

CESAR'S Professional Track Faculty Appointment, Evaluation, and Promotion (AEP) Policies, April 21, 2017

CESAR's Operating Context

In 1989, CESAR was created as an interdisciplinary college wide research center focused on substance abuse research. Cesar's Director reports to the Dean of the College of Behavioral and Social Science (BSOS) and holds the only permanent faculty position. CESAR is a "soft money" entrepreneurial research unit. Research faculty are funded solely by grants or contracts and are hired to work on specific time-limited research projects. The Principal Investigator (PI) who was awarded the funded grant or contract is responsible for managing the budget and hiring, training and supervising project staff. This new AEP policy is designed to operate effectively within CESAR's unique entrepreneurial project driven environment. CESAR research faculty have been traditionally assigned the titles of Faculty Research Assistant or Faculty Research Associate. Under this new policy, CESAR research faculty will be assigned to one of four titles: Faculty Assistant (FA), Faculty Specialist (FS), Senior Faculty Specialist (SFS) and Associate Research Scientist (ARS). The BSOS Dean's Office will review and approve CESAR's AEP policies and monitor compliance with campus level guidelines (insert link). Specific procedures are outlined below.

Dissemination of New Policy

The College's and CESAR's AEP policies will be made available online to all current faculty and linked to in the contract for all new hires.

AEP Policy Committee

CESAR will create a committee composed of CESAR's Director, its Director of Administrative Services (DAS), all project PIs and Co-PIs and at least one faculty member representing each of the four ranks. The latter will be selected by majority vote at each level. All *committee* members will have full voting representation on the AEP Policy Committee. The AEP Policy Committee will meet annually to review the AEP policy conditions and functioning. Committee decisions will be made by a majority vote. A tie vote will be decided by the Director. Any CESAR faculty member may petition the Director to convene additional Committee meetings to address a pressing issue.

Recruitment and New Hires

A search committee consisting of the hiring project PI, Co-PI (who are PTK faculty) and CESAR DAS will make a hiring recommendation for Professional Track Faculty (PTK Faculty) to CESAR's Director. After a consensus is reached, the preferred candidate's credentials and the search committee's recommendation will be reviewed by relevant BSOS staff, in accordance with the College's policies.

Requests for Promotion

PTK may submit to the Director a request for promotion that follows the position criteria specified in Table 1. The applicant will provide a Current CV and a memo describing how s/he meets the position criteria for promotion to the next level. The application packet must be provided to the CESAR Director by March 1 each year. Upon receipt of the complete packet, CESAR's Director will convene a Promotion Committee (PC) composed of the applicant's project's PI, Co-PI and at least one PTK at the same or higher level than the position being applied for. All members

will have full voting rights. The PC will discuss the application materials and make a recommendation to the Director. If the recommendations from the PC and from the Director differ, both are forwarded to the Dean for a final decision. If the PC and the Director recommendations are both positive, both will be forwarded to the Dean for a final decision. If the PC and the Director recommendations are both negative, the candidate is not promoted (and the application does not need to be sent to the Dean).

A final decision will be provided in writing to the applicant by April 30 each year.

University Approved Contracts

CESAR will use the University's online contract management system and follow BSOS procedures and rules to ensure that contracts conform with and contain all required elements.

Assignment of Faculty Titles

Faculty titles shall relate to the duties and expectations for such rank. Faculty titles will be assigned according to the position criteria provided in Table 1.

Length of Employment Contracts

Whenever possible, faculty will be provided contracts that coincide with the maximum probable lengths of the grant/contract period that funds their assigned projects.

Faculty Mentoring Plan

CESAR's higher ranked faculty will mentor and train new hires and lower ranked faculty in the areas of grant proposal preparation, public speaking, data collection, preparation and analysis and report writing and project management. Faculty are encouraged to present their work at conferences, attend webinars, courses and seminars related to their professional development. CESAR's Associate Research Scientist runs a training class on SPSS programming each year that is open to all faculty.

Time in Rank

Faculty Assistants will be able to remain at that level for a maximum of 3 years and will be encouraged to apply for promotion to the Faculty Specialist position. Persons in the other positions will be allowed to remain in those positions as long as they wish or to apply for promotion based on meeting the position criteria described in Table 1.

Faculty Review Committee (FRC)

The FRC will be composed of the Director, all project PIs, Co-PIs (typically including at least one PTK faculty) to conduct reviews of the performance of all PTK faculty. All members will have full voting rights. The committee will be charged to consider candidates within the context of the expectations in their contract as well as according to the criteria for promotion. Faculty will submit brief synopses of their accomplishments during the prior year and plans for research and professional growth during the coming year. These materials will be due each April and

suitable written feedback will be provided to each faculty member by June 30. The review results will be used in consideration of merit decisions, as well as promotions.

Approval of Appointments Beyond the Senior Level

Not applicable; there are no appointments beyond senior level at CESAR.

Providing Written Feedback to Faculty

Covered in sections above.

Appeals

Any person denied a promotion may provide a written appeal to the Director within 2 weeks of receiving the denial providing that a.) the procedure followed in this document was not followed correctly, or b.) the criteria used for evaluation were inadequate or improper. The appeal will be reviewed by the Director in consultation with the PC members. After consultation, the BSOS Dean or the Provost shall make the final decision. A written reply will be provided to the person within three days of this determination. *Negative decisions on promotions or appeals will not preclude renewal of the affected person's existing PTK appointment.*

Salary Increases After Promotion

The size of any salary increase after a promotion will be determined in conjunction with BSOS policies and the person's existing grant/contract budgets agreements or requirements.

Permanence of Promotions

Promotions are permanent and cannot be rescinded.

Promotions Based on Position Criteria

Promotions will be based on decisions by the PC using the criteria in Table 1 and past performance and not by any unit-wide quota.

Promotions of Multi-Unit Faculty

Not applicable; will revise if applicable in the future

Receipt of College Level Faculty Awards

Excellence in Research Award

AEP and Merit

As noted above, the existing merit decision process will take into consideration the decisions of the PC (promotion committee) and the FRC (faculty review committee), described above.

Table 1: CESAR Faculty Track Position Criteria (June 2016)

CRITERIA:	POSITION			
	Faculty Assistant (FA)	Faculty Specialist (FS)	Senior Faculty Specialist (SFS)	Associate Research Scientist (ARS)
EDUCATION				
Bachelor of Arts (BA) or Bachelor of Science (BS)	✓*	✓*	✓*	✓*
Master's degree or 3 years relevant experience		✓*	✓*	
Ph.D.				✓*
PRIOR POSITIONS				
2 or more years as FA or similar position		✓*		
2 or more years as FS or similar position			✓*	
RESEARCH PROJECT EXPERIENCE				
Served as Project PI or Co-PI			✓*	✓
Served as Project Director			✓	✓
Presented at research conferences			✓	✓
Excellent annual performance reviews/references		✓*	✓*	✓*
Data collection		✓	✓	✓
Data processing/cleaning		✓	✓	✓
Data analysis		✓	✓	✓
Proposal preparation		✓	✓	✓
Co-authored research reports/publications			✓	✓
First author research reports/publications			✓	✓

*required

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