This INTERNAL GOVERNANCE POLICY provides the formal codification of the process for the development and maintenance of internal governance policies for the Oregon Center for Optics. Internal governance issues are limited to those that deal with the methods and manners by which policies are set within this RIGE research center/institute, inclusive of the requirement to provide for appropriate and equitable representation of faculty.

1. **Appropriate and Equitable Faculty Governance Participation**

   The following areas constitute major areas of internal governance within the Oregon Center for Optics (OCO). Appropriate and equitable faculty governance participation is provided for in each area as follows.

   1.1. Internal Governance Policy – Internal Governance Policy within the institute/center is developed by the institute/center director and approved by the faculty (as defined in section 4). Policies will be discussed at meetings set per section 2, Meeting Protocol, where faculty will have opportunity to provide feedback on governance policy. Where appropriate, the director will call for formalized votes on internal governance policy decisions, such that the faculty perspectives will be represented accurately.

   1.2. Merit Increase Policy -- Policy regarding merit increases are to be established and amended via interaction between the institute/center director and the leadership committee, with input from the faculty.

   1.3. Non-Tenured Professional Responsibility Policy - Policy regarding non-tenured professional responsibilities are to be established and amended via interaction between the institute/center director and the leadership committee, with input from the career non-tenure track faculty (NTTF) and faculty who supervise NTTF in the institute/center.

   1.4. NTTF Performance Review and Promotion Policy - Policy regarding non-tenured professional responsibilities are to be established and amended via interaction between the institute/center director and the leadership committee, with input from the faculty.

   1.5. Professional Development Policy – Policy regarding professional development are to be established and amended via interaction between the institute/center director and the leadership committee, with input from the career NTTF and those who supervise career NTTF in the institute/center.

   The institute/center director will make all reasonable attempts to adhere to the policies in those areas served by those policies. In cases where policies conflict with federal, state, and university policy, those federal, state and university policies will have priority.

2. **Meeting Protocol**

   Institute/center director will provide a minimum of three days' notice to institute/center faculty via email regarding any all-faculty meeting where governance topics are addressed as significant items on the meeting agenda. These meetings provide a forum where individual viewpoints can be put forth for consideration. As practicable, meetings will include opportunities for faculty to participate via telephone or other means of remote access. Faculty unable to attend may provide written input to the director prior to the meeting. Meetings may

occur virtually via email, telephone, or video conference. The director may choose to call for formal votes during these meetings, as either a method to determine policy or to determine faculty preference on policy.

Emergency situations may arise that do not allow for the agreed upon notice to be given prior to the meeting. In such situations, the institute/center director will make all reasonable accommodations to ensure that faculty are represented in the meeting. It is further understood that such emergency situations are intended to address short-term accommodations, and that these meetings will not be used to discuss or decide upon longer-term policy.

3. **Appropriate Documentation of Decisions**

Formal meeting minutes will be kept for each institute/center meeting that discusses or decides on issues pertaining to participatory governance. Meeting minutes will be distributed to all institute/center faculty members via email, and will also be available from the OCO administrative staff who will keep meeting minutes for a period of no less than five years after the meeting date.

Written responses from a provost, vice president, or designee to institute/center to proposed unit policies will be delivered to the institute/center director. Institute/center director or designee will circulate them to all faculty in a timely manner via email.

4. **Who is included in "the unit" in the institute/center context?**

   4.1. The "members" of the Center are faculty recognized by the Leadership Committee by virtue of their engagement in research in optical science. Members may include TTF and retired TTF as well as other university employees and includes both faculty who are members of the bargaining unit and those who are not.

   4.2. "All faculty" in the Center means members of the Center together with others who are employed in a scientific capacity to work on Center optical science research grants and contracts. These include TTF, retired TTF, career NTTF, adjunct faculty, post docs and the Center Director. "Faculty" includes both faculty who are members of the bargaining unit and those who are not.

   4.3. All faculty in the center having PI status are eligible to be Members.

   4.4. New membership in the center requires the supporting votes from at least 2/3 of the current Members.

   4.5. Affiliate partners are accomplished scientists or engineers with a strong interest and active technical participation in advancing a part of optical science and/or technology. This category includes members who hold a primary appointment in another institute or center at UO or another academic institution and place their primary energies there, but wish to interact with the OCO. It also includes members of industry. It is also appropriate to indicate emeritus membership (applicable automatically to all academic Members beyond UO or other retirement) or honorary membership.

   4.6. Research assistants are defined as students enrolled as MS or PhD students or laboratory staff who are engaged in optics research within the OCO.

4.7. Affiliate partners and research assistants do not count in the faculty, are not eligible for membership in the leadership committee, nor do they have voting rights on center issues. Affiliates and assistants may be consulted and/or asked to participate in discussions about center business.

5. **Standing Committees**

   5.1. Leadership Committee

      5.1.1. The Leadership Committee has authority to work with the Center Director on behalf of all faculty in matters as defined in Section 1.

      5.1.2. The Leadership Committee is composed of at least three members selected by the Center membership. The Center Director relies on the Leadership Committee for advice on Center matters. The Center Director is expected to make every effort to attend meetings of the leadership committee. All faculty in the center are eligible for membership in the Leadership Committee, which will advise the Director, who is responsible for final decisions. Academically tenured faculty members will comprise at least 2/3 of the Leadership Committee. The members of the Leadership Committee are nominated and elected by the whole faculty of the center.

      5.1.3. The term of service on the Leadership Committee is three years.

      5.1.4. Duties of the leadership committee include:

         5.1.4.1. Advising the center director

         5.1.4.2. Making recommendations on appointments, promotions and on other employment issues of faculty and staff

         5.1.4.3. Making recommendations regarding the acquisition and use of facilities

         5.1.4.4. Carrying out a review of the center membership every five (5) years.

   5.2. Budget Committee

      5.2.1. The center will have a Budget Committee comprising all center Members with active research grants. The center Director relies on the Committee for advice on budget-related matters. The annual spending plan of the center will need to be approved by the Committee.

   5.3. Other Standing Committee(s) – The OCO has no other standing committees

6. **Ad Hoc Committees**

   The Director may form ad hoc committees for addressing issues where the leadership committee or standing committees are not appropriately positioned to equitably address these situations. In such situations, the formation of such committee will be discussed in the earliest available faculty meeting, where all faculty can provide feedback regarding the committee and formal meeting minutes will document the scope and authority of the committee.

7. **Search Committees**

   For faculty to be hired to perform work on projects sponsored by an external entity, the director will work with the principal investigator (PI) to determine the appropriate search committee composition. The director will appoint the search committee. The PI may chair the search committee. At minimum, search committees must meet standard AAEO rules.

8. **Center Director Nomination Participation and Selection**

   8.1. The Center Director serves three year, renewable terms. Prior to the completion of each term, the Leadership Committee will discuss Center issues with the Director and then independently with other identified Directorship candidates. If any member of the Leadership Committee is a candidate, she or he will be recused from the discussion. After discussing their interest with potential candidates, the Leadership Committee will bring a slate of nominations to a meeting of the full faculty. A vote of the membership will determine which candidates to nominate to the Vice President for Research & Innovation (VPRI). Each member may vote for as many of the nominees as they wish. The candidate receiving the most votes will be nominated as well as any other candidate receiving at least 2/3 of the votes. The names of the nominated candidates will be forwarded to the VPRI by the Leadership Committee.

   8.2. Director Duties

   8.2.1. Acts as chief administrator, spokesperson and negotiator for the center
   8.2.2. Keeps membership informed about substantive developments
   8.2.3. Chairs meetings
   8.2.4. Approves conferences, symposia, and other events organized under the name of the OCO prior to announcement
   8.2.5. Ensures that all new members are provided with a copy of this governing document
   8.2.6. Approves research proposals submitted by center members under the OCO organization code through the Office of Sponsored Projects.

   8.3. The director must designate acting director in absence of 2 weeks or more

9. **Faculty Administrative Roles in the RIGE research Center or Institute**

   The Director is the only official administrative role in the OCO.

10. **Development of Key Collective Bargaining Agreement Center/Institute Policies**

    10.1. The RIGE research Center/Institute will use the following processes to develop policies regarding TTF and NTTF professional responsibilities, NTTF performance review and promotion, and professional development funds.

    10.2. Merit Increase Policies

    10.2.1. Vice President for Research & Innovation or designee will provide guiding principles regarding merit policies to the center/institute director.

10.2.2. Using these materials, the center/institute director and an ad hoc committee comprised of members at the faculty rank or above will draft the recommended policy.

10.2.3. The leadership committee will hold at least one meeting open to all faculty in the center/institute, where individuals can provide input into the draft policy. Formal meeting minutes will be kept of all such meetings and will be made available as per Section 3.

10.2.4. Center/Institute director will submit recommended policy for review to the Vice President for Research & Innovation or designee, who will provide the faculty with written explanation for and an opportunity to discuss any alterations (s)he makes before submission to provost or designee.

10.3. Professional Responsibilities Policies

10.3.1. Vice President for Research & Innovation or designee will provide guiding principles regarding professional responsibility policies to the center/institute director.

10.3.2. Using these materials, the leadership committee and center/institute director will draft recommended policy.

10.3.3. The leadership committee will hold at least one meeting open to faculty who supervise NTTF in the center/institute where individuals can provide input into the draft policy. Formal meeting minutes will be kept of all such meetings and will be made available as per Section 3.

10.3.4. Center/Institute director will submit recommended policy for review to the Vice President for Research & Innovation or designee, who will provide the faculty with a written explanation for and an opportunity to discuss any alterations (s)he makes before submission to provost or designee.

10.4. NTTF Performance Review and Promotion Policies

10.4.1. Vice President for Research & Innovation or designee will provide guiding principles regarding performance review and promotion to the center/institute director.

10.4.2. Using these materials, the leadership committee and center/institute director will draft recommended policy.

10.4.3. The leadership committee will hold at least one meeting open to all faculty. Formal meeting minutes will be kept of all such meetings and will be made available as per Section 3.

10.4.4. Center/Institute director will submit recommended policy for review to the Vice President for Research & Innovation or designee, who will provide the faculty with a written explanation for and an opportunity to discuss any alterations.

10.4.5. Time spent by funding contingent faculty members on service to the University, including shared and internal governance, must comply

with the terms and conditions of their sponsored project and all federal and state laws and regulations.

1.1. Professional Development Funds Policies

1.1.1. Vice President for Research & Innovation or designee will provide guiding principles for professional development funds policy to the director.

1.1.2. Using these materials, the leadership committee and center/institute director will draft recommended policy.

1.1.3. The leadership committee will hold at least one meeting open to career NTTF and those who supervise career NTTF in the center/institute where individuals can provide feedback on draft policies. Formal meeting minutes will be kept of all such meetings and will be made available as per Section 3.

1.1.4. Center/Institute director will submit recommended policy for review to the Vice President for Research & Innovation or designee, who will provide the faculty with a written explanation for and an opportunity to discuss any alterations (s)he makes.

2. Deadline Submission

Leadership Committee and all faculty acknowledge the urgency of policy development, and accept responsibility for meeting deadlines. In the event that a committee misses a deadline, the director maintains the ability to make unilateral decisions on affected subject matters until such time that the Leadership Committee completes assigned tasks and affected deliverables are approved by the Vice President for Research & Innovation or designee.

3. Policy Initiation

The center/institute director, VP, Provost or designee may initiate changes to established policy by informing faculty of changes being considered, thereby initiating this process for policy development.