

CODE OF THE DEPARTMENT OF STATISTICS Colorado State University

April 19, 2013

1. 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 *Academic Faculty and Administrative Professional Manual*.

2. FACULTY AND MEMBERS OF THE DEPARTMENT

In what follows, “faculty” means all faculty (comprising visiting faculty, special faculty, temporary faculty, administrative professionals, post-doctoral 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 Section (16), 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*).

3. DEPARTMENTAL ADMINISTRATION

The Chair of the Department shall be advised by appointed ad-hoc Committees as from time to time seem appropriate. Committee membership is at the discretion of the Chair and is not limited to faculty members. Departmental administration shall be conducted in accordance with current University Code as supplemented in detail by this

Departmental Code. 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 or another faculty member designated by the Chair will act as Chair.

4. DEPARTMENTAL MISSION

4.1. The mission of the Department of Statistics is:

To devise, develop, and apply 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.

4.2. This mission statement will be implemented by:

4.2.1. Providing an excellent teaching environment at all levels, including: widespread 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 undergraduate degrees, concentrations or minors in Statistics; courses and advising leading to Masters degrees in Statistics; and courses and research advising leading to a Ph.D. in Statistics;

4.2.2. 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;

4.2.3. 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.

5. NEW OR VACATED POSITIONS

5.1. When a vacancy occurs or a new position is created, the Chair shall solicit advice from the faculty in a meeting of regular faculty

concerning the areas of expertise that should be required in a new faculty or staff member.

- 5.2. 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, including at least 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.
- 5.3. After all finalists have been interviewed, the Chair shall convene the regular faculty to discuss the candidates and select the preferred candidate by secret ballot. The Chair of the Search Committee shall prepare a summary of the viewpoints expressed at the faculty meeting. The Chair shall provide to the Dean his/her recommendation, the outcome of the vote of the regular faculty, and the report of the Chair of the Search Committee. The Chair shall be responsible for final negotiations with the candidate.
- 5.4. For a staff or non-regular faculty position, the Chair shall be responsible for selecting a candidate and offering the position. For joint faculty appointments, see Section (16).

6. PROMOTION, TENURE, AND REAPPOINTMENT PROCEDURES

- 6.1. Recommendations for promotion in rank, tenure, and reappointment of non-tenured faculty shall be initiated by the Chair of the Department in accordance with the *Academic Faculty and Administrative Professional Manual*.
- 6.2. All eligible faculty, as defined in E.10.5.1 of the *Academic Faculty and Administrative Professional Manual*, holding regular appointments in Statistics, excluding the Department Chair, will serve as the Promotion and Tenure Committee for purposes of voting on recommendations for promotion in rank, tenure, and reappointment of non-tenured faculty.

- 6.3. There shall be a Promotion and Tenure Advisory Committee consisting of at least three members, elected for three year “rolling” terms with one member elected annually from the tenured faculty of the Department.
- 6.4. 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.
- 6.5. The Chair of the Promotion and Tenure Advisory Committee shall serve as Chair of the Promotion and Tenure Committee.
- 6.6. The Chair of the Department shall consult with the Promotion and Tenure Advisory Committee in considering all faculty who are eligible for reappointment, promotion, and/or tenure in any year. The Promotion and Tenure Advisory Committee will advise the Promotion and Tenure Committee on recommendations for action based on the criteria in Section (7) below.
- 6.7. 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.
- 6.8. Reviews of progress toward promotion for an associate professor may be requested by the department chair or by the faculty member. Such reviews shall be conducted by the Promotion and Tenure Advisory Committee, in the presence of the Chair of the Department.

7. PRINCIPLES FOR TENURE AND PROMOTION

- 7.1. Based on the Departmental Mission in Section (4), the criteria for tenure and promotion require an assessment of performance in the three areas: teaching, research and service.
- 7.2. Aspects of Evaluation

- 7.2.1. Teaching. Assessment of teaching includes (though is not limited to) evaluation of: classroom teaching at all levels of undergraduate, Masters 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.
- 7.2.2. 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.
- 7.2.3. 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.

7.3. Criteria for Promotion and Tenure

7.3.1. 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.

7.3.2. 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 demon-

strated 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

8. 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.

9. EVALUATION OF PERFORMANCE BY FACULTY

9.1. *Annual Review Procedure*

The performance of each member of the faculty in the Department 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 Section (4) 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*.

9.2. *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 Col-

orado 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*.

9.3. *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. The formation of the committee from an existing, elected committee and an appointed outside member is intended to ensure fairness to the faculty member under review. Phase II reviews will follow the guidelines as set forth in Section E.14 of the *Academic Faculty and Administrative Professional Manual*. The Phase II review committee shall use the standards of evaluation described in Section (7) of this Code, and the faculty member shall submit materials relevant for this evaluation, including but not limited to a current cv.

10. SELF-EVALUATION OF THE DEPARTMENT OF STATISTICS

- 10.1. 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.
- 10.2. 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.

11. STUDENT APPEALS PROCEDURES

The appeals procedure for grading decisions follows Section I.7 of the *Academic Faculty and Administrative Professional Manual*. Should an appeal committee be required, the appeal committee shall be appointed by the Chair. The committee shall be composed of two faculty members from the Department of Statistics, two students from within the department (graduate students pursuing a masters or Ph.D. in Statistics and/or undergraduates with a concentration in Statistics), and one faculty member from outside the department who shall serve as chair. All five members of the appeal committee shall be voting members.

12. DEPARTMENTAL MEETINGS AND VOTING RIGHTS

12.1. A full open Departmental faculty meeting will be scheduled no later than the fourth 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 from the Department Chair, or at the written request of five or more regular faculty members. Voting members at all such meetings comprise all regular faculty of the Department. Voting will be recorded and decisions will become recommendations to the Chair, except as specified elsewhere in this Code. Non-regular faculty members have the right to attend all faculty meetings without voting privileges, except those meetings that involve regular-faculty personnel issues or other instances at the discretion of the Chair.

- 12.2. A quorum for any meeting is met if more than 50% of eligible participants are present, unless otherwise specified in the Academic Faculty and Administrative Professional Manual. 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 (email is acceptable) 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.
 - 12.3. 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
13. PROCEDURES RELATING TO THE REVIEW OF THE DEPARTMENTAL CODE

13.1. *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 of 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 and the Provost. With the concurrence of the Provost, the amendment shall become part of the Code of the Department.

13.2. *Periodic Review of the Code*

In accordance with Section C.2.4.2 of the *Academic Faculty and Administrative Professional Manual*, evaluations of departmental academic programs and operations shall be conducted periodically according to a schedule established by the Provost in consultation with the department. During the year of the evaluations, the Department shall initiate a review of the Code. The Chair shall appoint a subcommittee of the eligible faculty to review the

Code and suggest revisions. Upon receipt of the suggested revisions, the Chair will provide the faculty with written notice of a meeting to be held one week hence to review the Code and to consider the suggested 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 and the Provost. With the concurrence of the Provost, the changes shall become part of the Code.

14. RECALL

A meeting of regular faculty to recall 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 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 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.

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

15.1. 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.

- 15.2. 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. 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 Section (5) above.

16. JOINT FACULTY APPOINTMENTS

- 16.1. Joint Faculty Appointments The Department of Statistics will consider requests for joint appointments, as specified in Section E.2.2 of the *Academic Faculty and Administrative Professional Manual*, 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.
- 16.2. Privileges.
 - 16.2.1. The opportunity to direct the thesis research of an interested student within the Statistics Graduate Program.
 - 16.2.2. Participation without voting privileges at all departmental faculty meetings.
 - 16.2.3. Opportunity to participate 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.
- 16.3. Responsibilities.

- 16.3.1. Maintain a productive research program that is conducive to the training of graduate students.
- 16.3.2. Sustain an active participation in departmental activities including attendance at seminars and faculty meetings and willingness to accept committee assignments.
- 16.4. 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 five years. Joint faculty who are untenured in their primary department will be appointed for three years. Renewal of appointments will be based on a review 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.

17. SENIOR TEACHING APPOINTMENTS

- 17.1. The Department will consider eligible employees for Senior Teaching Appointments, as described in Section E.11 of the *Academic Faculty and Administrative Professional Manual*. Eligible employees must have (i) demonstrated excellence in classroom teaching and in the development of innovative teaching methods and materials, and (ii) demonstrated superior contributions to the Department's teaching mission, beyond classroom instruction. The expectation is that Senior Teaching Appointees would have a Ph.D. in Statistics or a closely-related field.
- 17.2. The appointment committee for a Senior Teaching Appointment shall consist of all regular faculty members excluding the Department Chair and excluding any faculty member holding an administrative appointment (as defined in Section K.12 of the *Academic Faculty and Administrative Professional Manual*) of more than half time.

18. FACULTY AFFILIATE APPOINTMENTS

- 18.1. The Department of Statistics will consider requests for faculty affiliate appointments, as specified in Section E.2.2 of the *Academic Faculty and Administrative Professional Manual*, from interested

and qualified candidates who are not employed by the University. Applicants for a faculty affiliate appointment must have comparable qualifications to regular faculty and should maintain a productive research program that is conducive to the training of graduate students. 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 privileges of co-advising the research of an interested student within the Statistics Graduate Program, and of serving as a member of a graduate committee within the Department (not as an outside committee member).

- 18.2. All faculty affiliate appointments must be discussed at regular faculty meetings and be approved by a 2/3 vote of the regular faculty. All faculty affiliate appointments will be made for a period of three years. Renewal of appointments will be based on a review 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.