Standing Rules
Institute of Arctic & Alpine Research

Last updated February 2023

*Governing documents for INSTAAR include Bylaws and companion Standing Rules. The latter are detailed below. Although both documents describe procedures and practices, the Bylaws are generally more substantive, while the Standing Rules are generally more procedural. If the two documents are inconsistent, the Bylaws take precedence. Current Bylaws state that the Standing Rules may be changed with a two-thirds majority favorable vote of the Fellows.*

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**B. Latest revisions**

INSTAAR’s standing rules sections I-IV were revised in 2020 by the Office of the Director, reviewed by the Executive Committee, and approved by the Directorate in November 2020.

Sections V-VIII were revised in 2021 by the Office of the Director. These sections plus several minor changes to sections I-IV were approved by the Directorate in December 2021.
II. INSTAAR Titles

A. Comparison of INSTAAR titles with Univ. of Colorado HR classifications

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<td>RS I</td>
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<td>Professional Scientist I and II</td>
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B. Description of INSTAAR's titles

1. INSTAAR Fellows
   Fellows and Senior Fellows of INSTAAR are expected to contribute to the institute’s core mission and contribute to institute service by serving on committees, being active in INSTAAR governance, and by attending INSTAAR Directorate meetings on a regular basis.

2. INSTAAR Research Faculty ranks
   Research faculty ranks are designed to correspond to those of tenure-stream faculty. Research faculty are expected to maintain the normal, roughly 0/80/20 proportion of teaching, research and service, although these proportions can be subject to negotiation with the Director as needed to accommodate special circumstances. Research Faculty
who teach during a given year will normally have a 20/60/20 teaching, research, service load.

**a. Research Scientist I**
RSI, otherwise known as a postdoctoral fellow, ordinarily pertains to an individual who has a recent (<five years) Ph.D. or equivalent. An RSI is expected to pursue research, either individually or as a member of a team.

**b. Research Scientist II (RSII)**
RSII is considered to be equivalent to a tenure-stream Assistant Professor title for tenure stream faculty and is attained by promotion after several (typically five) years of strong performance evaluations as an INSTAAR RSI (“exceeds expectation”) or, when appropriate, is granted to individuals hired with several years of post-doctoral work elsewhere. A RSII is expected to participate actively in research by solicitation of external support, publication in refereed journals, and presentation of papers at national scientific meetings. Furthermore, an RSII must demonstrate commitment to INSTAAR’S goals and mission. If not already appointed as a RSII, RSIII, or SRS, INSTAAR personnel who apply to become an Assistant Research Professor (https://www.colorado.edu/researchinnovation/hr/research-professor-series) must at the same time be considered for RSII status.

**c. Research Scientist III (RSIII)**
RSIII is considered by INSTAAR to be the equivalent of the Associate Professor title for tenure stream faculty, is attained by promotion after 5 years of strong performance evaluations as an INSTAAR RSII (“exceeds expectations”) or, when appropriate, is granted to individuals hired with 6 to 10 years of independent research experience elsewhere at levels equivalent to a RSI or RSII. Similar to the RSII title, a RSIII must demonstrate commitment to INSTAAR’s goals and mission. A RSIII is expected to demonstrate accomplishment in research, including regular publication of articles in prestigious refereed journals, regular presentation of papers at national or international scientific meetings, and be successful in obtaining research support funding. In addition, the individual is expected to demonstrate a high level of commitment to the goals and mission of INSTAAR, and to provide service to the institute and profession by serving on external committees or organizing or chairing national and/or international meetings, workshops, etc. An RSIII is encouraged to develop an academic relationship with an appropriate department at CU, particularly in order to mentor graduate students. If not already appointed as a RSIII or SRS, INSTAAR personnel who apply to become an Associate Research Professor (https://www.colorado.edu/researchinnovation/hr/research-professor-series) must at the same time be considered for RSIII status.
d. Senior Research Scientist (SRS)

SRS is equivalent to the title of Professor for tenure stream faculty and coincides with the existing University title of Senior Research Associate, for which standards and procedures are in place. The title pertains to an individual who, because of outstanding, sustained, and superior performance is recognized by their peers as an accomplished senior researcher in their field. Researchers with this title will have made outstanding contributions in research and achieved national and international recognition, as evidenced by original publications in internationally recognized peer-reviewed journals, service in national and international organizations and review groups, and continued research funding from peer-reviewed sources. Evidence of a long-term commitment to INSTAAR’s goals and mission is also required. If not already appointed as a SRS, INSTAAR personnel who apply to become a Research Professor (https://www.colorado.edu/researchinnovation/hr/research-professor-series) must at the same time be considered for SRS status.

3. INSTAAR Professional Scientist ranks

Professional scientist ranks are designated for individuals possessing competence to carry out research or scholarly work of a quality comparable to that produced by a graduate student. This corresponds to titles in the university system of “Professional Research Assistant” (https://www.colorado.edu/facultyaffairs/career-milestones/research-faculty-series). A Professional Scientist works in a collaborative role with a principal investigator and contributes substantively to the project. As a collaborator, the Professional Scientist may receive credit as author or coauthor of publications and technical reports, and shares instructional responsibilities in the research setting. An individual employed in this capacity is not enrolled as a student. The bachelor's degree or equivalent experience is required for appointment to the Professional Scientist position. The title “Professional Scientist” is not used for individuals performing regular classified staff duties such as secretarial, clerical or accounting functions.

a. Professional Scientist I

This is an entry-level title for an individual competent to carry out research or scholarly work of a quality comparable to that produced by a graduate student. The Bachelor's Degree or equivalent experience is required for appointment to the Professional Scientist I title. After five years of strong (exceed or higher expectations) annual performance evaluations as an INSTAAR Professional Scientist I, an individual is eligible for promotion to INSTAAR Professional Scientist II.
b. Professional Scientist II
These individuals have B.S./B.A. degrees and at least five years of experience, either within their institute or department or elsewhere, or they hold recent (three years or newer) M.S./M.A. degrees, Professional Engineer’s certification, or equivalent experience. After five years of strong annual performance evaluations as an INSTAAR Professional Scientist II, an individual is eligible for promotion to Senior Professional Scientist. (See under Standing Rules, "Appointments and Promotions of Professional Scientists").

c. Senior Professional Scientist
This title is coincident with the University title of Senior Professional Scientist. This title designates an individual possessing competence to carry out independent and high-quality research or scholarly work. Appointment to this position is a promotion above the rank of Professional Scientist II and most Senior Professional Scientists have specialized skills and experience. The Master's degree, Professional Engineer’s certification, or equivalent experience is required for appointment as a Senior Professional Scientist. An individual employed in this capacity is not enrolled as a student.

4. INSTAAR Affiliates
Affiliates participate in INSTAAR through collaborations and activities that will include more than one of the following:

- Collaborating with current INSTAAR scientists.
- Providing and attending seminars or lectures at INSTAAR.
- Interacting with INSTAAR graduate students and postdoctoral fellows.
- Participating on INSTAAR committees as appropriate.
- Providing a level of liaison with their host organization and INSTAAR.
- Attending institute meetings, retreats and social functions.
- Affiliates may wish to be a PI or Co-PI on research grants run through INSTAAR. Affiliates who wish to submit proposals through the institute should consult with their INSTAAR sponsor and the office of the Director well in advance of the submission deadline. Proposal submission may involve additional requirements at the institute and university levels; thus, it is recommended that Affiliates begin discussions with relevant INSTAAR personnel early. If an Affiliate can and will draw salary on a grant, then the Affiliate will be reappointed as an employee of CU, i.e., a Research Scientist.
III. Appointment Procedures

A. Appointment to the INSTAAR Directorate (How to become part of the governing body of INSTAAR)

Joining INSTAAR’s Directorate as a Fellow is not based on academic credentials alone. Prospective Fellows need to demonstrate a commitment to INSTAAR before being eligible for Fellow status. Additional details are provided in the subsections below.

1. Appointment as an INSTAAR Fellow as a tenured or tenure-track faculty member

Individuals hired to fill a tenure or tenure-stream line in a joint search with one of INSTAAR’s partner academic units on the CU-Boulder campus following standard search procedures, whether as an open or targeted search, are automatically voting members of the INSTAAR Directorate. Faculty are expected to maintain the normal, roughly 40/40/20 proportion of teaching, research and service, although these proportions can be subject to negotiation with the Director and appropriate Department Chair (and when needed the Deans of the appropriate School or College) as needed to accommodate special circumstances. INSTAAR tenure-stream members have their initial (hiring) salary determined by negotiation with the INSTAAR Director. INSTAAR faculty members are presently associated with the departments of ATOC, Geological Sciences, Ecology and Evolutionary Biology, Geography, Civil Environmental and Architectural Engineering, Environmental Studies, and Anthropology. Evaluation, promotion and raises start with the Annual Report of Professional Activities (see section IV and Appendix A).

Individuals who currently hold a tenured or tenure-track position in an academic unit on the University of Colorado Boulder campus, and who have developed significant active collaborative research with one or more members of the INSTAAR Directorate or otherwise can demonstrate active ties to the institute are eligible to apply for membership of the Directorate. It is expected that the candidate not only would have research interests that overlap with INSTAAR’s mission but that the candidate can also demonstrate a clear commitment to the long-term growth, innovation and positive culture of the institute. The candidate will request in writing to the INSTAAR Personnel Committee to join the Directorate as a Fellow and will provide the following:

- Letter of motivation of why the candidate wants to join the Directorate including an outline of current and/or likely future research collaborations with INSTAAR researchers.
- Current CV.
- Summary of recent scholarship including proposal activity.
- Contact information for six referees including at least two INSTAAR Directorate members and two referees external to CU.
- The candidate should contact INSTAAR’s Seminar Committee and arrange to present a research seminar to, and stand for questions from, the Directorate.
If the Personnel Committee deems that the information submitted is complete and the candidate has met the criteria outlined above, the Personnel Committee will present the candidate’s information and request to the Directorate. The Directorate will vote on the application, with a 2/3 majority required for acceptance. Normally, candidates will be tenured/tenure track in one of the Academic Units that have already developed a partnership with INSTAAR, but individuals from other academic units may also consider applying for membership in the Directorate. In such cases, the candidate must initially discuss their interest with the INSTAAR Director who will reach out to the Unit Head in the candidate’s tenure home to discuss the potential for a joint appointment. If a tenured or tenure-track faculty is approved as an INSTAAR Fellow or otherwise is relocated to INSTAAR, then the faculty member must change the Departmental Allocation of Indirect Cost Recovery, as defined by the institute and in discussion with the original department. As appropriate, the Faculty member will also undergo annual review by both the original department and by the Institute.

INSTAAR Fellows undergo a review every 7 years to ensure appropriate contributions to the mission of the Institute. The timing of the review can be adjusted upon discussion with the Director to harmonize with departmental tenure or review processes (see reappointment procedures below).

2. Appointment as an INSTAAR Fellow as a RSII, RSIII or SRS

Individuals who hold the University title of Research Associate and an INSTAAR title of RSII, RSIII or SRS are eligible to apply to become an INSTAAR Fellow and serve on the Directorate. Normally, candidates will have been an INSTAAR personnel for at least 5 years as an active member contributing to the institute’s research, mentoring, or outreach/engagement activities prior to being considered as a potential Fellow, though exceptions can be made in unusual circumstances. To be eligible for Fellow status, a Research Associate will have established a record of academic scholarship at least comparable to that of an Assistant Professor in a tenure-track position, with an emphasis on a track record of funded research, and a record of successfully mentoring graduate students, postdoctoral fellows, or undergraduate honor’s thesis students (i.e., mentoring students towards completing independent research projects). It is expected that the candidate not only would have research interests that complement INSTAAR’s mission but that the candidate can also demonstrate a clear commitment to the long-term growth, innovation and positive culture of the institute. The candidate will request in writing to the INSTAAR Personnel Committee to join the Directorate with the following information:

- Letter of motivation of why the candidate wants to join the Directorate including an outline of current and/or likely future research collaborations with INSTAAR researchers.
- Current CV.
- Summary of recent scholarship including proposal activity.
- Contact information for six referees including at least two INSTAAR Directorate members and two referees external to CU.
• The candidate should contact INSTAAR’s Seminar Committee and arrange to present a research seminar to, and stand for questions from, the Directorate.

If the Personnel Committee deems that the information submitted is complete and the candidate has met the criteria outlined above, the Personnel Committee will present the candidate’s information and request to the Directorate. The Directorate will vote on the application, with a 2/3 majority required for acceptance.

INSTAAR Fellows undergo a review every 7 years to ensure appropriate contributions to the mission of the institute. The timing of the review can be adjusted upon discussion with the Director to harmonize with departmental tenure or review processes (see reappointment procedures below).

3. Appointment as an INSTAAR Fellow as an Assistant Research Professor, Associate Research Professor, or Research Professor

Applicants to CU Boulder’s Research Professor Series are encouraged to contact the INSTAAR Director for discussion.

INSTAAR Fellows undergo a review every 7 years to ensure appropriate contributions to the mission of the institute. The timing of the review can be adjusted upon discussion with the Director to harmonize with departmental tenure or review processes (see reappointment procedures below).

4. Appointment as an INSTAAR Emeritus-Fellow

A member of the INSTAAR Directorate in good standing and with a substantial history of contributions to INSTAAR but who no longer oversees research and educational programs that meets INSTAAR expectations may request to be considered for the honorary rank of Emeritus/Emerita-Fellow status. Emeriti members of the Directorate are not eligible to vote but are welcomed as members for normal Directorate meetings. To apply for INSTAAR Fellow-Emeritus status, INSTAAR Directorate members should submit a letter of intent to the INSTAAR Director. The case will be discussed and voted upon at an INSTAAR Directorate meeting with a 2/3 majority required for acceptance.

B. Appointment as an INSTAAR Senior Research Scientist (SRS), RSI, RSII, or RSIII

All INSTAAR Research Scientists report either to the INSTAAR Director, an INSTAAR Fellow, or an INSTAAR approved supervisor. Individuals who wish to be considered for a new appointment as an INSTAAR Senior Research Scientist, RSI, RSII, or RSIII should contact a relevant supervisor for discussion about a potential appointment. For Fellows, appointments are 7-year term renewable appointments coinciding with the Fellow reviews. For non-Fellows, INSTAAR Research Scientist status are 5-year term appointments, which can be renewed (see reappointment procedures below).

Appointment shall follow University rules and the following INSTAAR practices:

• The supervisor will conduct adequate reference checks on all candidates.

• Evaluations of candidates by INSTAAR supervisors will follow the INSTAAR professional code of conduct (See Appendix B). Supervisors will base hiring decisions
on best practices and will determine the appropriate INSTAAR title using information in section II of INSTAAR’s standing rules.

- The supervisor will provide the Office of the Director: (a) the applicants current CV or resume; and (b) for appointment of SRS, RSIII, and RSII personnel, up to 5 of the applicant’s best publications. Under unusual circumstances, the Director may make recommendations about hiring decisions.

- The supervisor will: (a) discuss the level and logistics of any outside funds being transferred with the INSTAAR Finance Officer, and (b) discuss facility and space needs with the INSTAAR Director or Associate Director.

C. Appointment as an INSTAAR Professional Scientist

Appointment shall follow University rules and the following INSTAAR practices:

- The INSTAAR supervisor will conduct adequate reference checks on all candidates.
- Evaluations of candidates by INSTAAR supervisors will follow the INSTAAR professional code of conduct (See Appendix B). Supervisors will base hiring decisions on best practices and will determine the appropriate INSTAAR rank based on information provided in section II of the standing rules.

- The supervisor will: (a) discuss the level and logistics of any outside funds being transferred with the INSTAAR Finance Officer.

- Upon successful hiring, the supervisor will discuss facility and space needs with the INSTAAR Associate Director.

D. Appointment as an INSTAAR Affiliate

To be considered for INSTAAR Affiliate status, a candidate needs one or more sponsors to aid in their appointment as an INSTAAR Affiliate. Only INSTAAR Fellows can sponsor an INSTAAR Affiliate. Each applicant will send the INSTAAR Director a file that includes:

- A formal letter of application.
- A 2-page account of scholarship, achievements, and future directions, and how these fit into INSTAAR’s mission.
- Current CV or resume.
- Up to 5 of their best publications, reproductions of creative works, or other evidence of scholarly or creative activity.

The application packet will be reviewed first by the Office of the Director. If deemed appropriate and complete, the application packet will be made available to the Directorate for a two-week comment period. The Director will take any comments from Directorate members into account when reaching a final decision about the Affiliate application. If the application is viewed favorably, the Director will seek the advice of the sponsor to ensure that any logistical needs of the applicant will be met either by the sponsor or the sponsoring research group. The Director will write a formal letter acknowledging the success, or lack thereof, in regard to their standing as an Affiliate of INSTAAR. Affiliate application success or lack of success will be announced in a Directorate meeting so that the decision is formally recorded in the institute’s minutes and
business record. Affiliate status is for a period of 4 years, which can be renewed (see reappointment procedures below).

E. Appointment to the Research Professor series

These appointments must follow the strict guidelines defining that classification as defined by the CU Research and Innovation Office https://www.colorado.edu/researchinnovation/hr/research-professor-series. Term lengths and reappointments are dictated by the RIO guidelines. The application packet will be submitted to the INSTAAR Director, referee letters obtained by the Personnel Committee and those materials will be made available to the INSTAAR Directorate for consideration and vote. If approved by the INSTAAR Directorate, the Director will provide the required information to RIO.

INSTAAR personnel seeking appointment to the Research Professor series will simultaneously be considered for appointment or promotion to the INSTAAR Research Scientist series as appropriate. For example, an INSTAAR personnel seeking appointment as an Assistant Research Professor will simultaneously be considered for appointment or promotion if needed to a RSII position. While the INSTAAR appointment procedures have been harmonized as much as possible with RIO’s procedures, it is the candidate’s responsibility to make sure they have provided the Personnel Committee will all information required for the Research Scientist appointment procedures as well as the Research Professor appointment procedures.
IV. Personnel Promotion or Reappointment Procedures

A. Reappointment procedures for INSTAAR Fellow-Emeriti

INSTAAR Fellow-Emeriti are appointed for life. Thus, there is no subsequent need for reappointment, barring extenuating circumstances of a legal or moral nature, or any actions or behaviors that violate the CU or INSTAAR codes of conduct (Appendix B). The level of Institute support (including space) will depend on the level of activity within the institute and is at the discretion of the Director.

B. Promotion and reappointment procedures for INSTAAR Fellows (Directorate members)

Members of the Directorate (Fellows) will maintain an active research program, will be expected to contribute to INSTAAR’s mission through their research, service, outreach or teaching activities, and normally will have at least 50% salary, though exceptions can be made by the Director. Fellows are expected to attend Directorate meetings regularly (barring conflicts with university teaching assignments), contribute to INSTAAR governance, and contribute to INSTAAR service typically by serving on at least one of INSTAAR’s standing or ad hoc committees per semester. If a Fellow cannot meet these minimum expectations, then the Fellow should discuss with the Director the option of becoming a Fellow-in-absentia until conditions change. A Fellow-in-absentia retains rights and privileges of Fellows except for voting privileges. Fellows-in-absentia may attend Directorate meetings and contribute to discussions but cannot vote on INSTAAR matters. The Director has the discretion of assigning in-absentia status to a Fellow who does not meet the expectations outlined above. When this occurs, the Office of the Director will alert the Fellow in writing of this change in status. Once the Fellow-in-absentia is able to meet the minimum expectations of INSTAAR Fellows as described above, the in-absentia condition can be removed by the Director.

Fellows are evaluated annually by members of the INSTAAR Executive Committee on their research, teaching, and service accomplishments. Additionally, any information related to the Fellow’s ability to follow the ethical, financial, and personal guidelines outlined in INSTAAR code of conduct (See Appendix B), such as the ability to maintain professional interactions with Front Office staff and other INSTAAR personnel, also may be taken into consideration during the annual evaluations at the discretion of the Director. If a Fellow receives “below expectation” evaluations in any category within the annual performance evaluation procedures for two years in a row, the Director may discuss whether continued status as an INSTAAR Fellow is warranted. Receiving below expectation evaluation for three years in a row is grounds for losing Fellow status as per the INSTAAR bylaws. In this situation, personnel may continue to be part of the institute but not serve on the Directorate. Personnel in this situation who wish to rejoin the Directorate as a Fellow must apply following the Appointment procedures in section IIIA. Fellows who engage in actions or behaviors that are found to violate the University of Colorado or INSTAAR codes of conduct will be permanently removed from the Directorate.

1. Annual performance evaluations for tenure-stream Fellows

For tenure-stream Fellows, annual evaluation for rank, promotion, and tenure is handled jointly by the institute and the individual’s academic department. The Director’s Office
provides the Executive Committee’s annual evaluation to the appropriate Department Chair. The Director will provide feedback in writing annually, and from time to time discuss with the INSTAAR Fellow their teaching, research and service record. Fellows with 100% FTE rostered in RIO have their annual salary increases determined by the INSTAAR Director based on merit and equity. Fellows with 100% FTE rostered in a college have their annual merit raise determined by the guidelines of their primary tenure-home unit. For Fellows whose FTE is split between RIO and a college, annual salary increase typically is decided by INSTAAR and the tenure home department independently. If they differ, the unit giving the larger raise provides money to the other unit so that each unit provides the same contribution to the next year’s AY salary. The INSTAAR Director will take into account performance and salary of other comparable individuals within the Institute and the University. The Director and Executive Committee will employ an annual evaluation scheme that reduces the chance of bias or perception from influencing the decision (see annual appraisal plan for teaching, research, and service).

2. Annual performance evaluations for Research Faculty/Scientist Fellows
   For Research Faculty and Research Scientist Fellows rostered in RIO, evaluation for rank and promotion is handled by the institute. The Director will provide feedback in writing annually, and from time to time discuss with the INSTAAR Fellow their teaching, research and service record as appropriate for the individual’s distribution of effort. Annual salary increases are determined by the Director based on merit and equity. The INSTAAR Director will take into account performance and salary of other comparable individuals within the institute and the university. The Director and the Executive Committee will employ an annual evaluation scheme that reduces the chance of bias or perception from influencing the decision (see annual appraisal plan for teaching, research, and service).

3. INSTAAR Fellow seven-year review
   INSTAAR Fellows will be reviewed every approximately seven years to ensure that 1) the individual is meeting minimum expectations of serving as an INSTAAR Fellow, which includes regularly attending Directorate meetings, participating in the governance of the institute and contributing to INSTAAR service (typically by serving on one of INSTAAR’s standing or ad hoc committees per semester; 2) the individual’s contributions are in line with INSTAAR’s core teaching, research, or outreach missions; and 3) the individual’s behaviors and activities are in keeping with INSTAAR’s code of conduct. The timing of this review can be adjusted to coincide with their tenure home review upon discussion with and approval by the INSTAAR Director. The Office of the Director will contact the Fellow and ask for the following to be submitted:
   - A CV that includes publication records as well as a record of instruction including any advising and mentoring of students.
   - A 2-page document that outlines the Fellow’s most significant contributions over the past seven years related to INSTAAR’s mission. These contributions can include research, teaching, or outreach/engagement activities.
• Names and contact information for all graduate students, postdoctoral fellows, and undergraduate students for whom the Fellow has served as a primary mentor in the past seven years. The Office of the Director may solicit feedback from some or all of these students to support the renewal application.

INSTAAR staff also may be solicited for input on the Fellow’s fiscal responsibility and professional behavior. The INSTAAR Executive Committee will evaluate the information obtained in the Fellow reviews. If the review raises no significant concerns, the Fellow will be notified in writing by the Office of the Director. If concerns are raised during the Fellow review, the Executive Committee will make recommendations to the Director about possible corrective actions or in extreme cases may recommend that the individual lose Fellow status (voting rights) in INSTAAR. The Fellow will be notified of the review findings and recommended course of action in writing by the Office of the Director. The final course of action is at the discretion of the Director.

C. Promotion and reappointment procedures for INSTAAR Research Scientists

1. Promotion procedures

Applicants wishing to be promoted to any of the following categories (RSII, RSIII, SRS) need to complete a file for the INSTAAR Personnel Committee that includes:

• A formal letter addressed to INSTAAR’s Personnel Committee stating the wish to be considered for promotion.

• Current CV including publication record, funding history, proposal writing activity, and a record of instruction and/or student mentoring.

• For RSII promotion applications, up to three examples of their best publications. For RSIII and SRS promotion applications, up to five examples of their best publications. Except for first authored or single authored papers, the candidate should detail their distinctive role in the publication.

• For RSII promotion applications, the names and contact information for at least five references (including at least two referees external to CU). For RSIII and SRS promotion applications, the names and contact information for at least seven references (including at least three referees external to CU). The Personnel Committee will use this information to solicit letters as appropriate.

• A brief statement (1-2 pages) describing the candidate’s impact of research and proposed research objectives and plans.

• For RSIII and SRS promotion applications (not for RSII applications), a brief statement (1-2 pages) describing the candidate’s proposed student instructional or mentoring plans if relevant.

• The candidate should contact the INSTAAR Seminar Committee and arrange a seminar, which will be advertised in INSTAAR and any relevant university department.

• Any logistics of outside funds being transferred should be discussed with the INSTAAR Finance Officer. Any facility and space needs should be discussed with the INSTAAR Associate Director and appropriate Research Group Leader.
For each promotion application, the Personnel Committee will as appropriate, obtain outside evaluation of the candidate with the information obtained above, and seek information on the candidate’s potential for scholarship. The Personnel Committee will then make a recommendation to the INSTAAR Director. For RSII promotion applications, the case will be brought to the INSTAAR Executive Committee. For RSIII and SRS promotion applications, the case will be brought to the Directorate for further discussion and vote. In both cases, a 2/3 majority vote is required for acceptance. With a successful vote, the applicant will negotiate a salary level and/or any other conditions with their supervisor. The final decision is with the Director, who is the designated hiring authority of the Institute. The Director will provide formal request for appointment to the Research and Innovation Office (RIO) for all successful applicants according to the rules of RIO. A formal offer letter will be sent to the applicant by RIO appointing the applicant. If the recommendation from the Personnel Committee is negative, the candidate will be notified in writing by the Office of the Director.

2. Re-appointment procedures for non-Fellow RS-II, RS-III and SRS

Research Scientists who are not INSTAAR Fellows are appointed to five-year terms. The Office of the Director will notify the candidates prior to the need for reappointment and allow them to update their personnel file. Personnel wishing to be promoted should follow the promotion procedures outlined above.

Applicants wishing to be re-appointed to any of the following categories (RSII, RSIII, SRS) should submit to the Office of the Director to place in their personnel file:

- A formal letter stating their desire for reappointment.
- A two-page statement of their past achievements and future directions, and how these fit into INSTAAR’s mission.
- Current CV.
- A letter of support from an INSTAAR Fellow or the Research Scientist’s INSTAAR supervisor.

The INSTAAR Executive Committee will review the applicant’s personnel file (including FRPAs) and present a recommendation to the Director concerning reappointment. If the Executive Committee raises questions or concerns about the personnel file, the file will be sent to the Personnel Committee for further review and information gathering as needed. In this situation, the Personnel Committee will submit a recommendation concerning reappointment to the Director and Executive Committee. A 2/3 majority vote by the Executive Committee is required for acceptance. The final decision is with the Director, who is the designated hiring authority of the Institute. With a successful vote, the applicant will negotiate a salary level and/or any other conditions with their supervisor. The Director will provide formal request for appointment to the Research and Innovation Office (RIO) for all successful applicants according to the rules of RIO. A formal offer letter will be sent to the applicant by RIO appointing the applicant. If the recommendation from the Personnel Committee is negative, the candidate will be notified in writing by the Office of the Director.
3. Re-appointment procedures for Fellow RS-II, RS-III and SRS

Research Scientists who are INSTAAR Fellows are appointed to seven-year terms. Personnel wishing to be promoted should follow the promotion procedures outlined above. Re-appointment will be considered within the context of the seven-year Fellow review, described in the related section.

D. Promotion or reappointment within the Professional Scientist series

1. The candidate should notify their supervisor of their interest in being evaluated for promotion or being reappointed without promotion.

2. The supervisor will evaluate the candidate’s performance and potential in light of INSTAAR titles and in relation to other INSTAAR personnel of the same title and levels of experience. The supervisor may request additional information from the applicant to support the request for promotion, such as:

   - Demonstrated competency through letter(s) of support from present and or prior supervisors that outline criteria (i.e., good judgment, proactiveness, independence, responsibility, success, technical competence, supervisory experience) and how the individual has met the criteria.
   - CV or resume.
   - Any publications or other proof of contributions to research, teaching, or service missions.

3. The application is formally approved in writing by the Office of the Director upon the recommendation of the supervisor.

E. Reappointment or promotion to the Research Professor series

These promotions or reappointments must follow the strict guidelines defining that classification as defined by the CU Research and Innovation Office https://www.colorado.edu/researchinnovation/hr/research-professor-series. Term lengths and reappointments are dictated by the RIO guidelines. The application packet will be submitted to the INSTAAR Director, referee letters obtained by the Personnel Committee and those materials will be made available to the INSTAAR Directorate for consideration and vote. If approved by the INSTAAR Directorate, the Director will provide the required information to RIO.

INSTAAR personnel seeking promotion within the Research Professor series will simultaneously be considered for promotion as an INSTAAR Research Scientist. For example, an INSTAAR RSII seeking promotion from an Assistant to Associate Research Professor will automatically be considered by the Personnel Committee for promotion to RSIII. While promotion procedures have been harmonized as much as possible, it is the candidate’s responsibility to make sure they have provided the Personnel Committee with all information required for the Research Scientist promotion procedures as well as the Research Professor promotion procedures.
F. Reappointment as an INSTAAR Affiliate

Affiliates are provided affiliate status with INSTAAR for a period of four years. After this period, an Affiliate cannot be reappointed without the active sponsorship of a voting member of the Directorate. The Office of the Director will ask the sponsor about the possibility of reappointment of the Affiliate. With a positive response, the Office of the Director will contact the Affiliate to inquire about their interest to renew their status. If interested, the Affiliate will supply:

- A request for reappointment letter. The letter should mention who their sponsor(s) is/are, and their nature of interactions with the sponsor(s).
- A two-page statement on the Affiliate’s research interactions at INSTAAR, for example their grantsmanship activity, level of interactions with graduate students, and other ways the affiliate is involved in the mission and activities of INSTAAR.
- An updated CV or resume.
- Up to five of their most recent publications, reproductions of creative works, or other evidence of scholarly or creative activity.
- The Office of the Director will contact the sponsor who will submit a letter of support detailing how the affiliate’s activities has promoted and will continue to promote the teaching, research, or service missions of INSTAAR.

The renewal file will be made available to the Directorate for a two-week comment period. Any comments received during this period of time will be taken into consideration by the Director when making a positive or negative decision about whether the Affiliate status will be renewed. The candidate will be notified in writing of the decision by the Office of the Director.

G. Appeals procedure

Appeal procedures in case of disagreement with regards to appointment, reappointment or promotion in INSTAAR.

1. The Office of the Director will summarize the findings of the Personnel Committee and will make it clear to the applicant whether their appointment, reappointment, or promotion was successful. Where success in promotion or reappointment is not achieved, the Director will discuss the results and implications in a private meeting with the candidate under discussion. The Director is to make known at that time that the member has a right of appeal.

2. If an INSTAAR member desires to appeal the findings, a written statement by the appealing member should be provided to the Personnel Committee, giving the reasons for the disagreement and documentation of relevant background information.

3. The Personnel Committee is to review the case and provide a written statement to the appealing member and to the Director. If the Personnel Committee agrees with an appeal, a new written statement will be prepared and the old written statement will be destroyed. This statement and other pertinent materials would become part of the record consonant with University regulations.
4. If no agreement can be reached, an appeals committee is formed, composed of three members, the Director of INSTAAR (or in case of conflict of interest, one member of the INSTAAR Personnel Committee), one member of the INSTAAR Directorate, and one member of the CU community nominated by the appealing member.

5. The appeals committee reviews the case and subsequently calls for a hearing with the appealing member.

6. After the hearing, a written statement on the appeals committee’s findings is given to the appealing member. If the issue is resolved, the recommendation is routed using the normal channels.

7. If no agreement can be reached, the case goes to the ombuds office. INSTAAR will abide by any recommendations or resolutions suggested by the ombuds officer.
V. Governance, Committee Structure and Committee Function

INSTAAR’s Director is responsible for finding effective, democratic, and inclusive pathways towards INSTAAR governance and function. The Director is responsible for final decision making regarding INSTAAR personnel and resources. The Associate Director is responsible for decision making when the Director is unavailable due to professional duties or leave. Typically, the Associate Director may focus on decision making related to internal INSTAAR affairs such as space use, allowing the Director to focus attention on university-, national-, or international-level issues. The Director (or Associate Director if necessary) will represent INSTAAR in cross-Institute Director’s meetings coordinated by the Office of Research and Innovation. The Director will attend Chairs and Directors meetings facilitated by the CU Boulder Provost to ensure that INSTAAR remains a leader in campus-wide activities. The Director also will attend Chairs and Directors meetings organized by the Deans of the Colleges of Arts and Science as well as Engineering as appropriate.

INSTAAR’s Directorate is the major governing body of the Institute and meets regularly to discuss ongoing issues affecting the function of the Institute’s research, teaching, and service missions. The Directorate will meet at a minimum of once per month through the fall and spring academic semesters to ensure completion of INSTAAR business.

INSTAAR has three standing committees and the chair of each standing committee oversees a set of related committees. Whenever possible, chairs of standing committees should have representation on the Executive Committee. The general charge, structure, and function of each standing committee are described below.

A. Executive Committee (ExComm)

A key function of ExComm is to provide a two-way avenue of communication and consensus building between the Directorate and the INSTAAR Director. ExComm also completes the annual performance evaluations of Directorate members (Fellows). The frequency of ExComm meetings is up to the discretion of the Director, however the INSTAAR ExComm must meet at a minimum once per academic semester (typically biweekly to monthly).

ExComm will be comprised of 1) rotating members selected and voted upon by the Directorate and 2) several standing ExOfficio members (Associate Director(s) of INSTAARs, PIs of affiliated CU centers rostered in INSTAAR, Chair of major INSTAAR committees). New rotating members will be nominated by the current year’s ExComm and confirmed by a Directorate vote. Rotating member selection will aim to balance ExComm representation of career stages as well tenure track versus soft money Directorate members. Researchers. Rotating ExComm members generally will serve a two-year term though exceptions may be made to ensure that there is a rotation and not 100% turnover of ExComm members. Each rotating and standing member will be assigned a subset of Directorate members to ensure the two-way flow of communication stated above.

Annual performance evaluations of INSTAAR Fellows will be completed by the rotating members and Associate Director(s). ExOfficio members other than the Associate Director(s) such as Chairs of major INSTAAR committees are not expected to complete the annual performance evaluations. Serving on ExComm as a rotating member will be considered that individual’s service assignment to INSTAAR.
Suggested timeline:

- **January** - An ExComm member is selected to email the Directorate asking for nominations to serve on ExComm the subsequent year. Current ExComm members discuss and select new members.

- **February** - Proposed new members are presented to the Directorate and confirmed by vote

- **March** - ExComm members for the following year are presented to the INSTAAR Director. The INSTAAR Director proceeds with other service assignments.

**B. Personnel Committee**

This committee is charged with handling many types of applications for appointment or promotion within INSTAAR, including applications to join the Directorate, to become an INSTAAR affiliate, and for major promotions. The Chair of the Personnel Committee will be the primary point of contact between the applicant and the committee. The Chair will also ensure that all materials for each application are complete and handled by the committee in a reasonable amount of time. The Chair of the Personnel Committee will have representation on the INSTAAR Executive Committee as an ExOfficio member, but will not be expected to complete annual performance evaluations. The Chair of the Personnel Committee is considered a major leadership role for the Institute, and will be appointed for a tenure of two years renewable for a second consecutive term before another Chair should be appointed if possible.

**C. Justice, equity, diversity and inclusion (JEDI) task force**

This committee is charged with maintaining a progressive and accountable agenda to make INSTAAR a more inclusive and equitable INSTAAR and to make recommendations to the Directorate aimed at promoting diversity across all levels of the institute. The committee will be led by a chair or co-chairs. The chair or one co-chair from the JEDI task will have representation on the INSTAAR ExComm but will not be expected to complete annual performance evaluations. Chairing or co-chairing the JEDI Task Force is considered to be a major leadership role for the Institute. The Chair or co-chairs will be appointed for a tenure of two years renewable for a second consecutive term before another Chair should be appointed if possible.

**D. Additional committees**

INSTAAR maintains a number of additional committees that are ad hoc in nature or support INSTAAR assets. These committees include

1. **Awards and Recognition Committee**

   This committee is an ad hoc committee responsible for increasing the reputation and reach of INSTAAR. This is achieved through (1) the nomination of INSTAAR students, staff, and faculty for campus, national and international awards and (2) developing material, content, and ideas that helps to promote INSTAAR’s scholarly work including liaising with the CU Foundation.
2. ARPAC Self-study Committee
   This committee is an ad hoc committee charged with leading the research, discussions, and reflections necessary to complete the self-study required for the CU ARPAC process. This committee may be chaired by the Director or may have a chair appointed by the Director.

3. Space Committee
   The Director or Associate Director of INSTAAR shall chair an ad hoc committee of staff and Fellows to discuss fair and equitable ways to uphold the institute’s space guidelines (see section VII).
VI. Mentorship Programs

A. INSTAAR Fellow Mentoring Program

The goal of the INSTAAR Fellow mentoring program is to improve morale, retention, and stability of new tenure track faculty, Assistant Research Professors, and Research Associates serving on the Directorate. Incoming INSTAAR members wish for understanding and communication about the Institute and their obligations. Faculty members often feel pulled between the needs of the Institute and their tenure home department. The overarching goal of this mentoring program is to make certain that INSTAAR Fellows get the support and information that they need, particularly during the critical formative years of their careers. The “terms” of the mentoring vary based on needs, however typically the need for mentoring will naturally decline with time. The mentor will normally be a Full or Associate Professor for Assistant Professors, a Full Professor for Associate Professors, and a Fellow or Senior Fellow for Research Associates. The appointment of a mentor is the responsibility of the Director and is made within one month of the start of a new Fellow appointment. For tenure track Fellows, the Director will work with the relevant Department Chair to select a mentor or ideally co-mentors to represent both institute and department issues. The specific responsibilities of the Mentor(s) are to meet with the Fellow regularly early in their appointment, and as needed afterwards, to discuss their planned research program, scholarly activities, and INSTAAR career. The Mentor(s) serve as guides and counselors only, and in no case will be asked to participate in review of or comment on performance.

Each year during the annual merit evaluation process, the INSTAAR Director will meet with each early-career Fellow to discuss progress and to check in to see if mentoring needs are being met. For tenure track faculty, at the time of the reappointment review (typically three years into the position), the primary unit evaluation committee (PUEC) will be responsible for assessing whether any changes need to be made to the mentoring program in order to best support the INSTAAR Fellow.

B. NewSTAAR Program

NewSTAAR is a peer mentoring program designed to help each person who joins INSTAAR find their place, make connections, and succeed in their new path and in creating a balanced life. New institute employees onboarding with INSTAAR will automatically enroll to the program, with the option to opt out, and be paired with a mentor at an equivalent professional level. Monthly meetings between mentor and mentees, or more frequently, is strongly encouraged. Additionally, the newSTAAR program organizes one or two group events during a semester to give starting employees additional opportunities to interact among each other. The NewSTAAR program was launched in fall 2021 with training for mentors and a welcome event for all participants in September 2021.
VII. Inclusive Space Guidelines

It is in INSTAAR’s best interest to use our lab, office, common area and meeting spaces to build an inclusive, collaborative culture. Space needs will change over time, our space allocations must also evolve accordingly. The following guidelines will help govern how space allocation and ethics are managed by INSTAAR.

A. Space assignments

1. Principles

INSTAAR will abide by the following principles to guide space assignments:

- **a. Foster interdisciplinary hubs**
  Space assignments are meant to foster interdisciplinary hubs amongst multiple INSTAAR research teams. This may mean that students or postdocs within a group will be seated across two or more areas, but we will do our best to keep these areas relatively close.

- **b. Consider supervisor’s location**
  When assigning student and postdoctoral fellow space, the location of the supervisor’s office OR lab is taken into consideration but may not be a determining factor.

- **c. Prioritize the closed offices**
  Space assignments for closed offices (vs open workspaces) are prioritized as follows:
  - Fellows (Directorate members)
  - Other INSTAAR research scientists (non-Fellows)
  - Office space needs as indicated in MOUs. For example, for project coordinators of large, funded projects, or for CU supported programs, or centers. Justification must be submitted to the INSTAAR Director and Associate Director for consideration well in advance of the space assignment request.
  - Emeritus Fellows who maintain an active research presence in SEEC/SEEL. Emeritus Fellows may be assigned shared office space
  - Postdoctoral fellows if this alleviates pressure on open workspace or otherwise is justified.
  - CU faculty outside INSTAAR who collaborate with INSTAAR Fellows in labs in SEEC/SEEL, that are also in need to have an office close to a lab.
  - INSTAAR affiliates who maintain an active presence in SEEC/SEEL

- **d. Prioritize the open workspaces**
  Space assignments for open workspaces are prioritized as follows:
  - PRAs who maintain an active presence in SEEC/SEEL
  - Postdoctoral fellows
  - Graduate students
  - PRAs who do not maintain an active presence in SEEC/SEEL
  - Undergraduate students
e. Reduce unevenness in open workspaces
We recognize that there is unevenness in the various open workspace areas and in the different types of INSTAAR desks in these areas. As an institute, we will make financial investments to improve and smoothen out this unevenness.

f. Follow CU Guidelines
INSTAAR space assignments will obey CU guidelines, which dictate that CU employees should have no more than 1 personal office on campus. Any other office is a shared office.

g. Provide space for visiting scientists
If possible, we will leave some offices unused to support visiting scientists. INSTAAR is a globally recognized institute and we get many visitors. We want our visiting scientists to feel welcome and appreciated. We typically try to leave one office unused in each SEEC area that is dedicated to INSTAAR (translates to roughly is 1 office unused per 10-12 offices). When these offices are not used for visiting scientist(s), they can be huddle rooms, which are on a first-come-first-serve basis to have small team or project meetings or phone calls (so as not to distract others that are working in the open space areas).

h. Consider Front Office, AAAR, and IC separately
The space needs of the front office, the journal *Arctic, Antarctic and Alpine Research*, and the Information Center will be considered separately to ensure adequate work and storage space and to allow for their uninterrupted and efficient operations.

i. Consider metrics when assigning lab space
Laboratory facilities are considered the space of the Institute and will be assigned on the basis of MOUs or demonstrated need. At the campus level, laboratory space in SEEC and SEEL is justified by metrics including research grants, campus or institute investment in specialized equipment, number of students trained, and the number and quality of research products. INSTAAR will take these metrics into consideration when assigning laboratory use.

j. Designate lab coordinators
Each laboratory is to be assigned an Institute member as its lab coordinator for reasons of communication and to be the liaison with CU’s Environmental Health and Safety personnel. It is the lab coordinator’s responsibility to remain up to date on all aspects of health and safety concerning the equipment and operations within the lab, and supervise lab access.

k. Adjust for changing needs
All space assignments should be considered temporary and can be changed based on INSTAAR’s overall needs and the guiding principles outlined in this document.

l. Know that Director makes final decisions
The Director of INSTAAR is the final arbitrator of disputes related to space and whose decision is final in those cases.
2. Situations to avoid

INSTAAR space assignments are meant to avoid for example the following situations:

a. Empty, unused, or underutilized spaces
   - Besides the ‘visiting scientist offices’, offices should not be unused for months to years unless for valid reasons such as fieldwork travel, family leave, sabbatical, etc. We expect offices to be used most business days of most weeks.
   - If closed offices are not well utilized (including by Fellows, staff, Research Scientists; Emeritus Fellows, etc.), then that person may be re-assigned to a shared office or an open workspace area. The goal of such re-assignment is to (1) prevent empty or underutilized spaces, and (2) free up more huddle spaces that benefit a range of INSTAAR members.

b. PI or research group taking control over space
   - INSTAAR will make all attempts to follow the guidelines of this document without unnecessarily moving people around. We recognize that space security is critical for productivity, peace of mind, and community.
   - Under all circumstances, INSTAAR personnel should realize that solo or shared office assignments or open workspaces are always temporary. They might need to move to either other office configurations or into an open workspace area, or other open workspace areas, if their work space is needed by INSTAAR according to guidelines #3 and #4 above.

c. Offices used as storage spaces
   - INSTAAR will work with you or your team to find alternative storage solutions.

B. Space ethic guidelines

INSTAARs labs, offices and open workspaces often get occupied by different people over time. The following space usage guidelines ensure that current as well as starting members of INSTAAR feel welcomed and appreciated in a clean and functional environment.

1. Foster a good work environment
   - Be considerate to your colleagues. Areas that are shared by many depend on strong communication and a willingness from everyone to make them work. As such, be conscious of noise. In labs and open workspaces noise can travel far. If possible, use one of the many conference rooms of SEEC or SEEL for meetings or group discussions, or one of the INSTAAR Huddle rooms for small spontaneous meetings or calls.

2. Respect University property
   - Any damage to INSTAAR space should be immediately reported to the INSTAAR Associate Director. This includes for example lab doors that do not function properly anymore, or damaged furniture in open workspace areas.
3. Request adjustments to workspace
   • Structural permanent modifications to INSTAAR space are up for approval by the INSTAAR Director. Submit requests well in advance.
   • Temporary modifications of for example furniture of open workspaces should be requested to the INSTAAR Associate Director. Do not modify yourself any University or institute property as this might lead to damaged and dysfunctional workspaces.

4. Leave space properly behind when no longer used
   When space is no longer used, ensure that all personal and project related belongings, including computers, are properly taken care. If needed, coordinate with the INSTAAR Executive Assistant a property pickup for large items. This to ensure that the next person can start fresh without having to clean up first. Return office keys to Facility Management, and all other keys (e.g. of drawers, cages, for computer locks, etc.) to INSTAAR Executive Assistant.

5. Follow huddle space guidelines
   For usage of INSTAAR Huddle spaces: follow the guidelines distributed in each INSTAAR Huddle space.
VIII. Best Practices for Performance Management and Evaluations for Staff, Students, and Faculty

A. Tips for inclusive performance evaluations

Required forms and deadlines vary across different categories of INSTAAR personnel but we have recommended some minimum requirements that all INSTAAR personnel can expect in their annual evaluation cycle. These tips for inclusive performance evaluations are meant to build a culture of feedback and professional development. The health and positive culture of an organization can be assessed by the length of time it takes for a difficult issue to get discussed and resolved.

1. **Co-define goals**
   Include relevant core competencies that help us to evaluate WHAT gets done as well as HOW work gets done.

2. **Iterate on goals and progress**
   Make sure your performance plan is a living breathing document by iterating on goals and progress regularly. Check-ins and coaching between supervisors and employees should be one-on-one meetings. One mid-year progress check-in in addition to the end-of-year evaluation meeting is a minimum requirement. We recommend that meetings with employees take place quarterly if possible.

3. **Work together on a rating scale**
   Co-define with individual employees or the entire team what ratings mean. We recommend using the following scale:
   - 3 = A doing a great job that meets expectations and occasionally goes above and beyond expectations
   - 4= A+ doing a great job that meets expectations and frequently goes above and beyond expectations
   - 5= A++ adding unique contributions that may not come up every year; profound innovation/service/technology

4. **Include stretch goals and professional development**
   Incorporate stretch goals into your performance management plan and make sure to discuss needs and professional development goals each year.

5. **Build in self-evaluation**
   Incorporate self-evaluations into your performance evaluations before you complete your formal annual evaluation. This is a core component of inclusive performance management and gives employees a voice.

6. **Supervise intentionally**
   Supervisors should ensure that no new or surprising (negative) information appears in the formal evaluations. Start a notebook or file for each of your employees that helps you track performance over the entire year. Create a culture of feedback, where employees are able to advocate for their own boundaries, work time, and work goals.
B. Performance management cycle

The information below is an excerpt from CU Boulder’s HR program “Becoming an Inclusive Leader”. All supervisors in INSTAAR are encouraged to take the full course, which is offered at no cost, to learn more about inclusive practices.

1. Inclusive habits for the management cycle: planning, monitoring, and reviewing

a. Writing the plan

Exclusive habits

Creating goals by yourself
Random goals, only using job description to create goals
Not talking about ratings

Inclusive habits

Co-creating goals with your employee(s), include the core competencies
Aligning goals, developing stretch or challenging goals
Co-defining what it means to get a 3, 4, 5

b. Monitoring the process

Exclusive habits

Having a static plan and goals
Only looking at the plan at the end of the cycle
Not prioritizing coaching and development

Inclusive habits

Iteratively review and update goals and plan
Review the plan every quarter, ask “What rating would you give yourself for each goal right now?”
Asking and providing needs for development, asking effective coaching questions
c. Review and evaluation

<table>
<thead>
<tr>
<th>Exclusive habits</th>
<th>Inclusive habits</th>
</tr>
</thead>
<tbody>
<tr>
<td>Providing ratings and feedback without considering your bias</td>
<td>Intentionally challenge/mitigate your unconscious bias before the rating and feedback</td>
</tr>
<tr>
<td>Providing ratings and feedback in a vacuum</td>
<td>Request a self-evaluation</td>
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<tr>
<td>Sharing new or surprising feedback in the evaluation meeting</td>
<td>Operate from the expectation that there are no surprises in the evaluation meeting</td>
</tr>
<tr>
<td>Only including feedback on the last 1-3 months of the cycle year</td>
<td>Implement an effective tracking tool for capturing performance data throughout the entire year</td>
</tr>
<tr>
<td>Evaluating what gets done only</td>
<td>Evaluate how the work gets done just as much as what gets done</td>
</tr>
<tr>
<td>Providing feedback one-way</td>
<td>Standardize a culture of feedback by always asking your employees, one thing you are doing well and one thing you can improve</td>
</tr>
</tbody>
</table>

2. Checklist of inclusive performance management/evaluation practices

- ✓ Co-create goals
- ✓ Align goals/stretch goals
- ✓ Co-define ratings
- ✓ Mitigate rater bias
- ✓ Review the plan quarterly
- ✓ Request a self-evaluation
- ✓ Implement a tracking tool
- ✓ Build a culture of feedback

C. Additional Sources of Information


IX. Annual Appraisal Plan for INSTAAR Fellows, Research Associates, and Professional Scientists

This section of INSTAAR’s standing rules describes the procedures used to conduct annual appraisals at the Institute of Arctic and Alpine Research. INSTAAR’s evaluations and annual performance ratings follow guidelines of the Office of Faculty Affairs (https://www.colorado.edu/facultyaffairs/).

A. Annual appraisal procedures for Fellows (Tenure Track and Research Associates)

INSTAAR’s annual evaluation appraisal for Fellows is based on three components:

1. **Mandatory FRPA**: By the University-designated deadline, typically February 1 of each year, each Fellow shall release to the Office of the Director a completed Faculty Report of Professional Activities (FRPA) for the preceding calendar year.

2. **Mandatory publications list**: By INSTAAR’s internal deadline (announced each year to the Directorate), each Fellow should submit to the Office of the Director (via an email to the INSTAAR Executive Assistant) a three-year list of publications and other scholarly works as a word or pdf attachment.

3. **Optional narrative**: Each Fellow may also submit to the Office of the Director a brief (2-3 pages max) narrative in any or all of the four areas of “research”, “service”, “teaching and mentoring”, and “contributions to Diversity, Equity and Inclusion (DEI)”, as described below. This narrative is intended to serve as an (optional) supplement by allowing Fellows to provide additional context about major accomplishments or challenges that cannot be adequately expressed in the FRPA. Narratives submitted to the Office of the Director will be held as confidential information and will not be shared beyond INSTAAR’s Executive Committee or retained beyond that year’s annual evaluations. Given that FRPAs are public-facing documents, sensitive information that Fellows wish to share with the Executive Committee can instead be included in the narratives.

Based on these three components, each Fellow will be reviewed by the INSTAAR Executive Committee. Faculty members have the right to append a response to INSTAAR’s rating if they so desire. A response should be sent to the Executive Assistant of INSTAAR within two weeks of receiving the rating, which will be formally acknowledged and if appropriate followed up with a meeting with the Director for additional discussion. A copy of INSTAAR’s performance rating plus any appended response will be shared with appropriate departments for tenure track faculty and placed in the faculty member's INSTAAR personnel file. This information is subject to disclosure under the Colorado Open Records Act.

In addition to determination of required annual performance ratings, INSTAAR’s Executive Committee also will evaluate individual progress toward career goals, with a strong focus on providing feedback and guidance to pre-Tenure TTT Faculty (generally, Asst. Professors) and the equivalent ranks of the Research Faculty (Asst. Res. Prof. or RS2). The overall findings of that review will be transmitted to the Fellow by the Director of INSTAAR. For pre-Tenure TTT Faculty and the equivalent ranks of the Research Faculty, the review will be followed by an individual meeting with the members of INSTAAR’s Executive Committee as a vehicle for additional feedback, dialogue, and mentoring. Any member of the Directorate may also request a
follow-up meeting with the Director. There is no annual evaluation procedure for INSTAAR Fellow-Emeritus.

1. Performance criteria
   a. Research

As members of a leading research institute, Fellows are expected to excel in research. There are multiple ways to demonstrate excellence, including 1) peer-reviewed publications, 2) other research-related products, 3) professional and other research presentations, 4) securing extramural research funding, 5) research capacity building, and 6) expanding DEI in research. Recognizing that the balance of these activities may change over time and may differ between disciplines, Fellows are expected to demonstrate achievement and/or effort in one or more of these areas each year. To facilitate performance review in Research, Fellows may choose to provide a brief narrative that can include elements of the following:

Research narrative:

- Perceived merit or impact of selected publication or other creative works, if such information could not be included in the FRPA
- Perceived merit or impact of research grants, proposals pending and/or declined in the last year, if such information could not be included in the FRPA
- Discussion of other key research activities that could not be included in the FRPA but have potential importance to the PI’s program and/or the field of research, including efforts at capacity building.
- Discussion and/or list of key contributions to DEI in research.
- Describe notable contributions and/or challenges in research including capacity building.

INSTAAR has moved away from using mostly quantitative metrics for establishing expectations in research. For example, historically a rule of thumb was that a ranking of “meets expectations” in research required an INSTAAR Fellow to demonstrate a record of 2 or more publications in peer-reviewed journals, 2 or more presentations at scientific conferences (by the Fellow or by an individual or individuals under their guidance), and demonstrated proposal activity (i.e., active grants or proposal submission). Today INSTAAR recognizes that the balance of individual effort may change over time and that research accomplishments take many different shapes and forms. INSTAAR values innovation in research that pushes boundaries and changes systems to improve the quality, impact, and equity of research. At the same time, we provide support and guidance to our Fellows in their paths toward tenure and promotion, which often are based on more traditional metrics of academic evaluation such as numbers of publications. For our Institute, “meeting expectations” in research will be based on:

- Demonstrated success in publishing research products that represent innovation in data or knowledge in the Fellow’s area of expertise (by the Fellow or by an individual(s) under their guidance),
• Knowledge dissemination to peers, either through presentations at scientific conferences (by the Fellow or by an individual(s) under their guidance) or through other online or in-person modes,

• Demonstrated proposal activity (i.e. active grants or proposal submission),

• INSTAAR recognizes that Fellows (particularly new Fellows building their programs) may be engaged in significant capacity building that may influence research-related productivity, and will value these efforts as part of the research record.

b. Service
Unless otherwise arranged with the Director, all Fellows have a Service obligation to the Institute to ensure that the Institute meets its goals and business obligations. TTT Faculty Fellows will also have service obligations in their home academic departments. Pre-Tenure TTT Fellows and the equivalent Research Faculty ranks (Asst. Res. Prof. or RS2) are expected to contribute to Service at the Institute, Dept., or University level. Contributions to Service outside of the University (professional societies etc.) are encouraged for all, and normally expected for senior members of the Directorate. More senior members of the Directorate are expected to contribute periodically to Service, whether on or off campus, in a leadership capacity. To facilitate performance review in Service, Fellows may choose to provide a brief narrative that can include elements of the following:

Service narrative:
• Discussion of notable contributions to Service, including related challenges and/or rewards,
• Service contributions to INSTAAR’s DEI goals and initiatives.

c. Teaching and Mentoring
As members of a leading research institute, Fellows are expected to contribute to the mentoring of students, post docs and/or other participants in the research enterprise. TTT Faculty Fellows will generally have undergraduate and graduate teaching obligations in their respective Departments. In its performance review, INSTAAR’s Executive Committee will weigh differential Teaching expectations in accordance with each Fellow’s established distribution of effort. In addition, INSTAAR’s Executive Committee will seek to acknowledge and reward Teaching by Research Faculty who may otherwise lack a formal Teaching obligation. To facilitate performance review in Teaching and Mentoring, Fellows may choose to provide a brief narrative that can include elements of the following:

Teaching and Mentoring narrative:
• For TTT faculty, list courses taught and describe major contributions. For research faculty, describe involvement in courses with brief description of role. Note that for research faculty with no distribution of effort in teaching, this description also could be included under service.
• Briefly describe mentoring activities and achievements. Briefly describe whether mentoring was in teaching, research, service, and/or EDI.

• Describe contributions to INSTAAR’s DEI mentoring goals and initiatives (if not already noted under Research).

• Describe notable challenges in teaching and mentoring.

d. Justice, Equity and Diversity and Inclusion

Valuing equity, diversity, and inclusivity are core values of INSTAAR. Fellows are expected to promote these ideals through their efforts in research, teaching, service, or elsewhere. Research excellence cannot be achieved in our institute, if activities are not centered on the ethos of continually creating a more inclusive, equitable, accessible, and representative research community. INSTAAR maintains expectations that all Fellows will actively work towards self-awareness, self-improvement, and/or invest in JEDI efforts within their research program, teaching practices, the institute community, or the broader scientific community. Members may not always be pursuing efforts in all of these areas but are expected to make contributions in at least one.

Fellows are encouraged to use a narrative to explain their JEDI activities that may reside within or cross the areas of Research, Service, or Teaching, or even lay outside these areas, in addition to the information reported in the FRPA. Many activities may touch on JEDI priorities; the following list is intended to give a few common examples, but is neither exhaustive nor prescriptive: institute members may attend workshops in inclusive teaching practices, efforts to decolonize curriculum, participating in mentoring programs aimed at underserved student communities or mentoring programs designed to make INSTAAR a more inclusive equitable community, collaborations with BIPOC (Black, Indigenous, and People of Color) scholars or minority serving institutions, knowledge co-production with BIPOC communities, demonstration that a research product has a large impact on a marginalized/underserved group, or creating social or physical infrastructure to improve the EDI of a research project or program, judging science fairs or participating in other types of outreach/service in schools with large populations of underserved groups, consulting with or assisting underserved community groups, or working with stakeholders on a topic important to underserved communities, work with organizations to develop support for underrepresented scholars.

Units are now expected to evaluate all faculty on their contributions to EDI. EDI activities can now be incorporated in multiple ways in the FRPA, though we want all INSTAAR Fellows to understand that FRPAs are public-facing documents. To facilitate performance review in EDI, Fellows may choose to provide a confidential narrative that can include elements of the following:

Equity, diversity, and inclusion narrative:

• Describe notable contributions and/or challenges in EDI work, including self-improvement/awareness.
2. Implementation of Annual Appraisal Review

The INSTAAR Executive Committee will use this information submitted in part I above to conduct annual appraisals of Fellows that embraces a “whole of effort” philosophy and recognizes that areas of individual effort and emphasis may change over time. Ratings for each Fellow will be submitted to the Office of the Director, who will notify each Fellow of their rating. There will be a two week window for Fellows to append a response to INSTAAR’s rating if they so desire. Responses can be submitted within this two week window via email to the Office of the Director. After this window, rankings will be shared and submitted as appropriate to meet the Office of Faculty Affairs guidelines and filed within the Institute’s personnel records.

Once ratings have been submitted, the Office of the Director will organize individual post-review meetings with EXCOMM (including the Director) for early career Fellows to provide feedback and discussion relevant to the individual career track (i.e., pre-Tenure review, Tenure Review, promotion to RSIII etc.). Meetings also will be organized for any Fellow receiving a ranking less than the median score of all INSTAAR Fellows. Prior to each post-review meeting, each Fellow will have the opportunity to indicate whether they would like to meet with a subset of EXCOMM and whether they would like their INSTAAR or faculty mentor to also be present.

B. Annual appraisal procedures for Research Scientists/Associates (RSI, RSII, RSIII, SRS) who are not Fellows

By September 1 of each year, the Research Scientist/Associate shall submit a progress report to their supervisor who will conduct a review and discuss their findings with the individual. Annual evaluations will be performed following current University of Colorado rules and the best practices for inclusive performance management outlined in section VIII of the INSTAAR standing rules. Copies of the evaluations will be confidential and kept on file in the Director's office and can be referenced when evaluating promotions or at any other time by either party. It is the supervisor’s responsibility to provide the Director’s office with a copy of the evaluation.

C. Annual appraisals for promotion of Professional Scientists

Supervisors of Professional Scientists will perform annual evaluations, with feedback to the Professional Scientist, based on the performance criteria set forth in the "brief job description" required by the University for all PRA appointments. Annual evaluations will be performed following current University of Colorado rules and the best practices for inclusive performance management outlined in section VIII of the INSTAAR standing rules. Copies of the evaluations will be confidential and kept on file in the Director's office and can be referenced when evaluating promotions or at any other time by either party. It is the supervisor’s responsibility to provide the Director’s office with a copy of the evaluation.
Appendix A. Draft INSTAAR Professional Code of Conduct

INSTAAR will work with OIEC to operationalize the values in this code of conduct in 2022.

A. The University of Colorado code of conduct

We affirm that all INSTAAR personnel are expected to read, understand, and abide by the University of Colorado code of conduct found at https://www.cu.edu/ope/aps/2027. All INSTAAR personnel will be held to the highest standards with regards to responsible and ethical conduct as outlined in the CU code of conduct, including

- respect for others,
- declaring conflicts of interest,
- valuing academic integrity,
- acting as good stewards of university property and funds,
- contributing to a safe and inclusive work environment,
- protecting privacy and confidentiality, and
- commitment to open and transparent communication

INSTAAR personnel are expected to follow additional codes of conduct as appropriate. For example, INSTAAR faculty will uphold the code of conduct described in the “Professional Rights and Duties of Faculty Members,” while INSTAAR students are expected to uphold the code of conduct for CU Boulder students.

Additional codes of conduct relevant to INSTAAR personnel:

- University of Colorado Boulder Student Honor Code: https://www.colorado.edu/sccr/honor-code
- Professional Rights and Duties of Faculty Members & the roles and Professional Duties of Departmental Chairs (PRD): https://www.colorado.edu/bfa/resources/prd

B. Institute of Arctic and Alpine Research code of conduct

The INSTAAR code of conduct is our institute’s commitment to upholding the highest ethical, professional, and legal standards as scholars, colleagues and informed citizens.

1. Preface and guiding principles

The INSTAAR code of conduct benefits all institute members by setting clear expectations for behavior, outlining how to report violations, and enumerating potential consequences for those who violate it. The goal is to make expectations for behavior clear and to maintain an exceptional level of respect and support for positive culture within our institute. We expect INSTAAR personnel to apply the concepts within this code of conduct to their daily lives.

Specifically, the code of conduct applies to aspects of our shared professional lives, including all events hosted by INSTAAR, shared online spaces (email, Team, etc.), social media, and conferences, field work, or other events where we represent INSTAAR. It also applies to how we request, solicit, handle, and process information about others, for example candidates for INSTAAR jobs or fellowships in our disciplines.
The INSTAAR code of conduct is based on the following guiding principles:

**a. People come first**

The collective sum of the individual differences, life experiences, knowledge, innovation, self-expression, unique capabilities and talent that INSTAAR personnel invest in their scholarship represents a significant part of our culture, reputation and future potential.

**b. We embrace our members’ differences**

We embrace and encourage our differences in all ways, including but not limited to age, color, ethnicity, family or marital status, gender identity or expression, language, national origin, physical and mental ability, political affiliation, race, religion, sexual orientation, socio-economic status, veteran status, and other characteristics that make INSTAAR a diverse research institution.

**c. Our work environment is a shared responsibility**

We recognize a shared responsibility to create and maintain a work environment for the benefit of all. We not only will hold ourselves accountable as we work towards principles of equity, justice, and inclusion, but we will also hold each other accountable.

**d. We commit to self-improvement**

- We support opportunities for professional and personal development for ourselves and others. This includes recognizing that many INSTAARs are involved in scientific disciplines that have a history of exclusion, including the geosciences and field research. We commit to a clear and persistent effort to improve ourselves and our disciplines.

2. **Professional conduct guidelines**

All INSTAAR personnel, Affiliates, contractors, and guests are expected to follow these professional and ethical guidelines.

**a. Be honest and professional**

I will be honest and professional in my interactions which includes being cognizant of, and vigilant against, the negative consequences of conscious or unconscious bias.

**b. Treat unintentional injury**

I will remember that my actions can be injurious to others even if I did not intend them to be. If someone calls me out on my behavior, I will listen to them, apologize, and learn from the encounter.

**c. Mentor and lead by example**

I will mentor new colleagues, students, and guests of INSTAAR, leading by example on how to conduct myself professionally.

**d. Do not use nor tolerate any exclusionary language**

Sexist, racist, ableist, and other exclusionary jokes or comments are not appropriate and will not be tolerated under any circumstances. I will actively discourage any language that is unwelcoming—whether or not it rises to the level of harassment.
3. Ethical research guidelines
   a. Acknowledge the ideas of others
      When developing research ideas, I will appropriately acknowledge those who contributed ideas. I will not accept or assume credit for another’s ideas or accomplishments.

   b. Take responsibility for research safety and impacts
      I will take responsibility for safety and for the impacts of my research on my co-workers, the environment, and human or animal subjects. I also will take responsibility for the impacts of my research on communities and stakeholders.

   c. Avoid conflicts of interest
      I will acknowledge all conflicts of interest and will refrain from knowingly engaging in activities where a conflict of interest impedes my ability to act in an objective, honest, and ethical manner.

   d. Recognize research contributions with co-authorship
      I will do my best to follow best practices for ethical co-authorship* (example: (https://blogs.lse.ac.uk/impactofsocialsciences/2021/03/29/a-simple-guide-to-ethical-co-authorship/)). I will claim authorship on research only if I have made a significant intellectual contribution as part of conception, design, data collection, data analysis, or interpretation; significantly contributed to preparation of the scientific communication; and am willing to take responsibility for the validity of the findings or interpretation of the study. I will promote an environment in which contributions are properly acknowledged. *Early career researchers who would like guidance about co-authorship are encouraged to inquire with their advisor or other mentors.

   e. Do not exploit your position of power
      I will be cognizant of the power structures present in academia. If I am in a position of power during an interaction, I will refrain from capitalizing on the situation and will instead give greater weight to the lived experience and expertise of those with less power, especially if we are in conflict.

   f. Set expectations when PI or lead researcher
      I will ensure that expectations are clearly defined for proposals, projects, and publications for which I am the principal investigator or lead researcher, including research roles and support for co-investigators. When developing proposals with team members, I will not alter expectations or support for proposal participants without their agreement.

C. How to report a problem

When something goes wrong—whether it’s a microaggression or an instance of harassment—INSTAAR personnel can take a number of actions to address the situation. These options are not necessarily exclusive of one another and can be used in solo or combination to best support your situation.
If you experience or witness protected class discrimination, harassment, or sexual harassment, please file a report with OIEC (https://www.colorado.edu/oiec/).

Otherwise, there are several options available to you:

1. **Talk to your supervisor or the INSTAAR Director.**
   According to the CU code of conduct, employees are encouraged to first report any known or suspected violations to their direct supervisor, unless reporting is required to an appropriate office. Your supervisor likely is in a unique position to understand group dynamics, will have training and experience in inclusive cultures, and should be a good person with whom to discuss sensitive issues. Finally, your supervisor will be able to help you figure out how to ensure that any conflict with a colleague doesn’t interfere with your work.

   INSTAAR leadership takes concerns about exclusionary behaviors, whether they led to harassment or not, very seriously. INSTAAR leadership commits to staying in clear communication with anyone who reports a problem, maintaining confidentiality as much as is possible.

2. **Address it directly**
   For smaller incidents that might be settled with a brief conversation, you can choose to discuss the issue and how it affected you with the person. A gentle reminder about this Code of Conduct is a productive response. Please use this approach only if you feel comfortable; you do not have to carry the weight of addressing these issues yourself. If you are interested in this option but unsure how to go about it, try discussing with your supervisor or a member of the INSTAAR executive committee* first. They will have advice on how to make the conversation happen and can also join you in a conversation.

3. **Contact CU Faculty Relations**
   If the incident involves a faculty member, you can contact the CU Faculty Relations Office (https://www.colorado.edu/facultyrelations/) and ask them to investigate.

4. **Contact CU’s Ethics Hotline**
   Call 800-677-5590 or visit https://www.ethicspoint.com. Complaints, which can be made anonymously, are sent to the administrative center of the CU system, who then decides who to pass the complaint onto. This often is used to report financial matters.

5. **Contact the Ombuds Office**
   Visit https://www.colorado.edu/ombuds/. This office can help you understand what your options are, and can help you understand whether you want to take an issue further and report it formally. The Ombuds office can take a complaint forward on your behalf, so that you can remain anonymous, which is a way that INSTAAR leadership can be informed about an issue while protecting your anonymity. Because they offer remote mediation and support, this a good option to report problems occurring during travel or field work.

*Please note that following CU-Boulder policy, any supervisor (including INSTAAR Directorate members, faculty, and graduate students in a TA position) who becomes aware of a complaint of
protected class discrimination, harassment, or sexual harassment (including sexual assault, intimate partner abuse, and stalking) or related retaliation, is required to promptly report it to the Office of Institutional Equity and Compliance. All INSTAAR supervisors will be open and transparent about their mandatory reporting role, which is explained in more detail at https://www.colorado.edu/ova/mandatory-reporting-policy-cu-boulder

For more information on campus resources, please refer to the University of Colorado Boulder Red Folder: https://www.colorado.edu/redfolder/referring-student-distress

D. Consequences of violating the INSTAAR or CU codes of conduct

Reports of violations of the CU or INSTAAR codes of conduct will be addressed by INSTAAR leadership, including the Director and members of the Executive Committee. Depending on the severity of the infraction, Institute members who are found to violate university or INSTAAR codes of conduct may face penalties and the loss of rights and privileges associated with being INSTAAR personnel, for example transfer or limits of responsibility or restricted access to INSTAAR facilities. INSTAAR Fellows (Directorate members) who are found to violate the code of conduct may lose Fellow status. Repeated or severe violations of this code will lead to strong disciplinary actions including termination.
Appendix B. Draft Inclusive Field Work Practices (under revision)

INSTAAR will work with OIEC to finalize this policy in 2022.

A. Risks and requirements

Risks posed by field work include unacceptably high rates of sexual assault and sexual harassment for field researchers. This creates a barrier for success for many members of our institute and broader disciplines. **INSTAAR’s mission and responsibility is to reduce field-related risks of sexual assault and harassment to the greatest extent possible.** This will facilitate the academic success of all institute members who choose to perform field work.

Requirements for all INSTAAR-associated field activities and projects:

- INSTAAR will offer an annual training focused on inclusive field work practices that will be made available to all institute members and affiliates. The training will be required for all institute members who participate in field work in a supervisory role.
- PIs or team leaders must develop an Inclusive Field Work Plan well in advance of the field work. This plan must be discussed and signed by all team members participating in the field activities, including those in leadership positions. See below for more details on how to structure this plan.
- As part of INSTAAR’s onboarding process, institute members will be provided a worksheet that includes a link to this code of conduct on the INSTAAR website and that clearly describes how to report a problem or complaint related to non-inclusive practices in the field.

B. Inclusive field work plan

Each plan should address the following factors that are known to contribute to safe and productive field environments:

- Leadership engaged in modeling appropriate behavior
- Encourage bystander intervention and reporting
- Open discussions of rules and codes of conduct
- Clearly defined rules
- Established protocols for reporting violations
- Defined consequences for misconduct
- Protection for targets: protect their safety and privacy, allow them to continue their fieldwork with minimal disruption
- Always have an "out": all field workers must have access to transportation and communication devices whenever possible, with no gatekeepers
- Always have multiple resources/avenues to contact help available for all involved and witnesses
When preparing for the field, consider:

- What are the potential safety hazards and risks, including how people are treated?
- What is the plan for safety and does it include information on how to address harassment, bullying and discrimination?
- Who is responsible for responding to a safety incident?
- What are the reporting mechanisms?
- How are conditions created and maintained that reduce all safety risks?
- What are the attitudes around alcohol and drug use at the field site and how may these interfere with field safety?

C. Additional resources

Resources for developing the Inclusive Field Work Plan: