reviewers. Supplied materials should contain everything that the candidate thinks useful for the reviewers, but cannot contain anything that does not go into the official PTR folder

July 8 PTR Committee sends supply materials to those outside reviewers who confirmed willingness.

August 15 PTR Committee sends letter to the faculty and students requesting input on PTR candidates.

Aug. 25 Candidates supply completed PTR folders to PTR Committee.

Aug. 25 External evaluations due to PTR Committee, faculty, and student letters due to PTR Committee.

Sept. 15

- PTR Committee submits letters to DH.
- PTR Committee Chair must provide to DH, via email, everything that is required to complete the dossier. Individual attachments must be provided in PDF Format. The Committee cannot submit all documents together as one PDF.

*Sept. 22 DH provides the DH's Recommendation to complete the dossier.

This is required as both an original and electronic copy. Individual recommendations must be provided in PDF Format.

* Oct. 6 Department submits completed folders to Dean. (1st Friday in October)

- PTR Committee Chair is responsible for communicating directly with eligible

faculty, collecting all materials from the faculty, providing all documentation & materials to the department staff, and completing the PTR dossier checklist with the staff.

- Staff assist the PTR Committee Chair with the completion of the PTR dossier check list.
- Staff completes the electronic submission process of the final dossier and accompanying materials, as well as provides the Dean's office with one original hard copy. The hard copy is to be printed, with original signatures, and delivered to the Dean's office (no need to tab the paper file).
- Staff must also maintain one hard copy in the main office.

* In the event the Dean's deadline cannot be met, due to missing external letters, it may become necessary for the PTR Committee Chair or the DH to formally request an extension to the deadline.

3. For tenure and promotion cases a list of 5 names is given to the PTR committee by the candidate, and 5 names are generated by the PTR committee itself. Up to 10 letters are solicited, to allow for non-respondents. The lists of referees/letter writers drawn up by the PTR Committee and the candidate are independent. The PTR Committee may solicit further letters if it feels that additional opinions are helpful.

4. The DH will solicit input from regional campus directors if the candidate is at a regional campus.

5. In cases involving joint appointments with Institutes, a letter is sought from the Institute Director at each submission.

6. In cases involving a Memorandum of Understanding (MOU), the terms of the MOU are honored, especially regarding the teaching responsibilities that it specifies. The MOU is part of the candidate's file.

7. Only tenured faculty in the Physics Department are eligible to serve on the PTR Committee. The PTR committee is elected by vote of the faculty. Three persons are elected each year for three-year terms, with the committee thus consisting of nine members each year. The Chair is elected by the PTR committee for a one-year term at a time.

8. In the event of a potential conflict of interest between a candidate and a PTR committee member (*i.e.* family member, close collaborator, etc), the PTR committee uses its best judgment as to the appropriate level of participation of the said PTR committee member, while recognizing that the said PTR committee member is the best positioned to inform the PTR Committee how much of any joint work is due to the candidate. In case the candidate is a family member of the PTR committee member, the member will have to excuse himself/herself when the case is being discussed and the PTR member's vote will not be included in the voting. In the event of a

potential conflict of interest between the DH and a candidate for PTR, the DH will discuss the situation with the Dean.

9. In reviewing candidates, the PTR committee takes into consideration letters of recommendation, publication list, grant record, teaching record, service record, all as detailed in candidate's file. The PTR committee takes into consideration the University By-Law requirements, the Dean's requirements, and the Provost's requirements. In addition, written assessments by the members of the faculty are solicited each time, as well as assessments by departmental graduate students as provided through a graduate student who serves as a liaison person. As per the UConn AAUP contract, the faculty member has the right to read the letters of recommendation. In addition, there is no bar to reuse letter writers if a faculty tenure decision is turned down for promotion and the candidate wants to ask the same reference writers. As per University procedures, we do not request outside letters for third year reappointment reviews. As per University procedures, all documents considered by the PTR and the DH are part of the faculty file. Furthermore, the physics department follows the DH Manual regarding letters from thesis advisors, postdoctoral mentors and close collaborators. The Physics Department as a general case avoids the use of ambiguous language, such as usually, normally, etc.

10. The PTR committee will invite candidates to meet with them if there are concerns, though candidates are free to request a meeting at any time.

11. The PTR committee assesses the candidate's record using its best professional judgment, and prior to making its recommendation invites the candidate to meet with the committee if there are negative concerns.

12. The PTR Committee reaches its decisions by PTR Committee vote. Each member of the PTR committee can vote on any candidacy except for someone who is seeking a higher rank than the committee member holds. No vote is required of the entire Physics Department, though their views are expressly sought by the PTR committee as part of its deliberations. Votes that are taken in the PTR committee are not conducted by secret ballot. The PTR recommendation is sent on to the Physics DH in writing.

13. All dissenting opinions are explicitly included in the PTR committee's written report to the DH, with the reasons for dissent detailed. The report sent to the DH has to be approved by the full PTR committee (as is the case with every report), and dissenters are able to evaluate, and if necessary request changes, in the description of why they dissented.

14. Following its deliberations, the PTR committee's recommendation for each candidate is sent to the DH in written form as per the timeline and is included in candidate's file.

15. After the DH has reviewed the PTR committee report and made a recommendation, the candidate will be informed of the recommendations of the DH and the PTR Committee in a meeting with either the DH or the PTR chair.

Appendix D: Physics Department “Criteria” for Tenure and Promotion

Developed at the PTR committee meeting 11/02/2017 led by PTR chair Barry Wells; the faculty meeting of 11/16/2017; the PTR meeting of 11/30/2017 and subsequent email discussion, and the faculty meeting 12/07/2017.

The Department of Physics establishes the following criteria for awarding tenure, the annual review of tenure-track faculty, and promotion to the rank of Associate Professor, Professor, Associate Professor in-Residence and Professor in-Residence.

The different cases are presented in the following sections:

- A. Criteria for tenure and promotion to Associate Professor
- B. Criteria for annual review of tenure-track faculty.
- C. Criteria for promotion to Professor
- D. Criteria for promotion to Associate Professor in-Residence
- E. Criteria for promotion to Professor in-Residence

I. Criteria for Tenure and Promotion to Associate Professor

1. The primary criterion for promotion and tenure is excellence in scholarship. This should be considered a necessary but not sufficient condition.
2. Excellence in scholarship includes establishing a national reputation as a scholar. Examples of items that would indicate such a reputation may include: comments on reputation in letters of reference, participation in national or international collaborations, invitations for visiting professorships, invited talks at conferences, invitations to speak at research institutions, invitations to serve on evaluative panels, prizes from learned societies.
3. Candidates are expected to establish and maintain a thriving research program and make significant additional research accomplishments since hire at the University of Connecticut. Evidence for such a thriving program should include the ability to obtain adequate funding and may include advising students towards their Ph.D. and successfully mentoring postdocs.
4. Candidates are expected to produce quality scientific publications since hire, at a level commensurate with a national reputation for scholarship.
5. Candidates are expected to have demonstrated high quality teaching and the ability to teach a variety of courses, including some large entry-level classes. Examples of evidence of high quality teaching may include student evaluation of teaching scores, comments from students, evaluations of teaching by colleagues, direct quantitative evidence of student learning, advising undergraduate students in research, and who pursue graduate degrees.

6. The candidate is not expected to provide major service activities towards the Department, the University, or the Community before tenure. Nevertheless, such service will be considered a positive element towards tenure and promotion, albeit with less weight than teaching and research. Examples of such service may include serving physics department or University committees, serving on committees or boards of professional societies, leading national panels associated with peer review, science policy, or broader impact of science on society.
7. These criteria are intended to be consistent with the University Bylaws relating to rank and promotion. To the extent there is any conflict between the two, University Bylaws take precedent.
8. If there are special tasks mentioned in the offer letter, these items will also be considered when considering tenure and promotion. Such items may consist of creating a new course or novel program or similar.
9. Tenure and promotion criteria are *not* the same as merit criteria.
10. There may be cases of external candidates to be hired closer to tenure or with tenure directly at the level of Associate Professor where several of the criteria listed above apply only partially or not at all. For example, a researcher hired during their time in a tenure-track or comparable position will usually be able to apply some of their prior work towards tenure criteria. A scientist from a national laboratory or similar, however, may not have had opportunity to demonstrate high quality teaching. Such cases will require close scrutiny but will have to allow considerable flexibility on some criteria listed above. Often, special regard of these criteria is spelled out the in the offer letters, which will also be taken into account.

II. Criteria for Annual Review of Tenure-Track Candidates

Tenure-track Assistant Professors are evaluated annually to assess progress made towards each of the items listed as criteria for tenure in section A. The procedures and materials for this review are described in a separate document that outlines our review process and timeline.

III. Criteria for Promotion from Associate Professor to Professor

1. The primary criterion for promotion is excellence in scholarship. This should be considered a necessary but not sufficient condition.
2. Excellence in scholarship includes establishing an international reputation as a scholar. Examples of items that would indicate such a reputation may include: comments on reputation in letters of reference, participation in international collaborations, invitations for

international visiting professorships, invited talks at international conferences, invitations to speak at international institutions, invitations to serve on evaluative panels, major prizes from learned societies, publication of books or book chapters.

3. Candidates are expected to maintain a thriving research program and make significant additional research accomplishments since promotion to Associate Professor. Evidence for such a thriving program should include the ability to maintain adequate funding and may include items such as advising students who complete the Ph.D. and mentoring postdocs.
4. Candidates are expected to continue to produce quality scientific publications since promotion to Associate Professor, at a level commensurate with an international reputation for scholarship.
5. Candidates are expected to have demonstrated high quality teaching and the ability to teach a variety of courses. Examples of evidence of high quality teaching may include student evaluation of teaching scores, particular comments from students, evaluations of teaching by colleagues, direct quantitative evidence of student learning, advising undergraduate students in research, and advising students who pursue graduate degrees.
6. The candidate is expected to have exhibited continuing service to the physics department, the college/University, and the physics community at large since the promotion to Associate Professor. Examples of such service may include serving and chairing physics department committees, serving on University committees, serving on committees/boards of professional societies, leading national panels associated with peer review, science policy, or broader impact of science on society.
7. These criteria are intended to be consistent with the University Bylaws relating to rank and promotion. If there is any conflict between the two, University Bylaws take precedent.
8. Promotion criteria are *not* the same as merit criteria.
9. There may be cases of external candidates to be hired at the level of Professor where several of the criteria listed above do not apply. For example, a senior scientist from a national laboratory may not have had opportunity to demonstrate high quality teaching. Such cases will require close scrutiny but will have to allow considerable flexibility on some criteria listed above.

IV. Criteria for promotion to Associate Professor in-Residence

1. The primary criterion for promotion is quality performance in the area for which the candidate was hired. This is most typically teaching, but there may be cases where Assistant Professors in-Residence have other responsibilities such as operating teaching laboratories or

other academic tasks. Examples of evidence of quality teaching may include student evaluation of teaching scores, particular comments from students, evaluations of teaching by colleagues, direct quantitative evidence of student learning, and advising students.

2. Other criteria, like the criteria used to evaluate tenure-track faculty, can also be considered as secondary criteria. Some examples may include:
 - (i). Scholarship that establishes a noted reputation, particularly with respect to pedagogical research. Examples of items that would indicate substantial scholarship may include: publication of results, research funding, letters of reference, participation in collaborations, invitations for visiting professorships, invited talks at conferences or other institutions, invitations to serve on evaluative panels, prizes from learned societies.
 - (ii). Substantial service to the Department, the University, or the Community. Examples of such service may include participation on physics department or University committees particularly related to issues of teaching, serving on committees or boards of professional societies, or participating in outreach to bring science to the broader community.
3. These criteria are intended to be consistent with the University Bylaws relating to rank and promotion. To the extent there is any conflict between the two, University Bylaws take preference.
4. Promotion criteria are *not* the same as merit criteria.

V. Criteria for promotion to Professor in-Residence

1. The primary criterion for promotion is excellence in the area for which the candidate was hired. This is most typically teaching, but there may be cases where Associate Professors in-Residence have other responsibilities such as operating teaching laboratories or other academic tasks. Examples of evidence of excellent teaching may include student evaluation of teaching scores, particular comments from students, evaluations of teaching by colleagues, direct quantitative evidence of student learning, and advising students.
2. For promotion to Full Professor in-Residence it is necessary that the candidate exceeds the expectations laid out in the offer letter. Examples for such extra accomplishments include course development, educational research/grants, teaching advanced courses, advising undergraduate students, involvement in teaching and learning enhancement, professional development, outreach, working with the Coop program, and others, as long as these areas are not part of the original offer letter.
3. In general, criteria similar to that used to evaluate tenure-track faculty may also contribute to the case for promotion to Professor in-Residence. Examples may include:

- (i). Excellence in scholarship, particularly with respect to pedagogical research. Examples of items that would indicate excellence in scholarship may include: strong record of publication, research funding, letters of reference, participation in collaborations, invitations for visiting professorships, invited talks at conferences or other institutions, invitations to serve on evaluative panels, prizes from learned societies.
 - (ii). Excellence in service to the Department, the University, or the Community. Examples of excellence in service may include: leading physics department or University committees particularly related to issues of teaching, serving on committees or boards of professional societies, or leading outreach to bring science to the broader community.
4. These criteria are intended to be consistent with the University Bylaws relating to rank and promotion. To the extent there is any conflict between the two, University Bylaws take preference.
5. Promotion criteria are *not* the same as merit criteria.