

**Prevention Science Institute
Internal Governance Policy**
Approved for the Office of the Provost August 10, 2015
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This INTERNAL GOVERNANCE POLICY provides the formal codification of the process for the development and maintenance of internal governance policies for the Prevention Science Institute (PSI). Internal governance issues are limited to those that deal with the methods and manners by which policies are set within this research institute, inclusive of the requirement to provide for appropriate and equitable representation of faculty as defined in the Collective Bargaining Agreement (CBA).

1. Appropriate and Equitable Faculty Governance Participation

The following sections constitute major areas of internal governance within the PSI, as mandated by the CBA. 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 is developed by the Leadership Committee (as defined in section 5.1) and approved by the voting membership (as defined in section 4). Policies will be discussed at meetings set per section 2, 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 will be drafted and amended by the PSI Leadership Committee, with input from all PSI faculty.
- 1.3. NTTF Performance Review and Promotion Policy - Policy regarding non-tenured performance review and promotion will be drafted and amended by the PSI Leadership Committee, with input from all PSI faculty.

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.

2. Meeting Protocol

The Institute director will provide a minimum of three business days' notice to institute faculty via email regarding any 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 and discussion. 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. Faculty on leave may participate in meetings regarding governance, via remote access or they 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. Formal votes will be decided by a

simple majority.

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 director will make all reasonable accommodations to ensure that all PSI faculty are represented in the meeting. Such emergency situations are intended to address short-term accommodations; these meetings will not be used to discuss or decide upon longer-term policy.

3. Appropriate Documentation of Decisions

Meeting minutes will be kept for each institute meeting that discusses or decides on issues pertaining to participatory governance. Meeting minutes will be distributed to all institute faculty members via email and will also be kept on record by the PSI administrative office.

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

4. Membership and voting rights

- 4.1. "All faculty" in the institute means all of the faculty employed by the University of Oregon in a scientific capacity to work on research and outreach consistent with the PSI mission. This includes TTF, retired TTF, career faculty, pro tempore faculty, post docs, It also includes pro tempore faculty with active grants that are managed by the PSI. "Faculty" includes both faculty who are members of the bargaining unit and those who are not.
- 4.2. "Principal investigators" include faculty who are listed as the principal investigator (PI) in the UO system and manage their grants through the PSI. TTF faculty associated with the PSI are appointed in academic units across campus. New memberships at the principal investigator level are typically sponsored by one or more existing principal investigator members. Principal investigator level membership may be granted to TTF, Career Faculty, and other UO employees deemed suitable for advancing the mission of the Institute through grant proposal development. Individuals interested in becoming principal investigators should consult with the director. Proposed new principal investigator full members that are not automatic will be evaluated by the director and, if the evaluation is favorable, a recommendation on membership will be forwarded to the PSI principal investigator committee for approval.
- 4.3. Full members of the PSI are TTF, Career Faculty, and postdoctoral scholars employed at the institute at or above .3 FTE, and any additional TTF faculty employed in a UO academic unit who are active as a principal investigator or co-investigator on one or more grants at the institute. This minimum FTE requirement for full membership is to ensure that participation and voting on institute policies and procedures be limited to those faculty who are substantially contributing to the mission of the institute with a non-trivial amount of their effort devoted to the PSI. Full members are those who direct the main part of their efforts to fulfilling the mission of the PSI, including participation in Institute activities such as administration and seminars. Career faculty hired on PSI grants at or above .3 FTE are automatically considered full members. Approved members have voting rights on Institute matters.
- 4.4. Associate members of the Institute are TTF, Career Faculty, and postdoctoral scholars who direct part of their efforts to fulfilling the purpose of the Institute and

participate in some Institute activities but who are not employed directly in the Institute. They typically hold a doctoral or other advanced degree. Associate members do not have voting rights on Institute matters.

- 4.5. Two-thirds majority of the PSI principal investigator members (excluding the person under consideration if a full member) is required for an election or termination of any member. Votes may be cast in person or in writing.
- 4.6. All other decisions of the PSI (related to governance or otherwise) shall be made by a simple majority of those voting, provided at least half of the full members of the Institute vote. Votes may be cast in person or in writing.
- 4.7. Full members of the Institute may participate in policy development and in voting while on leave or on sabbatical. Meetings will include opportunities for absent faculty to participate via telephone or other means of remote access. Absent faculty can also provide written input to the PSI director.
- 4.8. The Institute does not allow voting rights for students in faculty appointments/hiring final decisions, nor student involvement in faculty promotion decisions.

5. Standing Committees

5.1. Leadership Committee (Internally referred to as PSI Scientist Committee)

- 5.1.1. The Leadership Committee has responsibility to develop policies on behalf of all faculty in matters as defined in Section 1.
- 5.1.2. The Leadership Committee (PSI Scientist Committee) includes all members of the institute who are actively submitting grants through the PSI or are in training to do so. This includes PSI Principal Investigators (PIs), and other TTF and Career faculty in the professor series or the research associate series and postdoctoral scholars who are submitting grants through the PSI. All members of the PSI Principal Investigator Committee (see 5.2.2) are automatically members of the Leadership Committee. In addition to policy development, Leadership Committee activities include discussing scientific topics such as grant proposals in development, funder priorities and trends, and internal research topics including research compliance, intellectual property, and space allocation. Leadership Committee members who are not full members of the PSI (see Section 4.3) participate in meetings and discussions but do not have voting authority.

5.2. Other Standing Committee(s)

- 5.2.1. All Labs Committee includes, at a minimum, one representative from each of the PSI scientists with active projects managed by the PSI. A representative from the PSI administrative team staffs the All Labs Committee. All Labs Committee members can be TTF, career faculty, officers of administration, or classified staff. The PSI Director is a member of the All Labs Committee. In September of each year, each PSI scientist with at least one active project at PSI will direct their group to select a representative from their lab to participate in the All Labs Committee. All Labs Committee members funded by more than one

team may vote with one or more of the teams on which they are funded. Committee members serve a year at a time, with the possibility of yearly renewal.

5.2.2. The Principal Investigator Committee (PI Committee) meets monthly to discuss institute-wide issues including: staffing across projects, institute budgets and projections, indirect spending priorities, and space allocation between projects. Committee members include the Director, Associate Director, and principal investigators who have actively funded research within the PSI and are listed as the PI within the UO grants management system. The PI Committee also communicates with university development, develops the annual report, and makes decisions about membership within the PSI. The committee meets as needed to discuss broader institute-wide topics.

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. Promotion committees will also be ad hoc committees, formed as needed, depending on the particulars of the employees being considered for promotion. Our review and promotion policy describes the make-up of these committees.

7. Search Committees

The hiring process for PSI faculty and staff shall follow university guidelines for best practices to ensure broad and inclusive searches. 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 PI will appoint the search committee. The PI may chair the search committee. At minimum, search committees must meet standard AAEO rules.

8. Institute Director Nomination Participation

The Director is appointed by the VPRI for a three-year term, with the possibility of renewal at the discretion of the VPRI. During the final twelve months of the director's term, but not less than four months before the expiration of the term, the PSI Scientist Committee shall discuss possibilities for a successor with the director and seek input on this issue from all faculty. If it becomes apparent that a member of the Leadership Committee is a candidate for the next directorship, they will recuse themselves from further deliberations. The PSI Scientist Committee will identify candidates who are interested in the position and determine the level of support within PSI for various candidates by consulting with the All Labs Committee. The PSI Scientist Committee will then vote on the Director, and report the results of the vote to the PSI PI Committee, who will report the results to the VPRI to inform their decision concerning the Director. In special situations, e.g., if an external director appointment is necessary or advisable, the VPRI may modify this nomination process as appropriate.

9. Faculty Administrative Roles in the research Institute

The PSI director may appoint an Associate Director for up to a three-year term.

Appointments may be renewed for consecutive terms. Duties of the associate director include activities such as organizing seminars, serving as content expert on PSI products, serving on committees, overseeing the annual report, back-up signatory for official correspondence and approvals, and representing the PSI at external events. Associate director duties are assigned by the director as appropriate and in consultation with the associate director. In addition, the director may assign related duties to PSI faculty as appropriate and in consultation with the faculty member, as specifically related to promoting the mission of the institute.

10. Development of Key Collective Bargaining Agreement Institute Policies

The PSI will use the following processes to develop CBA-mandated policies.

- 10.1.1. Vice President for Research & Innovation or designee will provide guiding principles regarding CBA-mandated policies to the institute director.
- 10.1.2. Using these materials, the Leadership Committee will draft the recommended policy.
- 10.1.3. The Leadership Committee will draft the written policy, with input from all institute faculty affected by the policy. All Labs Committee input will be specifically sought. Meeting minutes will be kept of all such meetings and will be made available as per Section 3.
- 10.1.4. Institute director will submit recommended policy for review to the Vice President for Research & Innovation or designee, who will, within 45 days of submission of the faculty-approved policy, provide the faculty with a written explanation for and an opportunity to discuss any non-grammatical alterations (s)he makes before submission to Provost or designee.

11.0 Deadlines

The 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 executive 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, and the Office of the Provost, which has final authority to establish policy for each department or unit.

12.0 Policy Changes

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

Department or unit faculty members, either through a governance committee or at a regular faculty meeting, may call for changes to an established unit-level policy by notifying the faculty, or department or unit head, of a change to be considered. Calls for revision of a department or unit policy will be assigned to a governance committee or considered at a regular faculty meeting within 120 days of the notification of the proposed change.