PROMOTION GUIDELINES FOR

RESEARCH ASSOCIATE CAREER PATH

Assistant in Technical Assistance
Associate in Technical Assistance
Research (Technical Assistance) Associate

Career Path Originally Approved by
Vice Provost Dwayne Smith
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Friendly Amendment Approved by Faculty
To Add Definition of Technical Assistance
May 27, 2014

RESEARCH ASSOCIATE CAREER PATH:
TECHNICAL ASSISTANCE

This document applies to individuals seeking promotion through the Research Associate career path that includes the positions of Assistant in Technical Assistance, Associate in Technical Assistance, and Research Associate.

Individuals in the Research Associate career path are responsible for assisting with technical assistance, training, dissemination, and/or service activities that are directly related to the mission of the Department and Institute.

Definition of Technical Assistance
Technical Assistance is the timely provision of specialized advice and customized support to resolve specific problems and increase individual and organizational capacity (Barton, 2004). Capacity development is the "process by which individuals, organizations, institutions, and societies develop abilities (individually and collectively) to perform functions, solve problems, and set and achieve objectives (Godfrey et al., 2002). Technical Assistance is provided to (1) help individuals and organizations access resources on specific topics and challenges; (2) assist with policy planning and program implementation; and (3) develop capacity and produce demonstrated impacts at multiple levels. Technical Assistance involves multi-level capacity building along four interrelated dimensions:
- The development of individual skills and the conditions to ensure that skills are used productively;
- The development of effective organizations within which individuals can work;
- The strengthening of interrelationships among entities;
- The development of enabling environments for addressing issues across societal sectors.

Technical assistance may be conducted through a variety of activities including professional training, consultation, expert advice, reviews, policy analysis, provision of resources, and other relevant activities.

Promotion Criteria
Promotion within the Research Associate career path will be granted only to persons of significant achievement in their area(s) of assigned duties. As a minimum standard for promotion, there must be evidence of outstanding performance in the primary area of responsibility (e.g., technical assistance) and in any secondary area of performance with an assigned FTE averaging between .25 and .50 in the last five years of annual evaluation. Where individuals have multiple assignments, satisfactory performance will not disqualify an individual from consideration for promotion if the FTE assignment in that area averages less than .25 over the past five years of annual evaluation. Promotion also requires collegiality and participation as a citizen of the Institute, as this is an integral part of faculty performance.

Candidates for promotion will be evaluated solely on the duties included in their Assigned Faculty Duties (AFD). For example, candidates who do not have a research component in their AFD will not be evaluated for research.

Standards for each level are as follows:

Assistant in Technical Assistance
- Promise of providing substantive and procedural assistance in an area of technical assistance, training, or other dissemination activities in areas related to FMHI/BCS mission.
- The master's degree in an appropriate area of specialization is required; University specifications allow for a bachelor's degree if the person has three years related professional experience.

Associate in Technical Assistance
- Evidence of "Outstanding" performance in the primary area of assigned duties (technical assistance);
- When individuals have multiple assignments, evidence of "Outstanding" performance must be documented if the assigned FTE averages between .25 and .50 FTE in the last five years of annual evaluation. For assignments that average less than .25 FTE in the last five years of annual evaluation, a minimum of "Satisfactory" performance must be documented.
- For promotion from Assistant in Technical Assistance to Associate in Technical Assistance, documented outstanding achievement in technical assistance, training, or other knowledge dissemination activities in areas related to FMHI/BCS mission. Documented achievement may include quantitative information such as the number of training activities, number of participants, evaluation data, evidence of impact as well as contributions to the field such as development of new training methods and new training curricula.
- Master's degree with a minimum of five years service completed as an Assistant In Technical Assistance. The application for promotion may be submitted in the sixth year and awarded, if successful, in the seventh year.

Research Associate

The job title "Research Associate" was the only title in the University's inventory available to serve as a career capstone at the time this promotional pathway was developed. The use of the word Research in the title does not mean that individuals in the Technical Assistance path must have a research record in order to be considered for promotion. Individuals seeking promotion will be evaluated based on their duties related to technical assistance and other duties as assigned by the department chairperson and the criteria specified below:

- For promotion from Associate in Technical Assistance to Research Associate, documented outstanding achievement in technical assistance, training, or other knowledge dissemination activities in areas related to FMHI/BCS mission.

Documented achievement may include quantitative information such as the number of training activities, number of participants, evaluation data, evidence of impact as well as contributions to the field such as development of new training methods and new training curricula.

- The Master's degree with a minimum 5 years completed as Associate in Technical Assistance. The application for promotion may be made in the sixth year and promotion, if granted, awarded in the seventh year.

An individual eligible for consideration for promotion may request in writing, on an annual basis, an appraisal by their Department Chairperson of their progress toward promotion. If concerns regarding the appraisal cannot be resolved in discussions with the Department Chair, a meeting may be requested with the College Dean/FMHI Executive Director to discuss those concerns.

An employee is not required to apply for promotion. However, a complete application must be prepared and submitted by the faculty member in order for the person to be considered for promotion.

Early Promotion Consideration
Decisions on promotion prior to the time recognized as normal should be considered "early decisions." Early decisions should be identified and justified as such at every review level. Truly exceptional performance should be required for a favorable early decision.

Promotional Increases for Contract and Grant Faculty
It is intended that promotional opportunities be available to faculty in this career path regardless of funding source. If a faculty member who has been awarded promotion is funded wholly or in part by contract and/or grant funding, it is the responsibility of the P.I. to include the promotional increase in the contract and/or grant budget whenever possible and allowable. In the event that the contract and/or grant budget is not able to provide the promotional increase, the Department Chair is responsible for identifying a source of funds to support the increase. If the department is unable to identify a source of funding for the increase, the Dean/Executive Director is responsible for identifying a source of funds within FMHI/BCS.

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REVIEW PROCESS FOR PROMOTION WITHIN THE
RESEARCH ASSOCIATE CAREER PATH

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Department and Institute Advisory Committees

Two committees will provide advice on promotion decisions within the Research Associate career path:

> Departmental Research Associate Promotion Committee (D-RAP)
> FMHI Research Associate Promotion Committee (RAP)

The purpose of these committees is to review applications for promotion and to provide faculty advice to the Chair and Dean on each application.

Departmental Research Associate Promotion Committee

Each department shall establish on an annual basis, as needed, a Departmental Research Associate Promotion Committee (D-RAP) to review applications of faculty and to make recommendations to the Department Chair and the RAP Committee.

Where possible, departmental representatives serving on the RAP Committee should not serve on the D-RAP. In cases where a faculty member serves on both the RAP and D-RAP, the faculty member may vote on an application only once, i.e., either at the D-RAP or the RAP meeting. As per University guidelines, individuals serving on more than one committee should vote at the department level, i.e., D-RAP, but may participate in the discussion of the candidate during the meeting of the RAP Committee. The procedures for selecting members of the D-RAP will be specified in the department governance document. The D-RAP committee shall select the D-RAP Chairperson who shall be responsible for writing the evaluation of the majority opinion of the D-RAP committee, entering the vote of the committee into the promotion application, noting the evaluations made by the D-RAP Committee (e.g., Outstanding, Strong, etc.) and signing the application on behalf of the D-RAP.

The D-RAP must consist of a minimum of three members. The size of the committee may be larger at the discretion of the department. If a department does not have a sufficient number (n = 3) of eligible faculty to compose the D-RAP, the membership of the committee may be supplemented with (1) individuals from other career path groups within the department who hold rank higher than that of the candidate or (2) by eligible (by rank) individuals from the Research Associate career path from other departments at FMHI or within the University. The selection process of the D-RAP in these situations will be specified by the department in the Department Governance Documents.

RAP Committee

The Research Associate Promotion Committee (RAP) will function as the college-level advisory committee to the Dean regarding applications for promotion of individuals appointed within the Research Associate career path.

The RAP Committee will consist of five faculty members appointed by the Faculty Council in consultation with the Dean based on a list of nominees submitted by Department Chairs to the Dean.   Each department (where feasible based on the number of faculty in the career path) will submit to the Dean three nominations of eligible faculty from the Research Associate career path using the selection process described in their Departmental Governance Documents. The Dean will select five members from the lists and submit the list to the Faculty Council for their review and concurrence.

Preference for appointment will be given to individuals who have held an appointment within the Research Associate career path at FMHI for at least two years. Each department of FMHI (AMHD, CFS, MHLP) shall be represented on the committee unless the department does not have a faculty member who holds the minimum rank necessary for eligibility to vote. Department Chairs are not eligible to serve on the RAP Committee. The Faculty Council will appoint one of the five members to serve as the Chair of the RAP Committee. Committee members will serve for a period of two active years, i.e., two years in which the committee is convened to review promotion applications, at which time they may be re-appointed for one additional term. As much as is practicable, terms of the committee members should be staggered.

Committee members shall not vote on applications for promotion to a rank higher than that which they themselves hold. If there is an insufficient number of individuals eligible or available to serve on the RAP Committee, the Faculty Council and Dean will constitute the RAP Committee with individuals from (1) other career path groups within the Institute who hold a rank higher than that of the candidate and/or (2) eligible individuals (by rank) from the Research Associate career path from other departments at the University.

APPLICATION PROCEDURES

Individuals in the Research Associate career path will be reviewed for promotion by a departmental advisory committee consisting of individuals who hold appointments in the Research Associate career path with positions higher than that of the candidate.

Each year, the Department Chair will begin the process for promotion by announcing to the faculty the timeline and schedule for the submission of application packages and requesting all potential candidates to consult with the Chair. The application packet format for promotion within the Research Associate career path may be obtained from the Dean's Office. The following procedures will be used for the review of promotion applications of FMHI faculty in the Research Associate career path:

Step 1
Applications for promotion shall be initiated by the candidate in consultation with their supervisor and Department Chair during the spring preceding the promotion process that occurs the following fall. Chairs should inform candidates of the materials they will be expected to provide in support of their application. Candidates are advised to consult with their Department Chair and with the Assistant Dean regarding the documentation to include in the Supplemental Notebooks to be submitted with the application.

Step 2
Candidates should submit a completed promotion packet to the Department Chair including a letter from the immediate supervisor if the applicant does not report directly to the Chair. When applying for promotion, candidates shall submit documentation of all information encompassing their professional activities during the period under consideration, i.e., since the time of their last promotion or since their initial appointment if seeking promotion for the first time. It is the candidate's responsibility to ensure that the application packet is complete.

Committee members will confine themselves to making decisions solely upon the information provided in each candidate's official promotion file. No committee member shall solicit or consider any additional information conveyed privately, through personal contact, by phone, letter, email, or other means. The entire committee may vote by a two-thirds majority to authorize the Committee Chair to solicit additional information if necessary. All requests for additional information must be in writing by the Committee Chair who will provide the candidate and the Chair of the candidate's department with copies of the request.

If any material is added to the file after the commencement of consideration, other than the completion of the evaluation sections (including the recording of votes) of the file by the reviewing bodies/individuals), a copy shall be sent to the employee within five (5) days (by personal delivery or by mail, return receipt requested). The employee may attach a brief response within five (5) days of his/her receipt of the added material. The file shall not be forwarded until either the employee submits a response or until the second five (5) day period expires, whichever occurs first. The only documents which

may be considered in making a promotion recommendation are those contained or referenced in the promotion file.

Step 3
The Department Chair will meet with the D-RAP to provide the committee with a charge and to explain the evaluation process and criteria. The Assistant Dean will be available to attend this meeting if requested by the Chair of the D-RAP or Department Chair. It is the responsibility of the committee members to familiarize themselves with the procedures for conducting the review of the application and the criteria for promotion within the career path.

The D-RAP shall review and evaluate each application packet for promotion in accordance with the FMHI criteria. Individuals serving on more than one committee (i.e., D-RAP and FMHI RAP) should vote at the department level on candidates from their home unit but not on these candidates at the RAP Committee level. If a faculty member has a special personal and/or professional association with a candidate, that committee member will leave the room during all deliberations concerning the candidate and will abstain from making a recommendation concerning that candidate.

The Committee members will vote on promotion for each packet by confidential ballot. A brief written evaluation and the results of the vote will be recorded as a part of the packet and forwarded to the Department Chair. Where a split evaluation exists, a minority report will accompany the majority recommendation.

Candidates for promotion may request a meeting with the D-RAP to discuss the application prior to the committee's evaluation of the packet. The purpose of this meeting is solely to inform the committee of the candidate's scholarly activities and future directions in teaching/training, research, and service. No evaluative feedback will be given to the candidate. This meeting is optional.

Step 4
The Chair shall review the application for promotion of each candidate and the recommendations of the D-RAP and add an evaluative letter and recommendation for promotion.

The employee shall have the right to review the file following the departmental review and attach a brief response to any materials contained therein, including the evaluation sections(s) prior to the next stage of review.

The packet shall be submitted to the Dean. After the packet has been logged in at the Dean's Office, the application packet will be made available to the FMHI RAP Committee for review and recommendation.

Step 5
After each member of the FMHI RAP Committee has reviewed the candidate's credentials, the committee will meet to prepare its recommendations to the Dean. The

Committee's deliberations will focus exclusively on how well a candidate meets the criteria for tenure and/or promotion.

 If a committee member has a special personal and/or professional association with a candidate, that committee member will leave the room during all deliberations concerning the candidate and will abstain from making a recommendation concerning that candidate.

The FMHI RAP Committee shall review and evaluate each application packet for promotion in accordance with the FMHI criteria. The Committee members will vote on promotion for each packet by confidential ballot. A brief written evaluation and the results of the vote will be recorded as a part of the packet and forwarded to the Dean. Where a split evaluation exists, a minority report will accompany the majority recommendation.

The employee shall have the right to review the file following the RAP Committee review and attach a brief response to any materials contained therein, including the evaluation section(s) prior to the next stage of review.

Step 6
The Dean shall review the application including the recommendations of the D-RAP, the Chair, and the FMHI RAP Committee. The Dean shall then complete the appropriate sections of the Promotion Application Form. The Dean shall provide the candidate with the opportunity to review the results of the review process, i.e., the D-RAP, RAP, Chair, and Dean recommendations and invite the candidate to discuss the recommendations and supporting materials within ten days. The candidate may add a concise response to any materials in the packet, if the candidate so wishes. The final determination of the promotion application will be made by the Dean.

Sample Promotion Schedule for Proposed Research Associate Career Path
Final Schedule to be Distributed by Assistant Dean

Department Chair notifies the faculty of the timeline and schedule for promotion process.	Spring
Faculty members planning to submit an application for promotion notify Department Chair by deadline date.	Spring
D-RAP Committee established per departmental governance document if there will be applicants in the upcoming review cycle.	Spring
Faculty application due to Department Chair/Supervisor who adds their sections	Early October
D-RAP meets to review application, adds evaluative summary	November
Department Chair adds evaluation of entire packet	November
Applications due in the Dean's Office	December
RAP Committee meets to review application, adds evaluative summary	December
Dean writes evaluation	December
Applications available to candidates for review of recommendations and response	January
Final recommendation of the Dean	January

Please note that the timeline is subject to change each year. The Associate Dean will distribute a timeline with specific dates each year.

References

Barton, R. (2004). Technical assistance guidelines. Northwest Regional Educational Laboratory.

Godfrey, M., Sophal, Cl, Kato, T., Piseth, L.V., Dorina, P., Saravy, T., Savora, T., & Sovvannairith, S. (2002). *Technical assistance and capacity development in an aid-dependent economy: The experience of Cambodia.* World Development, 30, 355-373.