

## ENDOWED POSITIONS AND PROGRAMS POLICIES AND PROCEDURES

### INTRODUCTION

Endowed positions and programs are an important part of creating the rich heritage of thought and leadership that society expects from the best academic institutions. They bring unique visibility and prestige to the College of Forestry. While relatively new to the College, their creation is the highest continuing-priority for the College's development program. With the generosity of our supporters, it is likely that several endowments will be established over the next decade or two.

This document establishes policy and procedures for the College of Forestry endowed positions and programs.

### PURPOSE AND DEFINITIONS

The purpose of endowed positions and programs is to enhance and facilitate the educational and research missions of the College, with a focus on the future. Some endowed positions and programs will be specifically sought through College development activities, others will arise because of the interest of one or more donors—but all will directly support the vision, mission and goals of the College. They are not supported with state resources, other than state matching funds.

**Endowed positions** include *endowed Professorships, endowed Chairs and endowed Eminent Scholar positions*. These positions and the resources required for them are defined by the University. In 1996 the minimum endowment is \$500,000 for Professorships, \$1.5 million for Chairs, and \$2.5 million for Eminent Scholar positions.

Endowed positions are occupied by faculty of the College who can best achieve the objectives and goals of the positions. These individuals carry a title appropriate to the position, are appointed for defined terms, and serve at the pleasure of the Dean. Holding an endowed position is a significant honor and a sign of "senior statesmanship". Incumbents are expected to provide leadership in appropriate technical fields, and as well, academic leadership to students and colleagues through advising, mentorship and example. These individuals are like other faculty, except that they have broader responsibilities, and we have higher expectations of them.

**Endowed programs** enhance the quality and effectiveness of the College's programs in education, research and related activities. Establishing an endowed program will normally require an endowment of \$ 2.5 million.

An endowed program will support broad areas of the College mission—such as resident instruction, research, extended education, etc. There may be more than one endowed program in any one area, but each program will have a unique identity. For instance there could be two endowed programs in resident instruction—one for undergraduate education and a separate one for graduate education. Income from endowed programs may be used to pay faculty or other salaries, but individuals associated with an endowed program do not normally carry a unique title. Each endowed program will have a designated program manager with a title signifying an administrative assignment, not an honorific academic title.

## **POLICY**

Endowed positions and programs support the vision, mission and goals of the College. The Dean establishes endowed positions and programs when it is in the best interest of the College, and when sufficient funds from donors are available, consistent with the policies of the University and OSSHE. Decisions about endowed positions and programs are made by the Dean, in consultation with the OSU President and Provost, the associate/assistant deans and department heads of the College, and with appropriate input from faculty and the College Development Officer.

Donors make the formation of endowed positions and programs possible, and they may indicate program or position emphasis. However, donor involvement with establishing, filling and managing of endowed positions and programs is necessarily limited. Donors' wishes will be carefully considered, and they will be kept informed, but the decision process resides wholly within the University—consistent with University policy, IRS regulations and other provisions necessary to maintain the financial independence and academic integrity of the College and the University.

Each endowed position and program will have a written position or program description and a management plan, and will be assigned for management to an academic unit or an associate/assistant dean of the College. In the decision process, the Dean will normally consult closely with the unit head or associate/assistant dean who will be responsible for the management of the program or position. Endowed positions are filled for a defined period of time by the best qualified individual available at the time, consistent with the needs of the College.

Information about endowed positions and programs will be shared broadly, including donors and others with a potential or abiding interest in the College.

## IMPLEMENTATION OF POLICY

The implementation section is intended to provide general guidelines rather than rigid regulations.

### ESTABLISHING ENDOWED POSITIONS AND PROGRAMS

Using the policy above, the Dean establishes endowed positions and programs. The factors to be considered in this decision include whether or not the endowed position or program:

- a. will further the vision, mission and goals of the College of Forestry,
- b. is adequately funded by proceeds from an endowment,
- c. will have adequate facilities and support services,
- d. will enhance the stature of the College and University,
- e. will enhance other development opportunities,
- f. is consistent with the policies, principles and regulations that impinge on it,
- g. facilitates innovative and/or collaborative work, and
- h. advances the sciences and professions associated with forestry, forest products or related natural resource fields.

Participation by College faculty and administrators is essential in establishing endowed programs and positions. Normally, this will include their participation in the development of program or position description documents, management plans and strategies for filling positions and implementing programs.

College faculty will participate through an ad hoc faculty committee appointed by the Dean. The Dean will make the assignment to the committee, providing broad direction and identifying limitations and other conditions. The function of the committee is to develop and evaluate alternatives, culminating in recommendations to the Dean. The Dean will consult with associate/assistant deans and department heads, and especially with the potential program or position manager. The College Development Officer works closely with the Dean in these matters, especially as it involves interactions with donors.

Generally, the following steps are involved in establishing endowed positions or programs:

1. Funds for the position or program are obtained or committed, including any matching funds,
2. Broad direction and the framework for the position are established by Dean. This will reflect, as appropriate, the broad interests of the donor(s), but will not be so narrowly constructed that the position or program solely reflects the position or agenda of the donor(s).

3. Ad hoc faculty committee is appointed, and the position or program description document is prepared for review by a select group of faculty, administrators and donor(s), with revisions as appropriate. These are submitted to the Dean for approval.

Endowed position and endowed program description documents—The position or program description document is crucial because it provides the framework for decisions. This document will identify:

- a. broad goals and objectives, and when appropriate, a disciplinary focus. However the incumbent will be expected to identify specific objectives and measures of accomplishment,
  - b. specific functions and proportion of effort or resource allocated to each. For example, in endowed positions the functions may include resident instruction, research, extended education, advising and mentoring, etc. For endowed programs, functions may include research, outreach or education,
  - c. the unit or individual who will supervise the position or manage the program, and
  - d. the facilities and resources needed to achieve the goals of the position or program.
4. The Dean will make the final decision about position or program establishment.
  5. If establishment occurs, the management plan will be prepared by the supervisor of the position or program. The management plan will address the following topics:
    - a. Academic Rank—Rank will be appropriate to the endowed position and the responsibilities it carries. Normally, endowed positions will be filled with individuals at the rank of professor. There is no unique academic rank associated with endowed programs.
    - b. Tenure—Endowed positions will normally be filled by individuals with tenure or having a tenure-track academic appointment. Any tenure is associated with the academic appointment and does not extend to the endowed position. Short term appointments of visiting professors or scholars will not involve tenure.
    - c. Pay—Pay for endowed positions will be set to attract the best teachers or scholars. Normally this level will exceed that of other faculty with similar academic rank in the College. Pay for the leaders of endowed programs will be commensurate with their academic rank and administrative responsibilities.

- d. Duration of Appointment—Appointments to endowed positions or programs will be for a defined period of time—normally five years. Re-appointment of an incumbent is possible.
  - e. Program Support—Endowed positions and programs will have a substantive level of financial support to facilitate achieving the goals. The support may come from a variety of sources within the College. Incumbents are expected to obtain additional funds from outside of the College.
  - f. Publicity—A specific publicity plan for the position or the program will be developed and implemented. The plan may specify:
    - materials for OSU News Service and other media,
    - material for the *Focus on Forestry*, the *Oregon Stater* and similar publications,
    - notices to scientific and professional societies,
    - notices to interest groups and organizations,
    - notices to educational and research institutions,
    - inclusion of holders of endowed positions in donor recognition events, and
    - other strategies as included in the College Communications Plan.
6. The Dean approves the management plan and decides how information about the endowed position or program will be shared with College faculty, University and OSSHE officials, donors, and others.

## **FILLING ENDOWED POSITIONS**

Endowed positions can be filled by internal or external candidates, either by direct appointment of a specific individual or by competitive recruitment. In determining how a position will be filled, the Dean will consult with the associate/assistant deans and department heads of the College, and normally will seek a recommendation from the ad hoc committee. The College will keep the faculty of the College informed about the process and will notify University and OSSHE officials as appropriate.

Recruitment will be the most common method of filling endowed positions, but there will be instances where direct appointment is more appropriate. As examples, direct appointment may be most appropriate during periods of financial stress, or when the focus or circumstances of the position are such that it is best filled with a known and uniquely well qualified individual (including external candidates). The competitive recruitment process is the same as used for normal faculty vacancies, tailored to the requirements of the specific endowed position. The ad hoc committee, supplemented by others, may serve as a recruitment and screening committee.

Selecting a leader for an endowed program will conform to standard appointment processes in the College and University.

## **MANAGING ENDOWED POSITIONS AND PROGRAMS**

Achieving the goals associated with endowed positions and programs requires their effective management. This includes specifying a supervisor for endowed positions and a manager/leader for endowed programs, provisions for performance review and dealing with changes, such as resignations, retirements, etc.

### **Endowed Positions**

**Supervision**—All endowed positions will be assigned to one of the College's academic units. Endowed positions will be managed consistent with the policies and procedures of the unit to which it is assigned, and the unit leader is the supervisor of the individual in the position.

**Reviews**—PROF and other reviews will be conducted consistent with College and University policy, and will be based on the position description. A "mid-term" review of the performance and achievement of individuals in endowed positions will be conducted approximately half way through the appointment period (usually in the third year of a five-year appointment). The purpose of the review is to evaluate progress towards attainment of goals, and to plan for the remainder of the appointment. The process will be managed by the unit leader, and will include a report of findings with recommendations to the Dean.

An evaluation will be made in the final year of the appointment period to determine the future of the position. The evaluation considers:

- effectiveness of the incumbent in achieving position goals,
- likelihood that re-appointment will be consistent with achieving the goals,
- financial status of the endowment, and
- the projected needs of the College in fulfilling its mission.

Actions resulting from this evaluation could include reassignment of the incumbent to the position, recruitment or direct appointment of a different individual, or in rare instances leaving the position temporarily vacant.

**Re-appointments**—Re-appointment of the incumbent to an endowed position is at the discretion of the Dean. It involves consultation with associate/assistant deans and department heads of the College, and as needed with faculty and College Development Officer, and as appropriate, with donors.

**Reassignments**—Individuals reassigned from an endowed position, but remaining as faculty of the College, will normally have their academic appointments continued in their "home"

unit, but they may be reassigned to another unit by the Dean. Their salary may also be adjusted. Any tenure relationship with the University is not influenced by changes in appointment to an endowed position.

**Termination**—In rare instances, the appointment of an individual to an endowed position may be terminated before the end of the appointment period by the Dean. Consultation with associate/assistant deans and department heads is part of the decision process and may, as appropriate, also include faculty, the College Development Officer and others. Examples of possible reasons for termination include incapacitation of the individual, serious failure to make satisfactory progress towards the goals of the position, or actions which violate College, University and OSSHE policy. Market conditions or other factors resulting in a significant reduction in income from the endowment could also result in termination of an appointment to an endowed position.

**Vacancies**—If an endowed position is vacated, the position supervisor will provide for continuation of essential functions (such as student advising, delivery of scheduled classes etc.) until this need ends, or some other arrangement is made. The Dean may direct financial resources from the endowment to be used on an interim basis for this purpose.

If an endowed position is vacated, the decision process described in the section "Establishing Endowed Positions And Programs" is instituted. This recognizes that an endowment for a position continues in perpetuity, but that the emphasis of such positions, and how they are filled and managed, may change over time—fully consistent with honoring commitments to donors in raising funds for the original endowment. This means, as an example, that an endowed position with an emphasis in forest policy related to regulation cannot be converted to an endowed position in plant ecology in reforestation, but could be "renewed" with an emphasis in forest policy related to taxation.

When changes in endowed positions occur, the faculty of the College, officials of the University and OSSHE, and donors will be notified of the changes and the future plans for the position.

#### Endowed Programs

Each endowed program is assigned to a program manager (usually an associate or assistant dean) who serves in this administrative assignment at the discretion of the Dean. This individual is responsible for ensuring that the goals of the program are realized. The proceeds from endowments for programs are allocated by the program manager, with the concurrence of the Dean, and in consultation with the associate/assistant deans and department heads, and as needed with the College Development Officer.

A periodic review of endowed programs will be conducted by the Dean, associate/assistant deans, department heads (and others as appropriate) to facilitate the achievement of program

goals. Most other aspects of endowed program management parallel the management of endowed positions.