

**Pattern of Administration**  
**Department of Physics**  
**July 2017- Approved by OAA July 23, 2017**

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## I Introduction

This document provides a brief description of the Department of Physics as well as a description of its guidelines and procedures. It supplements the Rules of the University Faculty (<http://trustees.osu.edu/university/facultyrules>), the College of Arts and Sciences Patterns of Administration (<https://oaa.osu.edu/governance.html>) and other policies and procedures of the university to which the department and its faculty are subject, such as the Office of Academic Affairs Policies and Procedures Handbook (<https://oaa.osu.edu/policiesprocedureshandbook.html>). The latter rules, policies and procedures, and changes in them, and the contents of the Physics Department Appointments, Promotion, and Tenure Criteria and Procedures document, take precedence over statements in this document.

This Pattern of Administration is subject to continuing revision. It must be reviewed and either revised or reaffirmed on appointment or reappointment of the department Chair. However, revisions may be made at any time as needed. All revisions, as well as periodic reaffirmation, are subject to approval by the Arts and Sciences College office and the Office of Academic Affairs.

## II Department Mission

*The mission of the Department of Physics is to promote and enhance the research of the department to a level that is competitive with that of the best universities in the country, and to promote teaching and service by the department to an equally high level of excellence.*

Excellence in research involves advancing our understanding of the physical world and making those advances known through scholarly publications and presentations, stimulating the research work of graduate students and colleagues both at Ohio State and elsewhere, and establishing a reputation for independent work at the forefront of physics research. It requires continuously

evaluating and updating our research efforts. It necessitates hiring, and then promoting, only outstanding new faculty to preserve and enhance the department's and college's strength in research.

Excellence in teaching involves (1) providing learning systems for Physics undergraduate service courses that fully engage all our students; (2) introducing innovative approaches to improve learning courses designed primarily for our majors; (3) continuous updating of our upper level undergraduate and graduate courses to provide stimulating and exciting learning opportunities for these students; (4) helping to develop excellent research and workplace skills for all our students through mentoring their work on research and dissertations; and (5) regularly evaluating teaching quality and outcomes, both by peers and students, to improve our education product to the highest possible level.

Excellence in service involves (1) helping improve the department by participating in the decision-making process, engaging colleagues to seek creative solutions to problems and mentoring other faculty in research, teaching and service; (2) serving responsibly on committees within the Physics Department, the College of Arts and Sciences, and the university; (3) serving on professional committees at state, national, and international levels; (4) providing professional service through editorial and reviewing activities, and evaluating colleagues at other universities involved in the promotion and tenure process; and (5) sharing the fruits of our educational and research endeavors with the community beyond the university

### **III Academic Rights and Responsibilities**

In April 2006, the university issued a reaffirmation of academic rights, responsibilities, and processes for addressing concerns. This statement can be found on the Office of Academic Affairs website at <http://oaa.osu.edu/rightsandresponsibilities.html>.

### **IV Faculty**

Faculty Rule 3335-5-19 defines the types of faculty appointments possible at The Ohio State University and the rights and restrictions associated with each type of appointment.

For the purpose of governance, a faculty member in the Physics Department is any person appointed at The Ohio State University with an academic rank of Instructor, Assistant Professor, Associate Professor, or Professor having at least a one-percent FTE appointment in this department. A voting faculty member is a faculty member with rank above the level of instructor.

Associated and emeritus faculty in this department may be invited to participate in discussions on non-personnel matters, but may not participate in personnel matters, including promotion and tenure reviews, and may not vote on any matter. (Associated faculty appointments are defined in the Appointments, Promotion, and Tenure Criteria and Procedures document.)

The Department of Physics can make research faculty appointments. Research faculty titles are research assistant professor of physics, research associate professor of physics, and research

professor of physics. Research faculty can comprise no more than 20% of the tenure track faculty. Research faculty may vote in all matters of department governance except tenure track appointment, promotion, and tenure decisions.

Detailed information about the appointment criteria and procedures for the various types of faculty appointments made in this department is provided in the Appointments, Promotion and Tenure Criteria and Procedures document.

## **V Organization of Department Services and Staff**

The department provides support to faculty, postdocs, and students who perform the missions of teaching, research, and service. This support includes:

1. **Technical Support.** The department staff provides direct technical support to faculty, staff, and students in the conduct of research. These services are provided to the entire department, regardless of research area.
2. **Teaching Support.** Academic program and instructional aid specialists provide expertise in the conduct of service and physics major courses. These include the administration of the large introductory courses, the design, construction, and maintenance of physics demonstrations, and the operation of lower division and upper division laboratories.
3. **Administrative, Clerical and Facilities Support.** The department provides a broad list of services that ensure safe, efficient, and productive day-to-day operation. These include full time human resources and payroll actions; purchasing of supplies, services and equipment; fiscal accounting; administrative support; and maintenance and operation of the buildings that house the department. Faculty in research groups “share” the services of an administrative associate who is tasked with providing day-to-day administrative support, including travel scheduling, purchasing of supplies and equipment, fiscal account and grant reconciliations, and other routine office duties. The Chair and Vice Chairs typically have dedicated administrative support.
4. The department provides for appropriate training and mentoring for staff members.

## **VI Overview of Department Administration and Decision-Making**

Policy and program decisions are made in a number of ways: by the department faculty as a whole, by standing or special committees of the department, or by the Chair. The staff is consulted as appropriate. The nature and importance of any individual matter determine how it is addressed. Department governance proceeds on the general principle that the more important the matter to be decided, the more inclusive participation in decision making needs to be. Open discussions, both formal and informal, constitute the primary means of reaching decisions of central importance.

## **VII Department Administration**

## **A Chair**

The primary responsibilities of the Chair are set forth in Faculty Rule 3335-3-35. This rule requires the Chair to develop, in consultation with the faculty, a Pattern of Administration with specified minimum content. This rule, along with Faculty Rule 3335-6-02, also requires the Chair to prepare, in consultation with the faculty, a document setting forth policies and procedures pertinent to appointments, promotion, and tenure.

Other responsibilities of the Chair, not specifically noted elsewhere in this Pattern of Administration, are paraphrased and summarized below. The Chair will

- Have general administrative responsibility for department programs, subject to the approval of the Dean of the College of Arts and Sciences, to conduct the business of the department efficiently. This broad responsibility includes the acquisition and management of funds and the hiring and supervision of faculty and staff.
- Plan with the members of the faculty and the Dean of the College a progressive program; encourage research and educational investigations.
- Evaluate and improve instructional and administrative processes on an ongoing basis; promote improvement of instruction by providing for the evaluation of each course when offered, including written evaluation by students of the course and instructors, and periodic course review by the faculty.
- Evaluate faculty members annually in accordance with both university and department established criteria; inform faculty members when they receive their annual review of their right to review their primary personnel file maintained by their department and to place in that file a response to any evaluation, comment, or other material contained in the file.
- Recommend appointments, promotions, dismissals, and matters affecting the tenure of members of the department faculty to the Dean of the College, in accordance with procedures set forth in Faculty Rule 3335-6 and this department's Appointments, Promotion, and Tenure Criteria and Procedures document.
- See that all faculty members, regardless of their assigned campus location, are offered the departmental privileges and responsibilities appropriate to their rank; and in general lead in maintaining a high level of morale.
- See that adequate supervision and training are given to those members of the faculty and staff who may profit by such assistance.
- Consult with the faculty on all important policy matters, including initiating the review and reviewing and selecting new faculty members for appointment. Such consultation will, whenever practicable, be undertaken at a meeting of the faculty as a whole. The articulation and achievement of department academic goals is most successful when all

faculty members participate in discussing and deciding matters of importance. However, operational efficiency requires that the Chair exercise a degree of autonomy in establishing and managing administrative processes. The Chair will generally solicit the advice of the Budget Committee (BC), the Personnel Resources Committee (PRC), the Vice Chairs, or other relevant faculty committees before submitting an issue for consensus at a meeting of the faculty. There shall be a presumption favoring majority rule (see Section IX) by the eligible faculty on all matters covered by the Pattern of Administration. Whenever majority faculty rule is not followed, the department Chair shall explain the reasons for the departure to enhance communication and to facilitate understanding within the department. Where possible, this statement of reasons shall be provided before the departure occurs. This explanation shall outline the decision of the majority of the faculty, the decision of the department Chair, and the reasons the decisions differ. The explanation shall be communicated to the faculty in writing, where possible, or at a faculty meeting, with an opportunity provided for faculty to comment.

- Provide a schedule of all regular faculty meetings to all faculty members before the start of each semester. Additional meetings may be called or convened by the Chair at his or her discretion or at the written request of at least ten (10) faculty members. Except in cases of urgency, such meetings will be announced to the faculty at least one week in advance. A quorum, consisting of a simple majority of the faculty eligible to vote (excluding those teaching or absent from OSU on official leave or business), is required in order for a vote to be taken. Reasonable accommodations for participation by faculty assigned to other than the Columbus campus will be made.
- Arrange to maintain and post an electronic summary of all faculty meetings and maintain records of other actions covered by this Pattern of Administration. These records should be accessible to the faculty through a password-protected electronic archive.
- Serve as an ex-officio member of every department committee, and as a non-voting member of the committee of the eligible faculty.

Day-to-day responsibility for specific matters may be delegated to others, but the Chair retains final responsibility and authority for all matters covered by this Pattern of Administration, subject when relevant to the approval of the Dean of the College of Arts and Sciences, Office of Academic Affairs, and Board of Trustees.

## **B Vice Chairs**

- **Vice Chair for Administration (VCA)**

The VCA has overall responsibility for introductory courses for non-majors, in addition to a variety of specific administrative duties as follows:

1. Scheduling all physics classes and making teaching assignments.
2. Overseeing Lecturer and Graduate Teaching Associate staffing needs, training, and performance, and supervising the staff who support the introductory courses.

3. Overseeing evaluation of teaching performance, including its incorporation into promotion and tenure documentation.
4. Facilitating SA, FPL (Faculty Professional Leave) and Visiting Scholars programs.
5. Administering possible academic misconduct cases.
6. Overseeing curriculum in large introductory courses, including forming ad hoc committees as needed for course management of all 1000-level courses with the exception of the 1250H and 1251H honors sequence.
7. Posting in the faculty-only section on the department website each semester the teaching and department service duties for each faculty member.
8. Other duties as assigned by the Chair.

- **Vice Chair for Graduate Studies and Research (VCGS)**

The VCGS has overall responsibility for the Graduate Program and related activities. These responsibilities include:

1. Recruiting, admissions, annual reviews, student records, advising grievances of graduate students; Chairing the Graduate Studies Committee; Running the 6780 seminar; with VCA coordinating both Grad Curriculum and corresponding faculty teaching assignments.
2. With VCA, coordinating and monitoring GTA appointments; with Business Manager, coordinating pay and tuition/fee waivers.
3. Approving Candidacy and Ph.D. Committees; Acting as nominator for University and Presidential Fellowships; overseeing nominations for Graduate Faculty status.
4. Posting in the faculty-only section on the department website each semester a list of students associated with each faculty member as thesis student, committee member, or summer advisor, and if available, the number of exams for which faculty serve as regular or external members.
5. Other duties as assigned by the Chair.

- **Vice Chair for Undergraduate Studies (VCUS)**

The VCUS has overall responsibility for the undergraduate physics and engineering physics programs. These responsibilities include:

1. Overseeing the undergraduate major curriculum.

2. Coordinating undergraduate major advising.
3. Organizing undergraduate major recruiting efforts.
4. Supervising undergraduate awards and scholarships.
5. Posting on the department website each semester a list of students who work with each faculty member on undergraduate research.
6. Other duties as assigned by the Chair.

### **C Business Manager**

There shall be a Business Manager to oversee the non-academic operation of the department. He or she reports directly to the Chair and is the first/second level supervisor for Classified Civil Service (CCS) and Administrative and Professional (A&P) staff members. Responsibilities include:

1. Directing payroll, purchasing, and accounting activities
2. Coordinating research funding actions.
3. Other duties as assigned by the Chair.

### **D Facilities Operation Manager**

There shall be a Facilities Operation Manager to oversee the facility planning, maintenance, and operations of the Physics Research Building comprising research group laboratory space, class 1000 and class 100 clean rooms, a computer data center, offices, conference rooms, and administrative and operational support infrastructure, and the Shops and other space assigned to the department in Smith Laboratory. Responsibilities include:

1. Supervising departmental technical staff members.
2. Working with university FOD teams to accomplish equipment maintenance, construction services, access, and building repairs and renovations.
3. Other duties as assigned by the Chair.

### **E Other A&P Staff**

The department has need of a variety of services in order to fulfill its mission. Over time the specifics may change. It will be the responsibility of the Chair, in consultation with the Vice Chairs and faculty, to organize and staff the department appropriately. Development of job descriptions for these various positions will be the responsibility of the Chair in consultation with



the Business Manager, Facilities Operation Manager, the Vice Chairs, and others as their expertise would be appropriate.

## **F Departmental Committees**

Much of the development and implementation of the department's policies and programs is carried out by standing and ad hoc committees. The Chair is an *ex officio* member of all department committees and may vote as a member on all committees except the Committee of Eligible Faculty and the Promotion and Tenure Sub-Committee (see Appointment, Promotion and Tenure Document). A committee may be convened with a subset of members if the committee chair, in consultation with the department Chair, deems there is a potential conflict of interest or the necessity of confidentiality.

The department shall have a Budget Committee, a Personnel Resources Committee (PRC), a Climate and Diversity Committee, a Graduate Studies Committee (GSC), a Colloquium Committee, an Undergraduate Studies Committee, a Service Courses Committee, a Faculty Awards Committee, a Safety and Infrastructure Committee, and any such other committees that the Chair deems necessary for the continued well-being of the department. All committees are advisory to the Chair of the department and/or, through the Chair, to the department faculty. Each summer, all members and chairs of each committee shall be appointed by the department Chair for two-year terms, unless otherwise noted below. In cases of graduate student representation, the Chair shall request recommendations from the VCGS and graduate students in the program. The VCUS shall make recommendations regarding undergraduate student representation. Early in Autumn semester, the Chair shall provide a written charge for each committee. Each semester the Chair shall convene a meeting of all committee chairs to discuss general progress and consider issues that may cut across committee boundaries.

### **1. Budget Committee**

The Budget Committee shall have at least six (6) faculty members including the department Business Manager as an *ex officio* member. Members shall be appointed for two-year terms with two or three members being replaced each year. The faculty will be asked to supply nominations to this committee to the Chair. The composition of the committee should be broadly representative of research groups in the department.

The Budget Committee will advise the Chair of the department on budgetary and professional activity matters, such as proposals for equipment funds, development of resource allocation policies and such other matters as the Chair brings before it.

### **2. Personnel Resources Committee (PRC)**

The PRC shall have at least eleven faculty members appointed for two-year terms, with five or six members being replaced each year. The faculty will be asked to supply nominations to this committee to the Chair. The composition of the committee should be broadly representative of research groups in the department.

The PRC shall advise the faculty and the Chair of the department on matters of new faculty hiring. It may be asked to prepare long-range hiring plans that will satisfy the needs for departmental growth and replacement of faculty vacancies. Special hiring opportunities that may present themselves to various research groups will be considered by the PRC, which will evaluate the request and make a recommendation to the faculty and to the Chair of the department. The PRC shall be charged with advising the Chair concerning updating of the “Appointments, Promotion and Tenure Criteria and Procedures” document for the Department of Physics. The PRC will evaluate faculty requests for department visitor funds, Faculty Professional Leaves, Special Assignments, and other requests brought by the Chair.

### 3. Climate and Diversity Committee (CDC)

The Climate and Diversity Committee is a committee that advises the Chair and the Physics Department on matters related to issues of climate and diversity. The committee consists of representatives of all constituent groups of the department (undergraduates (1), graduate students (2), postdocs (1), staff (2) and faculty (6)). The committee will evaluate and offer feedback on issues of climate and diversity, help develop strategies for fostering a welcoming and inclusive learning, research, and work environment, and report on new campus initiatives and national developments in the STEM disciplines. As part of its assessment the committee should regularly survey the Physics community on issues of climate and diversity.

### 4. Graduate Studies Committee (GSC)

The VCGS shall serve as chair of the committee. The committee shall be composed of at least six physics graduate faculty and three physics graduate students. The graduate student members shall not participate in discussions of actions regarding individual graduate students within the program. When such discussions take place, a faculty member, such as the student’s advisor or a member of the committee, will act as the student’s advocate.

The committee’s responsibilities shall include, but not be limited to, those outlined in the Graduate School Handbook (<http://www.gradsch.ohio-state.edu/graduate-school-handbook1.html>). The GSC will recruit and select prospective graduate students, recommend the award of fellowships and graduate associateships, conduct an annual review of all graduate students, and carry out whatever other charges may be requested by the Chair or the VCGS. The GSC reviews all grievances and petitions from graduate students, and it is responsible for all aspects of the graduate curriculum and for all other issues pertaining to graduate study in physics.

### 5. Colloquium Committee

The Colloquium Committee shall consist of at least seven members of the faculty and one graduate student. The committee is responsible for arranging the weekly physics colloquium, including soliciting names of speakers, arranging travel and entertainment, and providing advertising within the department and the university. This committee also is responsible for the arrangements for the Annual Alpheus Smith Lecture, including inviting

the speaker and working with the Chair's assistant in coordinating all of the necessary preparations for the talk, reception and other related activities.

#### 6. Undergraduate Studies Committee (USC)

The Undergraduate Studies Committee shall consist of eight faculty members and two undergraduate physics majors, plus the VCUS who shall serve as chair. The committee oversees the undergraduate major program, including the physics major and engineering physics major curricula, and all other issues pertaining to undergraduate physics majors. The committee is also charged with ensuring that undergraduate students are nominated for international, national, state, university, and college awards, prizes and other recognitions that improve the stature of the students and department.

#### 7. Service Courses Committee

The Service Courses Committee shall consist of at least six faculty members, one a regional campus faculty member, a graduate student, plus the VCA who shall serve as chair. The committee oversees the services courses offered by the department. It shall consider topics such as course content, textbooks, laboratory instruction, staffing levels, lecture demonstrations and other issues pertaining to service course delivery. When appropriate, the committee shall solicit advice from department Lectures on these matters.

#### 8. Faculty Awards Committee

The committee is established to facilitate the nominations of department faculty for prestigious awards, which raise the visibility and reputation of the department. The committee consists of five faculty members appointed for two-year terms. The committee shall establish and maintain a database for external and internal faculty awards. The database should include information regarding deadlines for nominations, basic criteria, required letters, etc. The committee shall review the available awards and recommend faculty for nomination. The committee shall coordinate the nominations for University Distinguished Scholar, Distinguished University Professor, University Distinguished Teaching Award, and the College of Arts and Sciences Distinguished Professor. The committee should establish a set of best practices for the nomination process and shall assist in the nomination process by engaging other faculty, coordinating with the Chair and when appropriate seeking the recommendation of the Personnel Resources Committee and other committees within the department.

#### 9. Safety and Infrastructure Committee

The Safety and Infrastructure Committee shall consist of at least seven faculty members, two graduate students plus the department Facilities Operation Manager and an EHS representative as *ex officio* members. The committee shall oversee the department Safety Program, with technical and administrative support from the Facilities Operation Manager and the Building Coordinator. The committee will review the safety program annually, or more frequently if required. The committee shall oversee the infrastructure of the

department, including operation of shops, information technology services, computing and associated infrastructure. The committee shall consider space requests from the faculty and advise the Chair of the department on matters involving space allocation and planning, including periodic space audits. The committee will have the central responsibility in planning and overseeing any new facilities projects.

### **VIII Faculty Meetings**

As noted in Section VI, the Chair shall provide a schedule of all regular faculty meetings to all faculty members at the beginning of each academic term. The schedule will provide for at least one meeting per semester and normally will provide for monthly meetings. A call for agenda items and completed agenda will be delivered to faculty by e-mail before a scheduled meeting. Reasonable efforts will be made to call for agenda items at least seven days before the meeting, and to distribute the agenda by e-mail at least three business days before the meeting. Additional meetings may be called or convened at the Chair's discretion or at the written request of at least ten (10) faculty members. The Chair will make reasonable efforts to have the meeting take place within one week of receipt of the request. Except in cases of urgency, such meetings will be announced to the faculty at least one week in advance.

A quorum, consisting of a simple majority of the faculty eligible to vote (excluding those teaching, absent from OSU on official leave or business), is required in order for a vote to be taken. Reasonable accommodations for participation by faculty assigned to other than the Columbus campus will be made. Votes on personnel matters shall be by secret ballot, and a two-thirds majority of those present and voting (abstentions are not considered votes) shall be required for passage. (A personnel matter is one that deals with a single individual.) Votes on other matters shall require a simple majority approval. "The Appointments, Promotion and Tenure Criteria and Procedures" document for the Department of Physics discusses faculty meetings required for appointments, promotion, and tenure.

Either the Chair or one-third of all faculty members eligible to vote may determine that a formal vote conducted by written ballot is necessary on matters of special importance. For purposes of a formal vote, a matter will be considered decided when a particular position is supported by at least a majority of all faculty members eligible to vote. Balloting will be conducted electronically when necessary to assure maximum participation in voting. When conducting an electronic ballot, faculty members will be given one week to respond.

When a matter must be decided and a simple majority of all faculty members eligible to vote cannot be achieved on behalf of any position, the Chair will necessarily make the final decision.

The department accepts the fundamental importance of full and free discussion but also recognizes that such discussion can only be achieved in an atmosphere of mutual respect and civility. Normally department meetings will be conducted with no more formality than is needed to attain the goals of full and free discussion and the orderly conduct of business. However, Robert's Rules of Order will be invoked when more formality is needed to serve these goals.

### **IX Distribution of Faculty Duties and Responsibilities**

The Office of Academic Affairs requires departments to have guidelines on the distribution of faculty duties and responsibilities (See the OAA [Policies and Procedures Handbook](#), Volume 1, Chapter 2, Section 1.4.3, <https://oaa.osu.edu/assets/files/documents/1.2HBUnitAdmin.pdf>).

During on-duty periods, faculty members are expected to be available for interaction with students, research, and departmental meetings and events even if they have no formal course assignment. On-duty faculty members should not be away from campus for extended periods of time unless on an approved leave (see section XIII) or on approved travel. The guidelines outlined here do not constitute a contractual obligation. Fluctuations in the demands and resources of the department and the individual circumstances of faculty members may warrant temporary deviations from these guidelines. Assignments and expectations for the upcoming year are addressed as part of the annual review by the department Chair.

A full-time faculty member's primary professional commitment is to Ohio State University and the guidelines below are based on that commitment. Faculty who have professional commitments outside of Ohio State during on-duty periods (including teaching at another institution; conducting research for an entity outside of Ohio State; external consulting) must disclose and discuss these with the chair in order to ensure that no conflict of commitment exists. Information on faculty conflicts of commitment is presented in the OAA Faculty Conflict of Commitment policy (<http://oaa.osu.edu/assets/files/documents/conflictofcommitment.pdf>).

The following is a statement of the current operating procedures that have allowed the Department of Physics to develop into a successful department. The formal teaching responsibility is an important part of the total teaching effort and of the expected activities of all faculty members in the department.

## **A Tenure Track Faculty**

Tenure track faculty members are expected to contribute to the university's mission via teaching, scholarship, and service. When a faculty member's contributions decrease in one of these three areas, additional activity in one or both of the other areas is expected.

### **Teaching**

The faculty of the Department of Physics teach students in a variety of modes: (1) formal instruction of undergraduates and graduate students in lectures and laboratory courses; (2) extensive individual instruction, primarily of graduate students, under standard course numbers for research; (3) a vigorous program of research seminars in all research areas by external and internal scientists; (4) the teaching and supervision of postdoctoral-level scientists and (5) the involvement of undergraduates in research. This inseparable program of teaching and research at research universities is the primary way in which fundamental new knowledge is generated in this country.

All tenure track faculty are expected to contribute to the department's teaching. In keeping with comparable institutions, ordinarily, no faculty member without release time will teach fewer than

two or more than four formal courses in a year. In addition, each faculty member has non-formal teaching responsibilities together with the research and service expectations described below. It is expected that faculty will teach all types of courses: large-enrollment freshman and sophomore courses and smaller-enrollment advanced undergraduate and graduate courses. These policies are the norm for physics departments at universities with major graduate programs. All faculty members are expected to participate in advising graduate students. The advising of undergraduate students is the responsibility of the Vice Chair for Undergraduate Studies, together with the members of the Undergraduate Studies Committee. Faculty members are expected to participate in undergraduate and graduate curriculum development, which can be sufficiently complex so as to substitute for the teaching of a formal course.

The Chair, in consultation with the Vice Chairs and the separate faculty members, is responsible for assuring that assigned responsibilities are equitably distributed. Adjustments to the standard teaching assignment may be made to account for teaching a new class, the size of the class, whether the class is taught on-line or team-taught, and other factors that may affect the preparation and/or contact time involved in teaching the course.

The standard teaching assignment may vary for individual faculty members based on their research and/or service activity. Faculty members who are especially active in research can be assigned an enhanced research status that includes a reduced teaching assignment. Likewise, faculty members who are relatively inactive in research can be assigned an enhanced teaching status that includes increased teaching responsibilities. Faculty members who are engaged in extraordinary service activities (to the department, college, university, and in special circumstances professional organizations within the discipline) can be given an enhanced service assignment that includes a reduced teaching responsibility.

The Chair is responsible for making adjustments to standard teaching assignments on an annual basis, and may decline to approve requests for adjustments when approval of such requests is not judged to be in the best interests of the department. All faculty members normally perform some formal instruction and advising over the course of the academic year.

## **Scholarship**

Recognizing that research is the basic component of physics graduate programs, all faculty members are expected to establish and to maintain vigorous research programs involving graduate students. Whenever possible these programs should involve undergraduate students. In some cases postdoctoral-level scientists may be involved. In addition to their formal course responsibilities, faculty members will normally supervise the education of graduate students doing thesis research. Since physics research is primarily funded from external sources, all faculty members are expected to seek such funding to support their research programs. Completed research projects should generally result in publication in major peer reviewed professional journals or peer reviewed proceedings. As a component of their active research, faculty members are expected to review papers for professional journals and research proposals for funding agencies.

## **Service**

All faculty members are expected to be engaged in service and outreach to the department, university, profession and community. Examples are (i) serving on examination committees both inside and outside the department, (ii) serving on advisory and evaluation committees for this university and for other universities, government agencies and professional societies, (iii) organizing and participating in outreach activities, (iv) serving on department, college and university governance bodies. Tenured faculty members are expected to perform *significant* service.

All faculty members are expected to attend and participate in faculty meetings, recruitment activities, and other department events.

- **Special Assignments**

Information on Special Assignments (SAs) is presented in the Office of Academic Affairs Special Assignment Policy (<http://oaa.osu.edu/assets/files/documents/specialassignment.pdf>). The information provided below supplements these policies.

Untenured faculty will normally be provided an SA for research for one semester, during their probationary period. Reasonable efforts will be made to award SA opportunities to all other faculty members subject to the quality of faculty proposals, including their potential benefit to the department or university, and the need to assure that sufficient faculty are always present to carry out department work. The Personnel Resources Committee may be asked to evaluate SA proposals and make recommendations to the Chair. The Chair's recommendation to the Dean regarding an SA proposal will be based on the quality of the proposal and its potential benefit to the department or university and to the faculty member, as well as the ability of the department to accommodate the SA at the time requested.

## **B Research Faculty**

Research faculty members are expected to contribute to the university's mission via research.

In accord with Faculty Rule 3335-7-34,

*A research faculty member may, but is not required to, participate in limited educational activities in the area of his or her expertise. However, teaching opportunities for each research track faculty member must be approved by a majority vote of the TIU's tenure-track faculty. Under no circumstances may a member of the research track faculty be continuously engaged over an extended period of time in the same instructional activities as tenure-track faculty.*

Research expectations are similar to those for tenure track faculty, albeit proportionally greater since 100% of effort for faculty members on the research track is devoted to research. Specific expectations are spelled out in the letter of offer.

## **C Associated Faculty**

Compensated associated faculty members are expected to contribute to the university's mission via teaching or research depending on the terms of their individual appointments.

Faculty members with tenure-track titles and appointments <50% FTE will have reduced expectations based on their appointment level.

Expectations for compensated visiting faculty members will be based on the terms of their appointment and are comparable to that of tenure track faculty members except that service is not required.

The standard teaching assignment for full-time lecturers is eight courses per academic year.

#### **D Parental Modifications of Duties**

The Department of Physics strives to be a family-friendly unit in its efforts to recruit and retain high-quality faculty members. To this end, the department is committed to adhering to the College of Arts and Sciences' guidelines on parental modification of duties to provide its faculty members flexibility in meeting work responsibilities within the first year of childbirth/adoption. See the College of Arts and Sciences Pattern of Administration ([https://oaa.osu.edu/assets/files/governance/college-of-arts-and-sciences/ASC\\_POA\\_2017-01-15.pdf](https://oaa.osu.edu/assets/files/governance/college-of-arts-and-sciences/ASC_POA_2017-01-15.pdf)) for details.

The faculty member requesting the modification of duties for childbirth/adoption and the department Chair should be creative and flexible in developing a solution that is fair to both the individual and the unit while addressing the needs of the university. Expectations must be spelled out in an MOU that is approved by the Dean.

#### **X Course Offerings and Teaching Schedule**

While consideration will be given to the teaching specialties and preferences of faculty, the primary consideration in scheduling classes is to provide for the needs of students, both the department's own students and those from other departments who need specific courses to meet their degree requirements. Every effort will be made to assure the regular availability of required courses and the sensible timing of high demand offerings so that all students have a fair chance at fitting such courses into their schedules. To the extent possible, required courses or courses with routinely high demand will be taught by at least two faculty members across semesters of offering to assure that instructional expertise is always available for such courses. In addition, to assure classroom availability, reasonable efforts will be made to distribute course offerings through the day and week.

Patterns of enrollment in all course offerings, especially elective offerings, will be reviewed annually. Offerings that may represent a less than optimal use of instructional resources should be identified. By Faculty Rule 3335-8-16, a scheduled course that does not attract the minimum number of students required will normally be cancelled and the faculty member scheduled to teach that course will be assigned to another course for that or a subsequent semester, although



courses enrolling less than the minimum number may be offered if sufficient resources and program justifications exist. Courses with enrollments that are frequently below minimum should be discontinued or at least not offered again until there is reason to expect adequate enrollment. Faculty may not cancel courses on their own. The Chair is responsible for determining whether a scheduled course is to be cancelled.

Each Spring Semester, all members of the Physics faculty are asked to list their teaching preferences semester by semester for the upcoming academic year. The Vice Chair for Administration then matches the requests, within reason and guided by department needs, to the course demands for the upcoming semesters. Before the end of the Spring semester, faculty members will receive preliminary teaching assignments for the upcoming year. This is a dynamic process and for some the actual course(s) taught may differ from the preliminary assignments due to unanticipated opportunities and teaching and/or research.

The courses offered by the department are scheduled to meet the demands of both undergraduate and graduate students. Introductory courses are typically scheduled with multiple sections to match anticipated enrollment. In setting the class meeting times care is taken to avoid time conflicts with other courses that may be required of students the same semester.

There exist several mechanisms to add a course to the department's course offerings. Courses that are to be taught typically once every few years can be added to the schedule using existing 2194, 4194, 6820, 7194, and 8820 course numbers. Courses that are to be permanent additions to the department's course catalog are usually developed in consultation with the appropriate course committee (e.g., Undergraduate Studies Committee) and must meet the university's approval procedure for adding new courses.

## **XI Allocation of Department Resources**

The Chair is responsible for the fiscal and academic health of the department and for assuring that all resources—fiscal, human, and physical—are allocated in a manner that will optimize achievement of department goals.

The Chair will discuss the department budget at least annually with the faculty and attempt to achieve consensus regarding the use of funds across general categories. However, final decisions on budgetary matters rest with the Chair.

Research space shall be allocated on the basis of research productivity, including external funding, and will be reallocated periodically as these faculty-specific variables change.

The allocation of office space will include considerations such as achieving proximity of faculty members in sub-disciplines, and productivity and grouping staff functions to maximize efficiency.

A department goal is to insure that all space is actively utilized. Thus under-utilized space may be reassigned, and space that is utilized may have to be exchanged with other space in order to optimize the total space usage.

Departmental space must never be used for long-term storage of apparatus or personal effects.

When assignments or reassignments of space are contemplated, the faculty member or other persons who will be affected by the proposed changes will be consulted prior to the final decision.

When decisions are made that involve instructional space, they should be made in consultation with the Vice Chairs and such faculty members as may have specific interests in the matter.

Where possible, office and lab space will be assigned to emeritus faculty based on their needs and reported level of professional activity.

The allocation of salary funds is discussed in the Appointments, Promotion and Tenure Criteria and Procedures document.

### **A Bridging Support for Research Faculty Salary**

Bridging support addresses the need for salary and fringe benefit support for research faculty who experience a temporary gap in external funding due to factors beyond their control.

Application for bridging support shall be made through the Chair. With departmental concurrence, the applications will go forward to the Dean and Vice President for Research.

Evaluation criteria for judging applications for bridging support include:

- Quality and significance of researcher's work
- Researcher's past experience in obtaining external support
- Researcher's potential for obtaining such support in the future
- Evidence the applicant has a grant application expected to be funded in the near future (1-6 months)
- Evidence the researcher's work is in keeping with departmental and university priorities
- Support of the department as to the applicant's continuing employment

The table below outlines the level of bridging support eligibility according to rank and service. No university general funds may be used for this purpose, or for start-up funding. Bridging support depends on the availability of funds, and there is no presumption of support.

#### **Rank/Years in Service Funding Eligibility**

Research Assistant Professor

3-5 years of service, up to 2 months

5-6 years of service, up to 3 months

Research Associate Professor

less than 3 years of service in rank, up to 6 months

3 or more years of service in rank, up to 12 months

Research Professor

less than 3 years of total service as departmental research faculty, up to 6 months

3 or more years of total service as departmental research faculty, up to 12 months.

## **XII Leaves and Absences**

The university's policies and procedures with respect to leaves and absences are set forth in the Office of Academic Affairs Policies and Procedures Handbook and the Office of Human Resources Policies website, <https://hr.osu.edu/policies-forms>. The information provided below supplements these policies. As a guideline, the College of Arts and Sciences states that no more than 10% of the Arts and Sciences faculty are expected to be on leave at one time, regardless of the type of leave.

Many faculty members voluntarily take on a variety of professional activities that fall outside the department's policy on faculty duties and responsibilities. (Travel to conferences, workshops and in some cases extended stays at facilities vital to the research mission of the department can and do lead to a redistribution of the various components of a faculty member's total workload.) These activities often benefit the department or university and, to the extent possible, should be taken into account in considering a faculty member's total workload.

However, fairness to other faculty and the department's need to meet its programmatic obligations may become issues when a faculty member seeks relief from departmental obligations in order to devote considerable time to personal professional interests that may not contribute to departmental goals. The Chair may decline to approve such requests when approval is not judged to be in the best interests of the department.

During on-duty semesters faculty members are expected to be available for interaction with students, service assignments, and other responsibilities even if they have no formal course assignment that semester. On-duty faculty members should not be away from campus for extended periods of time unless on an approved Special Assignment.

Faculty Rule 3335-5-08 requires that absence from campus for more than ten consecutive business days during a semester be approved by the Chair, Dean and Provost. Requests can be made at <https://eleave.osu.edu/>.

### **A Discretionary Absence**

Faculty members are expected to complete a travel request or an eLeave request well in advance of a planned absence (for attendance at a professional meeting or to engage in consulting) to provide time for its consideration and approval and time to assure that instructional and other commitments are covered. Discretionary absence from duty is not a right and the Chair retains the authority to disapprove a proposed absence when it will interfere with instructional or other comparable commitments. Such an occurrence is most likely when the number of absences in a particular semester is substantial.

### **B Absence for Medical Reasons**

When absences for medical reasons are anticipated, faculty members are expected to complete an eLeave form as early as possible. When such absences are unexpected, the faculty member, or someone speaking for the faculty member, should let the Chair know promptly so that instructional and other commitments can be managed. Faculty members are always expected to use sick leave for any absence covered by sick leave (personal illness, illness of family members, medical appointments). Sick leave is a benefit to be used—not banked. For additional details see OHR Policy 6.27, <https://hr.osu.edu/public/documents/policy/policy627.pdf>.

### **C Unpaid Leaves of Absence**

The university's policies with respect to unpaid leaves of absence and entrepreneurial leaves of absence are set forth in OHR Policy 6.45, <https://hr.osu.edu/public/documents/policy/policy645.pdf>.

### **D Faculty Professional Leave**

Information on faculty professional leaves is presented in the OAA Policy on Faculty Professional Leaves (<http://oaa.osu.edu/assets/files/documents/facultyprofessionalleave.pdf>). The information provided below supplements these policies.

The PRC will review all requests for faculty professional leave and make a recommendation to the Chair based on the quality of the proposal and its potential benefit to the department and to the faculty member, as well as the ability of the department to accommodate the leave at the time requested. The Chair will then make a recommendation to the Dean regarding all FPL proposals, based on the criteria above and the recommendation of the PRC.

## **XIII Supplemental Compensation and Paid External Consulting**

Information on faculty supplemental compensation is presented in the OAA Policy on Faculty Compensation (<http://oaa.osu.edu/assets/files/documents/facultycompensation.pdf>). Information on paid external consulting is presented in the university's Policy on Faculty Paid External Consulting (<http://oaa.osu.edu/assets/files/documents/paidexternalconsulting.pdf>). The information provided below supplements these policies.

This department adheres to these policies in every respect. In particular, this department expects faculty members to carry out the duties associated with their primary appointment with the university at a high level of competence before seeking other income-enhancing opportunities (see XIV below). All activities providing supplemental compensation must be approved by the department Chair regardless of the source of compensation. External consulting must also be approved. Approval will be contingent on the extent to which a faculty member is carrying out his or her regular duties at an acceptable level, the extent to which the extra income activity appears likely to interfere with regular duties, and the academic value of the proposed consulting activity to the department. In addition, it is university policy that faculty may not spend more than one business day per week on supplementally compensated activities and external consulting combined.

Faculty who fail to adhere to the university's policies on these matters, including seeking approval for external consulting, will be subject to disciplinary action.

#### **XIV Financial Conflict of Interest and Conflict of Commitment**

Faculty members at The Ohio State University accept an obligation to avoid financial conflicts of interest in carrying out their institutional responsibilities. The university's policy on Faculty Financial Conflict of Interest (<http://orc.osu.edu/files/Policy-on-Faculty-Financial-Conflict-of-Interest.pdf>) governs. A financial conflict of interest exists if financial interests or other opportunities for tangible personal benefit may exert a substantial and improper influence upon a faculty member or administrator's professional judgment in exercising any university duty or responsibility, including designing, conducting or reporting research.

Faculty members with external funding, or as otherwise required by university policy, are required to file conflict of interest screening forms annually and more often if prospective new activities pose the possibility of financial conflicts of interest. Faculty who fail to file such forms or to cooperate with university officials in the avoidance or management of potential conflicts will be subject to disciplinary action.

A related issue is the need to avoid conflict of commitment. A conflict of commitment exists when external or other activities are so substantial or demanding as to interfere with the individual's teaching, research, scholarship or service responsibilities to the university or its students. The department supports faculty members as they perform scholarly work and service outside their regular scope of duties, but also fully adheres to the university policy (<http://oaa.osu.edu/assets/files/documents/conflictofcommitment.pdf>) to ensure that the needs of the department, college and university are being fully met as a priority.

#### **XV Grievance Procedures**

Members of the department with grievances should discuss them with the Chair, who will review the matter as appropriate and either seek resolution or explain why resolution is not possible. Content below describes procedures for the review of specific types of complaints and grievances.

##### **A Salary Grievances**

A faculty or staff member who believes that his or her salary is inappropriately low should discuss the matter with the Chair. The faculty or staff member should provide documentation to support the complaint.

Faculty members who are not satisfied with the outcome of the discussion with the Chair and wish to pursue the matter may be eligible to file a more formal salary appeal as described in the College of Arts and Sciences pattern of administration ([https://oaa.osu.edu/assets/files/governance/college-of-arts-and-sciences/ASC\\_POA\\_2017-01-](https://oaa.osu.edu/assets/files/governance/college-of-arts-and-sciences/ASC_POA_2017-01-)

[15.pdf](#)) and the Office of Academic Affairs Policies and Procedures Handbook (<http://oaa.osu.edu/handbook.html>).

Staff members who are not satisfied with the outcome of the discussion with the Chair and wish to pursue the matter should contact Consulting Services in the Office of Human Resources (<https://hr.osu.edu/>).

## **B Faculty Misconduct**

Complaints alleging faculty misconduct or incompetence should follow the procedures set forth in Faculty Rule 3335-5-04 (<http://trustees.osu.edu>).

## **C Faculty Promotion and Tenure Appeals**

Promotion and tenure appeals procedures are set forth in Faculty Rule 3335-5-05 (<http://trustees.osu.edu>).

## **D Sexual Harassment**

The university's policy and procedures related to sexual harassment are set forth in OHR Policy 1.15 (<https://hr.osu.edu/policies-forms>).

## **E Student Complaints**

Normally student complaints about courses, grades, and related matters are brought to the attention of individual faculty members. In receiving such complaints, faculty should treat students with respect regardless of the apparent merit of the complaint and provide a considered response. When students bring complaints about courses and instructors to the department Chair, the Chair will first forward these complaints to the Vice Chair for Administration if the grievance is associated with introductory level courses. The Vice Chair for Administration and the Chair will first ascertain whether or not the students require confidentiality. If confidentiality is not required, the Vice Chair will investigate the matter as fully and fairly as possible and provide a response to both the students and any affected faculty. If confidentiality is required, the Chair will explain that it is not possible to fully investigate a complaint in such circumstances and will advise the student(s) on options to pursue without prejudice as to whether the complaint is valid or not.

The Vice Chair for Undergraduate Studies handles all grievances by undergraduate physics majors and grievances arising in all undergraduate physics majors courses, as well as the first-year honors courses.

Graduate student grievances are addressed to the Vice Chair for Graduate Studies for initial consideration. They may be referred to the Graduate Studies Committee for further consideration.

Faculty complaints regarding students must always be handled strictly in accordance with university rules and policies. Faculty should seek the advice and assistance of the Chair and others with appropriate knowledge of policies and procedures when problematic situations arise. In particular, evidence of academic misconduct must be brought to the attention of the Committee on Academic Misconduct (see <https://oaa.osu.edu/coam.html> and <http://senate.osu.edu/committees/COAM/COAM.html>).

## **F Code of Student Conduct**

In accordance with the Code of Student Conduct (<https://studentlife.osu.edu/csc/>), faculty members will report any instances of academic misconduct to the Committee on Academic Misconduct.