UNIVERSITY OF OREGON

GUIDELINES FOR ENDOWED FACULTY POSITIONS

OFFICE OF THE PROVOST AND ACADEMIC AFFAIRS
&
UNIVERSITY ADVANCEMENT

Effective January 1, 2018
2012 Deans Task Force: The Charge from the Provost

A task force was charged to study, develop and recommend an updated strategic plan on how to fundraise, recruit and award endowed faculty positions at the university. To accomplish this objective, it set out to review best practice, confirm definitions/terminology and recommend options for endowed giving opportunities that are in line with the academic mission/plan. These guidelines were developed based on the Deans Task Force and are updated periodically by The Office of the Provost and Academic Affairs and University Advancement.

Initial Deans Task Force Report submitted on September 7, 2012
Amended and Guidelines Adopted on October 1, 2013
Initial Effective Date: October 1, 2014
Guidelines Updated: December 12, 2017 and effective January 1, 2018

Addendum: UO Endowed Chair Challenge 2017-2019 Guidelines
Creating Consistent Nomenclature and Definitions

Purpose of Endowed Positions
The purpose of endowed positions (dean, chair, professorship, professor of practice, etc.) are to recruit and retain faculty with outstanding scholarly records who will provide scholarship and leadership that enriches their department, their school or college and the university. They are elite faculty positions that represent prestige, leadership and profound responsibility for the holder.

One important purpose of such appointments is to enable the person receiving this honor to make greater contributions to their field and to the educational mission and goals of the university. While donors cannot direct research agendas, another important purpose is to fulfill the expressed intentions of the donor who made the endowed position possible. Thus, faculty who may be selected or recruited for this honor must continue to perform as exemplary academicians, excellent colleagues and persons in whose accomplishments the university and donor can rightfully take pride.

Categories of Endowed Faculty Support and naming minimums

Deanship – $5M
An endowed deanship is the single most prestigious position in a school or college. The holder of an endowed deanship possesses the stature, experience and vision to position their school or college within the top programs of their kind in the world.

Chairs
Presidential Chair - $5M
An endowed presidential chair represents the highest level of recognition within this category. Reflecting its uniqueness, this award level has special gift requirements, appointment protocols and stewardship requirements. Tenure requirement: Full Professor.

Distinguished Chair - $3M
An endowed distinguished chair is one of the highest honors that can be bestowed on a faculty member. The highest level of performance and national and international recognition of that performance are inherent guidelines for appointment of a distinguished chair holder. The institutional expectation of unquestionable excellence in at least one of the two professional performance dimensions (research and teaching) must be met in addition to any specific selection criteria associated with a particular endowed position. The appointment to a distinguished endowed chair may recognize a current member of the faculty or it may be associated with recruitment of a new faculty member; but, in all appointments, excellence should be evidenced by several years of outstanding performance based on national and international standards. Tenure requirement: Full Professor.
Chair - $2M
An endowed chair is a prominent honor bestowed on a faculty member. The highest level of performance and national and international recognition of that performance are inherent guidelines for appointment of a chair holder. The institutional expectation of unquestionable excellence in at least one of the two professional performance dimensions (research and teaching) must be met in addition to any specific selection criteria associated with a particular endowed position. The appointment to an endowed chair may recognize a current member of the faculty or it may be associated with recruitment of a new faculty member; but, in all appointments, excellence should be evidenced by several years of outstanding performance based on national and international standards. Tenure requirement: Tenure.

Professorships
Professorship – $1M
An endowed professorship is a high honor, as well as recognition of consistently outstanding performance and ability. Endowed professors are faculty who have achieved acclaim for their accomplishments and who are highly likely to continue producing notable achievements. The appointment to an endowed professorship may recognize a current member of the faculty or it may be associated with recruitment of a new faculty member. This designation may be awarded to classifications of faculty positions including Professor, Clinical Professor, Professor of Practice, Librarian, and Research Professor, as defined in University of Oregon Policy 580.020.0005 (3): (a), (b), (c), (f), (i). Tenure requirement: None.

Visiting Professorship – $500K
A visiting professorship supports the most accomplished senior scholars, distinguished artists or professionals who might be visiting the university for a specific period of time. The chief purpose of this type of endowment is to bring a continuing stream of exceptional scholars, practitioners, and artists of significant stature and accomplishment to the university to enrich our programs and our academic community. Donors may not specify the recipients of a visiting professorship as a condition of their gift. Tenure requirement: None.

Faculty Fellowship – $250K
Endowed faculty fellowships will be used to provide temporary support for faculty development in teaching or research from faculty. They may also be used to acknowledge and support distinguished service or teaching. Awarded for a term of one or more years, not to exceed three consecutive years. Tenure requirement: None.
Postdoctoral Scholar – $250K
An endowed postdoctoral scholar position will be used to provide temporary support for
development in teaching or research. Awarded for a term of one or more years, not to
exceed three consecutive years. Tenure requirement: n/a

Appointment and Renewal Protocols

Appointment and Renewal Protocols

1. Depending on the terms, an endowed position may be filled by appointing an
   outstanding member of the existing faculty, or may be used to recruit an outstanding
   scholar or professional from outside the university. Appointment to an endowed
   position does not confer reduction in teaching load. Appointment and
   reappointment to the position as well as payout from the position are reserved for
   active, non-retired faculty.

2. In general, appointment of faculty as endowed position holders will be subject to
   review by an appropriate committee, which will provide input and make
   recommendations to the relevant Dean or Vice President, or, in some circumstances,
   the President. New and renewed appointments will be issued by the Provost
   following the completion of the selection process. As discussed in more detail
   below, schools and colleges should establish additional procedures specific to
   appointments within their respective disciplines, as appropriate.

3. An endowed chair or professorship will be filled by one individual for an initial six-
   year period, unless a shorter or longer term or non-renewability is otherwise
   specified (for example, in the position description or the terms of the gift). Faculty
   may resign from their appointment at any time without prejudice or may decline to
   petition for renewal of that appointment at the completion of a term.

4. All endowed chairs and professorships are subject to renewal on a six-year cycle that
   will align with the faculty member’s post-tenure review cycle.¹ Prior to the end of
   the six-year term, the Dean or appropriate Vice President shall conduct a summative
   evaluation of the person’s accumulated contributions and achievements. It should
   not be assumed that a faculty member’s association with the endowed position will

¹ In order for the review of the endowed position and post-tenure review to come into alignment, it is
possible that the endowed position may need to be first reviewed prior to a faculty member being in
that role for six years (e.g., if a faculty member has a post-tenure review scheduled in three years, the
endowed position would be reviewed at the same time). If the faculty member is receiving a review
of their endowed position on this shortened timeframe, the process for review of the endowed
position will be abbreviated and continuance in that position will be assumed, unless there has been
extremely egregious behavior or poor performance.
be renewed. A faculty member who has excelled in all the expectations related to the appointment (for example, those articulated in the unit’s post-tenure review process) may be reappointed to hold the position for another six-year term. If, however, the Dean or appropriate Vice President or the President decides that the faculty member has not met expectations at a sufficiently high level, or that a change in the holder of the position would be in the best interests of the university, a new appointment to the position will be made.

5. If a faculty member is found to have committed misconduct, that faculty member may be relieved of their endowed position as a result of disciplinary action outside the regularly scheduled review process.

6. On relinquishment of the title, a holder would be entitled to refer to themselves by the endowed position name, appending dates of incumbency, subject to terms of any disciplinary sanction administered against the holder. Upon retirement, the position is automatically relinquished. The designation “Emeritus” shall be added to the appointee’s title upon retirement from tenured status provided university guidelines for emeritus status have been met.

7. The school or college shall verify minimum funding and available payout prior to appointment. Appointment of a faculty member to an endowed position will not be approved until there is confirmation that the position has been formally established. New and renewed appointments will be approved by the Provost.

8. An appointment to a visiting position is non-renewable.

9. Fellowship and postdoctoral scholar appointments are normally made for a term of one or more years, not to exceed three years.

10. A faculty member may not be the recipient of more than one endowed and/or named position at the same time.

Expectations for Endowed Position Holders

1. The endowed position holder is expected to continue outstanding scholarly activity. This may include scholarship in discovery, integration, application or teaching. Measurement is based on impact and contribution to the profession and to the holder’s department, college, or school.

2. The endowed position holder is expected to provide leadership, on an ongoing basis and in the broadest sense possible, throughout their term as an endowed position holder. Examples of this leadership include the development of multi-investigator programs and multi-disciplinary laboratories, the development of innovative
education programs and curricula, the encouragement of interactions between faculty members in teaching and research, the recruiting and supervision of high-quality graduate and undergraduate students and the recruiting and mentoring of new faculty members.

3. Integral to the position are fostering and maintaining extra-departmental collaborations with their school or college as a whole, the university at large and external partners. Through these tasks, the holder will build and/or enhance the reputation of the department, school or college and the university.

4. The endowed position holder is expected to operate within their department(s) as a regular faculty member. This involves full interaction with other faculty members, a teaching load involving both undergraduate and graduate courses and responsibilities for student supervision and committee assignments. The endowed position holder’s activities, teaching load, other assignments and any modifications in compensation arrangements will be reviewed annually with the Dean or relevant Vice President and/or relevant department chair(s), subject to departmental and university policy and existing agreements.

5. Finally, the endowed position holder must engage in regular communication with and stewardship of the donor who endowed their position as outlined in the Donor Stewardship section of this document.

Payout

Endowment “payout” is defined primarily as the spendable portion of the total return of the endowment investment in the general endowment pool, less applicable administrative fees.

Use of Payout – Deanships: Payout funds provide a flexible source of funds to support the school or college’s most important needs. Payout may not be used to supplement a Dean’s salary.

Use of Payout - Faculty Fellowships and Postdoctoral Scholars: There is no cap on the amount of payout that can be used for compensation for endowed faculty fellow positions or postdoctoral scholar positions.

Use of Payout: Other Endowed Faculty Positions
Faculty members will receive a standard stipend and research fund as stipulated below.
<table>
<thead>
<tr>
<th>Type</th>
<th>Rank Requirement</th>
<th>Faculty Stipend</th>
<th>OPE*</th>
<th>Research Funds (annual)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fully Endowed Faculty Position**</td>
<td>None</td>
<td>Full salary</td>
<td>Full OPE</td>
<td>$50,000</td>
</tr>
<tr>
<td>Presidential Chair</td>
<td>Full Professor</td>
<td>$50,000</td>
<td>$15,200</td>
<td>$50,000</td>
</tr>
<tr>
<td>Distinguished Chair***</td>
<td>Full Professor</td>
<td>$30,000</td>
<td>$9,120</td>
<td>$40,000</td>
</tr>
<tr>
<td>Chair</td>
<td>Tenure</td>
<td>$15,000</td>
<td>$4,560</td>
<td>$25,000</td>
</tr>
<tr>
<td>Professorship</td>
<td>None</td>
<td>$8,000</td>
<td>$2,432</td>
<td>$12,500</td>
</tr>
</tbody>
</table>

*OPE based on FY19 blended OPE rates applied to stipends (30.4%) and will vary by year
**A fully endowed faculty position should require an endowment that is large enough to grow to cover future salary and OPE increases.
***Distinguished Chair stipend and research fund amounts may vary, but the total will not exceed $80,000. This is a new level of chair.

1. General Rules
   - Research funds may be used for any standard, legitimate research need with the exception of buying out the teaching of the recipient during the academic year.
   - Research funds MAY be used, entirely or in part, for summer salary for the awardee, but the award must cover the OPE for the summer salary (summer OPE is 30.4% as of FY19).
   - A recipient’s accumulated research fund may not exceed four times the annual research allocation.
   - Stipends and research funds are not subject to standard or merit salary increases. They are fixed.

2. All university regulations and procedures governing personnel, purchasing and accounting shall be observed. Allowable uses of research funds portion of the payout include but are not limited to the following:
   - Summer salary supplement, including OPE
   - Graduate student research assistantships
   - Administrative salaries and/or expenses
   - Travel expenses
   - Research equipment and expense of professional materials (items purchased with endowment funds are property of the university)
   - Financial aid for graduate students or visiting scholars working with the endowed faculty position holder or, with the consent of the position holder, in the area of the chair
   - Expenses of special seminars and conferences
   - Salary support while on approved leave, including sabbatical supplements
• Research proposals involving release from teaching during the regular academic term require appropriate review and approval

3. Research funds payout from an endowed faculty position is to be made available to a faculty member appointed to the endowed faculty position for use at their discretion in consultation with the Dean and department head or appropriate Vice President from the menu of allowable uses (see #2 above). Each year the department head or Dean or appropriate Vice President will confirm the distribution of funds for the following year. The endowed faculty position holder will recommend a budget for review and approval by the department head or Dean or appropriate Vice President.

4. Endowed faculty position holders are encouraged to consider ways in which their expenditures of research funds for their teaching and research activities will also provide institutional benefit to their departments, such as graduate student research and support in the area of the position holder.

5. Research funds budgeted by an incumbent endowed faculty position holder during their appointment as position holder for projects that extend beyond their term of appointment, shall be reserved for that faculty member for those projects, separate from payout allocated to a subsequent position appointee.

6. Payout for endowed faculty positions shared jointly with other schools, colleges, or departments will be administered by the school, college, or department in which the endowed faculty position holder resides.

7. Endowed faculty position appointments made to conditionally established positions pending fulfillment of a pledge or irrevocable deferred gift, or completion of a campaign to fund the position, should specify which of the following income arrangements will apply:
   • No income (i.e., honorary appointment);
   • Reduced income based on payout from partially funded endowment, until endowment is fully funded; or
   • Full or reduced payout through supplement to available payout or provision for full or partial funding by another allowable source (e.g., dean’s discretionary funds), until endowment is fully funded.

8. The expenditure of payout from endowed faculty position endowments for the purposes specified by the donor is required by law. More than four years of payout should not accumulate. The UO Foundation and University Advancement will annually review endowment-related current funds with excess accumulations and will notify the unit responsible for the expenditure of the university’s fiduciary obligation to use the payouts fully in a manner consistent with the gift instrument.
9. During any period in which an endowed faculty position has remained vacant for three years or in the event that the endowed faculty position’s accumulated income exceeds four years of payout, Dean or appropriate Vice President may request to take one of the following actions, so long as it is consistent with the terms of the endowed faculty position:

- To implement, after consultation with the relevant department(s), a new expenditure plan designed to fill the endowed faculty position and/or to utilize the payout.
- Request the reinvestment of payout to principal through a proposal that outlines the reasons for the accumulation, as well as the steps that will be taken to ensure future timely expenditure; a department must make specific request to reinvest payout to principal unless the donor has provided for such reinvestment at the time the gift is made.
- Reallocate, or request the reallocation of, the fund to provide for an alternative purpose specified in the terms of the fund.

10. Allocation or reinvestment of payout to principal may be requested as outlined above or under other circumstances that are sufficiently compelling to warrant such a recommendation, including the failure for unforeseen reasons of the principal to meet the chair endowment minimum. In such cases the unit head must make a specific request for reallocation or to reinvest payout to principal, unless the donor has provided such reinvestment at the time the gift is made. Reinvestment of payout to principal generally should not be considered in order to increase the principal to meet the endowed faculty position endowment minimum. The request shall be made by the appropriate Dean(s) or Vice President through appropriate channels to the UO Foundation in coordination with the Office of the Vice President-University Advancement, which will assist with the approval process.

College, School and Unit Responsibilities

1. Colleges, Schools, Departments and Programs shall establish written procedures for selection and review of individuals for endowed positions subject to their review and are encouraged to consider candidates’ contribution to equity and inclusive excellence in their reviews. The procedures must include the following general criteria:

- An outstanding record of productive research, publication, creative activity, and scholarly achievement appropriate to the discipline and areas of specialization and sufficiently consistent in quantity and quality to support a reasonable expectation of continued outstanding performance and contribution;
• Evidence of a continuing record of exemplary academic and professional accomplishment;
• Evidence of achievement of a professional status at the national or international level which will enhance the prominence of the University.

2. Units are responsible for ensuring receipt and approval of the budget and for the appropriate expenditure of funds.

3. Individual units may set higher minima than campus requirements for chair endowments. Units may set minimum funding levels for appointments to conditionally established chairs.

4. In no case may unit guidelines or procedures be deemed to void or liberalize the provisions of university policy or these guidelines.

Normalizing the use of the Knight Chair Endowment

As of November 1, 2017, the Knight Chair Endowment (KCE) has grown to approximately $36,000,000 and distributes, annually, in excess of $1,300,000 of spendable gift funds. For the past decade, the institutional draw on this endowment, which has supported as many as 24 Knight Chairs and Knight Professors, was substantially less than the annual spendable income. As of November, 2017, the total annual expenditure from the KCE distribution is approximately $750,000. In most years, the unspent income from the KCE was returned to the KCE, helping it to grow to its current size.

The purpose of this section is to guide the FUTURE use of faculty awards from the KCE. The goal is to best support the mission of the University in a fashion that is consistent with the original gift agreement.

The following bullet points will renormalize the use of KCE over time, providing clarification, standardization and optimization.

1. Overall control, assignment and apportionment of the Knight Chairs is at the discretion of the Provost. As chairs become available there is no assumption that they “belong” to any School or College.

2. All new recipients of KCE funds will be either Chairs or Distinguished Chairs as described above. The choice of Chair vs Distinguished Chair is at the discretion of the Provost of the University.
3. All current holders of Knight Professor or Knight Chair will continue with their current arrangements, with the following exceptions:
   • The cycle of review will increase to six years
   • Research Fund balances may not exceed four times the annual Research Award

4. All recent recipients of Knight Professorships should be examined for the possibility of increasing them to Knight Chairs.

5. As current Knight Professorships and Knight Chairs become vacant, they revert to Provost control and can only be replaced, if at all, by Knight Chairs or Knight Distinguished Chairs.

6. Over the next two years, the office of the Provost will expand the total annual spend on the Knight Chairs and remaining Knight Professorships to approximately $900,000 (approximately equivalent to 20 Chairs). After FY18, any unused funds will be reinvested back into the KCE. After three years of such reinvestment, the endowment should grow sufficiently (depending on market conditions) to increase the annual spend by one Knight Chair. This process can then be repeated every three years.

7. Every 10 years the use of the KCE should be reexamined for optimization to current conditions, while staying true to the original gift agreement.

Donor Stewardship for Endowed Position Holders

Communication with and stewardship of donors is an important responsibility of endowed faculty members. Meaningful stewardship requires a special partnership with advancement staff.

Endowed Faculty will be asked to do the following:
1. Provide copies of any correspondence with donors to the appropriate advancement staff to ensure a good record of communication and to avoid duplication.

2. Use endowment title consistently (in letterhead, business cards, publications and directories), including the proper endowment name with faculty title.

3. Keep advancement staff posted on news and recognition (significant awards, large grants, media mentions, etc…).
4. Notify advancement staff of any opportunities for major donors to visit lab, clinic or teaching facility.

5. Adhere to Office of Stewardship’s campus-wide best practice recommendations for endowed faculty, which include, at the minimum, annual written reports that keep donors abreast of activities and accomplishments.

Review of these Guidelines

These guidelines may be reviewed and amended periodically as necessary to comply with university policy or to incorporate campus changes allowable under university policy.

ADDENDUM: University of Oregon Endowed Chair Challenge: 2017 – 2019
FINAL – 11/1/17  UPDATED 1/1/18

Overview
As part of the Presidential Fund for Excellence, the following Schools and Colleges have an opportunity to create new endowed chairs – College of Arts and Sciences (three, one in each division of humanities, social sciences and natural sciences), Lundquist College of Business, School of Law, School of Music and Dance, School of Journalism and Communication, College of Education and College of Design (one in each school/college).

Each unit will be required to secure a donor who will make a gift of $1 million. An additional $1 million will be allocated by the Presidential Fund for Excellence to create a fully funded $2 million chair, named for the unit’s identified donor.

Guidelines for Fundraising
1. The deadline to secure the chairs and the matching funds is October 5, 2019.

2. Only chairs will be eligible for the match, not professorships or any other kind of endowed faculty position.

3. $1 million gifts should be outright and payable over a maximum of five years. Bequest intentions or other deferred gifts will not be eligible.

4. Ideally there will be one donor per chair. This could be a couple or members of the same family. Our preference is that there are not multiple entities, families or organizations involved in funding the $1 million gift to be matched.

5. Deans and development officers in each unit should create a prospect list and approach donors based on these guidelines. Other development officers and
university staff should only approach a donor with the match opportunity after having received approval from the dean or lead development in the appropriate unit.

6. Initial $1 million gifts will be subject to the UO Foundation gift fee as appropriate. Funds from the Presidential Fund for Excellence will not be subject to the gift fee, as per the policy. As such, actual funds that make up the initial endowment may vary slightly from the $2 million amount.

Guidelines for Administering the Endowment and Awarding the Chair

1. Endowed chair-holders are described as follows in the provost’s guidelines for endowed faculty positions:

   An endowed chair is a prominent honor bestowed on a faculty member. The highest level of performance and national and international recognition of that performance are inherent guidelines for appointment of a chair holder. The institutional expectation of unquestionable excellence in at least one of the two professional performance dimensions (research and teaching) must be met in addition to any specific selection criteria associated with a particular endowed position. The appointment to an endowed chair may recognize a current member of the faculty or it may be associated with recruitment of a new faculty member; but, in all appointments, excellence should be evidenced by several years of outstanding performance based on national and international standards. Tenure requirement: Tenure.

2. Deans will make recommendations to the senior vice president and provost about who to appoint to the chairs, and in what academic disciplines. Chairs may be used for both recruitment (preferred) and retention of faculty. The provost will give the final approval, following existing UO guidelines on awarding endowed faculty positions.

3. Use of annual endowment distribution will follow existing UO guidelines – no more than 50% of payout will be used for salary. Of this amount some should be used for salary supplement and some to offset unit salary costs. In special circumstances, the dean may request an exception to this policy from the provost. The chair-holder and dean will agree on a plan to use the remaining payout from the list of approved options – see UO guidelines.

4. The matching funds from the Presidential Fund for Excellence will be committed to the endowed fund in each school/college as the payments on the initial gift are received.
5. The hiring process for the endowed chair may begin only when at least 50% of funds (both unit donor and Presidential Fund for Excellence funds) have been secured. If the chair-holder is in position before the chair is fully funded, the dean and the chair-holder, with the approval of the provost, will determine how the use of limited payout funds until the endowment is fully funded.

Guidelines for Stewardship of the Endowed Funds

1. The unit donor of the initial $1 million will receive an annual endowment fund report as per our usual annual reporting process, coordinated by UO office of stewardship and UO Foundation. The fund balance will reflect the full/approximate $2 million balance in ‘their’ named endowed fund.

2. The UO office of stewardship and school and colleges will collaborate as usual on additional stewardship communication from and about the chair-holder on an annual basis.

3. The unit donor will not receive hard or soft gift credit for the $1 million added to their endowed fund from the Presidential Fund for Excellence.

4. The university president, vice president for advancement and members of the office of stewardship will coordinate stewardship communication to the anonymous donors of the Presidential Fund for Excellence. School/college representatives and chair-holders may be asked to provide brief information that could be shared with the anonymous donors.