

# CONSTITUTION OF THE INSTITUTE FOR BEHAVIORAL GENETICS (IBG)

Revised: 06-03-2011

Revised: 05-13-2022

## I. MISSION

The mission of the Institute for Behavioral Genetics (IBG), established in 1967 by the University of Colorado Board of Regents, is to conduct and facilitate research on the genetic bases of individual differences in behavior and to conduct research training in this interdisciplinary area.

## II. ORGANIZATION

IBG, as a unit of the University of Colorado at Boulder (UCB), is subject to the Rules of the Regents, the policies of the University, and the Institute's By-Laws. The Director of IBG is its principal executive officer and is responsible for its overall leadership. A Directorate, composed of the Director and all IBG Faculty Fellows, is responsible for planning and performing the research and educational programs of IBG and ensuring stability of these programs. IBG, through its Director, reports to the Vice Chancellor for Research & Innovation and Dean of the Institutes (hereafter referred to as the Vice Chancellor).

## III. BY-LAWS

Internal regulations and more detailed operational procedures for IBG are specified in the By-Laws adopted by the Directorate and approved by the Vice Chancellor.

The procedures for appointing IBG Faculty Fellows, the Director, and other IBG personnel, are detailed in the By-Laws. Participation in IBG is open to University faculty and other scientists based upon their credentials and on the formal criteria specified in the By-Laws.

## BY-LAWS OF THE INSTITUTE FOR BEHAVIORAL GENETICS (IBG)

### I. ADMINISTRATIVE STRUCTURE

#### A. Directorate

The Institute is organized in the form of a Directorate composed of the Director and the IBG Faculty Fellows. The Directorate is responsible for designing, initiating, and carrying out the research and educational programs of the Institute, for ensuring continuity in the nature of the scientific tasks and in the resources for conducting them, and for coordinating the work with relevant University of Colorado units and external organizations.

1. The Director is the principal executive officer and appointing authority, responsible for the overall leadership of the Institute within the Rules of the Regents, the policies of the University, and the By-Laws of the Institute. The Director reports to the Vice Chancellor for Research & Innovation and Dean of the Institutes (hereafter referred to as the Vice Chancellor) on matters pertaining to the Institute's administrative, management, research, and teaching programs. The Director shall be rostered in the Institute and shall also be a member of an academic unit in which they have an associate or full professorial appointment. The Director is the official spokesperson and representative of the Institute.
2. IBG Faculty Fellows are appointed by the procedures outlined in Section II of the By-Laws. A Faculty Fellow's position (full-time-equivalent: FTE) may be rostered, either wholly or in part, in IBG or in a cognate academic unit.

#### B. Other IBG Personnel

##### 1. Research Professors

The CU Boulder campus considers Assistant, Associate, and Full Research Professors to be comparable to the similarly named tenure-track faculty rank. Salary, promotion, and appointment actions are in accordance with CU Boulder policies. IBG Research Professors are appointed by the procedures outlined in Section II, and reappointment and promotion procedures are outlined in Section IV.B.

##### 2. Research Associates and Senior Research Associates

Research Associates are appointed by the appropriate Principal Investigator or Faculty Fellow sponsor with the concurrence of the Director. Senior Research Associates are Research Associates who have met the requirements described in Section IV.C. These are University titles and must be approved by the Vice Chancellor .

3. Staff

The IBG staff comprises:

- a. State-funded support positions in the State Personnel System and professional exempt class.
- b. Grant- or contract-funded positions of an administrative, support, or research nature in either the State Personnel System or the Special Faculty (e.g., Professional Research Assistant or Senior Professional Research Assistant) category.

4. Graduate Research Assistants

Research Assistants are appointed by the appropriate Principal Investigator with the concurrence of the Director.

5. Graduate Students (not Graduate Research Assistants)

Graduate Students who are not Research Assistants, but who are under the direction of the IBG faculty, may also affiliate with IBG upon the recommendation of the faculty sponsor and with the concurrence of the Director.

C. Visiting Professors and Visiting Fellows

Visitors to the Institute may, upon the recommendation of the Directorate, be accorded the Title "Visiting Fellow" or designated "Visiting ---" (academic title indicating the visitor's rank at his or her home institution) as specified in Part II, Section 3, of the University of Colorado Faculty Handbook.

II. APPOINTMENTS

A. Directorate

1. Faculty Fellows

At least once a year the Directorate will meet to discuss applications for membership in the Institute. Faculty Fellow appointments or reappointments require a standard vote by the Directorate as specified in section VII of this document. Membership as a Faculty Fellow is awarded for a term consonant with the need of the Institute and the need of the candidate but shall in no case be longer than for a five-year term. Members may be considered for additional terms so long as their needs and interests and those of the Institute remain consonant.

Accommodations will have to be made between those academic units involved and IBG when a faculty FTE is rostered either wholly or in part in the Institute. It is understood that membership is limited to the number of people that the resources

of the Institute can help support. Recommendations for membership are forwarded to the Research & Innovation Office for final approval.

IBG Faculty Fellows conduct research in IBG and may be salaried (either wholly or in part) through IBG or through another academic unit. The academic units involved are encouraged to facilitate released-time arrangements for IBG Faculty Fellows.

The procedures for appointment, reappointment, non-reappointment, termination, and dismissal of faculty at CU Boulder are defined in the University of Colorado Faculty Handbook, under Principles & Policies Related to Appointment, Reappointment, Promotion and Tenure.

## 2. Director

### a. Selection and Appointment of a Director

When the selection of a Director is to be made, the IBG Faculty Fellows will establish or constitute themselves as a search committee which will work with CU Boulder Human Resources. The Fellows shall submit the name of their nominee to the Vice Chancellor, who shall make the final determination.

As the Directorship carries an FTE position with it, accommodations will have to be made between the academic units involved when a new Director replaces a Director from a different unit.

The Director is appointed by the Vice Chancellor for a four-year term, with the concurrence of the Vice Provost and Associate Vice Chancellor for Faculty Affairs and subject to approval by the Provost and Executive Vice Chancellor for Academic Affairs of the University of Colorado at Boulder. The Director is eligible for reappointment following the procedures outlined above (Section II, A, 2, a). The Director shall have an associate or full professorial appointment in an academic department and shall hold research credentials relevant to the Institute's mission.

- b. An Acting Director may be appointed by the Director with approval from the Vice Chancellor from among the IBG Faculty Fellows during periods of absence.
- c. In the event of incapacity, death, or resignation of the Director, the IBG Faculty Fellows will recommend to the Vice Chancellor the appointment of an Interim Director, pending the appointment of a new Director. Procedures for the selection and appointment of a new Director must be started expeditiously.

## B. Other IBG Personnel

### 1. Research Professors

Research Professor appointments are initiated by the Institute and follow standard CU Boulder policies regarding Research Professors, as described by the Research & Innovation Office. A candidate for Research Professor may be either an internal promotion or hired from outside into this position. These appointments may be entirely within the Institute or shared jointly with another campus unit, such as a department or institute. The term of appointment is three years for Assistant Research Professor appointments and five years for Associate and Full Research Professor appointments. Reappointment procedures are described in Section IV.B.

The CU Boulder campus criteria for appointment to the rank of Assistant, Associate, or full Research Professor require that the successful candidate demonstrates significant contributions in research judged by their publications, funding history, mentoring of scholars, and external and internal letters of evaluation. Once a candidate's portfolio is assembled and submitted to the Director, the Directorate provides recommendations regarding appointment and appointment level (Assistant, Associate, or Full) by simple majority votes. At this time, the Directorate will also vote on whether the Research Professor will be a Faculty Fellow for a three-year appointment (for Assistant Research Professors) or a five-year appointment (for Associate or Full Research Professors). These votes, the portfolio, and a letter from the Director are forwarded to the Research & Innovation Office for approval.

2. Research Associates and Senior Research Associates

Appointment of Research Associates (subject to the concurrence of the Director) are at the discretion of the Principal Investigator or Faculty Fellow sponsor, who may stipulate the conditions of the award appropriate to a particular grant or contract. Senior Research Associates are Research Associates who have met the requirements described in Section IV.C and campus hiring policies. These are University titles and must be approved by the Vice Chancellor and CU Boulder Human Resources.

3. Staff

Staff appointments are made in accordance with the appropriate State and University regulations working with CU Boulder Human Resources, contingent upon availability of funds.

4. Graduate Research Assistants

Appointment and reappointment to Graduate Research Assistantships (subject to the concurrence of the Director) are at the discretion of individual Principal Investigators, who may stipulate conditions for the award appropriate to a particular grant or contract. Research support may not be offered prior to acceptance of the student by an academic unit of the University.

5. Graduate Students (not Graduate Research Assistants)

Graduate Students affiliated with IBG may hold Fellowships, Traineeships, or Teaching Assistantships. Their appointment to such positions is the responsibility of the relevant awarding body.

### III. ANNUAL EVALUATION

#### A. Directorate

##### 1. Director

Evaluation of the Director will be made by the Vice Chancellor.

##### 2. Faculty Fellows and Research Professors

Each year during the Spring Semester, Faculty Fellows and Research Professors rostered in the Institute shall provide the Director with a copy of his or her Faculty Report of Professional Activities. Evaluations by the Director based upon this information, and the recommendations of the IBG Salary Committee, may be provided to the heads of the cognate academic units for their consideration concerning tenure, promotion, or salary adjustment decisions, and will also be provided to the Vice Chancellor.

#### B. Other IBG Personnel

##### 1. Research Associates and Senior Research Associates

Research Associates and Senior Research Associates are evaluated annually in writing by their supervisor or the Principal Investigator of the grant or contract on which they are employed. The annual evaluation forms part of the Research Associate's or Senior Research Associate's personnel file. The renewal of such appointments is conditional upon satisfactory performance and contingent upon availability of funds. In the event that the Research Associate or Senior Research Associate is Principal Investigator, the Faculty Fellow sponsor is responsible for this evaluation.

##### 2. Staff

Staff are evaluated annually in writing by their supervisors. Procedures for evaluation and requirements for notifying staff of the results will follow the most current rules appropriate for their status (professional exempt, classified, professional research assistant).

##### 3. Graduate Research Assistants

Graduate Research Assistants are evaluated by the Principal Investigator of the grant or contract on which they are employed. The renewal of such assistantships is

conditional upon satisfactory performance and contingent upon the availability of funds.

4. Graduate Students (not Graduate Research Assistants)

Graduate Students who are not employed as research assistants are evaluated according to the procedures of the academic unit in which they are registered for an advanced degree.

#### IV. PROMOTION AND TENURE

##### A. Tenure Track Faculty

Rules for promotion and tenure of faculty members rostered in the Institute follow the University of Colorado Faculty Handbook, under Principles & Policies Related to Appointment, Reappointment, Promotion and Tenure. Tenure normally resides in an academic department, and therefore tenure and promotion are the responsibilities of the academic department.

##### B. Research Professors

Reappointment of Research Professors is based upon recommendation of the Directorate and favorable review and approval by the Research & Innovation Office. After two consecutive reappointments and contingent on expected progress in research, education and service, Assistant Research Professors may apply for promotion. After one reappointment and contingent on expected progress in research, education and service, Associate Research Professors may apply for promotion. The criteria and procedure for promotion regarding Research Professors follow standard CU Boulder policies regarding Research Professors, as described by the Research & Innovation Office, and subject to University policy including but not limited to University of Colorado APS #5060.

##### C. Research Associates

Promotion of Research Associates to Senior Research Associates is at the discretion of the supervising Faculty Fellow and subject to University policy. The criteria for this title will normally include the following: a minimum of six years employment at IBG, a minimum of six years since award of the PhD, and the competitive acquisition of peer reviewed funding. In addition, note may be made of other accomplishments, including publication record, supervisory capacity, listing as co-investigator, and teaching or service contributions. The positive recommendation of the supervising Faculty Fellow is required for promotion to the Senior Research Associate title. The final decision on any recommendation rests with the Vice Chancellor, and requires the submission of current CV, two letters of reference, and a letter from the Director stating the Institute's support of the recommendation and explaining the Institute's criteria and how the individual has met them.

## V. GRIEVANCE PROCEDURES

The Directorate will maintain a written policy for the handling of grievance involving Institute personnel. Through this policy, the Institute will resolve grievances in a manner that is expeditious, fair, and consistent with the policies of CU- Boulder and the University of Colorado system.

## VI. RESEARCH ORGANIZATION

New proposals for research by Faculty Fellows and Research Associates which would use IBG resources are submitted to the Director for initial approval in abstract and outline form, including budget information, prior to their submission to the Office of Contracts and Grants. Particular attention will be paid to their relevance to the Institute's mission. Budgets are to be developed in consultation with the Institute's Chief Financial Manager so as to ensure essential support for Institute facilities, staff positions, and Graduate Students according to any guidelines that may be enacted by the Directorate. The Director is administratively responsible for expenditures on research grants and contracts administered through IBG. The Principal Investigator (PI) on a grant or contract is directly responsible for all expenditures made from grant monies awarded to the Regents in the name of the PI.

Fellows of IBG discharge their special responsibility for graduate education by supervising and guiding Graduate Student research, independently or in group projects, and by teaching formal courses in their respective academic units. As an important teaching responsibility, Faculty Fellows provide a series of courses tailored to the general mission of the Institute. IBG Faculty Fellows contribute to the formal graduate and undergraduate programs of their academic units by teaching courses and serving on thesis, dissertation, and other departmental committees.

All courses taught by IBG Faculty Fellows are evaluated by the standard procedures of the academic units in which they are offered.

## VII. FINANCES

The Director is administratively responsible to the Vice Chancellor for all expenditures within IBG accounts.

General fund budgets and allocations are prepared by the Director.

## VIII. MEETINGS OF THE DIRECTORATE

Meetings of the Directorate are chaired by the Director or his/her designee and will usually be held at least once each semester or more frequently as required. A quorum for a meeting of the Directorate consists of one quarter of the Directorate, not counting for this purpose Faculty Fellows on leave or retired, although those individuals may attend and vote. Items moved and seconded for consideration in any meeting are voted on and will carry by a simple majority vote of the members of the Directorate present,



except as specified in section B below. For items moved and seconded for consideration, a written ballot will be held at the request of any member.

A. Electronic voting without a meeting

The Director or his/her designee may ask the Directorate to vote electronically without a meeting. Typically, such votes will be on issues that require minimal discussion.

At least three days before the vote is to begin, the Director will contact the Directorate, describe the issue under consideration, and request an electronic vote without a meeting. Before voting begins, if any voting member requests that discussion occurs at a meeting of the Directorate, the vote shall be postponed until such a meeting is convened.

The period to cast votes shall be at least three days. The number of electronic votes received must surpass the quorum as defined herein, and the item(s) will carry by simple majority of votes.

B. Exceptions to the requirement of simple majority vote

1. Changes to the By-Laws

Changes to the By-Laws require written notice of motion to be submitted and circulated to all Faculty Fellows at least two weeks prior to the meeting of the Directorate at which they are to be considered. An absentee or electronic ballot will be provided for any member who is unable to attend such a meeting.

Changes to the By-Laws require approval by a two-thirds majority of the Directorate in a written, secret ballot and will not take effect until approved by the Research & Innovation Office. If the Research & Innovation Office does not approve the recommended changes in the By-Laws, the Directorate may appeal directly to the Provost and Vice Chancellor for Academic Affairs.

2. When a vote by the quorum could be nullified by a vote of the full Directorate

For any item in which a vote by the quorum could be nullified by a vote of the full Directorate, a mail or electronic ballot may be requested by any member present.

IX. COMMITTEES OF THE DIRECTORATE

Members of IBG standing committees and their chairpersons are appointed by the Director. New committees may be created, or current committees disbanded, by the Directorate.

- A. The IBG Research Program Committee is responsible for advising the Directorate regarding space and facilities allocations, requirements, utilization, and acquisition; fostering collaborative research; and other duties as may be assigned from time to time by the Director.

- B. The IBG Training Program Committee is responsible for advising the Directorate regarding changes in training program requirements, selection of trainees, monitoring the progress of IBG trainees, and other duties as may be assigned from time to time by the Director.
- C. The IBG Salary Committee is responsible for advising the Director on the evaluation of tenured or tenure-track faculty rostered in the Institute, and making recommendations for the distribution of merit raises among those faculty.
- D. The IBG Committee on Research Faculty Appointments and Titles is responsible for making recommendations about the promotion of Research Faculty from Research Associate to Senior Research Associate and from Professional Research Assistant I to Professional Research Assistant II to Senior Professional Research Assistant.
- E. The IBG Information Technology Committee advises the Directorate on information technology policies, procedures, and infrastructure that supports the common activities of the Institute.