

Behavioral Research and Teaching Governance Policy

09/30/22

Approved by the Office of the Provost March 17, 2023

This INTERNAL GOVERNANCE POLICY provides the formal codification of the process for the development and maintenance of internal governance policies for Behavioral Research and Teaching (BRT). Internal governance issues are limited to those that deal with the methods and manners by which policies are set within this research and outreach 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 BRT, as mandated by CBA. Appropriate and equitable faculty governance participation is provided for in each area as follows.

1.1. Internal Governance Policy

Internal Governance Policy within BRT is developed and approved by the voting membership (as defined in section 4). Policies are discussed at meetings set per section 2, where faculty will have opportunity to provide feedback on governance policy. Where appropriate, the Director or Co-Director call for formalized votes on internal governance policy decisions, such that faculty perspectives will be represented accurately.

1.2. Merit Increase Policy

BRT merit increase practice will align with the College of Education's (COE's) merit policy.

1.3. Performance Review and Promotion

BRT's performance review and promotion practice will align with the College of Education's (COE's) posted policies.

The BRT Director and Co-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, or university policy, those federal, state, or university policies will have priority. Any time spent by funding contingent faculty members in service to the University, including shared and internal governance, must comply with the terms and conditions of their sponsored projects and all federal and state laws and regulations.

2. Meeting protocol

The Director or Co-Director shall provide a minimum notice of one week to inform BRT faculty via email regarding any faculty meetings 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 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 or Co-Director prior to the meeting. Meetings may occur virtually via email, telephone, or video conference. The Director or Co-Director may choose to call for formal votes during these meetings, as either a method to determine policy or to determine voting membership preference on policy. Formal votes are 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 Director and Co-Director make all reasonable accommodations to ensure faculty are represented in the meeting. It is 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**

Meeting minutes are kept for each BRT meeting that discusses or decides on issues pertaining to participatory governance. Meeting minutes are distributed to all BRT full members via email and also kept on record by the BRT administrative office.

Written responses from the Provost, Vice Provost, Dean, or other designee regarding proposed unit policies are delivered to BRT. The BRT Director, Co-Director, or a designee circulates them to all faculty in a timely manner via email.

4. **Membership and voting rights**

4.1. *All Faculty* means all members of BRT together with others who are employed in a scientific capacity to work on research and outreach consistent with BRT's mission. These include TTF, retired TTF, Career Faculty, Pro Tempore faculty, and postdocs who are supervised by a member. *All Faculty* includes both faculty who are members of the bargaining unit and those who are not.

4.2. *Full Members* of BRT consists of the Director, Co-Director, Director of Finance and Operations (Business Manager may serve in this role), Director of Technology Development, TTF, and Career Faculty employed in BRT. Postdoctoral Scholars employed in BRT for more than 1 year above 0.5 FTE are also considered full members of BRT. *Full Members* are those who direct the main part of their efforts to fulfilling the mission of BRT, including participation in Institute activities such as administration and seminars.

Membership may be granted to TTF, Career Faculty, and other UO employees deemed essential for advancing the mission of BRT. Individuals interested in becoming members should consult with the Director or Co-Director. Proposed new members will be evaluated by the Director and Leadership Team and, if the evaluation is favorable, a recommendation on membership will be forwarded to

the voting members for approval. Approved members have voting rights on Institute matters.

- 4.3. *Associate Members* of BRT are TTF and Career Faculty who direct part of their efforts to fulfilling the purpose of BRT and participate in some unit activities but who are not employed directly in BRT. *Associate Members* do not have voting rights on the unit's matters.
- 4.4. *Affiliate Members* of BRT are other non-UO employees who spend part of their efforts fulfilling the purpose of BRT and participate in some unit activities but who are not employed directly in BRT. *Affiliate Members* do not have voting rights on Institute matters.
- 4.5. Two-thirds majority of the *Full 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 BRT (related to governance or otherwise) shall be made by a simple majority of those voting, provided at least half of the *Full Members* of BRT vote. Votes may be cast in person or in writing.
- 4.7. *Full Members* of BRT may participate in policy development and in voting while on leave or on sabbatical. Meetings provide opportunities for absent faculty to participate via telephone or other means of remote access. Absent faculty can also provide written input to the Director or Co-Director.
- 4.8. BRT 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. Core Faculty Committee

- 5.1.1. The Core Faculty committee has responsibility to work with the BRT Director or Co-Director on behalf of all faculty in matters as defined in Section 1.
- 5.1.2. The Core Faculty committee is comprised of all *Full Members* of BRT including the BRT Director, Co-Director, Director of Finance and Operations, and Director of Technology Development.
- 5.1.3. The Core Faculty committee meet at least once each term during the academic year.

5.2. BRT Leadership Team

- 5.2.1. The BRT *Leadership Team* develops directions for annual research, scholarship, grants, publications, and resource allocation.

The BRT *Leadership Team* is comprised of the Director (responsible for external organizations and relations), Co-Director (responsible for internal organization), Business Manager (Director of Finance and Operations - responsible for projects, finance, and research operations), and the Director of Technology Development (responsible for technology infrastructure and secure operations). See 8.2.1 and Appendix A for specific responsibilities.

5.3. Other Standing Committees

BRT has no standing committees currently. Other standing committees will be created as needed.

6. **Ad hoc committees**

The Director or Co-Director may form ad hoc committees for addressing issues where the Core Faculty committee, Leadership Team, or standing committees are not appropriately positioned to equitably address these situations. In such situations, the formation of such a committee is discussed in the earliest available faculty meeting. At this faculty meeting, all faculty can provide feedback regarding the committee, including how the committee can be structured so as to provide appropriate and equitable participation of both TTF and Career Faculty. The meeting minutes will document the scope and authority of the committee.

7. **Search committees**

The hiring process for BRT faculty and staff shall follow university and college guidelines for best practices to ensure broad and inclusive searches. For faculty or staff to be hired to perform work on BRT-related activities, the principal investigator (PI) shall work with the Director or Co-Director to determine an appropriate search strategy and search committee composition. The search committee is structured to provide appropriate and equitable participation of both TTF and Career Faculty. Normally, it is not appropriate for current postdoctoral research associates to participate in hiring a new postdoctoral research associate, but the PI may recommend the participation of a current postdoctoral research associate or other career or pro tempore faculty with exceptional expertise relevant to the search. Officers of Administration may be included on the search committee as appropriate. The PI normally chairs the search committee, although this can be delegated to a co-PI or other senior investigator.

8. Selection and Appointment of Leadership Roles

8.1. BRT **Director**

8.1.1. The Director is filled from within the UO College of Education faculty and consists of either TTF or NTTF and is of unlimited term. The process involves (a) nomination of a successor by the outgoing Director with input from BRT Leadership Team (see 5.21 and 5.22) and faculty/staff, (b) a recommendation to the Dean, and (c) appointment by the Dean.

8.2. BRT **Co-Director**

8.2.1. With any change in the Director position, a concurrent change may be made in an appointment of Co-Director. The same process is followed: (a) a

nomination of a successor by the Director with input from BRT Leadership Team (see 5.21 and 5.22) and faculty/staff, (b) a recommendation to the Dean, and (c) appointment by the Dean. This position shares in the responsibilities of the of the Director (see 8.1.1).

The Co-Director position is of unlimited term. If it becomes apparent that a member of the Leadership Team committee is a candidate for the next Co-Director position, they must recuse themselves from further deliberations. The issue is then discussed in a meeting of all faculty. After that meeting, the members nominate Directorship candidates and note whether an external search is recommended. The Leadership Team shall tally these nominations and communicate the recommendation to the College of Education Dean.

8.3. Other Leadership Roles

8.3.1. The four individuals serving on the *Leadership Team* have authority to make decisions within each of their areas and are responsibility for sharing these decisions with each other. The Director is primarily responsible for *external organizations and relations*, the Co-Director is responsible for *internal organization and projects*, the Business Manager *directs finance and operations*, and the Director of Technology Development is responsible for *secure technology infrastructure and operations*. For example, the Director has allowance to make BRT commitments of involvement with various state and local educational agencies (SEAs and LEAs) as well as professional organizations. The Co-Director of Internal Organization and Projects has allowance to make decisions of resource allocation so all three levels of BRT (faculty, staff, and students) function efficiently. The Business Manager (Director of Finance and Operations) has allowance to make budgetary decisions for income and outflow while managing all accounts with personnel and costs. Finally, the Director of Technology Development has responsibility and allowance to both guide the development and adoption of technology software and hardware as well as initiate and supervise work of programmers both in BRT and outsourced with independent contractors. See Appendix A for specific descriptions of their general duties/responsibilities.

Through regular (weekly) meetings, the four individuals filling these positions get input from each other, share decisions that have been made, and collaboratively set the direction for the future of BRT. The four directors are collectively responsible for decisions related to personnel (hiring, etc.), revisions to the annual budget, and the pursuit of funding opportunities. Decisions that impact the future of BRT are made by consensus, with all four members of the BRT Leadership Team actively involved.

9. Faculty administrative roles in BRT

Administrative tasks, such as organizing seminars, serving as content experts on

Institute products, serving on committees, and representing BRT at external events, shall be assigned to faculty by the Director or Co-Director as appropriate and in consultation with the faculty member.

10. Development of key Collective Bargaining Agreement Institute policies

BRT will use the following processes as needed, if developing independent policies regarding merit, Career Faculty professional responsibilities, and Career Faculty performance review and promotion:

- The College of Education Dean or designee will provide guiding principles regarding CBA-mandated policies to BRT Director or Co-Director.
- Using these materials, the Leadership Team will draft the required policy, with input from all faculty who may be affected by the policy.
- The Leadership Team holds at least one meeting open to faculty in BRT 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 2.
- BRT Director or Co-Director will submit recommended policy for review to the College of Education Dean or designee, who will provide the faculty with a written explanation for and an opportunity to discuss any alterations made before submission to the Provost or a designee. If the COE Dean or designee has amended the faculty-approved policy, they will send both their amended policy and the faculty-approved policy to the Office of the Provost for review. The dean-amended policy should be done in track changes so that changes from the faculty-approved version are clearly identified.

11. Deadlines

The Leadership Team 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 Team completes assigned tasks and affected deliverables are approved by the College of Education Dean or designee.

12. Policy changes

BRT Director or Co-Director, College of Education Dean, 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.

APPENDIX A ROLES/RESPONSIBILITIES AND OPERATIONAL PROCEDURES

Roles/Responsibilities of the Leadership Team

BRT is organized with a Director and Co-Director so that management, supervision, and operations can be facilitated. With a funding base consisting of grants, contracts, and income from software leases, it is important that BRT function in an efficient manner that is also compliant with UO policies and CBA guidelines. These roles are coordinate versus subordinate (e.g., Assistant or Associate Director). Having coordinate dual positions allows the Co-Director to (a) stand in when the Director is unavailable and (b) function in coordination with Director in matters of representation with research and development partners (other professional entities and businesses).

The Director with the Co-Director, Director of Finance and Operations, and Director of Technology Development, each of whom has unique but complementary roles and responsibilities, lead BRT. The following functions are organized with each of these individuals listed below:

Director – External Organizations and Relations

BRT regularly works with a number of organizations across the country. The Director of External Organizations and Relations is responsible for maintaining contact with these organizations, participating in meetings, advising and consulting, and arranging/soliciting collaborative work and funding for any partner organizations external to the College of Education that require communication related to BRT research and outreach.

- Council of Chief State School Officers – CCSSO (and several State Collaboratives on Assessment and Student Standards – SCASS – including Assessing Special Education Students – ASES)
- Oregon Confederation of School Administrators (COSA)
- Oregon Department of Education (ODE)
- Office of Special Education Programs (OSEP)
- Institute of Education Sciences (IES)
- National Assessment of Educational Progress Validity Studies Panel (NAEP)
- Council of Exceptional Children (CEC)
- School districts and educational service districts (LEAs and ESDs)
- National Center on Educational Outcomes (NCEO)
- Educational Policy in Education (EPIC)

Co-Director – Internal Organization and Projects

BRT is cooperatively organized with project managers in charge of a variety of grants and contracts, as well as research and support staff who work together to manage an assessment system used throughout the country. A Director of Internal Organization and Projects coordinates projects and activities across unit priorities.

- Coordinates projects by regularly scheduling and facilitating project management meetings
- Coordinates and facilitates professional research and writing meetings

- Coordinates technology initiatives and resources, working with Director of Technology Development
- Manages easyCBM in three arenas: (a) District version, (b) Teacher Deluxe version, and (c) Teacher Lite version
- Communicates within BRT and manages the main website (<http://brtprojects.org>)
- Organizes publication resources (bibliographic and filing)

Director of Finance and Operations

BRT has three main funding sources and a number of internal accounts, creating a complex financial infrastructure. The Director of Finance and Research Operations is responsible for managing fiscal and personnel matters within BRT and coordinating and communicating with other offices in the College of Education and University of Oregon to increase efficiency and meet BRT's organizational needs. Responsibilities include:

- Account management: including easyCBM product suite, individual grants and contracts, and indirect cost recovery.
- Personnel management: oversee the hiring and evaluation process, manage required level of effort across projects in conjunction with project needs, monitor leaves and work schedules.
- Fiscal management: develop grant budgets for initial submission, prepare fiscal reporting for annual reports, develop, and manage contracts, monitor expenditures and income, develop long-range and forecast budgets, and oversee administrative personnel on fiscal transactions related to supplies, technology, and travel.
- Grant management: manage grants requirements and levels of effort, advise PI's on expenditures, and develop (with other UO offices) contracts, subawards, and agreements for participant support.
- Coordination and communication with state departments of education, sponsor agencies, as well as offices at both COE and UO levels (e.g., SPS, IPS, RCS, PCS, HR, Dean's office, CORE, and other centers) regarding research, grants, finances, and personnel.

Director of Technology Development

- Coordinate internal and external technology operations/infrastructure: Internal operational infrastructures, product development, management of server and service providers, maintenance of functional databases to collect, store, and report on student performance and progress, technology hires, searches and supervision of technology work
- Develop and coordinate digital environments: Prototype and manage work to programmers both internal and external to BRT, initiate contracts for outsourcing code development, and manage compliance with FERPA standards and security requirements.
- Ensure product roll out and market development: Oversee IP development in UO, analyze market niches for BRT product placement, oversee enhancements as a function of user adoption, and incorporate new products needed to position products appropriately.

- Establish BRT investments and resource allocations: Provide input to researchers on technologies being proposed in grant applications, coordinate budgets within BRT to ensure equitable allocation of resources, advise BRT leadership team on contracts with local and state educational agencies, and assist in writing statements of work for technology contractors.

Operational Procedures

12.1. Frequency of Meetings

All-BRT Meetings: BRT has at least one meeting annually with all faculty and staff. Invitees include anyone who has worked / will work on any BRT project during that academic year. Invitation to the All-BRT Meeting includes graduate students who have served or who will be serving as interns during that academic year.

Core Faculty Meetings: BRT has at least two meetings of Core Faculty each term during the academic year.

Project-Specific Meetings: BRT faculty and staff convene meetings as needed, to organize and conduct project-related tasks. The focus of such meetings includes: writing for publication (journal articles, technical reports, book chapters, and conference presentations), development of grant proposals, work sessions devoted to statistical methodologies and data analysis, design and conduct of research, review of assessments, etc. Project managers and/or members of the Core Faculty or BRT Leadership Committee schedule project-specific meetings. All faculty and staff who work on the project are expected to attend these meetings.

Leadership Team meetings occur weekly and include the Director, Co-Director, Director of Finance and Operations, and Director of Technology Development. The focus of these meetings is on logistics and overall coordination of resources.