

CODE¹ OF THE DEPARTMENT OF STATISTICS

Colorado State University

(Revised January 2003)

(a) ADMINISTRATIVE OFFICER

The Department Chair shall be the administrative and academic officer of the Department. Procedures for appointment of the Department Chair, terms of office, and specific responsibilities shall be as specified by the Code of Colorado State University, Section C.2.4.2 of the *Academic Faculty and Administrative Professional Manual*.

(b) FACULTY AND MEMBERS OF THE DEPARTMENT, AND VOTING RIGHTS

In what follows, "faculty" means all faculty (comprising visiting faculty, special faculty, temporary faculty, administrative professionals, postdoctoral fellows, joint faculty, and regular faculty) where "joint faculty" comprises those faculty with a joint appointment in the Department and primary appointment outside of Statistics [see (q)], and "regular faculty" comprises those faculty holding tenured and tenure-track positions (on a full, transitional or fractional time basis, with home department in Statistics as defined by the *Academic Faculty and Administrative Professional Manual*).

A quorum for any meeting is met if more than 50% of eligible participants are present. Voting is by person or by proxy, and a proxy is considered to be present at the meeting. A faculty member wishing to vote by proxy must, in writing or by telephone, designate to the Chair of the Department or the chair of the meeting the faculty member holding his/her proxy, and must specify the reason for his/her absence from the meeting.

Voting at any meeting may be restricted as in this code. Unless otherwise specified in this Code, votes are resolved by a majority of votes cast (excluding abstentions), provided that the number of votes cast constitutes a quorum.

(c) DEPARTMENTAL ADMINISTRATION

- (i) As described below, the Chair of the Department shall be advised by an appointed Departmental Executive Committee and by other appointed ad-hoc Committees as from time to time seem appropriate. The Department shall elect a Promotion and Tenure Advisory Committee in accordance with (f) below. Departmental administration shall be conducted in accordance with current University Code as supplemented in detail by this Departmental Code.
- (ii) The Chair of the Department may appoint an Associate Chair to help with the administration of the Department, subject to annual approval of the Department. In the event that the Chair is absent from campus, the Associate Chair will act as Chair.

¹ The Department herewith acknowledges the authority (delegated to the University President) of the Board of Governors of the CSU System in all personnel decisions.

- (iii) At the beginning of each Academic Year the Department Chair shall appoint an Executive Committee consisting of at least three faculty members selected from those having regular full-time faculty appointments. This committee shall advise the Chair on matters related to but not restricted to fiscal policy, personnel and facilities. The Department may recall members of this committee in accord with (o) below.
- (iv) Unless decided otherwise by the Chair, other appointed Committees shall consist of but not be restricted to:
- * Graduate Committee, consisting of at least three regular (but not necessarily full-time) faculty members, with responsibilities for advising the Chair on changes to the graduate curriculum, variations in requirements for graduate courses, and acting on grievances in accord with (j) below,
 - * Graduate Screening Committee, consisting of at least three regular (but not necessarily full-time) faculty members, with responsibilities for the recruitment and screening of potential graduate students and forwarding to the Chair recommendations regarding admission and/or financial support.
 - * Undergraduate Committee, consisting of at least one regular and two other (not necessarily full-time) faculty members, with responsibilities for advising the Chair on changes to the undergraduate curriculum, variations in requirements for undergraduate courses, and acting on grievances in accord with (j) below,
 - * Computing and Facilities Committee, consisting of at least three regular (but not necessarily full-time) faculty members, with responsibilities for advising the Chair on the computing facilities and other physical facilities of the Department;
 - * Committees on Seminars, Libraries and Research Reports, consisting of at least one regular (but not necessarily full-time) faculty member, with responsibilities for administering these activities under guidance from the Chair;
 - * Student Representative Committee, consisting of at least five graduate students appointed after consultation with an open meeting of the graduate student body, with responsibilities for advising the Chair on issues related to the graduate students.

Any other committees may be appointed by the Chair and the membership of these committees may be varied by the Chair, in which case the faculty shall be advised in writing. Should the Chair's decision to change these structures be disputed in writing by any five members of the regular faculty, a full open meeting of regular faculty shall be held within 14 days and the issue decided by majority vote.

(d) DEPARTMENTAL MISSION

The mission of the Department of Statistics is:

To devise and develop statistical and probabilistic theories and techniques, and to disseminate statistical knowledge through teaching, advising, and outreach programs, in order to serve the needs of the University, and local, state and national bodies in research, government, business, and industry.

This mission statement will be implemented by:

- (i) providing an excellent teaching environment at all levels, including: wide-spread service courses where students across the University will learn the principles and practices of statistical methods at the undergraduate and graduate level; courses leading to a major, concentration or minor in Statistics; courses and research advising leading to an M.S. in Statistics; and courses and research advising leading to a Ph.D. in Statistics;
- (ii) carrying out research in mathematical statistics, applied statistics, and probability which will be recognized at a national and international level as advancing the state of knowledge of the discipline;
- (iii) carrying out applied research based on interaction with other disciplines and workers both within and outside the University; providing statistical advice or consulting to the University community; and more broadly working on any problems where the specialist expertise of the Department is relevant, within the state, nationally, or internationally.

The Department and its members are also expected to provide service to the discipline, the University, and the community as described in (g) below.

The Department and its members shall aspire to excellence in all of these areas, and these aspirations will guide the process of review for re-appointment, advancement or tenure using the criteria in (g) below.

(e) NEW OR VACATED POSITIONS

Vacancies may be created in the faculty or staff by, for example, retirement and resignation, and new positions may be created to meet the evolving needs and mission of the Department. When a vacancy occurs or a new position is created, the Chair and Executive Committee shall solicit advice from the faculty concerning the areas of expertise that should be required in a new faculty or staff member.

Once a determination has been made of the areas of expertise to be required in the successful candidate for a regular faculty position, the Chair shall appoint a Search Committee (i) to prepare a formal announcement for the position, (ii) to receive applications and to respond to inquiries, and (iii) to screen applications. The Committee shall have at least three members, two of whom shall comprise at least one member of the Executive Committee and one member of the Promotion and Tenure Advisory Committee.

The Search Committee shall report on its deliberations to a full open meeting of regular faculty, and a short list shall be determined by such a meeting.

After all finalists have been interviewed, the Chair shall convene the regular faculty to select the candidate to whom an offer should be made. The Chair shall be responsible for final negotiations with the candidate selected by the faculty.

For a staff or non-professorial faculty position, the Chair shall be responsible for selecting a candidate and offering the position. For joint faculty appointments, see section (q).

(f) PROMOTION, TENURE, AND REAPPOINTMENT PROCEDURES

There shall be a Promotion and Tenure Advisory Committee consisting of at least three members, elected for three year "rolling" terms with one elected annually from the tenured faculty of the Department. Upon written notification by the Dean of the College, or by the Chair, the Committee shall consider all faculty who are eligible for reappointment, promotion, and/or tenure in any year, and shall tender recommendations for action based on the criteria in (g) below.

The Chair of the Promotion and Tenure Advisory Committee shall be elected by and from among the members of this Committee. Any member of the Committee, who is either eligible for promotion or believes that a particular case may place him/her in conflict, shall be excused from serving in such cases.

Upon receiving recommendation from the Advisory Committee:

- (i) The Chair of the Department shall convene in Special Meeting the tenured faculty to consider recommendations for the reappointment or tenure of faculty. Recommendations of the Promotion and Tenure Advisory Committee shall be reported and discussed, after which the faculty in the Special Meeting shall vote on the question of reappointment or tenure of each of the candidates.
- (ii) The Chair of the Department shall convene in Special Meeting a promotion committee comprising the tenured Professors holding regular appointments in the faculty in Statistics to consider candidates for promotion from the rank of Associate Professor to Professor. The Chair shall also convene in Special Meeting a promotion committee comprising the tenured Professors and tenured Associate Professors holding regular appointments in the faculty in Statistics to consider candidates for promotion from the rank of Assistant Professor to Associate Professor. Recommendations of the Promotion and Tenure Advisory Committee shall be reported and discussed at these meetings, after which the faculty in such Special Meeting shall vote on each of the candidates.
- (iii) In each of the aforementioned Special Meetings, faculty shall indicate their vote, by secret ballot, for or against proposals for reappointment, tenure, or promotion. A recommendation of the faculty, including a summary of the faculty vote, and majority and minority reports, shall be reported by the Chair to the Dean of the College, together with the recommendation for action tendered by the Chair.
- (iv) In the event that a faculty member is not recommended for reappointment by the appropriate Faculty Committee as outlined in (f)(i) (and that this recommendation is accepted by the Departmental Chair and higher officials in the University administration), the faculty member in question shall be notified of this action in accordance with requirements specified in Section E.6.c of the *Academic Faculty and Administrative Professional Manual*.

The Promotion and Tenure Advisory Committee, in the presence of the Chair of the Department, shall meet with each tenure-track faculty member individually in each year of the latter's appointment, to discuss Departmental policy on mentoring, reappointment, promotion and/or tenure, and provide

preliminary assessment of performance.

(g) PRINCIPLES FOR TENURE AND PROMOTION

Based on the Departmental Mission in (d), the criteria for tenure and promotion require an assessment of performance in the three areas: teaching, research and service.

(i) *Aspects of Evaluation*

Teaching

Assessment of teaching includes (though is not limited to) evaluation of: classroom teaching at all levels of undergraduate, M.S. and Ph.D. (including service courses taught outside the Departmental majors); development of innovative teaching methods and materials; development of teaching texts; advising on both M.S. and Ph.D. projects within the Department; and service on graduate student committees, both within and external to the Department.

Research

Assessment of research includes (though is not limited to) evaluation of: written scholarly work, such as monographs, papers and technical reports; publications describing research in mathematical statistics, applied statistics, or probability which will be recognized at a national and international level as advancing the state of knowledge of the discipline, and appearing typically but not exclusively in peer-reviewed journals; publication of novel applications of statistics and probability, typically but not exclusively in peer-reviewed journals of other disciplines; levels of citation of all such publications; peer-reviewed and other external grants; Ph.D. thesis advising; M.S. project and thesis advising; invitations to speak at professional conferences in the discipline and in other disciplines; award of prizes and other peer recognition; and publication of conference papers.

Service

Assessment of service to the discipline includes (though is not limited to) evaluation of: outreach activities including consulting through CASE and the Statistical Laboratory; authorship or acknowledgment of statistical or probabilistic data analyses, typically in journals of other disciplines; service on international or national (e.g. Government agency) panels, industry bodies and the like; service within professional societies, and election to non-open Fellowships and Memberships of such societies; refereeing and editorial work; conference organization; and other provision of professional skills outside the Department, including consulting or contract research.

Assessment of service to the Department, the University and the wider community includes (though is not limited to) evaluation of: advising of students about the discipline; activity on Departmental committees; activity on University committees; Departmental and other University administrative activity; and advising of undergraduate and unassigned graduate students.

(ii) *Criteria for Promotion and Tenure*

Promotion to Associate Professor and Tenure

The criteria for promotion to Associate Professor and for tenure are: demonstrated effectiveness and competence in all three of the areas of research, teaching, and service, with excellence in at least one. Even where substantial other applied research and collaboration is also demonstrated, the Department specifically requires evidence of research in mathematical statistics, applied statistics, or probability which is recognized at a national and international level as advancing the state of knowledge of the discipline, and this can normally although not exclusively be demonstrated by publication in peer-reviewed journals; competence to teach at all levels, or if

competence at some one level is deficient, some extra demonstrated excellence elsewhere in compensation; and a significant contribution in service, at least to the discipline and to the Department if not to the wider University community.

Promotion to Full Professor

The criteria for promotion to Full Professor are stronger, and require not only demonstrated effectiveness and competence in all three of the areas of teaching, research and service, but scholarly excellence at a level that is recognized within the University and throughout the wider Statistical community.

The Department specifically requires evidence of research in mathematical statistics, applied statistics, or probability, recognized at a national and international level as advancing the state of knowledge of the discipline, and of a quantity beyond that used for previous promotion or appointment to Associate Professor, and a caliber beyond the minimum used for promotion to Associate Professor; where substantial applied research and collaboration is also demonstrated, this also needs to be at a higher quantity or caliber than needed to be demonstrated for a previous promotion. Demonstrated competence to teach at all levels, and demonstrated ability to advise at the Ph.D. level, are required; and an ongoing significant contribution in service is expected, at least to the discipline and to the Department, and usually to the wider University community.

(h) APPOINTMENT OF FACULTY TO GRADUATE STUDENT ADVISORY COMMITTEES

Membership of the advisory committee for each graduate student in the Department of Statistics should be determined by discussion and mutual agreement between the student, the major professor, and the proposed committee, and confirmed by approval of the Chair; but is subject also to regulation by recommendations from the Faculty Council to the Graduate School.

(i) EVALUATION OF PERFORMANCE BY FACULTY

Annual Review Procedure

The performance of each member of the faculty of Statistics shall be evaluated annually using criteria outlined in Section E.12 of the *Academic Faculty and Administrative Professional Manual*, and the goals of the Department in (d) above. In advance of this evaluation, each faculty member shall submit a written report in the form required by the Department at that time. This report shall emphasize achievements in (i) teaching (including advising), (ii) research and other creative activities, and (iii) service to the University, the public, and the discipline of statistics. The Chair shall meet with each faculty member to discuss both strengths and weaknesses of the record of achievement, and to identify goals and objectives for the future. The Chair shall advise each member of the faculty in writing of the decisions reached at this meeting. Additional procedures related to evaluation of faculty shall follow the guidelines established in Sections C.2.5 and E.14 of the *Academic Faculty and Administrative Professional Manual*.

Comprehensive Reviews of Tenure-Track Faculty

A comprehensive performance review of tenure-track faculty shall be conducted at the midpoint of the probationary period at Colorado State University. This comprehensive review will be conducted by the Promotion and Tenure Advisory Committee of the Statistics Department, in accordance with the guidelines set forth in Section E.14 of the *Academic Faculty and Administrative Professional Manual*.

Comprehensive Performance Reviews of Tenured Faculty

(i) Promotion Progress Reviews

A comprehensive review will be conducted of all tenured assistant and associate professors no later than the fifth year after the acquisition of tenure to assess progress toward promotion. This review will be conducted by the department's Promotion and Tenure Advisory Committee in accordance with the guidelines contained in Section E.14 of the *Academic Faculty and Administrative Professional Manual*. Additional periodic comprehensive reviews (at not less than five year intervals) for promotion may be requested by the department chair or by the concerned faculty member.

(ii) Periodic Comprehensive Reviews of Tenured Faculty

Periodic comprehensive performance reviews of all tenured faculty of Statistics shall be conducted by the department chair, in accordance with the guidelines contained in Section E.14 of the *Academic Faculty and Administrative Professional Manual*. In the event a Phase II review becomes necessary, such review will be conducted by a committee consisting of the Promotion and Tenure Advisory Committee of the department and an outside tenured faculty member appointed by the Dean of the College. The outside faculty member shall act as chair of the Phase II review committee. Phase II reviews will follow the guidelines as set forth in Section E.14 of the *Academic Faculty and Administrative Professional Manual*.

(j) **FACULTY GRIEVANCE PROCEDURES**

The policy of the University is to assure the speedy and fair resolution of all conflicts, to provide for review processes to guarantee the fair and reasonable application of University policy or policies to all members of the general faculty, and to encourage mediation of potential conflicts at the earliest possible moment. It shall be the responsibility of the University, through the Office of the President, to assure that the grievance procedures, review processes, and mediation provisions, as set forth in Section K of the *Academic Faculty and Administrative Professional Manual*, are appropriately supported, respected, and enforced. All persons affected by this policy shall follow the provisions contained in Section K of the *Manual* before pursuing any action with external agents or agencies, except in cases where Federal and state law gives persons the right to institute civil action without first exhausting internal administrative remedies.

(k) **SELF-EVALUATION OF THE DEPARTMENT OF STATISTICS**

Every seventh year (or at other times as required by University policy), the Department shall initiate a self-evaluation of its operations. The Dean of the College shall appoint a Review Committee, including the Chair of the Department, to carry out this evaluation. The Chair shall provide relevant faculty (as defined in the University Code) with written notice to provide the Review Committee with information and direction concerning the conduct of the self-evaluation. The Review Committee shall then assume responsibility for organizing, conducting, and assessing a review of Departmental operations. The self-evaluation shall consider: (i) effectiveness of teaching and advising at both undergraduate and graduate levels, (ii) importance and impact of research conducted by faculty and students, and (iii) any other activities affecting the attainment of Departmental goals and objectives.

The Review Committee shall present its report at a meeting open to all of the faculty of the Department. Acceptance of the report shall require an affirmative vote from two-thirds of the faculty in attendance. A

copy of the approved report shall be submitted by the Review Committee to the Dean of the College, and to the Provost/Academic Vice President.

(l) STUDENT APPEALS PROCEDURES

Students may appeal grading decisions of instructors. The burden of proof, however, rests with the student to demonstrate that the grading decision was made on the basis of any of the following conditions:

1. A grading decision was made on some basis other than performance and other than as a penalty for academic dishonesty.
2. A grading decision was based on standards unreasonably different from those which were applied to other students.
3. A grading decision was based on a substantial, unreasonable, or unannounced departure from previously stated standards.

Before making an appeal, the student should discuss the situation with the instructor(s) involved in the decision.

To appeal a grading decision, the student shall submit to the department chairperson a written request which sets forth the basis for the appeal, identifying at least one of the three categories set forth above. The request must be submitted or postmarked (if mailed) no later than thirty (30) calendar days after the first day of classes of the next regular semester following the date the grade was recorded. If no appeal is filed within this time period, the grade shall be considered final.

Within thirty (30) days of the receipt of the request for an appeal, the student's appeal shall be provided to the instructor(s) who assigned the grade and an appeals committee shall be formed by the department chairperson. This committee shall consist of two faculty members and two students from within the department and one outside faculty member who shall serve as a voting chair. The appeals committee will review the written appeal and response of the instructor(s). They may elect to separately interview both the student and the instructor(s) before rendering a decision. Such decision will be based upon whether one of the conditions for an appeal as set forth above has been met. At the conclusion of deliberations, the appeals committee shall render one of the following decisions: (1) the original grading decision is upheld, or (2) the department chairperson or his/her designee(s) will reevaluate the student's achievement of the instructional objectives of the course and will assign a grade accordingly.

Written notice of the committee's decision and the reasons for the decision normally will be sent to the student and the instructor(s) within thirty (30) calendar days of the appointment of the appeals committee.

The appeals committee's decision is the final decision of the University. Written summaries of the hearing and decision, together with a rationale for that decision, shall be provided to the student and the instructor who assigned the grade and shall be retained in the department office for a period of one year.

(m) DEPARTMENTAL MEETINGS

A full open Departmental faculty meeting will be scheduled no later than the third week of each semester of the academic year, at a time and place to be determined by the Department Chair, with the Department faculty to be notified by memorandum. Other meetings may be called upon notice by memorandum from the Department Chair, or at the written request of five or more regular faculty members. Voting at all such meetings will be recorded and decisions will become recommendations to the Chair, except as specified elsewhere in this Code. Voting members comprise all regular faculty of the Department.

(n) PROCEDURES RELATING TO THE REVIEW OF THE DEPARTMENTAL CODE

(i) Interim Revision of the Code

Any regular member of the faculty may offer an amendment to the Code of the Department of Statistics by giving written notice to the faculty and to the Executive Committee, together with the proposed amendment. A proposed amendment shall be included on the agenda for the next meeting of the faculty in the Department, and shall require approval by two-thirds of the regular faculty present, voting by secret ballot, to receive preliminary acceptance. The amendment shall be considered again at the next meeting of the faculty. If two-thirds of the total regular faculty then cast votes of approval, either in person or by proxy, the amendment shall be forwarded to the Dean of the College. With the concurrence of the Dean, the amendment shall become part of the Code of the Department.

(ii) Periodic Review of the Code

During the final year of the term of the Chair, the Department shall initiate a review of the Code. The Chair shall provide the faculty with written notice of a meeting to be held one week hence to review the Code and to consider necessary changes. Amendments proposed at this meeting shall require approval by two-thirds of the regular faculty present, voting by secret ballot, to gain preliminary acceptance. These amendments shall be considered again at the next meeting of the faculty, and require affirmation from two-thirds of the regular faculty, voting by secret ballot, to gain approval. Proposed changes in the Code then shall be forwarded to the Dean of the College. With the concurrence of the Dean, the changes shall become part of the Code.

(o) RECALL

A meeting of regular faculty to recall a member of the Executive Committee, the Associate Chair, or the Chair, may be called, in writing, by any five members of the regular faculty in the Department. If a motion to recall a member of the Executive Committee is passed by two-thirds of the regular faculty members, the member of the Executive Committee shall immediately resign from the Committee and a successor shall be appointed by the Department Chair. If a motion to recall the Associate Chair is passed by two-thirds of the regular faculty members, the Associate Chair shall immediately resign from the chair and a successor shall be appointed by the Department Chair. If a motion to recall the Chair is passed by two-thirds of the regular faculty members, the Department shall officially request the Dean of the College to consider replacement of the Department Chair in accordance with the University Code.

In the event of dissatisfaction with any recommendation of the Executive Committee or with any decision of the Department Chair, the faculty may petition for an ad hoc meeting of regular faculty to discuss the issue. Such a meeting shall be called by the Chair within one week of receiving a petition signed by a majority of the regular faculty members. Majority recommendations at such a meeting shall be considered by the Chair to supersede Executive Committee recommendations.

(p) THE FRANKLIN A. GRAYBILL STATISTICAL LABORATORY AND THE CENTER FOR APPLIED STATISTICAL EXPERTISE (CASE)

The Department shall maintain the Franklin A. Graybill Statistical Laboratory and the Center for Applied Statistical Expertise (CASE) for the purposes of providing consulting services on specific statistical problems, assisting in the use of statistical computer programs, maintaining and updating the University capabilities in statistical data analysis, and providing practical problems for use in the training of students

in data analysis. The Graybill Statistical Laboratory shall be responsible for internal consulting and advice to members of the University.

The Department Chair shall be the Director of the Graybill Statistical Laboratory and CASE, and shall be responsible for the establishment of the budget for both entities. There shall be a Graybill Statistical Laboratory/CASE Advisory Committee appointed by the Chair consisting of at least one member of the regular faculty and one other faculty member. Within the constraints of the budget, and depending on the demand for consulting and other services, the day-to-day administration of the various activities of the Graybill Statistical Laboratory/CASE will be the responsibility of faculty and staff designated by the Department Chair. Appointment of regular or other faculty within these two consulting components shall be subject to the procedures in (e) above. Rates and conditions for services shall be determined by the Chair in consultation with the Advisory Committee.

(q) JOINT FACULTY APPOINTMENTS

The Department of Statistics will consider requests for joint appointments from interested and qualified candidates. Applicants for a joint appointment must have the same qualifications as regular faculty of equivalent rank including a tenure track appointment in their primary department. The enactment of such appointments should increase the ability of the department to provide a broad base of research expertise and instruction. In return, individuals holding such appointments will be accorded the following privileges and responsibilities.

Privileges.

1. The opportunity to direct the thesis research of an interested student within the Statistics Graduate Program.
2. Participation without voting privileges at all departmental faculty meetings.

Responsibilities.

1. Maintain a productive research program that is conducive to the training of graduate students.
2. Sustain an active participation in departmental activities including attendance at seminars and faculty meetings and willingness to accept committee assignments.
3. Participation in the teaching program of the Statistics Department. Assignments are to be determined by mutual agreement with the Chair of Statistics and the Chair of the primary department.

All joint appointments must be discussed at regular faculty meetings and be approved by a 2/3 vote of the regular faculty. All joint appointments extended to tenured faculty will be made for a period of 5 years. Joint faculty who are untenured in their primary department will be appointed for 3 years. Renewal of appointments will be based on a review by the Executive Committee of the appointee's contribution to the research and educational programs of the department, followed by discussion and approval by 2/3 of the regular faculty.

CODE OF THE DEPARTMENT OF STATISTICS

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(Revised January 2003)

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