

## **Prevention Science Institute Faculty Review and Promotion Policy**

### **1.0 Collective Bargaining Agreement Processes**

Review and promotion procedures are specified in Article 19 of the Collective Bargaining Agreement. This document elaborates only on those components of review and promotion that are not prescribed in the CBA. When conducting contract and promotion reviews, the institute will rely on Article 19 as a primary resource. These procedures also apply to all unrepresented faculty, unless a university-wide policy exists that contradicts the terms of this policy.

### **2.0 Annual (contract) review**

- 2.1 All research faculty members of institute are reviewed annually, typically in the spring. During their first contract, career NTTF will be also be reviewed halfway through the contract period.
- 2.2 The Assistant Director for Finance and Administration (“assistant director”) is responsible for setting timelines for annual reviews, and communicating deadlines to faculty and their supervisors.
- 2.3 Supervisors perform the annual evaluation. Where there is more than one supervisor, each will be responsible for their area of assignment. The two or more supervisors will decide together on whether to perform the review(s) together or separately.
- 2.4 The annual evaluation is based upon the professional responsibilities as described in a faculty member’s position description along with annual goals and major assignments during the year under review. Because the research faculty are funded by sponsored projects, evaluations should reflect the kind of activities that the faculty have been funded to do.
- 2.5 At the time of the annual evaluation, supervisors, with input from the faculty member, will set individual goals for the upcoming year. Progress towards these goals will be reviewed as part of the annual review for the subsequent year.
- 2.6 Review materials
  - 2.6.1 The Leadership Committee is responsible for developing and maintaining evaluation forms.
  - 2.6.2 In preparation for an annual review, the faculty member will provide their supervisor with a report on activities and accomplishments that reflects progress towards goals set a year prior. Research associates, postdoctoral researchers, and research professors will also provide a complete updated CV.
  - 2.6.3 For each faculty member being reviewed, the supervisor will provide the assistant director with: a current job description, all of the documents provided by the faculty member, and a completed, signed evaluation, using the form provided.
  - 2.6.4 The supervisor and the faculty member should sign the supervisor’s evaluation. The faculty member’s signature acknowledges receipt of the evaluation; it does not indicate agreement with the evaluation. Faculty may also provide a response or addendum to the evaluation.

- 2.6.5 Documents provided by the faculty member and their supervisor will be placed in the faculty member's personnel file.

### **3.0 Promotion review**

#### 3.1 Timeline

- 3.1.1 As required by the CBA, a faculty member must notify the director of their desire to seek promotion in the year prior to seeking promotion. This should typically be done as part of the annual review process, but may occur as late as June 30.
- 3.1.2 The director is responsible for developing and communicating unit deadlines to promotion candidates and their supervisors well in advance of deadlines. The exact timeline may vary from year to year depending on the number of candidates being considered for promotion.
- 3.1.3 Complete dossiers must be submitted to the Office of the Vice President of Research and Innovation (OVPRI) by March 1, unless notified by the OVPRI of a different deadline.

#### 3.2 Review committee

- 3.2.1 In years where there are research NTTF promotion reviews in the institute, the director appoints a promotion review committee as well as a review committee chair. In the event that the director is being promoted, the VPRI or designee will appoint the committee.
- 3.2.2 The committee will be made up of 3-5 TTF and career NTTF members who have a rank equivalent or higher to the aspirational rank of the candidate. If available, this committee should include at least one research NTTF member of the appropriate rank, if such a faculty member is available. Prior to appointing a funding continent faculty NTTF, the director will confirm that their funding permits participation in this committee.
- 3.2.3 The review committee will not include the candidate's immediate supervisor or the director.
- 3.2.4 In the event that there are not enough members of the institute at the appropriate rank to make up a committee, the director should appoint faculty members from other units with similar research focus or research endeavors.
- 3.2.5 The committee is responsible for reviewing the candidate's materials, voting, and making a written recommendation, including a formal vote, to the director. The director will include a voting summary in their evaluation letter.

#### 3.3 Review materials

- 3.3.1 The faculty member will provide the following materials to the review committee:
  - 3.3.1.1 Curriculum vitae: comprehensive and current research, scholarly and creative activities and accomplishments, publications, appointments, presentations, and similar activities and accomplishments.

- 3.3.1.2 Personal statement: 2-6 pages evaluating own performance measured against applicable criteria for promotion. Should address teaching, scholarship, research and creative activity, and service contributions, as applicable. The statement should also include discussion of contributions to institutional equity and inclusion.
  - 3.3.1.3 Teaching portfolio (if applicable): representative examples of syllabi or equivalent descriptions of course content and instructional expectations, examples of student work and exams, and similar material
  - 3.3.1.4 Scholarship portfolio (applicable to research associates and research professors only): comprehensive portfolio with documentation of scholarship, research and creative activity; and appropriate evidence of national or international recognition or impact
  - 3.3.1.5 Service portfolio: documentation and examples of service contributions to member's department, center or institute, school or college, university profession and community (e.g. search committee membership, departmental committee contributions, awards, commendation, or letters of appreciation). May include short narrative elaborating on member's unique service experiences/obligations
  - 3.3.1.6 Professional activities portfolio (if applicable): comprehensive portfolio of professional or consulting activities related to faculty member's discipline
  - 3.3.1.7 External reviewers (if applicable, based on section 3.4 below): faculty member provides list of potential qualified outside reviewers
  - 3.3.1.8 Other materials as applicable to a particular candidate
  - 3.3.2 The candidate's supervisor provides their letter of evaluation directly to the committee, including a summary of performance that is consistent with information outlined in past performance evaluations.
- 3.4 External and internal reviews
- 3.4.1 Review for promotion to senior research assistant I and senior research assistant II will generally include only internal reviews, unless the candidate has job duties that are to create an external impact.
  - 3.4.2 Review for promotion to research associate I and research associate II will generally include only internal reviews, unless the candidate has job duties that are to create an external impact.
  - 3.4.3 Promotions to research associate professor and research full professor will have external reviews, but may also include internal reviews.
  - 3.4.4 Prior to embarking on obtaining reviews, the committee chair will discuss with the OVPRI the candidate and their job duties, and propose a plan regarding the time and quantity of internal and/or external reviews, and obtain agreement from the Office about the type and quantity of reviews.

- 3.4.5 The review committee chair manages the process of obtaining supervisor's evaluation, and internal and external reviews.
- 3.5 Criteria for promotion
  - 3.5.1 The institute relies on the following primary indicators to evaluate faculty performance: (a) quality of work; (b) effectiveness or impact of effort; and (c) contribution to the individual's unit or department, the college, university, and local, state, and national community.
  - 3.5.2 Promotion is not an automatic process, but rather awarded for excellence.
  - 3.5.3 Promotion criteria may be customized for particular positions. Position-specific criteria will be based on the most important core professional responsibilities as described in a faculty member's position description and accommodate a wide range of research and evaluation methods, scholarly approaches, and technical contributions to diverse disciplinary outlets. Because research faculty are funded by sponsored projects, these evaluations will also reflect the kind of activities that they have been funded to do.
  - 3.5.4 All faculty are expected to contribute to the University's goals regarding equity and inclusion. These contributions may be in the areas of research, teaching, and service activities, as appropriate given the candidate's job duties.
  - 3.5.5 Criteria for promotion to senior research assistant I and senior research assistant II
    - 3.5.5.1 Assumed leadership role(s): candidate's responsibilities have progressively increased so that candidate now plays a key leadership role on their team.
    - 3.5.5.2 Innovation: candidate demonstrates an innovative and creative approach to their position. Candidate has developed new or improved processes, methods, systems, or services which benefit the institute, university, and/or the community.
    - 3.5.5.3 Service: candidate is service-oriented and has demonstrated a commitment to participate in the success of the institute, university, and the community.
    - 3.5.5.4 Performance: candidate consistently meets and exceeds expectations in annual performance evaluations, as indicated in supervisors' summary.
  - 3.5.6 Criteria for promotion to senior research associate I and senior research associate II is the same as outlined in above in section 3.5.5
  - 3.5.7 Criteria for promotion to research associate professor and research professor
    - 3.5.7.1 Generally, the criteria for promotion in this classification are comparable to criteria for tenure-track faculty, including national and international impact of their scholarship. They will be evaluated on research, teaching, and service only in so far as these are part of their job duties.
    - 3.5.7.2 Criteria and standards specific to research include:

- 3.5.7.2.1 Submission of research findings of significance and quality to peer-reviewed publications
- 3.5.7.2.2 Participation in conferences, conventions, seminars, and professional meetings
- 3.5.7.2.3 Association with organizations and groups that will result in professional improvement to the participant in their research and bring recognition to the university
- 3.5.7.2.4 Evidence of scholarliness, such as special awards, scholarly citations, and the re-publication of work
- 3.5.7.3 Criteria and standards specific to teaching may include:
  - 3.5.7.3.1 Classroom instruction, including presentation of course materials and effectiveness of presentations to large predominately undergraduate classes, and small upper division and graduate classes
  - 3.5.7.3.2 Academic advising, mentorship, consultation, and informal teaching at all levels
  - 3.5.7.3.3 Stimulation of student interest in doing high quality work
  - 3.5.7.3.4 Supervision of student research, including: post-doctoral, Ph.D., master's, and professional students
  - 3.5.7.3.5 Revision of courses to keep them updated
  - 3.5.7.3.6 Advising on independent studies projects
  - 3.5.7.3.7 Serving on examination committees
  - 3.5.7.3.8 Maintenance of appropriate standards of student performance
  - 3.5.7.3.9 Evaluation of student performance
  - 3.5.7.3.10 Interest in effective teaching techniques
  - 3.5.7.3.11 Defining educational objectives and developing teaching and evaluative materials reflecting current scholarship in the discipline and in educational theory
  - 3.5.7.3.12 Lecture, discussion, seminar, lab, or studio formats
  - 3.5.7.3.13 Curriculum development
- 3.5.7.4 Criteria and standards specific to service include:
  - 3.5.7.4.1 Active service involvement in the institute, department/college, university, and greater communities in the candidate's field. Examples of service: administration of institute, department, or college; curriculum, personnel, and policy committees or activities; service and activities on behalf of the larger community (local, state, national, and international governmental bodies, etc.); academic contributions to community activities either as an individual or as a representative of the university; academic service on behalf of public bodies