

**UNIVERSITY OF NEW ENGLAND
FACULTY HANDBOOK
2021-2022**

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University of New England

Faculty Handbook

SECTION ONE: FACULTY GOVERNANCE

As part of an appropriate shared governance relationship with administration and the Board of Trustees, the faculty is responsible for providing leadership and oversight on matters of curricula, pedagogy, academic standards, faculty hiring, and faculty retention. The purpose of this section of the Handbook is to delineate those responsibilities and the role of the University Faculty Assembly.

I. Responsibilities of the faculty

- A. maintaining the quality of academic programs;
- B. developing and upholding the University's standards of instruction;
- C. reviewing the quality of all continuing programs, in consort with the appropriate academic dean(s) and Provost;
- D. evaluating the performance of faculty applying for reappointment, promotion, or tenure through appropriate processes of review as outlined under SECTION THREE;
- E. setting student prerequisites for admission to, and retention in, programs;
- F. reviewing student academic performance and progress toward graduation and recommending students to the Board, through the President, for the awarding of appropriate degrees;
- G. reviewing applicants, interviewing candidates, and making recommendations to deans for faculty and administrative positions;
- H. recommending candidates for honorary degrees, through the President, to the Board of Trustees;
- I. activities related to new programs or courses of study in each separate college, which include:
 - 1. evaluating the need for new programs or courses of study in the New England region, nationally, and internationally;
 - 2. evaluating new programs or courses of study to ensure adherence to institutional standards of quality;
 - 3. reviewing the curricula of proposed programs or courses of study;
 - 4. defining the relationship of new programs to existing University programs;

5. preparing recommendations based on the above for review by the appropriate college assembly committee, the dean, the University Faculty Assembly, the Provost, and the President.

II. University Faculty Assembly

The University Faculty Assembly (UFA) is the university-wide faculty body comprised of elected and appointed faculty representatives to carry out the faculty governance responsibilities enumerated above. Faculty Assembly meetings will be open to all faculty as visitors, and time will be provided for input from the floor.

A. Purpose

UFA is a self-governing body that formulates, reviews, and recommends policy regarding faculty and institutional concerns as described above. The University Faculty Assembly will promote the exchange of information and ideas, encourage discussion of University matters, and act on specific University or intercollegiate faculty issues. The University Faculty Assembly reports to the Provost and the President, and, assists and informs the Board of Trustees when requested.

B. Responsibilities

UFA, in collaboration with each of the separate college faculty assemblies, deans, the Provost, and the President, formulates, reviews, and recommends policy with regard to the following:

1. academic freedom, including rights and responsibilities of the faculty member;
2. criteria for positions accorded faculty ranks and classifications;
3. faculty appointment, reappointment, promotion, tenure, dismissal, sabbatical leave, academic leave, grievance procedures, and employment benefits;
4. the University Health Center (UHC) as it affects accreditation, service, scholarship, and educational processes and practice opportunities for clinical faculty to retain currency and credibility;
5. the library, academic computing services, media services, and telecommunication services as they affect teaching, scholarship, and research;
6. student affairs as they affect the educational process and academic achievement;
7. institutional priorities;
8. allocation and use of the University's human, fiscal, and physical resources;
9. academic and service organizations, including the establishment, reorganization, or elimination of colleges, schools, or departments of the University;

10. University-funded student financial aid;
11. the University Store, support services, and student services, as they affect the educational process, scholarship, and research;
12. selection and appointment of academic and administrative officers;
13. distribution of gifts presented to the University for discretionary allocation in support of research or scholarly work;
14. academic calendar;
15. other matters referred to it by the President, Provost, administrative officers, the student body, or the faculty of a college, school, or department.

C. Disposition of Faculty Assembly Recommendations

1. To the Provost

The Chair of the Faculty Assembly will transmit copies of Faculty Assembly recommendations to the Provost within one week of their adoption by the Faculty Assembly. The Provost will inform the Chair of the Faculty Assembly of receipt of any recommendation and of action being taken within 30 days of receipt of the recommendation.

2. To the President or Board of Trustees

In case the Provost disagrees with a recommendation or 30 days pass without action being taken, the Faculty Assembly may direct the Chair to transmit the recommendation directly to the President for consideration. Such referral requires a two-thirds vote of the membership present at a regular or special meeting. Disagreement or perceived inaction by the President may result in referral of recommendation directly to the Board of Trustees, also requiring a two-thirds vote of Assembly membership.

D. Faculty Assembly and University Administration

The Chair of the Faculty Assembly is a member of the University Council and the Academic Council, which otherwise consist of senior administrators. The Chair of the Faculty Assembly Financial Affairs Committee attends meetings of the University Council when the University budget is on the agenda.

E. University Faculty Assembly Bylaws can be found in Appendix A. These UFA Bylaws outline membership, meeting procedures, officers, and UFA committees.

F. Additional University standing committees in which the Administration appoints members in accordance with all external requirements can be found in Appendix B.

**SECTION TWO:
THE NATURE OF FACULTY APPOINTMENTS AND
ACADEMIC RANKS and CLASSIFICATIONS**

The purpose of this section is to delineate the nature of faculty membership, define faculty ranks and classifications, and describe faculty appointments.

I. Faculty Defined

For the purposes of this handbook, a faculty member is

- A. An assistant professor, associate professor, professor, clinical instructor, assistant clinical professor, associate clinical professor, clinical professor, assistant research professor, associate research professor, research professor, assistant teaching professor, associate teaching professor, or teaching professor. These include both tenure track and non-tenure track positions.
- B. Anyone whose primary responsibility is to provide ongoing individualized academic services; they carry the title that most accurately describes their responsibilities (e.g., learning assistance specialist, librarian, program director, academic or clinical coordinator). These positions are non-tenure track positions.

II. Faculty Classifications Defined

- A. Tenure Track: an assistant professor, associate professor, or professor whose duties and responsibilities are primarily academic, including all three of 1) teaching (whether traditional or nontraditional, conducted in a classroom, online, or in an applied setting), 2) scholarship, and 3) service.
- B. Non-Tenure Teaching Track: a faculty member at any rank, whose duties and responsibilities are primarily teaching (whether traditional or nontraditional, conducted in a classroom, online, or in an applied setting). The responsibilities of all those on the Teaching Track will also include Service. Scholarship is not required in the Teaching Track, or considered in performance review, unless it is a workload component agreed upon by a process specified in the respective college by-laws. If there is an expectation for scholarship, the workload and the criteria for evaluation should be explicitly outlined in the Letter of Hire, and/or in Annual Review documents and understood by the candidate, department, and college, including the subcollege and college RPT committees. Scholarship in the Teaching Track will not ordinarily exceed 20%. Those on the Teaching Track do not have, and may not acquire, tenure by virtue of initial appointment or reappointment.
- C. Non-Tenure Clinical Track: a faculty member at any rank, as defined in SECTION TWO, I, A, whose duties and responsibilities are primarily clinical (with direct service to patients or clients the principal concern) or supervisory (with coordination of student internships/practicums the principal concern) or clinical academic (with responsibilities in teaching, administration,

service to the University, and when appropriate, external communities, and/or research). Non-tenure clinical faculty may have other duties as specified by their contract. Non-tenure clinical faculty do not have, and may not acquire, tenure by virtue of initial appointment or reappointment.

- D. Non-tenure Research Track: a faculty member at any rank, as defined in TWO, I, A, with a terminal degree and career dedicated to research. In addition to the research program, a minimum of 5% effort will be devoted to teaching and/or service, as a contribution to the intellectual ambience of the college and University. Faculty with this appointment may be promoted, through the review protocol in their college, with contributions weighted in accordance to contractual agreement, but do not have, and may not acquire, tenure by virtue of initial appointment or reappointment. These faculty will be appointed by the dean of a college, upon recommendation of a department chair/director and respective search committee. They will be provided with the time, space, and administrative support to carry out their research objectives, in a way that assures that existing resources for existing faculty positions are not diluted. All new research materials and salary support will be funded by extramural agencies, as agreed upon by contractual arrangement with the University.
- E. Emeriti:
All nominees must have been a full-time academic or administrative faculty member at UNE for at least ten years, and must have demonstrated a record of excellence in performance of profession duties (appropriate to the nominee's job category) including: teaching, other instructional activities, or professional performance. In addition, the nominee must have made a significant contribution while at the university in at least two of the following areas:
- a. Meaningful contributions to the curriculum or program
 - b. A record of sustained research/creative activity that has contributed to the profession
 - c. Commitment to and participation in shared governance and service to the University
 - d. Additional areas of excellence specific to the nominee's job category

Additional relevant definitions include:

- A. Regular Full-time: a faculty member, at any rank, employed in a position budgeted as a regular full-time position, whose workload is comprised of teaching, service and in some circumstances, research and scholarship.
- B. Regular Half-time: a non-tenure track faculty member, at any rank, employed in a position budgeted as a regular half-time position and entailing half-time teaching and service.
- C. Adjunct: a part-time, non-tenure-track faculty member at any rank contracted to teach courses, provide lectures, provide equivalent clinical instruction, or meet additional responsibilities in regards to teaching and/or service and/or scholarship as designated by the applicable academic dean on a semester-by-semester or other occasional basis. Teaching limits will be determined by a collaboration between the Dean and the college's faculty assembly. Utilizing the non-tenure-track designations from Section TWO, the dean of the respective college will assign one of the following ranks: Adjunct Assistant Teaching Professor, Adjunct Associate Teaching Professor, Adjunct Teaching Professor, Adjunct Clinical Instructor, Adjunct Assistant Clinical Professor, Adjunct Associate Clinical Professor, Adjunct Clinical Professor, Adjunct Assistant Research

Professor, Adjunct Associate Teaching Professor, Adjunct Research Professor. Adjuncts have no guarantee of continuing appointment or reappointment. It is the responsibility of the Human Resources Office to ensure that this guideline is followed. Adjunct faculty are not eligible for benefits or service in faculty governance.

D. Visiting: a faculty member meeting a specific need and serving for a predetermined period of time not to exceed three full years. Reappointments will be determined by the department and the dean. Visiting faculty are not eligible for promotion.

E. Research Associate: A faculty member from an external institution who holds a terminal degree and provides support for the research mission of the University. Research Associate status may be granted by the dean of the college on recommendation of faculty. Notification of Research Associate status will be given in writing with copies to the Provost and President.

III. Academic Ranks

All new regular full-time faculty members will be on a tenure-track, except those with an appointment to non-tenure teaching track, non-tenure clinical track, or non-tenure research track, those meeting a temporary or unpredictable need, and those exempted in SECTION TWO, I, B. Regular full-time, and regular half-time, non-tenure track faculty (except those characterized in SECTION TWO, I, B) will be eligible for all promotions according to the same schedule as tenure track faculty. Faculty hired at assistant professor or higher rank ordinarily will have a doctorate or other appropriate graduate or professional degree, as defined by the dean. No faculty member will be reduced in rank or have tenure withdrawn as a consequence of periodic changes in this handbook. Otherwise, the most recent, Board -approved version of this handbook will always be the reference document.

A. Definitions of Rank

1. Tenure Track

- a. Assistant Professor: a faculty member with a doctorate or other appropriate graduate or professional degree appointed without tenure.
- b. Associate Professor: a faculty member with a doctorate or other appropriate graduate or professional degree, whether or not awarded tenure at the time of appointment. First consideration for promotion to this level ordinarily will occur during the sixth full year of service as assistant professor.
- c. Professor: a tenured faculty member with a doctoral degree or other appropriate graduate or professional degree. First opportunity for promotion to this level ordinarily will be in the sixth full year in rank as associate professor. The Provost may, upon recommendation of a dean and departmental faculty, award the title of Professor to appropriately outstanding individuals who do not possess a doctoral degree.

2. Non-Tenure Teaching Track

- a. Assistant Teaching Professor: a faculty member with an appropriate graduate or professional degree engaged in teaching, service, and in some cases research and scholarship.
- b. Associate Teaching Professor: a faculty member with an appropriate graduate or professional degree engaged in teaching, service, and in some cases research and scholarship. First consideration for promotion to this level ordinarily will occur during the sixth full year of service as Assistant Teaching Professor.
- c. Teaching Professor: a faculty member with an appropriate graduate or professional degree. This faculty member is engaged in teaching, service, and in some cases research and scholarship. First opportunity for promotion to this level ordinarily will be in the sixth full year in rank as Associate Teaching Professor.

3. Non-Tenure Clinical Track

- a. Clinical Instructor: non-tenure track. There is no possibility for promotion to Assistant Clinical Professor in absence of an appropriate graduate or professional degree.
- b. Assistant Clinical Professor: a faculty member with a doctorate or other appropriate graduate or professional degree engaged in teaching and/or providing a practice or service activity and/or supervising students in academic, clinical or field settings, and providing service.
- c. Associate Clinical Professor: a faculty member with a doctorate or other appropriate graduate or professional degree engaged in teaching; and/or providing a practice or service activity; and/or supervising students in academic, clinical or field settings; and/or providing service. First consideration for promotion to this level ordinarily will occur during the sixth full year of service as Assistant Clinical Professor.
- d. Clinical Professor: a faculty member with a doctorate or other appropriate graduate or professional degree engaged in teaching; and/or providing a practice or service activity; and/or supervising students in academic, clinical or field settings; and/or providing service. First opportunity for promotion to this level ordinarily will be in the sixth full year in rank as Associate Clinical Professor.

4. Non-Tenure Research Track

- a. Assistant Research Professor: a faculty member with a terminal degree with an appointment dedicated primarily to research.
- b. Associate Research Professor: a faculty member with a terminal degree with an appointment dedicated primarily to research. First consideration for promotion to this level ordinarily will be after a minimum of six full years at the rank of Assistant

Research Professor (or an equivalent period as a full-time researcher).

- c. Research Professor: a faculty member with a terminal degree with an appointment dedicated primarily to research. First consideration for promotion to this level ordinarily will be after a minimum of six full years as Associate Research Professor (or an equivalent period as a senior, full-time researcher).

5. Emeriti

Individuals awarded Emeriti status will be so designated at the rank held upon retirement.

Privileges

Emeriti will be awarded the following:

- a. e-mail address will be maintained, access to UNE stationary and mailing, and limited staff support for UNE-related business (subject to availability);
- b. invitations to social and ceremonial functions of the University;
- c. UNE identification card, guaranteeing free access to UNE libraries and recreational facilities;
- d. faculty/staff parking sticker, free of charge;
- e. inclusion wherever names of UNE faculty members appear (e.g., UNE telephone listing and college catalogs).

Procedures

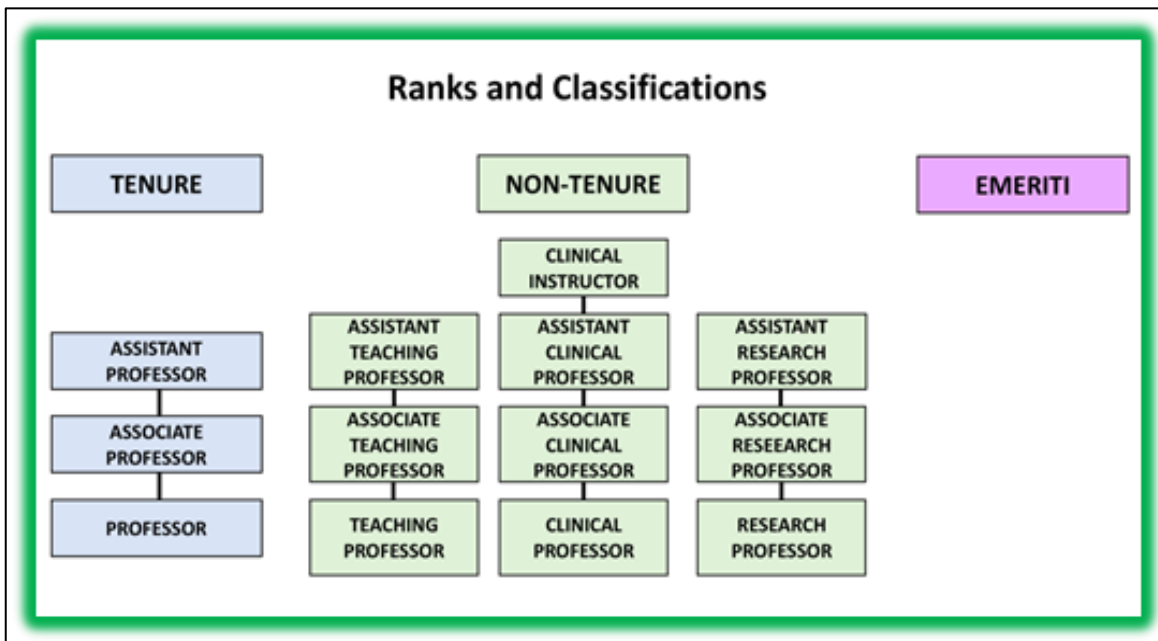
Nominations for Emeritus status must be initiated within two years following retirement. The title “posthumous emeritus” may also be awarded to faculty who die before retiring. Nominations must be initiated within two years following death.

Nominations for Emeritus status may be made by a current or recently retired faculty member (preferably from the nominee’s department or college) who is familiar with the nominee’s professional contributions. The candidate for Emeritus status (or, in the case of “posthumous emeritus,” the nominator) shall seek the endorsement of his/her department/college. The members of the department/college will vote on the candidate’s application.

A nomination letter that includes a substantive narrative addressing how the nominee qualifies for Emeritus status should be submitted to the department/college. The nomination letter should refer to specific evidence of the nominee’s qualifications. Although the application need not include the materials themselves, evidence such as publications, awards, and acknowledgements of outstanding service should be cited.

The department/college vote is one important source of information that will be used in evaluating the nomination. However, an unfavorable department/college vote will not necessarily preclude the

nominee from further consideration. If a majority approval is not secured, the vote will be reported to the nominator, along with indication of the area(s) in which the candidate has not excelled. With this information, the nominator, in consultation with the nominee (where possible), will decide whether to continue with the application process. When both nominator and nominee choose to continue with the application process, the nominator shall send the completed transmittal form, along with the nomination letter and supporting documentation, to the appropriate Dean. The Dean shall submit these documents with his or her recommendation to the Provost who will, in turn, send them along with his or her recommendation to the President for consideration. The recommendation of the President shall then be submitted to the Board of Trustees for final approval.



IV. Appointments and Primary Faculty Contracts

Adjunct faculty members see SECTION TWO, II H and Three II G.

A. Definitions:

An Appointment to the faculty at the University of New England is considered to be for a specific role and period of time in accordance with the policies and procedures within this Faculty Handbook related to Reappointment, Promotion, and Tenure reviews. See Section Two, IV for further descriptions of appointments, and Section Three, II for schedules for Reappointment reviews.

The Primary Faculty Contract represents the annual employment agreement between the faculty member and governs the employment relationship between the faculty member and the University, subject to applicable provisions of the Faculty Handbook. When there is any conflict between an appointment letter (i.e., the Letter of Hire as well as any subsequent documents the faculty member may receive as part of the RPT process) and the Primary Faculty Contract, the terms of the Primary Faculty Contract govern.

B. Faculty Appointments

1. University-salaried faculty appointments are made by the President upon recommendation of the Provost, who will act upon recommendation of the respective academic dean(s) and academic unit(s) (college, school, or department). Ordinarily, initial faculty appointments are for three full years, except for faculty who have been granted tenure, or those with terminal, visiting, or adjunct appointments.
2. Recommendations and appointments will comply with applicable equal opportunity and affirmative action laws and policies.
3. At the time of initial appointment, faculty will receive a copy of this handbook and will be advised in writing to review all substantive standards and procedures employed in decisions affecting reappointment, promotion, and tenure (SECTION THREE).
4. The academic rank conferred at the time of initial appointment may be considered in the context of the level of any of the following: professional education, rank achieved at a preceding institution, teaching experience and proficiency, scholarship, and distinction, as specified under SECTION TWO, III. The academic dean of the college doing the hiring in consultation with the Provost will assure consistency with standards and guidelines in this handbook regarding when a new faculty member will first be eligible for promotion and tenure.

Faculty hired to tenure track positions at the rank of Associate Professor will be considered for tenure no later than the sixth full year.

- a. For the awarding of tenure on initial appointment at the rank of Associate or Professor, the department/division/program chair or director (hereafter, in this document, this role will be referenced “chair/director”) recommends to the dean of the relevant college and, if in agreement, [the dean] will submit in writing a rationale for providing Tenure, and any relevant supporting documentation to the University RPTC for substantive review. The University RPTC will submit a recommendation within 10 business days to the Provost for review and then to the President. If the Provost and President support the awarding of tenure, the President will recommend approval to the Board of Trustees. In that case, letters of appointment will use the language “subject to approval by the Board of Trustees” if the Board has not met and acted when the appointment must be made.
5. Terms and conditions of every new faculty appointment, whether a new hire to the University or a transfer from another Department, Program or College, will be stated in writing (including status as tenure track, non-tenure teaching

track, non-tenure clinical track, or non-tenure research track, and full-time, half-time, visiting, or adjunct), and a copy of the Letter of Hire will be supplied to the faculty member who will sign and return the document within ten days to indicate understanding and agreement. The Letter of Hire will be generated by the Dean of each College prior to new faculty appointments, and differs from the annual employment contract generated by the Dean of each College in collaboration with Human Resources. It is the responsibility of each faculty member to include the Letter of Hire in his or her Reappointment, Promotion and Tenure package.

6. Changes in a faculty member's appointment between tenure track and non-tenure track are not allowed. Faculty may apply for open positions.

C. Primary Faculty Contracts

1. Each annual primary faculty contract will include specific salary and appointment information for the contract year.
2. Each of the first two one-year primary faculty contracts for any new faculty member will be probationary.
3. Following the initial probationary years, the Dean of the College will recommend to the Provost whether the faculty member should have the primary faculty contract renewed. Notification of renewal or non-renewal of faculty members' primary faculty contract will be made by Deans by March 20. For details regarding the non-renewal timeline, see SECTION FOUR, II, A, 2c.

SECTION THREE:
ANNUAL REVIEW, REAPPOINTMENT, PROMOTION, AND TENURE
GUIDELINES

I. Definition of Tenure

Reappointment, promotion, and tenure are not granted automatically for merely satisfactory performance. Rather, they are offered to faculty who have demonstrated their potential for long term contributions to the University. In particular, granting of tenure is tantamount to a "second hiring" and each candidate must make a compelling case. See RPT Criteria for each college in Appendix C to this handbook.

Tenure at UNE confers the right of continuous employment from the time of its award, without reduction in rank, until retirement. Apart from reasons of financial or curricular exigency, tenured faculty may be dismissed only for serious neglect of duty, serious misconduct, or disability that prevents them from performing each of the essential functions of their positions, subject to reasonable accommodations.

II. Schedules for Annual Review, Reappointment, Promotion, and Tenure

- A. Ordinarily, initial regular full-time or regular half-time faculty appointments are for three full years, except for faculty who have been granted tenure, or those with terminal, visiting, or adjunct appointments. All non-tenure track faculty namely, Assistant Teaching Professors, Assistant Clinical Professors, Assistant Research Professors, Associate Teaching Professors, Associate Clinical Professors, Associate Research Professors, Teaching Professors, Clinical Professors and Research Professors will undergo a college level review in the next review cycle following the completion of two full years from the faculty member's date of hire.
- B. **Each full-time and half-time faculty member** will participate in an annual evaluation of his/her performance to be conducted by chair/director with review of the evaluation by the dean. (see annual review forms in ATTACHMENT 8). The faculty member, the chair/director, and the dean will each sign this annual review. Each year's review should be included in the faculty member's RPT portfolio. In the case of faculty members who have joint appointments at the level of 20% effort or higher, the chair/director from the primary college will seek input from a secondary college chair/director for feedback to be included in the annual review. Annual Review of Chairs/Directors will be conducted by their Deans using the faculty Annual Review Forms located in ATTACHMENT 8.
- C. **Faculty on a non-tenure track classification who are at the Assistant level** (whether full-time or half-time) will participate in a college-level review every three years until promotion to the associate level. This college-level review will include the subcollege RPT committee, chair/director, college RPT committee, college dean, and Provost. Once the Associate Teaching Professor, Associate Clinical Professor, or Associate Research Professor level has been achieved, this review will occur every six years and whenever a promotion is being sought even after being promoted to the highest level in that classification.

- D. **Every regular untenured faculty member on the tenure track** will undergo an intensive review and evaluation by the subcollege RPT committee, chair/director, college RPT committee, college dean, and Provost in the third full year of appointment.
- E. Consideration for tenure typically occurs in the sixth full year following the date of hire at the Assistant Professor level or no later than the sixth full year if hired at the Associate or Professor rank. Procedures for early consideration will be defined by the individual colleges.

Tenure review will involve an intensive review by the subcollege RPT committee, chair/director, college RPT committee, and college dean; evaluation with either a procedural review or a substantive review by the University RPT Committee (dependent on the absence or presence of disparate reviews among the four college levels of review); and review by the Provost.

- F. For purposes of determining eligibility for reappointment, promotion, or tenure, time spent on professional leave-of-absence or sabbatical ordinarily will be considered part of the relevant time period. If the Provost decides (with input from the faculty member, chair/director, and academic dean) that the leave will NOT be part of the time period, the decision typically will be made at the time leave is granted. If circumstances occasioning such a decision occur after leave is granted, in no case will the decision be made later than the end of the semester following the leave. Such extensions of the time period will not exceed the total time taken for all such leaves unless an extra semester is needed to allow review during the fall semester.

Other than professional leaves, those who may qualify for such postponement ordinarily will be limited to leaves of absence for illness or disability, childbirth, meeting familial responsibilities, extended jury service, or certain calls to military service (see pertinent sections in UNE's Personnel Handbook). Requests for extensions based on factors other than those identified here will be considered by an *ad hoc* committee comprised of three members of the University's Faculty Affairs Committee. Members will be chosen by the chair of the Faculty Affairs Committee. The ad-hoc committee will deliver its written recommendation to the Provost, whose decision will be final.

- G. Adjunct faculty—evaluation

Every program must make continued use of an evaluation protocol of their design for adjunct faculty. These guidelines will be designed to ensure that the evaluative process is timely, fair, accurate, and informative. Deans are responsible for insuring that these procedures are followed.

Policies for adjunct faculty concerning grievance, academic freedom, equal employment opportunity, affirmative action, sexual harassment, and substance abuse are identical to those for full-time faculty.

Termination of an adjunct faculty member's employment for cause including proven or admitted violations of ethical, moral, or professional standards prior to the end of the term of the contract may be immediate. Alleged violations should be investigated as soon as possible.

III. Evaluation Criteria for Reappointment, Promotion, and Tenure

The following are University-wide criteria for reappointment, promotion, and tenure. In addition, each college has specified more detailed criteria particular to the disciplines represented in that college. Those college criteria are included in Appendix C to this Handbook. In cases where a candidate's workload contains duties as an administrator, as defined by each college, such work is not reviewed by the RPT process.

- A. University-level criteria for promotion to Associate Professor with tenure: The University requires that all candidates for promotion to the rank of Associate Professor with tenure demonstrate evidence of excellence in teaching, scholarship, and service. On the rare occasion that a candidate seeking tenure has already achieved the rank of Associate Professor, the candidate will be evaluated against standards appropriate to the tenure review.
1. Teaching: evidence through multiple data sets of successful teaching as defined by the college.
 2. Scholarship: evidence of a creative program of independent inquiry constituting a credible body of work that is peer-reviewed and disseminated.
 3. Service: evidence of continuing engagement and investment in meaningful professional service to students, the institution, and/or significant professional and/or civic organizations, as defined by the college.

University-level criteria for excellence: We strive for excellence in: 1) teaching effectiveness, 2) scholarship productivity, and 3) appropriate service. It is essential that all faculty undergoing RPT review demonstrate excellence in those activities as specified in the individual college and subcollege RPT criteria. In weighing contributions in these areas, the appropriate subcollege RPT committee, chair/director, college RPT Committee, Dean, University RPT Committee, Provost, and President will consider significance of contributions to the candidate's field, quality and originality of thought or work, breadth and depth of perspective, capacity and will for continued individual development, professional productivity as a member of the UNE faculty, and workload allocation stated in hire letters and subsequent annual reviews. Because teaching is the University's most important responsibility, promotion to Associate Professor and/or tenure will be granted only to individuals demonstrating strong contributions in that area.

- B. University-level criteria for promotion to Professor on the tenure track: Promotion to Professor requires being tenured, scholarship of national and/or international significance (depending on the discipline); evidence of influence outside the University; contributions to shaping a field or discipline; meaningful service to the institution and profession; leadership in teaching and learning; and positive evaluations of scholarship from external reviewers. First consideration for promotion to Professor will not normally be entertained until the 6th full year following promotion to Associate Professor. Procedures for early consideration will be defined by the individual colleges.

C. Faculty members with non-tenure track appointments will be evaluated on performance of their teaching and service responsibilities, and if included as part of their workload, research and scholarship. Faculty members with non-tenure track appointments are expected to maintain currency in their fields. The following exemplify criteria that may be considered as measures of such currency. These criteria (and others like them) may signify contribution in the realms of teaching, service or research and scholarship. Candidates should document satisfaction of these criteria to the extent possible.

1. quality of professional service;
2. maintenance of unrestricted state licensure;
3. maintenance of all credentials and privileges associated with clinical practice, as appropriate to practicing responsibilities;
4. satisfactory completion of all continuing-education requirements associated with level of practice;
5. progress and success in certification and recertification with professional societies, as appropriate to discipline and practice responsibilities;
6. honors or recognition by professional organizations.

IV. Evaluation Procedures

Tables 1a & 1b: Outline of the UNE RPT Process Summary

Table 1a

Step	Review body	Review outcomes for each college review level	College cumulative review outcomes
College Level			
1	Subcollege Committee	Positive or Negative Majority	} 1. Positive at each level 2. Negative at any level
2	Chair/Director	Positive or Negative	
3	College Committee	Positive or Negative Majority	
4	Dean	Positive or Negative	
University Level			
5	URPTC	Positive or Negative Majority	
6	Provost	Positive or Negative	
7	President	Positive or Negative	

Table 1b

	Positive outcomes for each of the four college review levels	Any negative outcomes among the four college review levels
Type of Review		
Non-Tenure Track –All Reviews	Steps 1,2,3,4,6*	Steps 1,2,3,4,5,6
Tenure Track – Year 3 Reappointment	Steps 1,2,3,4,6*	Steps 1,2,3,4,5,6
Tenure Track – Promotion to Associate Professor, Tenure, and Promotion to Professor	Steps 1,2,3,4,5^,6,7	Steps 1,2,3,4,5,6,7

All numbers without a superscript connote substantive review. A substantive review performed by the URPTC includes a procedural review.

*Notification

^Procedural Review only

A. Organization and Structure

1. The University accepts the principles of faculty and disciplinary diversity and college accountability for RPT policy and practice. Each college has defined appropriate RPT standards, criteria, and metrics for its own faculty (See Appendix C), to be used by the subcollege RPT committee, chairs/directors, college RPT committees, deans, the University RPT Committee, the Provost, and President, within the context of the general University-wide and respective college level standards. In each college there will be four levels of review, the details of which will be determined by the college but must include: 1) a subcollege RPT committee, 2) chair/director, 3) a college RPT committee, and 4) dean.
2. There is one University-wide timeline for: a) completion of annual reviews of faculty; b) appointment of college and University-level RPT Committees; c) initiation, submission, and completion of RPT portfolios; and d) completion of reviews and submission of recommendations by subcollege RPT committees, chairs/directors, college RPT committees, deans, the University RPT Committee, the Provost, and the President (see Attachment 2).
3. If a faculty member on the college-level or the University RPT Committee has served on a level of prior review for a candidate’s current portfolio, this faculty member should recuse himself/herself and neither be present nor participate in any way during the further review of that candidate.
4. In such cases in which a candidate for reappointment, promotion, or tenure is a department chair or program director, the candidate in consultation with his/her dean and the Provost

will identify a surrogate chair/director who will fulfill this level of review for the candidate in order to maintain the 4-level review process. The University RPTC will serve in its usual capacity.

5. Colleges, through appropriate committees, will process any revision of the subcollege and college standards, criteria, and metrics. All such revisions will require approval by the college faculty assembly and dean. Substantive changes in the college's RPT guidelines require review and approval by the Provost.
6. At the time of hire the rank, general expectations, whether the position is tenure track or non-tenure track and all other requirements for the specific faculty appointment will be clearly specified in writing by the dean.
7. Faculty who have joint appointments in more than one college will be subject to review by their primary college. The primary college is defined as the college with the majority of the allocated effort of the faculty member. If the faculty member's joint appointment in the secondary college is at the level of 20% effort or higher, the dean of the primary college will request a letter from the dean of the secondary college, and this letter will be inserted in the candidate's portfolio (see below) by the dean of the primary college prior to the subcollege RPT review.
8. Candidates will not be notified of the result at each stage of review. However, a candidate will be able to view the non-confidential portions of his/her portfolio according to the timeline in Attachment 2.
9. Reviews at each level should be informed by the results of reviews done at earlier levels in the process; the portfolio should reflect the cumulative effects of sequential reviews. Prior reviews should not determine the outcome of subsequent reviews, but prior reviews must be considered at each subsequent stage.
10. Deliberations regarding any element of the RPT process for any faculty member at any level of review are strictly confidential. Faculty members and administrators at every review level must assume personal responsibility to ensure that confidentiality is not violated.
11. External reviews of scholarship will be solicited from the candidate's disciplinary peers at the time of tenure review and also at the time of review for Professor. The process for external review of scholarship must be completed with letters to be inserted by the dean according to the timeline in Attachment 2. College RPT protocols will identify the specific timeline for the scholarship packet to be readied for external review. The candidate faculty member, chair/director, and dean will jointly determine the external reviewers with details determined by the college. The names of the reviewers will be kept confidential.

At their option, the colleges may choose to solicit external reviews of teaching and/or service as well.

Three external letters of review will be solicited by the chair/director and sent to and received by the dean, who will have responsibility for inserting those letters into the faculty member's portfolio before it is reviewed at the subcollege level.

B. Structure of RPT Committees

1. A minimum of three members will serve on each subcollege RPT committee; more than three may be appointed as long as the total number of members is an odd number. Departments, programs, and divisions will determine whether only tenured faculty must serve on this committee. The chair/director should not sit on the subcollege RPT committee, but may be asked for his/her comments and insight. When a candidate for promotion and/or tenure has a joint appointment in more than one college and the effort in the secondary college is 20% or more, representation from the secondary college on the primary college's subcollege RPT committee is appropriate and should be considered if feasible, but the standards, metrics, and criteria used will be those of the primary college.
2. Each college has its own college-level RPT Committee. The college Faculty Assembly will appoint (ordinarily by election) three members and the Dean will appoint two members. If the college Faculty Assembly fails to appoint any or all of its assigned members by May 1, the dean will appoint enough members to fill all vacant positions on the Committee. College-level policies and procedures will dictate the composition of the college RPT committee; however, the committee should whenever possible be composed of representative faculty members from the classification of the candidates being reviewed (tenure-track, non-tenure track teaching professor, non-tenure clinical professor, non-tenure research professor). If a college has insufficient representative faculty members of the appropriate classification to formulate a college RPTC, the Dean of the college in consultation with other colleges' Deans will request the appointment of faculty from compatible academic programs in other colleges to formulate the college five-member RPTC, three of whom will be approved by that colleges' faculty members.

Appointment terms for members of the college RPT Committees should be staggered.

For a description of the University RPT Committee, see Appendix A, section F, item 9a.

C. Responsibilities of candidates

1. Each faculty member is responsible for compiling the appropriate RPT portfolio for review by the subcollege RPT committee, chair/director, college RPT committee, Dean, University RPT committee, Provost, and President. It is the candidate's responsibility to put forth a complete portfolio containing items 1-11 of the University RPT checklist (See Attachment 1). The faculty member will submit the portfolio with a cover letter stating that the portfolio represents the work that should be evaluated in the RPT process.
2. Evaluations of the faculty member produced at each level of review – the subcollege RPT committee, chair/director, college RPT committee, dean, and, if appropriate, the University RPT Committee will be compiled and included in the portfolio after it is submitted by the faculty member. Once the faculty member submits his/her portfolio, he/she does not handle

or change it. Notification of acceptance of scholarly work already listed in the portfolio should be communicated to the dean so that he/she will forward this notification to the appropriate level of review.

D. Procedures of the subcollege RPT committee

1. The candidate's portfolio will be reviewed by the subcollege RPT committee. The subcollege RPT committee will take note of the omission of any required items.
2. In the document prepared by the subcollege RPT committee the strengths and weaknesses of the candidate will be described in the majority recommendation and the minority opinion, if there is one. Each individual document will include notation of the official vote taken by the committee. The subcollege RPT committee will append to its letter the subcollege criteria and procedures used in its review. The subcollege RPT committee will enter its review and recommendation into the candidate's portfolio.

E. Procedures of the chair/director

The chair/director, informed but not bound by the subcollege RPT committee's recommendations, will enter his/her separate review to the candidate's portfolio.

F. Procedures of the college RPT committee

1. The candidate's RPT portfolio, including the subcollege RPT committee and chair/director's reviews, will be reviewed by the college RPT Committee. Where appropriate numbers of faculty do not exist to sufficiently staff a college RPT Committee, the dean of the College with the UFA chair will supplement the college-level RPT committee with qualified faculty from other compatible disciplines. The college RPT Committee then will evaluate the candidate's portfolio and enter its separate review and recommendation into the candidate's portfolio.
2. In the document prepared by the college level RPT committee, the strengths and weaknesses of the candidate will be described in the majority recommendation and in a minority opinion, if there is one. Each individual document will include notation of the official vote taken by the committee.

G. Procedures of the dean

1. The dean will review the portfolio, informed by the subcollege RPT committee, chair/director, and the college RPT Committee reviews, formulate his/her separate review and recommendation, and enter it into the candidate's portfolio. The dean is responsible for assuring appropriate subsequent action. The following are possible:
 - a. **Faculty member on the non-tenure track classification standing for third year reappointment review or sixth year reappointment and/or promotion review and subsequent reappointment or promotion reviews at sixth-year intervals (e.g., 12, 18, etc.) including promotion to Teaching Professor, Clinical Professor, or**

Research Professor.

- i. If there is positive agreement among the four levels: the majority vote of the subcollege RPT committee, the chair/director's recommendation, the majority vote of the college RPT committee, and the dean's recommendation, the dean will provide notification of this result to the Provost. The portfolio will not be reviewed by the University RPT committee. The dean will notify the candidate of the final outcome according to the timeline in Attachment 2.
- ii. If any of the four college level review outcomes is negative, the University RPT Committee will be instructed by the dean to perform a substantive review of the faculty member with the portfolio continuing on to the Provost, who will also conduct a substantive review. The Provost in consultation with the dean will determine action at the college level. The dean will notify the candidate of the final outcome according to the timeline in Attachment 2.

b. Untenured faculty member on the tenure track classification in the third year of appointment, not being reviewed for tenure

- i. If there is positive agreement among the four levels: the majority vote of the subcollege RPT committee, the chair/director's recommendation, the majority vote of the college RPT committee, and the dean's recommendation, the dean will provide notification of this result to the Provost. The portfolio will not be reviewed by the University RPT Committee. The dean will notify the candidate of the final outcome according to the timeline in Attachment 2.
- ii. If any of the four college level review outcomes is negative, the University RPT Committee will be instructed by the dean to perform a substantive review of the faculty member with the portfolio continuing on to the Provost, who will also conduct a substantive review. The Provost in consultation with the dean will determine action at the college level. The dean will notify the candidate of the final outcome according to the timeline in Attachment 2.

c. Faculty member on the tenure track classification being reviewed for tenure and/or promotion to Associate Professor or Professor

- i. If there is positive agreement among the four levels: the majority vote of the subcollege RPT committee, the chair/director's recommendation, the majority vote of the college RPT committee, and the dean's recommendation, the University RPT Committee will be instructed by the dean to perform a procedural review of the faculty member with the portfolio continuing on to the Provost and President, who will conduct substantive reviews.
- ii. If any of the four college level review outcomes is negative, the University RPT Committee will be instructed by the dean to perform a substantive review of the faculty member with the portfolio continuing on to the Provost and President, who will conduct substantive reviews.

H. Procedures of the University RPT Committee

1. The University RPT Committee, once the college level procedures are completed, will be required to either conduct no review, a procedural review, or a separate substantive review. A procedural review requires assurances that appropriate procedures were followed as outlined in this Faculty Handbook. A substantive review requires a comprehensive review of the content of the candidate's portfolio and includes a procedural review.
2. In the document prepared by the University RPT Committee, the strengths and weaknesses of the candidate will be described in the majority recommendation and in a minority opinion, if there is one, and will include notation of the official vote taken by the committee.
 - a. **Faculty member on the non-tenure track classification standing for third year reappointment review or sixth year reappointment and/or promotion review and subsequent reappointment or promotion reviews at sixth-year intervals (e.g., 12, 18, etc.) including promotion to Teaching Professor, Clinical Professor, or Research Professor**
 - i. If there is positive agreement among the four levels: the majority vote of the subcollege RPT committee, the chair/director's recommendation, the majority vote of the college RPT committee, and the dean's recommendation, the portfolio will not be reviewed by the University RPT Committee.
 - ii. If any of the four college level review outcomes is negative, the University RPT Committee will perform a substantive review of the faculty member with the portfolio continuing on to the Provost, who will also conduct a substantive review.
 - b. **Faculty member on the tenure track classification in the third year of appointment, not being reviewed for tenure**
 - i. If there is positive agreement among the four levels: the majority vote of the subcollege RPT committee, the chair/director's recommendation, the majority vote of the college RPT committee, and the dean's recommendation, the portfolio will not be reviewed by the University RPT committee.
 - ii. If any of the four college level review outcomes is negative, the University RPT Committee will be instructed by the dean to perform a substantive review of the faculty member with the portfolio continuing on to the Provost, who will also conduct a substantive review.
 - c. **Faculty member on the tenure track classification being reviewed for tenure and/or promotion to Associate Professor or Professor**
 - i. If there is positive agreement among the four levels: the majority vote of the subcollege RPT committee, the chair/director's recommendation, the majority vote

of the college RPT committee, and the dean’s recommendation, the University RPT Committee will be instructed by the dean to perform a procedural review of the faculty member with the portfolio continuing on to the Provost and President, who will each conduct a separate substantive review.

- ii. If any of the four college level review outcomes is negative, the University RPT Committee will be instructed by the dean to perform a substantive review of the faculty member with the portfolio continuing on to the Provost and President, who will conduct a substantive review.

SECTION THREE Table 2: URPTC Review Table

	Positive outcomes for each of the four college review levels	Any negative outcomes among the four- college review levels
3 rd year reappointment review or sixth year reappointment and/or promotion review and subsequent reappointment or promotion reviews at sixth-year intervals (e.g., 12, 18, etc.) including promotion to Teaching Professor, Clinical Professor, or Research Professor	No review	Substantive Review <i>The URPTC will forward its decision to the Provost for review</i>
3 rd year Reappointment	No review	Substantive Review <i>Forward decision to dean and Provost for review</i>
Tenure and/or Promotion to Associate Professor or Professor	Procedural Review <i>The URPTC will then forward decision to Provost for review</i>	Substantive Review <i>The URPTC will then forward decision to Provost for review</i>

I. Procedures of the Provost

1. The Provost will substantively review all tenure track promotion and/or tenure portfolios and additional portfolios in which any of the four college level review outcomes is negative.
2. The Provost will enter his/her recommendation into the candidate’s portfolio.
3. In non-tenure track cases or tenure track, year 3 reappointment cases, the President will not conduct a review. The Provost in consultation with the dean will determine action at the college level.

4. All tenure-track portfolios seeking tenure and/or promotion will be forwarded to the President for a substantive review.

J. Procedures of the President

1. The President will substantively review all tenure track promotion and/or tenure decisions.
2. The President, informed by the complete portfolio, will write a decision that will be entered into the portfolio with a copy sent to the candidate, chair/director, dean, and Provost according to the timeline in Attachment 2.
3. If the decision is negative, the dean will issue a terminal contract to the candidate. If the decision is positive, the President will forward that decision, but not the complete portfolio, to the Board of Trustees for final approval. After the Board of Trustees approves the President's decision, each candidate for promotion and tenure will receive a letter from the President notifying him/her of the Board's action.

K. Policy

1. The category (tenure track or non-tenure track), rank, expectations, and requirements for faculty appointments will be clearly specified in writing at the time of hire. Changes in workload allocation or requirements will be documented by the faculty member's supervisor at the time the change is implemented and appended to the annual review.
2. In order to provide all faculty with appropriate, timely, and transparent feedback, there will be an annual review for each faculty member, signed by the faculty member, chair/director, and the dean.
3. Given UNE's central teaching mission, there will be annual comprehensive reviews of teaching. These reviews will be facilitated by the development of multiple sources of data that might include peer evaluations, student evaluations, faculty's explications of their philosophy of teaching, sample course objectives, full course syllabi, examples of examinations given and papers required, samples of student work, and data regarding student learning (e.g., pre- and post-test results).
4. For tenure-track faculty, external review of scholarship will be solicited during the sixth full year from the candidate's disciplinary peers and when applying for promotion to Professor. Each college will develop specific guidelines and requirements for external review adapted to its own disciplines and context.
5. File Confidentiality—Reviewers will have access to the contents of a candidate's file and rigorously will maintain its confidentiality.
6. Faculty have the right to appeal the President's recommendation on promotion and/or tenure on grounds of process or procedure or illegal discrimination only. Appeals will be

reviewed by an *ad hoc* Appeals Committee, which will forward its recommendation to the UFA Chair, Provost and President. The President, taking into account the Appeals Committee recommendation, will make the final determination. Note: 1) appeals are not possible before the President has made a recommendation on a faculty member's case, except in the one situation described in item b. below, 2) the Appeals Committee will comment only on whether appropriate process and procedure were followed (see Appendix D), and 3) the President's decision is final.

- a. The *ad hoc* Appeals Committee will be a special committee of the Faculty Affairs Committee of UFA. Priorities for staffing the three-member committee will be 1) Current FAC members with past URPTC service, 2) current FAC members with current or past College RPTC service (provided they have not already reviewed the case under appeal), 3) recent FAC members (preferably less than 5 years) with past URPTC service, and 4) recent FAC members with current or past College RPTC service (provided they have not already reviewed the case under appeal). Members of the committee will be appointed by the chair of UFA, with the advice of the chair of UFA FAC. All members of lower level reviews are excluded from the Appeals Committee, and every effort must be made to avoid membership for the college from where the appeal originated.
- b. Faculty appealing a promotion or tenure recommendation will include in the letter of appeal specific references from the *Faculty Handbook* indicating the procedure or process that is in question.

L. Preparation of Information for the RPT Evaluation Process and Timeline

Before evaluating any application for reappointment or tenure, the chair/director, deans, the Provost, and the President may consider institutional need as it relates to that case. For example, clear and demonstrable changes in curricular needs of an academic unit might make reappointment or the awarding of tenure inadvisable, notwithstanding the academic merits of a candidate's case.

All faculty scheduled for reappointment and tenure reviews will be so informed, in writing, by their dean by March 1 of the academic year preceding their scheduled review. A copy of this notification will be sent to the appropriate academic dean(s) by the supervisor(s). In addition, faculty eligible and wishing to be considered for promotion must notify their supervisor(s) and dean(s) in writing by May 1 of the previous academic year.

The candidate is responsible for final assembly of those materials listed in Attachment 1 that are designated as the candidate's responsibility. Candidates will submit materials to the e-binder no later than September 1 by 5:00 p.m. In compiling the portfolio, the candidate may solicit documentation from the chair/director or dean (e.g., course evaluations). The dean will add items as specified in Attachment 1. The portfolio will then be made simultaneously available to the subcollege RPT committee, the chair/director, the College RPT committee, the dean, and the University RPT committee to maximize the time that each level views the portfolio. The timeline specifying the dates by which each level of review should be completed

can be found in Attachment 2 of this document.

Each reviewer should make an independent evaluation of the portfolio, and may begin to do so as soon as the portfolio is available. However, before she/he finalizes the review, any reviews at prior levels must be carefully considered and may be referenced. Reviewers at the subcollege level have the most familiarity with the candidate and her/his specific field of study, and base their reviews on the most detailed subcollege articulation of RPT criteria. Reviewers at the college level will base their reviews on articulated college RPT criteria and informed by the subcollege and chairperson's reviews. University level reviewers conduct their reviews based on broader university-level RPT criteria and are responsible for assuring appropriate procedures were followed.

The deans of the colleges are responsible for ensuring parity and consistency of RPT criteria across the college's units. These unit criteria must be aligned with the RPT criteria of the college and the university. RPT reviewers may not impose any expectations inconsistent with those criteria articulated at the subcollege (including annual review), college, and university levels.

SECTION FOUR: TERMINATION AND NON-RENEWAL OF CONTRACTS

The following applies to the regular full and regular half-time faculty.

I. Initiated by the Faculty Member

A. Termination of Contract

Faculty members are expected to complete the term of their primary faculty contracts and to perform under their contracts until their contract ends by its terms, is terminated by the University or otherwise terminated pursuant to the terms of the primary faculty contract or applicable provisions of the Faculty Handbook. Faculty members understand and agree that the University reserves the right to initiate legal action to recover damages and obtain equitable relief against any faculty member who ceases to perform under their primary faculty contract prior to the expiration of their contract or otherwise terminates their contract prior to its expiration. Faculty members who wish to terminate their employment with the University prior to the expiration of their primary faculty contract may apply to the Provost for an exception based on a demonstrated hardship. If the faculty member asking for hardship consideration is a dean, the case will be evaluated by the Provost in consultation with the President.

B. Non-Renewal of a Contract

A faculty member who wishes not to renew employment with the University at the end of a primary faculty contract may do so by providing written notice to the appropriate chair/director at least three months prior to the last day of employment of the academic year specified in the faculty member's most recent primary faculty contract. Faculty members who provide less than three months prior notice may apply to the Provost for an exception to the notice requirement based on a demonstrated hardship. If the faculty member asking for hardship consideration is a dean, the case will be evaluated by the Provost in consultation with the President.

Faculty members understand and agree that the University reserves the right to initiate legal action to recover damages and obtain equitable relief against any faculty member who fails to provide the University with at least three months' notice and/or fails to obtain a waiver of this sub-section's notification requirement.

II. Initiated by the University

A faculty member's contract may be terminated only for cause or unavailability to fulfill professional responsibilities.

A faculty member's annual primary faculty contract will be renewed within the term of an academic appointment except for the following circumstances:

1. The faculty member is not reappointed following a reappointment review (see

- SECTION THREE above); or
2. The faculty member's Dean, in consultation with the faculty and with approval of the Provost, determines that the faculty member's probationary primary faculty contract will not be renewed (see SECTION FOUR II, A, 2 below); or
 3. In the event of financial exigency, or discontinuance or curtailment of the academic program.

A. Procedure and Timeline: Non-tenured Faculty Members

1. Termination of a Contract

In cases of termination for cause or unavailability to fulfill professional responsibilities, the termination may be immediate and without notice. The faculty member will not be eligible for a terminal primary faculty contract.

2. Non-Renewal of a Contract During the Probationary Period

- a. If the Dean is considering a non-renewal, the Dean will convene a meeting with a panel of faculty (as described below) to collaboratively review the case. The Dean will present the evidence he or she is considering regarding the non-renewal.
- b. The faculty panel will be convened by March 1 and will consist of two members of the relevant College RPTC, appointed by the Chair of that committee, and one member of the University Faculty Assembly Faculty Affairs Committee, appointed by the Chair of that committee.
- c. Following the collaborative review by the Dean and faculty panel, the faculty panel and the Dean will each present their respective recommendations to the Provost by March 15. The Provost will then make a final decision regarding the primary faculty contract by March 20.

Timeline for Non-Renewal Procedure During the Probationary Period

Action	Date	Responsibility
Convene faculty panel	March 1	Dean
Faculty panel and Dean present separate recommendations to Provost	March 15	Faculty panel and Dean
Provost Notifies Dean and faculty member of final decision	March 20	Provost
Faculty supervisor and HR develop written statement for faculty permanent file	May 31	Faculty member's supervisor and HR

3. In the case of non-renewal after the probationary period ends, following the academic year of a successful third-year review, a faculty member will be provided with at least one academic year's advance notification.
4. Non-tenure track faculty members may be non-renewed due to elimination or curtailment of a program: i.e., a major, field, or disciplinary area (whether broadly defined,

such as a department, or narrowly defined, such as a University requirement).

- 1) When the Board of Trustees deems it necessary to eliminate or curtail an academic program, the administrative officers will discuss all financial and personnel implications with the appropriate chairs/directors and the faculty.
- 2) The President and faculty will review any academic program proposed for elimination or curtailment and the President will announce the Board's decision at least one year before it is to become effective. In its review of any program being considered for elimination or curtailment, the Board will consider the material presented by the affected faculty members. The University will make a reasonable effort to locate appropriate alternate or equivalent employment within the University for faculty members based on the following principles:
 - a. First, reasonable efforts at relocation will be based on a faculty member's ability to contribute appropriately in a new unit (e.g., to teach within that curriculum or based on other skill set matching).
 - b. Second, should the University need to reduce workforce, prioritization for retention of individuals will occur based on seniority and rank, as follows: Rank 1) Full-tenured, 2) Associate-tenured, 3) All other regular faculty, considering years at rank within rank, and years at UNE.
 - c. In a bona fide case of financial exigency, AAUP guidelines will be followed. Additionally, salary will not be provided to those gainfully employed at another institution at a similar level of remuneration.
 - d. The faculty member's supervisor (Chair/Director/Dean/Provost) will develop a written statement in consultation with the Executive Director of Human Resources explaining the reasons for termination or non-renewal. This statement will be provided to the faculty member and becomes a permanent part of the faculty member's file.

B. Procedure and Timeline: Tenured Faculty Members

1. Termination of a Contract

In cases of termination for cause or unavailability to fulfill professional responsibilities, the termination may be immediate and without notice. The faculty member will not be eligible for a terminal primary faculty contract.

3. Non-Renewal of a Contract

Tenured faculty member's contract may be non-renewed due to elimination or curtailment of a program; i.e., a major, field, or disciplinary area (whether broadly defined, such as a department, or narrowly defined, such as a University requirement).

- 1) When the Board of Trustees deems it necessary to eliminate or curtail an academic program, the administrative officers will discuss all financial and personnel implications with the appropriate chairs/directors and the faculty.
- 2) The President and faculty will review any academic program proposed for

elimination or curtailment and the President will announce the Board's decision at least one year before it is to become effective. In its review of any program being considered for elimination or curtailment, the Board will consider the material presented by the affected faculty members.

3) The University will make a reasonable effort to locate appropriate alternate or equivalent employment within the University for faculty members based on the following principles:

- a. First, reasonable efforts at relocation will be based on a faculty member's ability to contribute appropriately in a new unit (e.g., to teach within that curriculum or based on other skill set matching).
- b. Second, should the University need to reduce workforce, prioritization of individuals will occur based on seniority and rank, as follows: Rank 1) Full-tenured, 2) Associate-tenured, 3) All other regular faculty based on years at rank within rank, years at UNE.
- c. In a bona fide case of financial exigency, AAUP guidelines will be followed. Additionally, salary will not be provided to those gainfully employed at another institution at a similar level of remuneration.
- d. The faculty member's supervisor (Chair/Director/Dean/Provost will develop a written statement in consultation with the Executive Director of Human Resources explaining the reasons for termination or non-renewal. This statement will be provided to the faculty member and becomes a permanent part of the faculty member's file.
- e. Tenured faculty members may be terminated in cases of prolonged disability subject to applicable law: see Personnel Handbook.

C. Grievance

In all cases of dismissal (except those resulting from a formal reappointment, promotion, or tenure review), the faculty member has full recourse to the faculty grievance process (described in Appendix D). Dismissals resulting from a formal reappointment, promotion, or tenure review may be appealed according to the process described near the end of Section Three.

SECTION FIVE: LEAVE POLICY

I. Academic Leave

Academic leave may be used when a faculty member must leave campus to pursue academic interests (e.g., to attend a professional meeting or workshop, present a seminar, or conduct research). It is the faculty member's responsibility to ensure that this leave does not interfere with teaching or administrative responsibilities. The faculty member must have approval from her/his chair/director and dean prior to leaves one week or longer.

II. Academic Leave Without Pay

Members of the regular full-time faculty may apply for up to one year of academic leave without pay for purposes such as: acceptance of a fellowship; professional development; work on an advanced degree; acceptance of assignments of limited duration with other institutions of higher learning, governmental agencies, private foundations, or corporations; or to serve as an expert consultant for purposes consistent with the University's mission. Each application should include a detailed statement of the purpose for which the leave is requested and must be approved by the relevant chair/director and dean, and the Provost. After one month on academic leave without pay, all benefits will cease, excepting that the faculty member may continue health, life insurance, and/or dental benefits at his/her own expense. Ordinarily, time spent on academic leave without pay will be counted towards eligibility for promotion and tenure (see SECTION THREE, II, G).

III. Sabbatical Leave

A. Purpose

The purpose of sabbatical leave is to provide a mechanism for continuing professional development of faculty in a manner that ultimately will benefit the faculty member, the students, the University, and the academic community at large. A sabbatical may consist of research, academic study, writing that leads to publishing, professional development, etc, through which efforts faculty may increase their knowledge, advance their research, stimulate intellectual interests, enhance teaching, or strengthen contacts with the world-wide community of scholars, thus enhancing their contribution to the University on their return.

Sabbatical leave is a privilege for a faculty member. It is not to be considered a form of compensation to which a faculty member is automatically entitled. The merits of a case and both curricular and fiscal constraints may be considered by chairs/directors or supervisors (herein referred to as supervisors), academic deans, and the Provost, and, where applicable, by college committees. It is also not intended to be primarily an opportunity for employment at another institution. Sabbatical leave is intended to promote the professional development of all full-time faculty.

B. Eligibility

All regular full-time faculty may submit application for initial sabbatical leave in or after their

7th year of service, and are eligible for subsequent sabbatical leaves following each six full years of service to the University. Eligibility for faculty with Reappointment, Promotion and Tenure timelines outside of the typical 6-year review cycle will be determined on a case-by-case basis by their Deans in consultation with the Provost.

Other official leaves of absence during which benefits remain in effect, may, at the Dean's recommendation, be counted as full-time service in determining eligibility for sabbatical leave. The sabbatical leave may immediately precede or follow a vacation period.

For applications involving the physical or psychological study of covered animals or humans, final approval for sabbatical will be contingent upon approval by either an IACUC or IRB, as appropriate, with jurisdiction at the location where the study will be done. Ordinarily, time spent on sabbatical leave will be counted toward eligibility for promotion (see SECTION THREE, II, G).

Eligible faculty may apply for sabbatical leaves equivalent to half of their usual faculty-contract year at full salary or a full faculty-contract year at half salary. Sabbatical pay for faculty will be based on their contracted academic salary as faculty members, excluding any additional stipends received for administrative duties, overload teaching (as defined by the college), or other responsibilities. Proposals for sabbatical leave must state how others will cover usual responsibilities, including any administrative duties and overload teaching. Faculty will be entitled to full fringe benefits (insurances, retirement annuity contributions, etc.) during sabbatical leave.

Faculty will not be allowed to accumulate sabbatical leave and, for example, take one year at full salary after twelve years of service. The minimum interval between successive sabbatical leaves will be six full years, unless negotiated with the Dean and Provost due to service requested on behalf of the University that causes deferral of sabbatical.

C. External Compensation

A faculty member may receive outside compensation from a grant, contract, or any income producing activity while on sabbatical, consistent with the following provisions:

1. The compensated activity must not, in the dean's judgment, be in conflict with the purpose of the sabbatical leave
2. The expected compensation must be disclosed in advance through the sabbatical application process
3. If the faculty member's salary plus outside compensation exceeds the faculty member's regular academic salary, the University reserves the right to offer a lower sabbatical salary. Due consideration will be given to sabbatical related expenses, such as travel.

D. Request for Approval for Sabbatical Leave: see Attachment 3.

SECTION SIX: FACULTY DEVELOPMENT

I University Support

The University, within its resources, will provide release time, facilities, technical assistance, and financial support for the professional development of its faculty. This support is expected to lead to publication or other professional expression of original works.

Budgeted, individual academic units will decide for themselves how funds available for faculty development may be spent. Emphasis will be on helping faculty to avail themselves of learning opportunities (e.g., professional workshops and academic course-work) that support improved execution of one or more contractual responsibilities. However, care will be taken to avoid imposing on the academic unit any financial burden associated with a faculty member's pursuit of advanced degree work (unless such work is necessitated by programmatic changes in the University).

Internal mini-grant research and scholarship awards are available on a competitive basis through the office of the Associate Provost for Research and Scholarship and are open to regular full-time faculty and to any faculty member who is less than full-time but whose contract has stated expectations for research and/or scholarship, in order to help develop research and scholarship at UNE. The UFA Research and Scholarship Committee, with the assistance of discipline-specific *ad-hoc* reviewers, will review all applications and forward their recommendations to the Associate Provost for Research and Scholarship. Funding details and application instructions are available on the Associate Provost for Research and Scholarship website.

If research facilities of a college are inadequate for a faculty member to conduct her/his research, the faculty member may petition for release time to conduct research at another facility, provided the release time will not interfere with the faculty member's academic and administrative assignments (refer to Academic Leave Policy).

II. Externally Funded Grants - Policies

A. Indirect Costs and Budget Relief:

Certain grants and contract sources provide for indirect-cost reimbursement to cover overhead and other costs incurred by the University but not directly covered by the grant. Budgeted items directly covered by the grant, such as salaries of the Project Director/Investigator, faculty and staff release time, and equipment are figured into budget relief.

1. All indirect-cost and budget-relief revenues from a grant will first be allocated to pay for replacement personnel, if any, and direct costs incurred by grant implementation.
2. Remaining funds will be allocated to the Office of Scholarship and Research for strategic investments in the University, the college that the grant originated from, and the research program of the Principal Investigator listed on the grant. In order to support changing

University priorities, the indirect-cost distribution model will be evaluated on an annual basis by the Office of Scholarship and Research, and listed on the VP for Research website.

- B. Intellectual Property Policy (See Attachment 4).
- C. Investigator Significant Financial Disclosure Policy for Sponsored Projects (See Attachment 5)
- D. Policy on Research Misconduct (See Attachment 6)
- E. Policy on Distribution of Facilities & Administration Recovery Funds (See Attachment 7)

III. Faculty Participation in Extra-University Income-Producing Activities

Full-time faculty are expected to render full-time service to the University of New England. However, it is recognized that certain outside employment may be considered faculty development, benefiting the faculty member and enhancing the image of the University of New England in the community and among other institutions of higher learning. Therefore, when a faculty member lectures or consults, she/he should make her/his affiliation with the University clear in an effort to call public attention to the University and its programs.

Outside employment such as client/patient care, consulting, or lecturing will not be restricted unless such activity interferes with adequate performance of faculty duties. In those instances where outside employment activities are appropriate, the time spent should not exceed more than eight hours per week on average over the faculty member's contract year. Faculty may retain all remuneration from these non-University-sponsored activities. Faculty should reimburse the University for direct expenses for resources used in the course of outside employment. If outside employment or service interferes with the performance of regular University duties, the University of New England has the right to insist on performance improvement and to take disciplinary action as may be necessary.

Overload contracts within the University of New England for teaching or other activity, whether within or outside of a faculty member's College(s), must be approved by the appropriate chair/director prior to submission to the dean of the faculty member's College for approval.

The following issues will be considered by the dean when deciding whether to grant such approval:

- the faculty member's overall level of effort in teaching, service, and scholarship, and
- emergent short-term needs of the University.

Employment activities outside of the University of New England, in addition to college overloads conducted within the University, should not exceed more than eight hours per week on average over the faculty member's contract year. In extraordinary circumstances, deans may approve exceptions for brief periods of time.

SECTION SEVEN:
EQUAL EMPLOYMENT OPPORTUNITY/AFFIRMATIVE ACTION

The University of New England operates in accordance with Title IX of the Education Amendments of 1972, the Rehabilitation Act of 1973, Title VII of the Civil Rights Act of 1964 (as amended) and the Maine Human Rights Act. The University of New England does not discriminate on the basis of race, religion, skin color, gender, age, marital status, ancestry, national and ethnic origin, physical or mental disability, sexual orientation, veteran status, or any other basis prohibited by applicable statute in the administration of its employment practices or in the educational programs or activities that it operates. The University is committed to the use of Affirmative Action principles and techniques in furtherance of its Equal Opportunity Policy. Questions or concerns about the Equal Opportunity Policy should be taken to the Executive Director of Human Resources.

SECTION EIGHT:
SUBSTANCE ABUSE

Use of alcohol or any other substance in a manner that impairs a faculty member's ability to carry out her/his job responsibilities is prohibited.

The University's full Substance Abuse Policy appears in the Personnel Handbook.

SECTION NINE: ACADEMIC FREEDOM

The University is a marketplace of ideas, and it cannot fulfill its purposes of transmitting, evaluating, and extending knowledge if it requires conformity with any orthodoxy of content and method. In the words of the United States Supreme Court, “Teachers and students must always remain free to inquire, to study and to evaluate, to gain new maturity and understanding; otherwise our civilization will stagnate and die.” (AAUP: Policy Documents & Reports).

Therefore, the University of New England affirms its adherence to the AAUP Statement of Principles on Academic Freedom and Tenure. This adherence means:

I. Research Publication:

Teachers are entitled to full freedom in research and in publication, subject to adequate performance of their other academic duties.

II. In Public Utterances:

Teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes obligations. As persons of learning and educational officers, they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not institutional spokespersons.

III. In Teaching:

Teachers are entitled to freedom in the classroom in discussing their subject but should be careful not to introduce controversial matter, which has no relation to the subject. In addition, teachers are entitled to freedom regarding teaching methods and grading practices, consistent with the rights and needs of the University's departments and other programs to make collective curricular decisions and establish common academic policies and procedures. It is recognized that the administration and Board of Trustees retain ultimate authority in these matters.

The preservation of academic freedom is one of the first priorities of the University and any charge that academic freedom has been abridged should be investigated promptly and thoroughly.

SECTION TEN: AMENDMENT PROCEDURES

Any member of the faculty may propose amendments to this document. Proposed amendments will be written and include a statement of supporting rationale, and be submitted to either the UFA Faculty Affairs Committee (FAC) or to the Chair of the University Faculty Assembly (UFA) who will then forward the proposed amendment to the FAC. In either case, the FAC will deliberate and send its recommendation to the Chair of UFA.

The Chair of UFA, within ninety days must place the amendment on the agenda of a University Faculty Assembly meeting. In order for the proposal to go into effect for the following year, the proposal must be on the UFA agenda no later than the September meeting. A majority vote of members present at the meeting is required to pass the amendment to the President, or the President's designee, for transmission to the Board of Trustees for approval.

Meetings of the Board of Trustees (normally no later than 5pm March 31) at which an amendment is to be considered will be announced at least seven (7) days in advance and the meeting agenda will reflect the consideration of the amendment. An amendment will become an official part of this document by a majority vote of the Board of Trustees.

Amendments ratified by the Board of Trustees before 5 pm March 31 of a given academic year will be compiled and published by the Office of the Provost, normally no later than June 1 of that year and become effective at that time. Any amendments ratified by the Board of Trustees after 5pm March 31 will be compiled and published by the Office of the Provost on June 1 of the following year. This compilation will be executed by the Provost's office in concert with the UFA Chairperson to verify accuracy of the *Handbook* changes prior to the publication of the new *Handbook*. The Office of the Provost will promptly announce to the university community the publication of the updated version of the *Faculty Handbook* and provide a supplement detailing that version's amendments.

Candidate portfolios will be processed according to the policies described in the version of the *Faculty Handbook* that was in effect at the time of their submission.”

APPENDIX A

UFA Bylaws

Note: The process of modifying the UFA Bylaws will follow the procedures outlined in item H. of these Bylaws.

A. Membership

1. Composition

- a. The Faculty Assembly consists of 35 senators elected from the full-time faculty.
- b. The Faculty Assembly includes one professional librarian.
- c. Each college will supply a minimum of four senators to the Faculty Assembly. At the beginning of the second semester of each academic year, each college will be awarded a proportion of the remaining seats in an amount equivalent to the proportion of college full-time faculty to the total number of University full-time faculty. The total number of full-time faculty at the University is based on the numbers provided to the Faculty Assembly chairperson by the Deans of each of the colleges. If mathematical proportions lead to ambiguity in how many senators should be assigned to each college, numbers will be rounded higher to favor the least represented college(s) and rounded to the lower number for the remaining colleges. The Faculty Assembly Executive Committee will inform each College of the number of seats to be filled, and the faculty of each College will determine how these senators will be selected.
- d. When new Colleges are formed at UNE, faculty senators from the new college will be added to the Faculty Assembly per the discretion of the UFA Executive Committee in a way that is appropriate as the faculty in the college is developed. During such transition, the total number of members of the Faculty Assembly may exceed 35 up until the time of the next elections.
- e. At no time may the total percentage of members of the Faculty Assembly from any one college exceed fifty (50) percent.
- f. Each college assembly chair or equivalent representative will serve as *ex officio* members and will have voting privileges.

2. Faculty Assembly Members Terms and Elections

- a. The College Senators hold two-year terms, staggered so that half the seats for each college are filled each year. A college may decide to elect some senators to one-year terms if necessary for adequate staggering.
- b. Each college will conduct elections of their Faculty Assembly senators in March to facilitate the election of any new UFA officer positions (see section E4) even though the official assumption of duties occurs in the following academic year
- c. The Faculty Assembly will ratify the elections of incoming senators from each college with a

majority vote. New Assembly members take office at the close of the May meeting. It is the purview of the Chair of the Faculty Assembly to schedule an orientation meeting to determine committee composition and/or to complete elections for unfilled officers' seats as necessary.

d. Each year, UFA should organize an orientation meeting for new UFA members

3. Vacancies:

Faculty Assembly members who vacate their positions before their terms expire will notify the Chair or Vice-Chair of the Faculty Assembly. Senators will be replaced according to a process chosen by the Faculty Assembly of the College they represent. Replacement Senators will serve for the remainder of the term of the members they are replacing.

B. Meetings

1. The Faculty Assembly will typically meet during the third week of each month from June through May. The final schedule of meetings will be determined by the Faculty Assembly officers and should be announced at the June meeting. Typically the meeting is two hours long; the day of the week designated for meetings will be in accordance with the University Calendar. Other meetings may be called throughout the year by the Chair of the Faculty Assembly upon petition of a majority of the Faculty Assembly or upon petition of a majority of full-time contracted faculty.
2. Any member of the University faculty, administration, student body, or staff may submit agenda items to the Vice-Chair two weeks prior to each scheduled meeting. The UFA Officers will review the submitted agenda items and the agenda as a whole. An agenda and minutes of the previous meeting will be distributed to all members of the Faculty Assembly, typically no later than one week prior to each meeting.
3. College Assembly chairs or equivalent college representative will submit written monthly reports to UFA comprising all motions passed and will report a summary orally at UFA meetings.
4. All meetings will be conducted in accordance with the most recent edition of Robert's Rules of Order, unless otherwise noted.
5. The Vice-Chair will keep a record of attendance that will be recorded in the minutes.
6. For all motions except those that are strictly procedural (e.g., motion to adjourn, approval of the minutes, or acceptance of a committee report), the Secretary will record the vote of each Assembly member.

C. Quorum

A quorum (at least 18 members) must be present for a regular meeting of the Faculty Assembly to proceed. Faculty Assembly committees may proceed with business without a quorum, unless the assembly orders otherwise.

D. Voting

1. Ample notice of each meeting date, place, and time will be provided; it is each Faculty Assembly member's responsibility to attend. The outcome of Assembly votes will be determined by a simple majority of members present.
2. Ordinarily, absentee ballots or proxy votes will not be permitted. The Faculty Assembly may, with a 2/3 majority vote, choose to allow these methods of voting for a given vote.
3. *Ex officio* members will not have voting privileges unless otherwise specified.

E. Officers

The officers of the Faculty Assembly will be Chair, Vice-Chair, and Secretary.

1. Responsibilities

- a. The Chair of the Faculty Assembly will preside over all Faculty Assembly meetings. The Chair will make committee appointments as outlined elsewhere in this document and will serve on committees as noted. The Chair will maintain a regularly scheduled dialogue with the President of the University, act as a representative of the Faculty Assembly, and will be a member of the University Council. The Chair will be responsible for the budget of the Faculty Assembly. In recognition of the duties of the Chair, that person will receive supplemental compensation in the form of a two- course release equivalent (six teaching credits, defined as 90 lecture contact hours or 180 lab contact hours) per year or a \$6,000 annual stipend, 2013-14 value to be adjusted thereafter for cost of living index (details to be determined by the Provost) and an operations budget in the amount of at least \$2,000.
- b. The Vice-Chair of the Faculty Assembly will be responsible for setting and distributing, via campus e-mail, the agenda of Faculty Assembly meetings, committee reports, and Faculty Assembly minutes to all Faculty Assembly members, academic deans, college assembly chairs, the library (to be put on reserve), and the President. In the absence or disability of the Chair, the Vice-Chair will perform the functions of the Chair. The Vice-Chair of the Faculty Assembly will keep and maintain accurate membership records and will be responsible for determining a quorum at each meeting. In the absence or disability of the Vice-Chair, the Secretary will assume these duties.
- c. The Secretary of the Faculty Assembly will take minutes at all Faculty Assembly meetings. The Secretary will give minutes of the Faculty Assembly meetings and Faculty Assembly committee reports to the Vice-Chair, so that he/she may distribute these to the Faculty Assembly as noted in E.1.b. above. The Secretary will be responsible for recording all votes that are registered on substantive motions in Faculty Assembly meetings (termed a Motion Voting Record).

2. Qualifications

- a. When candidates take office, they must satisfy the following conditions:

Chair – Full-time faculty member with **seven** contract years of employment at the University and at least two years of service as an elected delegate to UFA.

Vice-Chair – Full-time faculty member with five contract years of employment at the University

Secretary – Full-time faculty member with at least two contract years of employment at the University

- b. Individuals who plan to seek sabbatical leave for the second year of a term, as Faculty Assembly Chair will be ineligible for that office.

3. Terms of Office

- a. Newly elected officers will shadow current officers for the May meeting and officially will assume their positions at the close of the May UFA meeting. The positions of those newly elected officers will end at the close of the May UFA meeting at their term's completion.
- b. The Chair of the Faculty Assembly will serve a two-year term and may not serve more than two consecutive terms. The outgoing Chair is to prepare and deliver the UFA Chair's report at the May/June BOT meeting following the end of his/her term.
- c. The Vice-Chair and Secretary of the Faculty Assembly will serve one-year terms and may not serve more than two consecutive terms in the same office.

1. Election/Voting

In order to ensure a smooth transition, all UFA officer positions that are open for the next academic year will be voted on at the April monthly meeting. Prior to the April meeting, the Executive Committee (see F6c) will seek nominations for these open positions and will bring forth a slate of nominees. Elections will be presided over by the Faculty Assembly Chair who is currently in office. The vote will be conducted by secret ballot, with a simple majority deciding the outcome. If no candidate receives a simple majority, a run-off election will be held among those remaining after the candidate with the fewest votes is eliminated. Electronic voting may take place to ensure officers will be elected prior to the May meeting.

2. Recall Proceedings

A petition of 14 Faculty Assembly members is necessary to initiate recall proceedings against one of its officers. The petition will be submitted to the Chair or Vice-Chair, and will serve as a motion to be voted upon as the first order of business at the first subsequent meeting. If the motion carries, a simple majority determined by secret ballot will decide the outcome.

3. Vacancies

If the Chair of the Faculty Assembly is not able to serve and the Vice-Chair is non-tenured, an election will occur at the earliest convenience to elect another Chair who fulfills the eligibility requirements. This replacement Faculty Assembly Chair would serve out the remainder of the term of the departed Chair.

In the event the Vice-Chair or Secretary steps down, he/she must inform the Chair and the nomination process for replacing the open officer's position will ensue immediately. The voting process will follow the procedures outlined in E.4. above.

F. Committees

1. Terms of Office

Committee members will serve one-year terms as appointed.

2. Recall Proceedings

A petition by a committee's chair or three committee members is necessary to initiate recall proceedings against one of its members. Whenever possible, mediation will be the first action. If mediation is ineffective, the petition will serve as a motion to be voted on as the first order of business at the first subsequent committee meeting. If the motion carries, a simple majority determined by secret ballot will decide the outcome.

3. Committee Vacancies

The Chair of the Faculty Assembly will appoint members to fill committee vacancies, subject to approval of the Faculty Assembly.

4. Reports

By the second Tuesday of each month, each Faculty Assembly committee will file a written report of its activities and recommendations with the Vice-Chair and a computer readable file with the Secretary. Faculty Assembly committee reports will be distributed to all Faculty Assembly members via e-mail and posted. Each Faculty Assembly committee will also submit a mid-year report on the committee's activities and recommendations at the December All-Faculty Meeting and a year-end report at the May All-Faculty Meeting.

5. Standing UFA Committees - There will be eight standing Faculty Assembly committees. Additionally, although not UFA standing committees, the Faculty Assembly will confirm faculty appointments to the University Reappointment, Promotion, and Tenure Committee and to the Faculty Grievance Committee (Appendix D). Both the RPTC and the Faculty Grievance Committee are committees of the faculty but are managed differently from other standing committees.

- a. Academic Affairs Committee
 - i. Library Sub-Committee
- b. Academic Technology Committee
- c. Faculty Affairs Committee
- d. Student Affairs Committee
- e. Financial Affairs Committee
- f. Research and Scholarship Committee
- g. Facilities Committee
- h. Executive Committee
- i. Global Affairs Committee

6. Membership of Standing Committees

- a. Prior to the end of the academic year, the current UFA officers and officers-elect will meet to populate next academic year's standing committees honoring, if at all possible, preferences from the membership and ensuring that committee membership has at least one member from each college when feasible. At the first meeting of each academic year, UFA committees will begin

their meetings by reviewing their charge and membership, especially with respect to the inclusion of *ex officio* members. It is the responsibility of the Assembly members to report on committee deliberations to their respective college faculty assembly.

- b. The Academic Technology Committee Chair and Library Sub-Committee may appoint additional members from the faculty at large.
- c. The Executive Committee will consist of Faculty Assembly officers, chairs of standing committees, and chairs of college assemblies or equivalent representative. The Chair of the Faculty Assembly will serve on the Executive Committee for one year past the expiration of her/his term and need not be a Faculty Assembly member during this time.
- d. Each faculty assembly member who serves on a committee will have an equal vote in the deliberations of the committee and in determining its recommendations.
- e. Members of the Faculty Assembly normally serve on two standing committees. Members who chair a standing committee may limit their service to that one committee. UFA officers can choose to serve on standing committees at their discretion.
- f. If a member of the Faculty Assembly misses more than two consecutive meetings, notification will be forwarded to the respective college assembly chair.
- g. Most standing committees of the Faculty Assembly have certain *ex officio* members as identified in each committee's description.

7. Chairs of Standing Committees

- a. The current chair of a standing committee will remain chair after the close of the May UFA meeting until an election takes place by the incoming and returning members. The election will be coordinated by this outgoing chair.
- b. It is the responsibility of each committee to elect a Chair from the Faculty Assembly members who are members of the committee.
- c. Chairs of standing committees will report to the Faculty Assembly at each of its regular meetings. The Chairs also will submit written reports via e-mail to the Faculty Assembly Secretary and Vice-Chair each month. The Faculty Assembly Secretary will post the reports on the University V drive in the UFA Docs folders. The Vice-Chair will distribute these reports, via e-mail, to the Faculty Assembly members, the *ex officio* members (see committee descriptions), each college assembly chair, and the University deans.
- d. A Committee Chair is expected to communicate with relevant administrator(s) *ex officio* members, or other personnel on an ongoing basis.
- e. The Chair of the Academic Technology Committee is expected to be a Faculty Assembly member. However, the committee may petition to the Chair of the Faculty Assembly to elect a chair that is not a Faculty Assembly member. Should this be approved, the designated Academic Technology Committee chair must agree to fulfill all obligations of a chair (outlined in 7.b. and 7.c. above).

8. Duties of Standing Committees

Members of each UFA standing committee commit to inclusive policies and actions that dismantle discrimination and racism in all forms. These include but are not limited to discrimination based on race, ethnicity, religion, gender, gender identity, sexual orientation, pregnancy, disability, age, socioeconomic status, and/or national origin.

a. Academic Affairs

The Academic Affairs Committee will undertake the evaluation and endorsement of all educational policies, practices, and programs that have implications for academic process and quality at the University level. The chair of the Academic Affairs Committee (or a designee from the Committee) will be an active and voting member of the Institutional Effectiveness Committee (IEC). Annually, the Academic Affairs Committee will present to the Faculty Assembly an overview of outcomes assessments reviewed by IEC, as these relate to the academic affairs of the University. The Academic Affairs Committee will act as a University-wide committee for the evaluation and recommendation of feasibility studies. In this capacity, it will review the feasibility studies to establish new programs commenting on redundancy, impacts, and/or concerns. All comments will be brought to the full UFA to be voted on before being forwarded to the Provost in writing. It will also consider related curricular issues, such as the abrogation or substantial change of degree programs. The Committee will insure that each College has mechanisms to address academic concerns specific to that College. *Ex officio* members include the President, the Provost, the CFO, and the chairs of comparable committees in each college as applicable.

- i. The Library Committee will be a subcommittee of the Academic Affairs Committee. Members are appointed by the Academic Affairs Committee and include the Dean of Library Services as an *ex officio* member, and may include non Faculty Assembly members or non-faculty members.

b. Academic Technology Committee

The Academic Technology Committee will undertake the evaluation of computing needs and develop proposals for addressing those needs. The Academic Technology Committee Chair in accordance with 6. b. above, may appoint additional faculty members who are not serving on UFA and include an IT representative. The Chief Information Officer is an *ex officio* member of this committee.

c. Faculty Affairs Committee

The Faculty Affairs Committee (FAC) will be responsible for recommending University policies affecting the faculty. It will coordinate University-wide efforts in faculty development. The Committee will oversee the maintenance of all protocols associated with criteria for reappointment, promotion, and tenure (See SECTION THREE). The Committee will insure that each college possesses mechanisms to address faculty concerns specific to that college. The Committee will be responsible for deliberations regarding amendments to the Faculty Handbook. When necessary, the FAC in consultation with the UFA Chair and the Provost will interpret the policies in the Faculty Handbook. Under rare circumstances, a request for expedited review to

interpret existing policies in the Faculty Handbook will be considered by an *ad hoc* committee composed of the Chair of the University Faculty Assembly (UFA), the UFA Faculty Affairs Committee and the Provost. All such deliberations will be documented in the minutes of the UFA FAC.

Ex officio members include the President, the Provost, and the chairs of comparable committees in each college as applicable.

d. Student Affairs Committee

The Student Affairs Committee will be responsible for recommending University policies affecting students, and will suggest efforts to improve student life. Student representatives from each of the colleges will serve on the Committee with faculty and staff. Student members are selected by the individual student assemblies in April of the academic year and the President of each student governance system forwards the name to the Chair of the Faculty Assembly who will forward it to the elected chair of this committee. The Committee will insure that each college possesses mechanisms to address student concerns specific to that college. The Assistant Vice-President of Student Affairs is an *ex officio* member of this committee.

e. Financial Affairs Committee

- i. The responsibilities of the Financial Affairs Committee are three-fold: (1) to be familiar with the UNE fiscal policies and procedures so as to attain an understanding of the University's financial capacity to carry out its educational mission; (2) to represent the faculty in those financial and budget decisions related to education and academic advancement; and (3) to review the budget of each new proposed academic program.
- ii. The Committee will work with the Senior Vice President of Finance and Administration (SVPFA) to review University fiscal policies and procedures that relate to UNE academic programs and discuss recommendations as deemed prudent, and work with the Academic Affairs Committee when new programs are proposed. The SVPFA or his/her designee is an *ex officio* non-voting member of this committee. The committee will invite college Financial Affairs committee chairs, or representatives, to serve as *ex-officio* non-voting members of UFA Financial Affairs.
- iii. The Financial Affairs Committee chairperson will serve as the Faculty Assembly representative to the Finance Committee of the Board of Trustees. At these meetings, the Financial Affairs Committee chairperson will represent the Financial Affairs Committee and be the representative voice of the faculty in academic program budget issues (i.e. faculty salaries, academic program development/advancement, and/or academic support staff) of the University.
- iv. While mindful of the primary educational purpose of the University, the Financial Affairs Committee will take a broad and balanced view of the University's financial affairs. As an advocate for the academic integrity of the University, the Committee will discuss with the SVPFA institutional resources that relate to the academic plan(s) of the institution.

f. Research and Scholarship Committee

The Research and Scholarship Committee will work in conjunction with the Office of Research and Scholarship to promote the research and scholarly environment at the University of New England, thereby enhancing each faculty member's opportunities to achieve reappointment, promotion, and tenure. The Research and Scholarship Committee also is responsible for reviewing and providing feedback to the Vice President for Research and Scholarship intramurally funded proposals supported by that office. The Vice President for Research and Scholarship or his/her designee is an *ex officio* member of this committee.

g. Facilities Committee

The Facilities Committee monitors the University's academic space and facilities, including, but not limited to: classrooms, laboratories (teaching and research), study and social areas, dining services, parking lots and transportation services, athletic buildings and fields, and recreational facilities. The Committee will work with providers of campus services and the Environmental Council, to best coordinate existing facilities and effectively plan for future facilities-related needs of the University. The Faculty Assembly Chair will appoint two members from each college's elected members of the Faculty Assembly. *Ex officio* members include: student representatives and the Vice President for Campus Services.

h. Executive Committee

The Executive Committee will meet at least once a semester and also serve as the body to share and discuss with the President and Provost the business of the Faculty Assembly and its committees and items of potential mutual concern. Minutes need only include general topics discussed and invited statements from the President/VPAA.

The Executive Committee of the Faculty Assembly will also meet with the BOT Academic Affairs Committee once during each convening of the Board of Trustees for the purpose of addressing the various activities, interests, needs and concerns of the faculty.

Prior to the April meeting, the Executive Committee will solicit nominations for any UFA officer openings and present a slate of nominees to the Faculty Assembly for voting at the April meeting.

i. The Global Affairs Committee (GAC)

The Global Affairs Committee will be responsible for recommending University policy concerning student and faculty travels abroad. This committee will advise and guide the growth of global academic courses, programs, international campuses and global opportunities at UNE. GAC serves to foster information exchange regarding global academic resources (contact information, scholarships, etc.) among faculty and students. Furthermore, the committee will assist the Office of Global Affairs in the review of scholarship applications or other projects, as faculty workload permits. The Director for the Office of Global Affairs is an *ex officio* non-voting member of this committee.

j. Diversity, Equity & Inclusion Committee:

The Diversity, Equity & Inclusion (DEI) Committee will be responsible for reviewing and advocating for University policies affecting diversity, equity and inclusion. The DEI Committee will provide guidance to University administration to promote diversity including the recruitment and retention of faculty, staff and students. The Committee will review and promote policies and curricular and co-curricular programs that advance an inclusive culture and climate. The Committee will ensure that each college possesses mechanisms to address diversity, equity and inclusion concerns specific to that college.

Ex-officio members include the Associate Provost for Community, Equity and Diversity, and the chairs of comparable committees in each college as applicable. Two student members will be appointed by the committee's chair with an effort to have representation from the Biddeford and Portland campuses.

9. Non-Standing Committees of the University Faculty Assembly

a. Reappointment, Promotion, and Tenure Committee

The Reappointment, Promotion, and Tenure Committee is not a Faculty Assembly Committee. Policies governing the RPT Committee are developed by the Faculty Assembly's Faculty Affairs Committee, approved by the Faculty Assembly and the Provost, and recommended to the BOT through the President. Although the Committee functions independently of the Faculty Assembly, the RPTC remains a committee of the faculty, bases recommendations solely on its interpretation of university-wide guidelines and the college's metrics as identified in Appendix C and cannot be directed by constituencies external to the Committee. The Chair of the Faculty Assembly will lead in soliciting nominations for election to the Reappointment, Promotion, and Tenure Committee from each of the College Assemblies. The Chair of the Faculty Assembly and the Chair of UFA's FAC will work with the University RPTC to orient its members.

The University RPT Committee will be appointed by UFA and the Provost. Each college will elect three faculty members at a minimum rank of Associate level, from tracks representative of the college and submit those nominees to UFA. The UFA Chair will select 12 appointees from this pool, ensuring representation from each college and a variety of faculty tracks. The Provost will appoint at least one additional faculty member to achieve an odd number of total members. Should UFA fail to appoint any or all of its members by May 1, the Provost will appoint enough faculty members to fill all vacant positions on the Committee. Appointments to the URPTC shall be for two years and members may not serve more than three consecutive terms. Half of the appointments shall be assigned during the odd numbered years and half will be assigned during the even numbered years.

b. Faculty Grievance Committee

A Faculty Grievance Committee will be drawn from a standing pool of two faculty per college elected "at large" from the University's full-time faculty (see Appendix D). This Committee will be assembled when a grievance is brought forth for consideration.

c. *Ad Hoc* Committees

The Faculty Assembly may establish *ad hoc* committees as the need arises. The Chair of the

Faculty Assembly, with approval of the Faculty Assembly, will appoint committee members.

However, if issues arise with the UNE Policy on Research Misconduct (Attachment 6) such that a formal investigation is required, per the terms of the policy, the Vice President for Research and Scholarship will request that the Chair of the University Faculty Assembly appoint an ad-hoc fact finding committee of five (5) tenured faculty members who are unbiased in the investigation. This committee will choose its own chair and carry out its functions per the terms of the Misconduct policy and immediately disband thereafter. Appointment by the Chair of the University Faculty Assembly to the ad-hoc fact-finding committee is not subject to the approval of the Faculty Assembly. In the event that the Chair of the University Faculty Assembly is the respondent in the investigation, the Vice- Chair of the University Faculty Assembly shall assume the duties of the Chair of the University Faculty Assembly with regard to the UNE Policy on Research Misconduct.

10. Faculty Assembly Representatives to Committees of the Board of Trustees

The purpose of faculty representation on standing Board of Trustees committees is to create an opportunity for discussion of issues that affect the University and to promote greater understanding among the Board, faculty, and administrators.

The Executive Committee of the Faculty Assembly will serve as the faculty representatives to the Academic Affairs Committee of the Board of Trustees. The Chair of the Faculty Assembly Financial Affairs Committee will serve as the faculty representative to the Finance Committee of the Board of Trustees. The chair of the Faculty Assembly Student Affairs Committee will serve as the faculty representative to the Student Affairs Committee of the Board of Trustees. The Chair of the Faculty Assembly will serve as the faculty representative to the Board of Trustees. The Chair of the Facilities Committee will serve as the faculty representative to the Facilities Committee of the Board of Trustees.

The responsibilities of BOT Faculty Representatives are as follows:

- a. attend all meetings of their BOT committee(s);
- b. represent faculty perspectives to clarify issues that might be of interest to the faculty;
- c. submit written unofficial minutes of committee meetings to the Chair and Secretary of the Faculty Assembly one week prior to monthly Faculty Assembly meetings;
- d. forward official agenda and minutes to the Chair of the Faculty Assembly when they are distributed.

G. College Faculty Assemblies or Equivalent Bodies

The governing faculty of each college or equivalent body should establish the operating rules and procedures of its college or equivalent faculty assembly governance including but not limited to:

- organization of meetings,
- procedures of agenda setting,
- establishment of a quorum,
- determination of membership and voting rights,
- committees,

- qualification of attendance by persons other than faculty members,
- appointment of officers and conducting elections,
- distribution of a summary of actions and reports,
- college RPT standards and metrics and
- other duties and responsibilities as detailed in the University Faculty Assembly (UFA) By-Laws, Appendix A of the UNE Faculty Handbook

Faculty participation in governance promotes diversity of ideas, shared responsibility, collaboration, collegiality and institutional excellence. All College or equivalent Faculty Assemblies derive their powers from the authority delegated to the University faculty by the Board of Trustees.

H. Amendments

These University Faculty Assembly Bylaws may be amended, altered, or replaced at any regular or special meeting of the Faculty Assembly, provided that due notice of the proposed change is given in advance of such a meeting. A quorum must be present and a simple majority will constitute support for a proposed change.

For every faculty member, regardless of date of hire, applicable standards and protocols always will be those described in the most recently Board-approved version of this handbook.

Edited by UFA Approval July 2014, January 2015, September 2019, April 2021.

APPENDIX B

University of New England Institutional Standing Committees

The following are standing committees within the University on which faculty may expect to serve. The President or his/her designee will appoint members of these committees in accordance with all external requirements, unless indicated otherwise.

A. Institutional Animal Care and Use Committee (IACUC)

1. The IACUC committee provides oversight of the institution's animal program, facilities, and procedures. It is composed of five members according to the compositional requirements set forth in the United States Public Health Service (USPHS) policy on animal care and use committees. A detailed list of the duties and responsibilities of this committee can be found in the Assurance of Compliance with USPHS Policy on Humane Care and Use of Laboratory Animals by Awardee Institutions. A copy of this assurance is held by the chairperson of the committee.
2. Term of office will be one year, with each member eligible for indefinite reappointment.

B. Institutional Review Board (IRB)

1. The IRB is a specially constituted review body established to protect the welfare of human subjects in research. The committee is constituted of at least 5 members from various disciplines including:
 - a. At least one member with scientific expertise and one member who serves as a non-scientist.
 - b. At least one member who is not affiliated with UNE and is not part of the immediate family of a person who is affiliated with UNE.
2. IRB Committee members are appointed by the Vice President for Research and Scholarship and hold appointments of three years in length. The policies and procedures for the operation of the IRB at UNE can be accessed through the Office of the Vice President for Research and Scholarship.

C. University Benefits Committee

The University Benefits Committee discusses employee benefits, identifies and explores potential areas of improvement in benefits as well as disseminates information about UNE benefits to employees. The aforementioned is done to ensure optimal understanding of benefits at UNE and to guide efficient utilization of the benefits. The Benefits Committee makes recommendations to the Senior Vice President of Finance and Administration (SVPFA) in writing through the chair of the UNE Benefits Committee. UNE Benefits Committee members include University Faculty Assembly (UFA) Financial Affairs Committee chair, Professional Staff Assembly (PSA) chair or treasurer as appointed by the PSA chair, and the Associate Vice President/Chief Human Resources Officer who serve as Benefits Committee chair. The SVPFA is an ex-officio member of the UNE Benefits Committee. The Benefits Committee chair may invite other representatives to any meeting or discussion as warranted.

APPENDIX C

Colleges RPT Standards

Important Note: The process of modifying the Colleges RPT Standards and Subcollege standards will follow the procedures outlined in SECTION THREE, IV, A.5 of the Faculty Handbook.

COLLEGE OF ARTS AND SCIENCES (CAS) RPT STANDARDS

I. CLASSIFICATIONS AND RANKS

The College of Arts and Sciences has three classifications that are involved in the Review, Promotion and Tenure process:

- A. Non-Tenure Teaching classification: Assistant Teaching Professor, Associate Teaching Professor, Teaching Professor
- B. Tenure Track classification: Assistant Professor, Associate Professor, Professor

II. CRITERIA

A. Definitions

Achieving excellence in teaching and service is required of non-tenure teaching-track faculty and tenure-track faculty at the associate and professor ranks in the College of Arts and Sciences. Excellence in scholarship is required of tenure-track professors in the College of Arts and Sciences.

Additionally, individual CAS schools will develop their own scholarship criteria. Any revisions to school RPT criteria must be submitted to the CAS Faculty Affairs Committee by an annual deadline of October 15th. Following approval by the CAS Faculty Affairs Committee, the school criteria will be subject to a CASFA vote during the December CASFA meeting.

If a school's RPT criteria change prior to a candidate's scheduled review, the candidate will be evaluated by the criteria in effect at the time of portfolio submission, unless the candidate elects to be evaluated according to the criteria that were in place at the time of the last review (or time of hire if undergoing the first review at UNE), or at most six years prior, whichever is more recent. To be reviewed according to the previous criteria, the candidate must follow the process described below.

- In the Annual Report preceding the RPT review, candidates will note the decision to be evaluated by the previous RPT criteria, and will attach those criteria to the Annual Report prior to submitting to the Academic Director.

- For candidates applying for promotion to Associate rank: When the Dean notifies candidates of their eligibility for promotion (March 1st deadline), they must note in their responses that they elect to use previous RPT criteria, and attach those criteria to their responses to the Dean (May 1st deadline).

For candidates applying for promotion to Professor rank: When candidates notify the Dean of their intent to apply for promotion (May 1st deadline), they must note their decision to use previous RPT criteria, and attach those criteria in their correspondence with the Dean.

- At the time of submission, the candidates place the RPT criteria in the RPT portfolio (September 1st deadline).

Below (II. A. 1-3), we specify how excellence in teaching, scholarship, and service within CAS is defined and should be documented.

1. Teaching

Teaching excellence requires that the candidate demonstrate knowledge of pedagogy and content with a focus on student learning. No one metric can adequately demonstrate teaching excellence but the sum of materials presented should indicate that the candidate achieves student learning outcomes through engaged and appropriate pedagogies that reflect best practices in the discipline.

CAS recognizes that modes of documenting teaching can vary from discipline to discipline and that departments/schools will recognize and define those appropriate modes; however, all candidates must demonstrate excellence in teaching through multiple data sets including:

- Course syllabi
- Official College of Arts and Sciences student course evaluations
- Peer observations of teaching

Additional materials could include:

- Samples of examinations, projects, samples of student work, and other instructional materials that demonstrate the candidate's knowledge

of pedagogy with a connection to student learning outcomes

- Reference to self-evaluations focusing on responses to course evaluations and improvements in teaching
- Reference to Academic Director's annual reviews focusing on teaching
- Honors or recognitions for teaching
- Evidence of serving as an advisor on a research project, senior thesis, or other student driven independent inquiry as appropriate and defined by the department/school¹
- Professional development activities and identification of how these activities were implemented into teaching approaches
- Evidence of academic advising as appropriate and defined by the department/school²
- Additional evidence or documentation that the candidate believes is relevant

2. Scholarship

Excellence in scholarship requires that a candidate be a productive member of his or her community of scholars and show evidence that demonstrates a promise of continued productivity. In general, CAS accepts the definitions of scholarship as defined by Boyer (1990). Further, the Faculty Handbook states that the criterion for scholarship is “evidence of a creative program of independent inquiry constituting a credible body of work that is peer-reviewed and disseminated” (Section Three, II A 2).

CAS recognizes that modes of disseminating scholarship will vary from discipline to discipline and that departments/schools will recognize and define those appropriate modes. Normally, dissemination of research, scholarship, or creative activities, including presentations at meetings, should be distributed across the pre-tenure years rather than coming at a single point in time. Publication need not occur in every pre-tenure year, but should appear with a timeliness that assures a continuity of productivity following tenure. No single set of criteria can capture the spirit of this requirement for reappointment, promotion, and/or tenure in all cases, but a holistic review of the body of work presented will indicate whether a candidate has met the expectations.

Dissemination of research, scholarship or creative activities will typically include:

- Peer-reviewed presentation at discipline specific venues such as regional, national or international conferences, exhibits or performances
- Peer-reviewed publications or creative works

Other evidence of ongoing scholarly activity could include:

- Honors or recognition for scholarly achievements

- Invited or competitive scholarly presentation
- Citation of candidate's published work
- Patents, patent applications, and/or intellectual property disclosures
- Securing competitive intramural grants to support scholarly activity
- Submission of grant proposals to extramural funding agencies
- Securing competitive extramural grant or contract awards

Criteria used to evaluate the significance of the scholarly contributions will include:

- Venue for dissemination
- Leadership by the candidate when results are multi-authored
- Amount of work presented
- Opinions of external reviewers on scholarly activity

3. Service

Excellence in service requires that a candidate be generous with his or her time in activities that enrich his or her department/school, college, university and professional community. Opportunities for service should be selected by the candidate in consultation with the chair and will reflect the candidate's interests, skills and rank. Although no one metric can adequately demonstrate excellence in service, possible examples could include documentation of the following:

- Serving on and contributing to committees at the department, college, and university levels
- Contributing to and/or chairing a search committee
- Contributing to department/school or college curricular revisions (extends beyond one's courses)
- Advising a student club or group
- Supporting diversity activities
- Contributing to student persistence and recruitment efforts
- Contributing to the candidate's professional and/or civic community beyond UNE³

Candidates are encouraged to request letters documenting specific service contributions as activities are completed.

B. Non-Tenure Teaching Track: Reappointment and Promotion Policies and Procedures

Excellence in teaching and service is required of associate and full Teaching Professors in the College of Arts and Sciences and is critical to the evaluation for reappointment and promotion.

Normally, promotion to Associate Teaching Professor will be considered following six years of service at the Assistant Teaching Professor level and promotion to Teaching Professor will be considered after six years of service at the Associate Teaching Professor rank. Associate Teaching Professors may choose to extend the time to promotion to Teaching Professor, although the Faculty Handbook requires a four-level college review every six years. Faculty members wishing to stand for early promotion are advised to consult with their Academic Director. Exceptions to this policy will be stated at the time of hire. Scholarship is not required in the Teaching Track, or considered in performance reviews, unless it is a temporary workload component requested by the faculty member and mutually agreed upon by the faculty member, Academic Director and Dean (Request for Scholarship Time, below) and documented in Annual Review documents.

Request for Scholarship Time: For the purpose of professional development, faculty on the Teaching Track may apply for temporary reallocation of workload to include scholarship. The request must be initiated by the faculty member according to the process and timeline described below. If the time reallocation is awarded, the faculty member is required each semester to submit a progress report to the Academic Director and Dean, detailing the amount of time spent on the project, progress toward project goals and update on plan to completion of project.

Timeline and Procedures for Requesting Time for Scholarship (Non-tenure Teaching Track):

(If date falls on weekend, the next business day will apply)

September 15 th :	Faculty member submits proposal for reassigned time to Academic Director. Proposals must be written according to proposal guidelines, below.
October 1 st :	<p>Faculty member submits proposal with Academic Director’s support, and the Academic Director’s plan for teaching and/or service coverage, to the Dean.</p> <ul style="list-style-type: none"> a. Dean forwards proposal to the CAS Research and Scholarship Committee (RSC) for review and recommendation b. The RSC’s review of proposals is based on the quality of the proposal, the adherence to proposal guidelines (described below), and

	whether the timeline proposed is appropriate for the scope of the project.
November 1 st :	The RSC submits its decision to the Dean to either recommend or not recommend each proposal. a. Dean considers the recommendation of the RSC, along with potential impact on students, impact on service, available resources and the faculty member's previous record of requests for scholarship support.
November 15 th :	The Dean notifies the faculty member and Academic Director of the decision in writing.

Proposal Guidelines: Proposals for requesting time for scholarship will include the following items in the order given:

1. Title Page: Containing name and contact information of faculty member requesting time for scholarship; the name of the faculty member's school; date of submission; and a descriptive title for the project.
2. Project Purpose, Objectives and Activities: A description of the purpose and nature of the project, along with specific objectives and activities to be completed during the requested time. Project descriptions should be intelligible to persons not familiar with the area of scholarship (limit three pages).
3. Scope of the project: Amount of time requested in a given semester (maximum 20% of workload) and number of semesters (maximum of three).
4. Financial support, if applicable: Explanation of internal or external grant funding obtained for the work proposed in #2.

Third-Year Review: Candidates standing for reappointment must demonstrate sufficient progress in teaching and service towards promotion to Associate Teaching Professor commensurate with the goals defined under the prior

sections entitled “Teaching” and “Service”. Candidates who do not demonstrate sufficient progress in teaching and service towards promotion to Associate Teaching Professor may be non-renewed as per SECTION FOUR: TERMINATION AND NON- RENEWAL OF EMPLOYMENT in the Faculty Handbook.

Sixth-Year Review: Promotion to Associate Teaching Professor: Assistant Teaching Professors submitting for promotion must demonstrate excellence in teaching and service as defined under the prior sections entitled “Teaching” and “Service” to be promoted to Associate Teaching Professor. Assistant Teaching Professors submitting for promotion who have not demonstrated excellence in teaching and service but have demonstrated sufficient additional progress in teaching and service towards promotion to Associate Teaching Professor will be reappointed to Assistant Teaching Professor and must submit for promotion to Associate Teaching Professor in no more than three years (Ninth-Year Review, see below). Assistant Teaching Professors electing to submit for reappointment who have demonstrated sufficient additional progress in teaching and service towards promotion to Associate Teaching Professor will be reappointed to Assistant Teaching Professor and must submit for promotion to Associate Teaching Professor in no more than three years (Ninth-Year Review, see below). All candidates submitting for promotion to Associate Teaching Professor or reappointment to Assistant Teaching Professor who do not demonstrate sufficient additional progress in teaching and service towards promotion to Associate Teaching Professor will be non-renewed as per SECTION FOUR: TERMINATION AND NON-RENEWAL OF EMPLOYMENT in the Faculty Handbook.

Ninth-Year Review: (Does not apply to Associate Teaching Professors). Assistant Teaching Professors must elect to submit for promotion in their seventh-year, eighth-year, or ninth-year, at their choosing, and demonstrate excellence in teaching and service as defined under prior sections entitled “Teaching” and “Service” to be promoted to Associate Teaching Professor. Those candidates submitting for promotion to Associate Teaching Professor in the seventh, eighth, or ninth year who do not demonstrate excellence in teaching and service will be non-renewed as per SECTION FOUR: TERMINATION AND NON-RENEWAL OF EMPLOYMENT in

the Faculty Handbook.

Promotion to Teaching Professor: Promotion to Teaching Professor is granted to those Associate Teaching Professors who have achieved a stature of leadership among the UNE faculty. Promotion will be granted only if there is a record of continued excellence as a teacher and evidence of evolution in teaching acumen beyond the level required for promotion to Associate Teaching Professor.

Teaching Professors should be considered among the most accomplished teachers in the University and promotion will be granted only to those who have attained that stature. The service contributions of the candidate should be more extensive for promotion to Teaching Professor than for promotion to Associate Teaching Professor. Associate Teaching Professors should demonstrate significant leadership in the UNE community in order to be promoted to Teaching Professor. If a candidate is denied promotion, the CAS College RPTC will recommend a minimum timeframe prior to re- submittal.

C. Tenure Track: Reappointment, Promotion, and Tenure Policies and Procedures

Excellence in teaching, service, and scholarship is required of tenure-track classification professors in the College of Arts and Sciences and is critical to the evaluation for reappointment and promotion. Normally, promotion to Associate Professor will be considered following six years of service at the Assistant Professor rank and promotion to Professor will be considered after six years of service at the Associate Professor rank. However, Associate Professors may choose to extend the time to promotion to Professor so as to have an appropriately strong portfolio. Faculty members wishing to stand for early promotion are advised to consult with their Academic Director. Exceptions to this policy will be stated at the time of hire.

Third-Year Review: Tenure track candidates standing for reappointment in the third year must show sufficient progress in teaching, scholarship and service commensurate with the goals defined above to indicate that there is a reasonable assurance that the standards for promotion will be met in the sixth-year review.

Tenure and Promotion to Associate Professor: Assistant Professors standing for promotion must demonstrate excellence in teaching, scholarship, and service as defined above.

Standards for Promotion to Professor: Promotion to Professor is granted only to those Associate Professors who have achieved a stature of leadership among the UNE faculty and in their community of scholars. Promotion will be granted only if there is a record of continued excellence as a teacher and evidence of evolution in teaching acumen beyond the level required for promotion to Associate Professor. Professors should be considered among the most accomplished teachers in the University and promotion will be granted only to those who have attained that stature. Candidates are expected to demonstrate a continued level of excellence in scholarly productivity. Service contributions of the candidate should be more extensive for promotion to Professor than for promotion to Associate Professor. If a candidate is denied promotion, the CAS College RPTC will recommend a minimum period of time prior to resubmittal.

III. COLLEGE SPECIFIC CONSIDERATIONS

A. Composition of the subcollege RPTC

1. The composition of the subcollege RPTC will be determined by the appropriate Department Chair/Academic Director and should include, whenever possible, members from the candidate's school and/or discipline. The subcollege RPTC will have a minimum of three members with the total membership always being an odd number.
2. The subcollege RPTC for tenure track faculty must consist of tenured faculty at the rank of Associate Professor or Professor.
3. The subcollege RPTC for teaching track faculty, when possible, will contain at least one member who is teaching track faculty at the Associate or Professor rank.

B. Composition of the college RPTC

1. The composition of the college RPTC will follow the guidelines of the Faculty Handbook, Section *THREE, IV, B.2*. Normally, members elected or appointed to the Committee will serve two-year terms. The terms of the Committee's members should be staggered, so that new members join at least two continuing members each year.

2. The college RPTC for tenure track faculty must consist of tenured faculty at the rank of Associate Professor or Professor.
3. The college RPTC for teaching track faculty, when possible, will contain at least two members who are at the Associate or Professor rank and they only will take part in the review of Teaching Professor portfolios.
4. The CAS RPTC will elect its own chair. The Chair will be a continuing tenured member of the Committee elected by the outgoing committee prior to the close of the academic year, in order to provide continuity and a contact person should RPT issues or questions arise during the summer prior to the seating of the incoming committee.

C. External reviews for scholarship: Timeline for solicitation.

External reviewers for RPT candidates will be selected using the process outlined in the Faculty Handbook, Section *THREE, IV, A.11*. Tenure-track candidates being reviewed for tenure and/or promotion must submit their scholarship materials to be sent out for external review to his or her Academic Director by June 8th. These materials, along with a copy of Section II.A.2 of this document, will be sent no later than June 15th with a deadline given to the external reviewers of August 15th.

IV. REFERENCES

Boyer, E. L. (1990). *Scholarship reconsidered: Priorities of the professoriate*. NY: The Carnegie Foundation for the Advancement of Teaching.

¹ In general, CAS considers research/scholarship mentoring to be a component of teaching; however, individual department/school protocols may have candidates include these activities in the scholarship area of portfolios instead of in teaching.

² In general, CAS considers academic advising to be a component of teaching; however, individual department/school protocols may have candidates include advising activities in the service area of portfolios instead of in teaching.

³ No amount of service outside of UNE will compensate for weak service contributions within UNE.

**WESTBROOK COLLEGE OF HEALTH
PROFESSIONS REAPPOINTMENT, PROMOTION
AND TENURE POLICIES AND PROCEDURES**

**Approved by WCHP Faculty
May 7, 2021**

INTRODUCTION

The Westbrook College of Health Professions (WCHP) has established the following reappointment, promotion, and tenure standards. When a new faculty member is employed, the department chair/program director will give the faculty member the most recent Board of Trustees-approved version of the University of New England Faculty Handbook. The chair/director will meet with the new faculty member to discuss these standards and protocols and specifically advise the new faculty member on the explicit criteria for promotion within the department. Expectations in teaching, service, and/or scholarship should be outlined in the Letter of Hire and/or Annual Review documents, which will be used to standardize the review process. Every faculty member will receive a written annual review conducted by the chair/director according to the defined policies of the University Faculty Handbook. Percent effort allocation in teaching, service, and/or scholarship will be reviewed and re-documented in writing during the annual review process. The candidate's self-evaluative statement will operationalize percent effort for the period under review, and the details of percent effort should match the allocations documented in the annual performance evaluations. It is ultimately the responsibility of the individual faculty member to be aware of the criteria and standards for promotion.

WCHP faculty have a wide range of academic backgrounds and responsibilities and no single list of criteria for advancement could accommodate all. All levels of RPT must, therefore, be flexible within the parameters provided in the University Faculty Handbook in its comparison of the performance of an individual faculty member with the standards summarized below. Particular criteria will have varying degrees of relevance for different positions within the academic divisions of the College.

I. CLASSIFICATIONS AND RANKS

At the time of hire the Westbrook College of Health Professions may hire a faculty member into any rank, tenure or non-tenure, as defined by the University Faculty Handbook.

- A. Tenure-track** faculty will be evaluated by criteria in teaching, scholarship and service over the course of the review period. Tenure-track faculty must demonstrate excellence in all three areas.
- B. Non-tenure teaching or clinical-track faculty** will primarily be evaluated by their teaching and service. If scholarship is evaluated on this track, then effort in scholarship should be negotiated and documented with the chair/director and Dean in the initial appointment letter as well as during annual reviews. Reappointment and promotion will be based on

demonstrated excellence in teaching and service, and productivity in scholarship consistent with percent effort.

- C. Non-tenure track research faculty** should negotiate their effort in teaching, service, and scholarship with their chair/director and Dean to include any requirements applying to review and promotion. Productivity must be demonstrated within the negotiated allocation of effort.

II. CRITERIA

A. Definitions

The achievement of excellence in teaching and service is required of those on the teaching professor, clinical, research, and tenure tracks. Additionally, excellence in scholarship is required of both the research and tenure tracks. Those on the clinical track also require proper credentialing. Excellence in teaching, service, and scholarship within WCHP are defined below:

1. Teaching Excellence

The ability to demonstrate knowledge of content, knowledge of pedagogical theory and effective teaching methodology focusing on student learning is essential to achieving teaching excellence. Many attributes contribute to achieving student learning outcomes. All candidates must demonstrate commitment to teaching excellence based on criteria to include:

- Official WCHP student course evaluations;
- Course syllabi;
- Sub-college observations of teaching.

Additional material may include:

- Reference to self-evaluations; improvement in teaching based on critical analysis of course evaluations; readiness to evaluate and improve teaching, ability to organize and master subject material, ability to present clearly;
- Evidence of contribution to service learning;
- Evidence of interprofessional contributions through teaching;
- Reference to focus on student-centered learning; ability to help students define and pursue academic goals, ability to stimulate student interest and performance, ability to encourage active learning and critical thinking, development of new, effective methodologies;
- Reference and provide samples of examinations, student projects, and material which demonstrate the candidate's ongoing professional development of teaching strategies in connection to enhancing student learning;
- Reference departmental annual teaching reviews;

- Honors and recognitions for teaching contributions;
- Reference to invited and/or peer-reviewed presentations that describe innovative teaching or assessment strategies, and publications that reflect the scholarship of teaching;
- Evidence of student-centered and effective academic advising as defined by the department (in some departments this may be considered in the service aspect *not* teaching)
- Evidence of mentoring or advising on student projects (research, honors thesis, independent study);
- Reference to additional evidence or documentation of relevance to the candidate.

2. Service Excellence

Four levels of meaningful service are considered: a) service to department; b) service to college; c) service to university; and d) external service to the candidate's professional and/or scientific society. The college also values service to the community. All candidates must demonstrate excellence in service by providing evidence of generosity of time in activities that contribute to the enrichment of the candidate's department, college, university, and/or profession. Service at all four levels is not a requirement for promotion or the awarding of tenure, but rather the candidate should demonstrate a balance of meaningful service activities.

Service is generally not demonstrated by activities in which the candidate is contractually or otherwise compensated (e.g. Program Director, Clinical Coordinator). However, if the candidate believes that his or her activities in these areas go above and beyond expectations, it is incumbent on the candidate to provide a rationale for the additional activity to be considered service.

Excellence in service can be demonstrated by, but not limited to the following examples:

- Evidence of active participation on committees at the department, college, and university levels;
- Evidence of active participation in curriculum development at the department or college level;
- Evidence of active participation as faculty advisor to student organizations;
- Evidence of active participation in interprofessional activities;
- Evidence of facilitation of extracurricular student activities;
- Evidence of contributions to professional affiliations;
- Evidence of organization of conferences or workshops within professional field;
- Service as editor/reviewer on journals, grant proposals, or books;
- Evidence of contribution to civic community¹.

¹ Service outside the UNE community does not compensate for lack of service within the UNE community.

3. Scholarship Excellence

To be considered as scholarship, the candidate's work must be disseminated, meeting peer review standards common in the candidate's discipline. The primary criterion is the creation of a body of scholarship in one's discipline that goes beyond that required for the terminal degree, has been disseminated to one's scholarly peers, has been positively judged by those peers, and has been sustained while at the University of New England. The College values all of Boyer's categories of scholarship:

- a) Scholarship of Discovery: demonstrates a commitment to making particular and unique contributions to knowledge within a discipline. It involves the process of confronting the unknown, seeking understanding, looking freshly, probing new ideas, and answering the question, "What is to be known and made known?" It may be evidenced by publication, artistic products, and other forms of professional dialogue with one's peers.
- b) Scholarship of Integration: demonstrates a commitment to interpreting knowledge, making connections across disciplines, and placing knowledge in perspective. It involves illuminating, interpreting, critically analyzing data, and sharing with colleagues' answers to the question, "What do the findings of research mean?" It may be evidenced by publication, artistic production, and other forms of professional conversation with colleagues in one's own and in other disciplines.
- c) Scholarship of Application: demonstrates a commitment to using knowledge responsibly to solve problems of consequence to human welfare. It may be evidenced by publication, artistic production, and other forms of professional involvement and leadership beyond the academic community.
- d) Scholarship of Teaching: demonstrates a commitment to understanding and improving the process of teaching and learning. It involves critical inquiry into the development of effective approaches and methodologies to communicate one's discipline, and seeks to raise as well as answer questions. It may be evidenced by publication, artistic products, and by other forms of intellectual and professional exchange among colleagues. As with all other forms of scholarship, the demonstration of interaction with professional peers is integral to the scholarship of teaching.
- e) Scholarship of Engagement: the identification, understanding and resolution of significant social, civic, or ethical problems including systematic data collection, analysis, interpretation, and impact.

Evidence of scholarly activity includes but is not limited to the following:

- Invited or competitive scholarly presentations;
- Publication in refereed journals or proceedings; publication of books or chapters in edited volumes;
- Securing competitive intramural grants to support scholarly activity;
- Submission of grant proposals to extramural funding agencies; Securing extramural grant or contract awards;
- Dissemination of intellectual property (e.g., inventions and creations) that are meaningful to the candidate's field of study or the scholarship of teaching;
- Honors or recognition for scholarly achievements.

B. Non-Tenure Teaching Professor Classification: Reappointment and Promotion Policies and Procedures

Demonstrated excellence in teaching and service is required of Associate Teaching Professors and Teaching Professor ranks in the Westbrook College of Health Professions. Faculty members wishing to stand for early promotion are advised to consult with their department chair/director. Exceptions to policy will be stated at time of hire.

1. Third-Year Review:

Candidates standing for reappointment in the third year will demonstrate sufficient progress in teaching and service as defined by the aforementioned criteria in "Teaching Excellence" and "Service Excellence" sections. Progress will be indicative of sufficient potential providing reasonable assurance that the standards for promotion will be met at the sixth-year review. The recommendation of the College RPT Committee is critical for passage at third-year review, and only those candidates who have demonstrated promise will be allowed to progress towards sixth-year promotion.

2. Promotion to Associate **Teaching Professor**:

Promotion to Associate **Teaching Professor** will be considered after six years of service at the rank of Assistant Teaching Professor. Faculty standing for promotion must demonstrate excellence in teaching and service as defined in the aforementioned criteria in "Teaching Excellence" and "Service Excellence" sections. The recommendations of the Sub-college RPT Committee are critical for promotion, and only those candidates who have demonstrated excellence in teaching and significant service will be promoted. However, candidates should bear in mind that no amount of service can compensate for inadequate teaching.

3. Promotion to Teaching Professor:

Promotion to Teaching Professor typically will be considered after six years of service at the rank of Associate Teaching Professor for those faculty who:

- Are among the most accomplished teachers; that is; those who demonstrate a record of continued excellence in teaching, including evidence of enhancement and involvement of teaching beyond that required at the rank of Associate Teaching Professor.
- Demonstrate a record of continued excellence in service, including evidence of enhancement and involvement of service beyond that required at the rank of Associate Teaching Professor.

An extension may be granted when considering time to promotion from the Associate Teaching Professor to Teaching Professor rank. However, a college review is required every six years. Associate Teaching Professors seeking a six-year reappointment without promotion to Teaching Professor will be evaluated using the criteria for promotion from Assistant to Associate Teaching Professor.

C. Non-Tenure Clinical Professor Classification: Reappointment and Promotion Policies and Procedures

Demonstrated excellence in teaching, service, and appropriate credentialing is required of associate and teaching professors in the Westbrook College of Health Professions. Faculty members wishing to stand for early promotion are advised to consult with their department chair/director. Exceptions to policy will be stated at time of hire.

*Credentialing:

Faculty members for whom licensure or certification is required for teaching are expected to maintain currency in their fields. The following examples may be considered as measures of such currency:

- Evidence of maintenance of unrestricted state licensure;
- Evidence of maintenance of all credentials and privileges associated with clinical practice, as appropriate to practicing responsibilities;
- Evidence of satisfactory completion of all continuing-education requirements associated with level of practice;
- Evidence of progress and success in certification and recertification with professional societies, as appropriate to discipline and practice responsibilities.

Candidates should document satisfaction of these to the extent possible.

1. Third-Year Review:

Candidates standing for reappointment in the third year will demonstrate sufficient progress in teaching and service as defined by the aforementioned criteria in “Teaching Excellence” and “Service Excellence” sections. Progress will be indicative of sufficient potential providing reasonable assurance that the standards for promotion will be met at the sixth-year review. Candidates must also demonstrate evidence of appropriate credentialing as described in the previous “Credentialing” section. The recommendation of the College RPT Committee is critical for passage at third-year review, and only those candidates who have demonstrated promise will be allowed to progress towards sixth-year promotion.

2. Promotion to Associate Clinical Professor

Promotion to Associate Clinical Professor will be considered after six years of service at the rank of Assistant Clinical Professor. Faculty standing for promotion must demonstrate excellence in teaching and service as defined in the aforementioned criteria in “Teaching Excellence” and “Service Excellence” sections. Candidates must also demonstrate ongoing and appropriate credentialing as described in the previous “Credentialing” section. The recommendations of the sub-college committee are critical for promotion, and only those candidates who have demonstrated excellence in teaching, significant service, and continued credentialing will be promoted. Candidates should bear in mind that no amount of service can compensate for inadequate teaching.

3. Promotion to Clinical Professor

Promotion to Clinical Professor typically will be considered after six years of service at the rank of Associate Clinical Professor for those faculty who:

- Demonstrate a record of continued excellence in teaching, including evidence of enhancement and evolution of teaching beyond that required at the rank of Associate Clinical Professor rank.
- Demonstrate a record of continued excellence in service, including evidence of enhancement and evolution of service beyond that required at the rank of Associate Clinical Professor rank.
- Demonstrate continued and proper credentialing.

An extension may be granted when considering time to promotion from the Associate Clinical Professor to Clinical Professor rank. However, a college review is required every six years. Associate Clinical Professors seeking a six-year reappointment without promotion to Clinical Professor will be evaluated using the criteria for promotion from Assistant to Associate Clinical Professor.

D. Non-Tenure Research Professor Classification: Reappointment and Promotion Policies and Procedures

Demonstrated excellence in scholarship and teaching and/or service (5%) is required of Associate Research Professor and Research Professor in the Westbrook College of Health Professions. Faculty members wishing to stand for early promotion are advised to consult with their chair/director. Exceptions to policy will be stated at time of hire.

1. Third-Year Review:

Candidates standing for reappointment in the third year will demonstrate sufficient progress in scholarship and teaching and/or service as defined by the aforementioned criteria in “Scholarship Excellence”, “Teaching Excellence” and “Service Excellence” sections. Progress will be indicative of sufficient potential providing reasonable assurance that the standards for promotion will be met at the sixth-year review. The recommendation of the College RPT Committee is critical for passage at third-year review, and only those candidates who have demonstrated promise will be allowed to progress towards sixth-year promotion.

2. Promotion to Associate Research Professor:

Promotion to Associate Research Professor will be considered after six years of service at the rank of Assistant Research Professor. Faculty standing for promotion must demonstrate excellence in excellence in scholarship and teaching and/or service as defined in the aforementioned criteria in “Scholarship Excellence”, “Teaching Excellence” and “Service Excellence” sections. The recommendations of the sub-college committee are critical for promotion, and only those candidates who have demonstrated excellence in teaching, significant service, and continued credentialing will be promoted.

3. Promotion to Research Professor:

Promotion to Research Professor typically will be considered after six years of service at the rank of Associate Research Professor for those faculty who:

- Demonstrate a record of continued excellence in Scholarship, including evidence of enhancement and evolution of scholarship beyond that required of at the rank of Associate Research Professor.
- Demonstrate continued excellence in either teaching or service, including evidence of enhancement and evolution of teaching and /or service beyond that required at the rank of Associate Research Professor.

An extension may be granted when considering time to promotion from the Associate

Research Professor to Research Professor rank. However, a college review is required every six years. Associate Research Professors seeking a six-year reappointment without promotion to Research Professor will be evaluated using the criteria for promotion from Assistant to Associate Research Professor.

E. Tenure Track: Reappointment, Promotion, and Tenure Policies and Procedures

Excellence in teaching, service, and scholarship are required of tenure-track classification. Promotion to Associate Professor will be considered after six years of service at Assistant Professor level; promotion to Professor will typically be considered after six years of service at Associate Professor. Faculty members wishing to stand for early promotion are advised to consult with their chair/director. Exceptions to policy will be stated at time of hire.

1. Third-Year Review:

Candidates standing for reappointment in the third year will demonstrate sufficient progress in teaching, service, and scholarship as defined by the aforementioned criteria in “Teaching Excellence”, “Service Excellence”, and “Scholarship Excellence” sections. Progress will be indicative of sufficient potential providing reasonable assurance that the standards for promotion will be met at the sixth-year review. The recommendation of the College RPT Committee is critical for passage at third-year review, and only those candidates who have demonstrated promise will be allowed to progress towards sixth-year promotion.

2. Tenure and Promotion to Associate Professor:

Faculty standing for promotion must demonstrate excellence in teaching, service, and scholarship as defined in the aforementioned criteria in “Teaching Excellence”, “Service Excellence”, and “Scholarship Excellence” sections. The recommendations of the sub-college committee are critical for promotion, and only those candidates who have demonstrated excellence in teaching, service, and scholarship will be promoted.

3. Promotion to Professor:

Promotion to Professor will be granted to only those who demonstrate a record of continued excellence in teaching, including evidence of enhancement and evolution of teaching beyond that required of an Associate Professor rank. Professors are to be considered to be amongst the most accomplished teachers, and the rank of Professor will only be granted to those attaining that status. In addition, there must be a record of continued excellence in service, including evidence of enhancement and evolution of service beyond that required of Associate Professor rank. Promotion to Professor also requires continued evidence of excellence in scholarly productivity.

III. EVALUATION PROCEDURES

Consistent with the University Faculty Handbook, RPT reviews in the Westbrook College of Health Professions are conducted according the principle of incremental substantive, cumulative review – in which each successive review builds upon a foundation created by all previous reviews. Refer to the University Faculty Handbook for details.

A. Formation of the College-level RPT Committee

WCHP will have a college committee of at least five faculty at the associate or full professor ranks who have undergone third-year RPT review at UNE or are tenured. Three members for a 5-person committee will be recommended by vote of the full-time faculty, and the remainder will be appointed by the Dean. One faculty member should be elected from each of the sub-college areas defined for RPT review. To ensure consistency in the process, appointments should typically be for two-year terms with staggered end dates. The general committee make-up should strive to resemble the diversity of candidates being evaluated in terms of tenure/clinical track, associate/full rank, and/or candidate background/terminal degree. Both tenure and non-tenure track faculty may serve on this committee, and all members will discuss and vote upon all dossiers. Elections for the college RPT will take place in March. If the college does not have enough qualified faculty to serve on the college RPT committee, then the process described in the UFH Evaluation Procedures applies. The committee chair is elected by a majority of the committee, and should have served on the committee in a previous year.

Westbrook College of Health Professions

Annotated RPT Checklist

The following RPT Checklist is an annotated version of the RPT Checklist described in the University Faculty Handbook (Attachment 1). The annotations are intended to help RPT candidates assemble a complete and well-constructed electronic portfolio.

Prior to submission, candidates are strongly encouraged to seek feedback about their portfolio from a UNE faculty member who has previously been through the RPT process.

_____ 1) Cover sheet with candidate's name, department, home college, action expected of RPTC, and date

_____ 2) RPT E-Binder Annotated Table of Contents

- Annotations help the reader quickly understand the type of materials included in each section of the electronic portfolio
- Annotations may not be necessary if the materials in each section of the electronic portfolio are well organized using descriptive folder and filenames that clearly convey their contents.

_____ 3) Completed RPT checklist with faculty signature

_____ 4) Curriculum vitae (CV), and, as applicable, licensure documentation

- CV should be constructed so that a reviewer can easily and quickly identify all relevant teaching, service, and scholarship accomplishments described elsewhere in the portfolio
- Licensure documentation, if applicable, should reflect continuous licensure throughout the period of review
- Licensure documentation should include evidence of continuing education, especially if required for licensure

_____ 5) Years of service documentation (letter of hire and any subsequent changes to the contract)

_____ 6) Self-evaluative Statement:

A narrative self-evaluation of teaching, scholarship and service contributions. Candidates are encouraged to evaluate themselves in the context their development as a UNE faculty member and progress toward their unique professional goals. The narrative should include:

- Your teaching philosophy
- Evaluation of teaching (strengths and weaknesses)
- Response to student course evaluations

- Evaluation of Service contributions
- Explanation and evaluation of scholarship (if applicable to your classification) in the context of the candidate’s clinical profession or academic discipline

_____ 7) Teaching—sections “a” and “b” listed below should be separately grouped

a. Documentation of teaching since last review or at most past six years (please specify) including all syllabi

b. Written formal evaluations of teaching from students since last review or at most the past six years. A written explanation should be provided if the evaluations are not complete. Any absence of data should be addressed in the self-evaluative statement

c. Letters of internal peer faculty observations of teaching if your department/program requires these letters

d. Additional teaching documentation (if any)

_____ 8) Scholarly activity, documentation of scholarly activity since last review (please specify)

- Published scholarly works should be identified as peer reviewed or non-peer reviewed
- Scholarly presentations should be identified as peer reviewed or non-peer reviewed
- Grants should be identified as “submitted, funded, or not funded.”
- Descriptions of other scholarly works should help an unfamiliar reader understand the context and/or audience for which the work was intended

_____ 9) Service, documentation of service since last review (please specify)

- Documentation should reflect the candidate’s role and time commitment
- Candidates are encouraged to document their service using a letter from a person of authority who is familiar with the candidate’s contribution

_____ 10) All evaluations from prior annual evaluations and RPT reviews organized by type

- Annual Performance Reviews, Parts A and B with signatures of the candidate, supervisor, and Dean
- Sub-college RPTC review
- Chair/Director RPT review
- College RPTC review
- Dean RPT review
- University RPTC review

_____ 11) Other information that the candidate believes to be relevant (please specify)

Faculty’s signature certifying completion of the portfolio, items 1 through 11 Date

The candidate's Dean will be responsible to ensure that the written evaluations from at least three external peer reviews are inserted prior to the sub-college RPTC review. These letters will be inserted in a separate tab marked "External Letters of Review" following all sections that the candidate has compiled.

If the candidate has a joint appointment in more than one college and the effort in the secondary college is 20% or more, the Dean from the primary college will request a letter from the Dean of the secondary college and this letter will be inserted by the Dean of the primary college prior to the sub-college RPTC review.

After each level of review (sub-college RPT committee, chair/director, college committee, dean), the written letter of the committee/reviewer will be inserted in the final tab of the portfolio marked "Current RPT Evaluations" for inclusion at the next level/s of review with this checklist being checked off and signed at the appropriate place below.

Written evaluations from each level of the current review inserted at the appropriate stage of review

- Sub-college RPTC

Signature date

- Chair/Director

Signature date

- College RPTC

Signature date

- Dean

Signature date

- University RPTC

Signature Date

**COLLEGE OF OSTEOPATHIC MEDICINE
COLLEGE RPT STANDARDS
University of New England College of Osteopathic Medicine
Approved by COM Faculty Assembly June 2013**

Introduction:

This document will set forth the organization of the faculty within the University of New England College of Osteopathic Medicine. It will specifically address the process for the granting of promotion and tenure within the faculty of the College of Osteopathic Medicine (COM). The COM consists of faculty with diverse backgrounds and varied job responsibilities. The purpose of this document is to develop a process which will allow the COM faculty across all disciplines to evaluate their peers in a fair and equitable manner.

I. UNECOM RANKS AND CLASSIFICATIONS

A. Ranks and Classifications within COM

The faculty ranks are set by the University of New England Faculty Handbook and can be found in the Faculty Handbook, Section Two.

B. UNECOM Faculty Classifications

1. Tenure Track UNECOM Faculty

- a. Tenured positions within UNECOM adhere to all RPT policies as presented in the UNE Faculty Handbook [Section Two. II] with specific criteria for each area listed in Section II of this UNECOM RPT document. Tenure track is determined at the time of hire. The criteria for teaching, scholarship and service will be reviewed in accordance with the Personal Responsibility Agreements (PRAs) over the course of the review period. The PRA is an annual agreement between the faculty member and the College which delineates the faculty member's percentage effort in teaching, scholarship and service, as well as clinical and administrative if appropriate. It also indicates teaching and committee responsibilities. Tenure-track faculty must be evaluated in all three areas.

2. Non-Tenured UNECOM Faculty

- a. Non-tenured positions within UNECOM adhere to RPT policies as presented in the UNE Faculty Handbook. Faculty members in these categories are covered by UNECOM's and the university's formal reappointment and promotion guidelines. Faculty members with regular half- and regular full-time non-tenure teaching professor track, clinical track or research track appointments will be evaluated for reappointment and promotion using procedures as for tenure track faculty members with specific criteria for each area listed in Section II of this UNECOM RPT document.

Criteria

- i. Non-tenure track clinical or teaching professor faculty are not required to engage in research or scholarship. In these cases, teaching and service will be considered in decisions for reappointment or promotion based on the percent effort as stated in the Personal Responsibility Agreement (PRA).
- ii. Non-tenure track research faculty should negotiate effort through the chair/section head and Dean to include any requirements applying to Review and Promotion. In these cases, productivity in scholarship/research will be considered in decisions for reappointment or promotion. The percent effort will be identified on the Personal Responsibility Agreement (PRA).

II. REVIEW CRITERIA FOR UNECOM

The following are the criteria for reappointment, promotion, and tenure that apply to faculty members in UNE COM. **All RPT levels of review will assess performance in each domain with reference to the PRA percentages assigned by the Department Chair:**

Teaching

Faculty carry out the educational mission of the College of Osteopathic Medicine, using a variety of teaching strategies that foster student learning and result in professional knowledge, attitudes, and skills. Teaching excellence is the keystone for review of faculty in academic medicine; however, the teaching load is not universal across all faculty members. Evidence through multiple data sets will determine successful teaching.

Examples of teaching in academic medicine comprise activities from two primary areas:

1. Classroom teaching of students or peers (e.g. lectures, small group facilitation, simulation laboratory, standardized patient, laboratory instruction, continuing education courses, grand rounds, professional development programs)
2. Curricular development, operations, and mentorship: The candidate may participate in the development of longitudinal teaching tools such as case development or rubric design, participate in curricular planning committees, and/or attain a teaching leadership role, e.g. course or program director. This may also include a lead teaching role, giving instructional feedback, staff development, capstone course, thesis and/or dissertation direction, or leading interdisciplinary collaboration.

1. **Criteria:** Faculty member engages in teaching activities that benefit the College, University, profession, and society. The faculty member should examine and provide evidence for the quality, breadth, and quantity of the teaching endeavor:

- **Evidence of Quantity:** (e.g., amount of teaching) include: number of hours teaching (duration and frequency of lectures); number of years teaching; number

of learners and/or groups taught.

- **Dimensions of Breadth:** (e.g., diversity of teaching) might include: different levels or types of learners; different courses; different styles/formats of teaching or assessment; different teaching settings/ small or large groups; old versus new curriculum; internal versus external teaching.

- **Evidence of Quality:** (e.g., success of teaching) include: evidence of excellence through student evaluations; peer observation/review; course director ratings; peer letters of support; outcome indicators (student performance).

2. Teaching Products or Exhibits examples:

- a. Examples of self-written learning objectives, teaching, and assessment materials
- b. Evaluations: Student evaluations; Peer evaluations and letters of support
- c. Developed case vignettes
- d. Local awards for teaching or mentoring; honors or recognitions for teaching contributions
- e. Invited presentation in the field of educational expertise
- f. Senior local leadership role in education
- g. Invitations to speak and teach locally about education, including outside the candidate's department
- h. Contributions to local professional educational organizations
- i. Selection for participation in limited enrollment training programs for educators
- j. Leadership role in regional or national courses related to education
- k. Awards for teaching or mentoring from sources other than the candidate's department/institution
- l. Visiting professorships and invitations to speak nationally or internationally on issues related to education
- m. Leadership of national or international courses related to education
- n. Serving as a consultant nationally or internationally on issues related to development of educational programs, methods, policy, or assessment
- o. National and/or international awards related to education or educational scholarship

3. Examples of Teaching Expertise Across Ranks:

- a. **Assistant Professor:** The Assistant Professor should provide evidence that s/he is performing at a competent level and is working towards excellence in view of future promotions. The assistant professor may be involved in the development and local adoption of educational material in print or other media including items such as syllabi, curricula, web-based training modules or courses, and/or technologies (e.g., simulation); s/he may also include development of educational methods, policy statements, and/or assessment tools.
- b. **Associate Professor:** The candidate for promotion to Associate Professor should provide evidence of excellence in teaching. They should have strong teaching

evaluations from students and faculty, with colleagues who request assistance in peer observations and improving instructional effectiveness. A candidate for promotion to associate professor develops sound teaching methods, participates meaningfully in curricular development, educational policy, or assessment tools. These curricular materials could have the opportunity for regional or national adoption. The candidate may begin tracking the number and stature of trainees upon whom s/he had a major influence, including feedback from trainees and publications with trainees.

- c. **Professor:** The candidate for Professor must show continued excellence in teaching as reflected in student and peer evaluations. A candidate for professor is teaching/lecturing nationally and/or internationally. Innovation in classroom teaching methods may be adopted nationally and/or internationally. The candidate should show increasing and sustained national and/or international presence as an educator. The candidate may have trainees upon whom s/he had a major influence, including feedback from trainees and publications with trainees.

Scholarship

Faculty carry out the mission of the College of Osteopathic Medicine to create new knowledge. In recognition of diverse faculty in the COM, the RPT process must take a broad view of scholarship while still demanding excellence in scholarship. The COM recognizes an expanded view of scholarship originally codified by Boyer in 1997. This includes four types of scholarship: discovery, integration, application, and the scholarship of teaching.

Tenure and research track faculty are required to meet these criteria. Clinical and ~~lecture~~ teaching professor track faculty are not required to meet criteria in this domain.

Evidence of a program of inquiry constituting a credible body of work that is peer-reviewed and disseminated will determine successful scholarship. When considering a faculty member for reappointment, promotion, or tenure, acceptable evidence of scholarship can include but is not limited to the publication of books and articles in peer reviewed journals. However, to qualify as excellence in scholarship, the product of one's professional efforts must be disseminated and must satisfy standards of peer review common to the discipline. Ordinarily, this will entail some form of independent critical scholarly evaluation. Although evaluators will consider submitted documentation of unpublished scholarship (e.g., theses, dissertations, or summaries of work in progress), it is incumbent upon candidates to demonstrate that their endeavors constitute scholarship as defined above.

1. Examples of may include, but are not limited to:
 - a. Basic science research
 - b. Quantitative and qualitative social science research such as epidemiology, outcomes and health services research, and biostatistics as well as research in social sciences, ethics, bioinformatics and health economics, among others;

- c. Development/implementation, conduct of studies, data collection and/or analysis of new or existing data; may make intellectual contributions to multicenter studies
 - d. Development of new methods/technologies and/or novel applications of existing methods/technologies in basic science, clinical research, education, and social sciences and humanities
2. Evidence of meaningful scholarship might come in the form of:
- a. Invited or competitive scholarly presentations
 - b. Honors or recognitions for scholarly contributions
 - c. Publication in refereed journals or proceedings
 - d. Publication of books or chapters in edited volumes
 - e. Citation of candidate's published work
 - f. Grant/contract awards
 - g. Ongoing research leading toward dissemination and peer review
3. Examples of Scholarship Across Ranks:
- a. **Assistant Professor:** The Assistant Professor begins the development of a research program. The Assistant Professor should provide evidence of scholarly work that has or will be disseminated and peer reviewed in view of future promotions. The junior faculty should have protected time for the development of a research program. Work should begin to be disseminated through scholarly presentations to the college and at local and national conferences. The faculty member should be beginning the process of publication in peer reviewed journals. The faculty member should be seeking initial funding through small grants from foundations and national agencies.
 - b. **Associate Professor:** The candidate for Associate Professor should have a program of scholarship that is focused and shows sustained productivity. The candidate should be publishing in peer reviewed journals on a regular basis. They should have regular presentations at national and international meetings within the discipline. The candidate for Associate Professor continues to apply for funding from granting agencies. The research program should begin to broaden and may include collaborations with colleagues.
 - c. **Professor:** The candidate for Professor must show excellence and leadership in a scholarly program that has shown an increase in depth and breadth relative to the Associate Professor. The scholarship should show a continued strong focus with an increase in the complexity of the research. The candidate will have a national and international reputation as evidenced by presentation at national and international conferences. The candidate is committed to training futures scholars through undergraduate and graduate research programs. The candidate will also be serving as a mentor to junior faculty. These accomplishments are clear from evaluations from peers within the UNE COM faculty as well as from the peers in the faculty's discipline outside of UNE.

Service

Faculty carry out the mission of the College of Osteopathic Medicine through excellence in service to the College, University, the community, and the profession. Participation in governance and other civic activities is expected of everyone within the percent time employed. Evidence of the work performed and time spent on conducting committee (or other service) business should be provided. Evaluation should include the academic importance of service roles the faculty member has filled, the effectiveness of the faculty member's work in those roles, and the appropriateness of the service record given the faculty member's career stage. As faculty members advance through the professional ranks, they are expected to exhibit an increasing record of service in their professional area of performance. In summary, significant service need not be continuous, but it should appear in a balanced record over time, generally extending beyond a single review period. Meritorious service on the part of faculty members should include frequent periods of active engagement at all levels, and the score of such service is expected to increase as faculty member proceeds up the academic ladder of the professorate.

1. Examples of Service to the College/University and Profession Include:
 - a. Serves on standing committee or academic council, either by election or appointment, in order to conduct School/University business
 - b. Serves on college/university ad hoc committee
 - c. Maintains membership or holds office in local, state, national, regional, international professional organization
 - d. Serves as board member for health related local, state, regional, or national organization
 - e. Attends business meeting of national professional organization
 - f. Attends community meetings of organizations whose purpose is to promote health
 - g. Attends COM Faculty Assembly and UNE Faculty Assembly meetings
 - h. Review of grant proposals or books

2. Evidence of Service Might Include:
 - a. Descriptions of duties and responsibilities on committees
 - b. Letters of appointment to committees
 - c. Letters of support from committee chairs
 - d. Program and thank you note from a community function where you were leader or speaker
 - e. Community, College, or University Presentation/paper on an issue
 - f. Testifying (oral or written) regarding a policy change
 - g. Organizing a community event
 - h. Serving on a community or association Board of Directors (letter, webpage, photo)
 - i. Starting a new department (report)
 - j. Response to presentation to community organization
 - k. Op-Ed piece in community newspaper
 - l. Testimony on a specific issue to city council, legislative committee, e.g., health policy change
 - m. A creative work illustrating diversity

- n. Honor or recognition for service
 - o. Participation and/or Leadership role in community or professional organization
3. Examples of Service across Ranks:
- a. **Assistant Professor:** The college and the university benefits from the involvement of its junior level faculty member. An assistant professor is normally expected to provide service at the *local level* of the department or college, for example, by serving as a student advisor, as a member of the admissions committee, or as a member of a faculty search committee. Service at the Faculty Assembly or university level is relatively rare for Assistant Professor, but when it occurs, it is most appropriate for the service to be on university committees that do not have intensive and prolonged time demands.
 - b. **Associate Professor:** Candidates for Associate Professor are expected to serve their department, the college and the university, for example, as chairs and directors as well as through membership on standing committees and ad hoc committees. It is also expected that candidates for Associate Professor ranks give time to their profession through service on editorial boards, grant review committees, program and conference program committees. Candidates also serve as elected or appointed officers of professional societies or associations.
 - c. **Professor:** At the level of Professor, the expectations for candidates increase to include all of the categories initiated in the lower ranks of the professorate, including leadership at all levels of service. Service on certain high impact committees requiring senior faculty (e.g. RPT and Faculty Assembly committees) is expected. In addition, a candidate for Professor level is expected to serve on university-wide committees when appointed or invited. Candidates are expected to offer *frequent* and *broadly distributed* service to multiple constituencies within the academic community.

Clinical Domain

The College of Osteopathic Medicine recognizes the clinical domain as a separate category from the traditional categories of teaching, scholarship, and service. Clinicians carry out the clinical and administrative missions of the College of Osteopathic Medicine. Clinical Expertise comprises activities related to patient care, healthcare delivery, bedside education, and clinical research.

- 1. Criteria:
 - a. **Faculty engages in clinical care that benefit the health care facility, the community, the college, the University, and the profession. The faculty member plays a key role in activities that influence clinical practice and the delivery of healthcare.** As a *Clinician*, one might see movement from managing individual cases to managing larger patient groups, and from influencing one's individual patients to influencing clinical and social health practice policies.
 - b. Faculty engages in clinical teaching and mentorship (e.g. teaching in the clinic or hospital including clinical precepting, bedside teaching)

- c. Faculty may engage in clinical research involving patients, e.g., case reports, case series, and clinical trials
 - d. Faculty may engage in innovation and reform of healthcare policy and delivery. (e.g. participates on a clinical agency committee or task force to develop solutions to patient care problems, serves on community task force or committee to address health policy (delivery system) concerns)
2. Process or Strategy Examples/Evidence/Products of Clinical Expertise
- a. Up to date board certificate in specialty of practice
 - b. Up to date medical license
 - c. Colleague Review
 - d. Quality Service ribbons
 - e. CIR (Clinical Improvement Ratings)
 - f. OPPE (Ongoing Professional Performance reviews)
 - g. FPPE (Focused Professional Performance Reviews)
 - h. Recognition for expertise -- serving as clinically-oriented task force, consultant
 - i. Obtaining certification in area of specialty, receipt of honors/awards/recognition for excellence in specialty (Diplomat/Fellow)
 - j. Invitations to speak locally, and in many cases regionally & nationally, on issues related to area of clinical expertise
 - k. Role in local professional organizations related to clinical expertise, including participation as a speaker in courses and program development
 - l. Invitations to participate locally in the development of guidelines/protocols for quality improvement or management in area of clinical expertise; Service on regional, and most often national, committees developing guidelines and policies for management in area of clinical expertise
 - m. Service as peer reviewer for clinical journals; Membership on editorial boards in area of clinical expertise
 - n. Peer-reviewed funding to support innovations that influence clinical practice locally; Peer-reviewed funding to support innovations that influence clinical practice regionally, and most often nationally
 - o. Local, regional or national awards for contributions and/or innovation in the area of clinical expertise
3. Scholarship in the clinical arena may take varied forms:
- a. Publication of first or second authorship of original research, reviews and/or chapters related to area of clinical expertise; may include publication of research that assesses the effectiveness of innovative approaches to clinical care
 - b. Development of guidelines and/or protocols for patient treatment or delivery of care that are adopted locally
 - c. Commentary written about the healthcare field.

4. Examples of Clinical Expertise across Ranks:
- a. **Assistant Professor:** Candidates for assistant professor are expected to maintain competence, licensure and certification in clinical practice. Clinical effort is centered around direct patient care and bedside teaching. The candidate may hold local clinical leadership roles including operations level committees such as quality assurance, and/or participate in but not lead clinical research projects.
 - b. **Associate Professor:** Candidates for Associate Professor should provide continued high quality clinical care with increasing focus on maintaining the health of the community. The individual builds strong regional, and most often national, reputation as an expert and should be actively teaching in the clinical field. The candidate should be developing curricula in clinic based education such as clerkships or specific topics. The candidate should be participating and beginning to lead in the local and regional service delivery system including medical directorships, committee chair positions, and policy level committees. They may lead clinical research projects and mentor students in clinical scholarship.
 - c. **Professor:** Candidates for professor should have a sustained national, and in many cases international, reputation as a leader and innovator in a clinical field. Expertise must be demonstrated through scholarship, leadership in healthcare systems and/or policy development, high level curricular design. The candidate may be mentoring faculty in clinical teaching and scholarship. -

III. UNECOM SPECIFIC RPT CONSIDERATIONS

A. UNECOM Levels of Review for Promotion and/or Tenure:

Note: Each Level of Review states UNECOM specific policies, see the UNE Faculty Handbook RPT Section for information on UNE RPT Review Processes.

- 1. Level I Review: UNECOM Subcollege RPT committee (RPTC):
 - a. The candidate submits the names of three UNECOM Faculty to their Department Chair for Subcollege RPTC consideration. The Department Chair will pick two of the three names submitted by the candidate and will pick one additional member to make a Subcollege RPTC of three UNECOM faculty. The Department Chair will inform the candidate of the final composition of the Subcollege RPTC.
 - b. All Subcollege RPTC members must be at the rank of Associate Professor or Professor.
 - c. All Subcollege RPTC members for tenure track faculty must be tenured faculty member.
 - d. All Subcollege RPTC members for candidates in Clinical Departments must be from clinical departments.

e. If the Department Chair is unable to meet the criteria for the Team then the Committee may include faculty from other departments within COM. The committee will follow the procedure outline in SECTION THREE (Reappointment, Promotion, and Tenure Guidelines) and Attachment 2 of the Faculty Handbook.

2. Level II Review: UNECOM Department Chair

As outlined in SECTION THREE and Attachment 2 of the Faculty Handbook.

3. Level III: UNECOM RPT Committee

As outlined in SECTION THREE and Attachment 2 of the Faculty Handbook.

4. Level IV: UNECOM Dean

As outlined in SECTION THREE and Attachment 2 of the Faculty Handbook.

B. Early Consideration for RPT Process

Petition for early consideration for Promotion and/or Tenure must be approved by the department/program chair and the Dean.

C. Considerations for Promotion in Rank to Associate Professor or Professor

The criteria for promotion to Associate Professor and the granting of tenure are outlined in Section 3, III, A of the UNE Faculty Handbook.

The criteria for promotion to Professor are outlined in Section 2, III, B of the UNE Faculty Handbook. Promotion to Professor is the ultimate promotion for faculty at UNE. This rank requires excellence in all areas of teaching, scholarship and service. There is an expectation that there is an increase in the level and complexity of a faculty member's scholarship and service at the rank of Professor. Thus, faculty in the non-tenure tracks must show accomplishment in all areas to receive this honor.

D. COM peer letters of recommendation

Each candidate will solicit two letters of recommendation from COM faculty. Faculty on tenure track will ask for letters from tenured faculty; non-tenure track faculty will ask for letters from faculty at an associate professor or professor rank.

E. External Reviews for Scholarship and Professional standing

The quality of scholarship for the consideration of promotion and tenure is an important aspect of the review. Given the diverse nature of scholarship within the College it is valuable to seek outside review within the scholar's field. If the candidate's portfolio offers evidence of scholarship then an external review is required. By June 1, the candidate will submit the names of at least three professionals with the same or higher academic ranks from outside the UNE who would be capable of critically reviewing their scholarship and professional recognition (if applying for the rank of Professor). The candidate should provide a brief description of the reviewers' qualifications and standing

in their field. Names of collaborators (including co-authors) within the last three years should not be submitted. The Department Chair will select two of the three and will determine a third reviewer who is qualified to review the candidate's work. By July 1, the Dean's Office will be responsible for contacting the reviewers, sending out the appropriate review materials, i.e. candidate's curriculum vitae, the UNECOM RPT protocol. The letters will be sent to the UNECOM Dean, who will be responsible for placing the letters confidentially into the candidate's portfolio at the appropriate time.

**COLLEGE OF DENTAL MEDICINE
REAPPOINTMENT, PROMOTION AND TENURE
POLICIES AND PROCEDURES**

I. General Statement

This document sets forth the criteria and procedural guidelines to be used in the College of Dental Medicine (CDM) for the appointment of new faculty, and the interim and final reviews toward the recommendation for reappointment and promotion of non-tenured faculty. Each of these shall be conducted in accordance with the policies set forth in the University of New England, *Faculty Handbook*. All faculty hired by the College should be provided a copy of the *Faculty Handbook* and asked to read the document carefully prior to a formal meeting with the CDM Faculty Assembly Chair. At this meeting, the Chair will discuss the UNE RPT process in detail and answer any questions the new faculty member may have regarding the *Faculty Handbook*. This meeting will normally take place within the first month of being hired as part of the new faculty orientation. The faculty orientation will also include an introduction to axiUm, Blackboard, CoursEval, VitalSource, the CDM Faculty Handbook, the Clinic Manual and the clinic system in addition to the orientation conducted by Human Resources for all new UNE employees. The CDM Faculty Affairs and Development Committee will oversee the new employee orientation and assign faculty and staff to conduct the orientation.

A. Overview

In developing these Guidelines, the College of Dental Medicine has made certain basic assumptions. These are:

1. University salaried faculty appointments are made by the President upon recommendation of the Provost, who will act upon recommendation of the respective academic dean(s) and academic units(s) (college, school, or department). The faculty hire letter generated by the Dean of CDM will provide details regarding individual faculty workloads to ensure that all the goals of the College in the areas of teaching, scholarship, service and patient care are met. Currently, all of the faculty members in the College are hired as non-tenured clinical track positions. As such, this document does not describe the tenure track process because a faculty member cannot switch tracks after their initial appointment. If in the future, a faculty member is hired as a tenure track professor, this appendix will be amended accordingly. For further information on attaining tenure, please refer to Section Three: Reappointment, Promotion and Tenure in the Faculty Handbook.

2. Terminology - As used in this document:

- a. A “sustained record of accomplishment” is demonstrated by the continual development of a faculty member with regard to teaching, scholarship, service and patient care by demonstrating excellence in one or more of these areas.
- b. “Excellence in teaching” is demonstrated by a faculty member who guides students to think critically, communicates effectively, mentors students, promotes the highest standards of professionalism, keeps informed about new developments in his/her specialty and related fields,

strives continuously to broaden and deepen his/her knowledge, formulates and implements innovative teaching approaches, and continually contributes to improving the methods of teaching his/her subject matter.

c. “Excellence in scholarship” is demonstrated by the faculty member’s accomplishments/expertise, attainment of regional, national and/or international recognition, through impact to the profession and/or area of specialty practice, and/or equivalent level of acknowledgement. Scholarship as defined by the UNE Faculty Handbook is “evidence of a creative program of independent inquiry constituting a credible body of work that is peer-reviewed and disseminated”. Scholarship and specifically research is not a formal requirement for reappointment or promotion for non-tenure track faculty but scholarship conducted by faculty members in the CDM will be evaluated during the reappointment and promotion process.

d. “Excellence in Service” is demonstrated by attainment of institutional, regional and/or national recognition in areas including, but not limited to; College service, University service, patient care and service in state, regional or national organizations.

3. The Guidelines in this document are specific to the University of New England, College of Dental Medicine and are valid to the extent that they comply with the University of New England, University Faculty Handbook.

B. Academic Ranks

Academic ranks used in the College of Dental Medicine will be consistent with Section Two of the most current version of the University of New England, Faculty Handbook, (The Nature of Faculty Appointments and Academic Ranks and Classifications).

II. Initial Appointments (Also reference UNE Faculty Handbook, Section Two IV.)

A. Academic Rank - The criteria for appointment at a particular rank are the same as those for promotion to that rank.

B. Half-Time and Full-Time Faculty Appointments – Salaried, Non-Tenure Track

1. Appointment Criteria- Full-Time Faculty

Members of the faculty appointed to this track will be individuals who devote the majority of their time to teaching, scholarship, service and patient care.

2. Appointment Criteria- Half-Time Faculty

These are individuals who maintain a regular weekly schedule on campus. Half-time faculty members must meet the same criteria as full-time, non-tenure track faculty members for appointment.

3. Initial half-time and full-time, faculty appointments will not exceed three years.

III. Procedural Guidelines for Half-Time and Full-Time Faculty (Also reference UNE Faculty Handbook, Section Three)

A. Reappointment

Half-time and full-time faculty will participate in a college-level review in the third full year of employment and then every three years until promotion to the associate level. Once the Clinical Associate Professor level has been achieved, this review will occur every six years and whenever a promotion is being sought. After promotion to Clinical Professor, a reappointment review will occur every six years. Reappointment and promotion are based on merit and earned by achievement as evidenced by the faculty member's total contribution to the overall mission of the College.

B. Promotion

Promotion of half-time and full-time faculty is based on merit and is earned by achievement of excellence as defined by the College for the faculty member's particular rank and evidenced by the faculty member's total contribution to the overall mission of the College. Half-time and full-time faculty must normally hold each academic rank for a minimum of six full years prior to being promoted.

Decisions regarding individual recommendations for promotion in the College of Dental Medicine are made at four successive levels: (1) Subcollege Reappointment Promotion and Tenure Committee (RPTC); (2) Assistant/Associate Dean/Department Chair; (3) College RPTC; and (4) Dean. Specific requirements for the Subcollege and College RPTC's can be found under Section IV. of this document. Additionally, the following evaluations and potential time factors leading up to a review will be considered:

1. Annual Evaluation - Each full-time and half-time faculty member participates in an annual evaluation and development process consistent with the policies of UNE that is structured to support the faculty member's professional growth including reappointment and/or promotion. This evaluation is performed by the faculty member's direct supervisor or supervisors (for faculty who have both didactic and clinical responsibilities). The direct supervisor will schedule a meeting to discuss and assess the faculty member's teaching and/or clinical responsibilities. The faculty member will receive a notice prior to the evaluation in accordance with the policies of UNE's Human Resources' department. A signed digital copy of the annual evaluation will be provided to the faculty member for inclusion into their reappointment and promotion portfolio. This process is goal-oriented and ensures that each faculty member:

- a. Establishes and accomplishes goals and objectives that contribute to the UNE's and CDM's mission, vision, values and goals;
- b. Is provided the opportunity for personal and professional growth and development, thereby making him/her more effective in the position; and
- c. Understands the continual expectation for professional growth, productivity and achievement in teaching, scholarship, service, patient care and collegiality in the reappointment and promotion process.

2. Requests for Early Consideration – In cases of special merit a half-time or full-time faculty member may request early consideration for promotion. Petition for early consideration for

Promotion and/or Tenure must be approved by the Associate Dean/Department/Program Chair and the Dean.

3. Termination – Please refer to current language in the UNE Faculty Handbook in Section Four

IV. Criteria for Promotion for Non-tenure track Half-time and Full-time Faculty (Also reference UNE Faculty Handbook, Section Three. III.)

Faculty members applying for promotion must demonstrate excellence in assigned areas. Non-tenure track faculty will be expected to demonstrate excellence in teaching and service including patient care when applicable.

A. Teaching Activities - It is assumed that all faculty members will participate in the teaching program and mission of the College.

1. Criteria and Achievements

The degree of involvement in pre-doctoral and post-doctoral dental education will vary from one individual to another and may be clinical, didactic, or modular in nature depending on the needs of the College. The criteria and achievements may include, but are not limited to:

- a. Develops, organizes, oversees, and/or delivers didactic, experiential or clinical content and assessments for courses, training exercises, and/or clinical demonstrations
 - i. Organizational and administrative duties associated with being a Course Director or Group Practice Leader
 - ii. Supervises students in simulation and clinical settings or at community-based education sites
 - iii. Collaborates with community-based extern sites, such as creating and delivering faculty calibration content
 - iv. Develops and/or delivers continuing education courses
 - v. Develops and/or delivers hybrid or other distance learning programs
 - vi. Presents seminars or workshops
- b. Demonstrates depth of knowledge, currency of information and mastery of the subject matter taught
- c. Demonstrates the ability to lead students to think purposefully and critically
- d. Demonstrates the ability to interrelate material by showing applications and correlations (e.g., between basic science principles and their clinical applications)
- e. Presents organized, lucid and challenging presentations of subject matter
- f. Creates new, combined or integrated courses or other educational experiences
- g. Develops mentoring relationships with other faculty and/or students
- h. Contributes to program development and program implementation in ways consistent with the mission of the College and University
- i. Demonstrates critical perceptiveness in evaluating students' skills
- j. Demonstrates innovative approaches to content delivery
- k. Demonstrates outstanding quality of teaching in pre-doctoral, post graduate or continuing education programs

l. Engages in planned activities to improve teaching effectiveness

2. Evidence and Documentation

- a. Written student and peer evaluations of lecture, seminar and clinical teaching including written and/or oral evaluations by assisting faculty in the simulation lab and evidence that feedback from such evaluations has been incorporated into faculty member's teaching
- b. Evaluations by community-based oral health professionals
- c. Examples of syllabus material, self-instructional instruments, audio-visual and computerized educational aids
- d. Invitations to present in educational conferences, workshops, or continuing education courses at other academic institutions or external audiences
- e. Evidence of use of educational developments or advancements beyond UNE's College of Dental Medicine
- f. Requests from educators for training in or exposure to teaching procedures
- g. Competitively awarded teaching prizes, special honors or recognition
- h. Success of students in attaining professional goals (e.g. residencies)
- i. Grants or other support to conduct research in education or to attend and present the results of educational studies at scholarly meetings or conferences
- j. Advising graduate students and serving on thesis committees
- k. Preceptorship activities
- l. Adoption of innovative teaching methods
- m. Improved methods for evaluation of student performances
- n. Demonstrated ability of students to provide patient care in an organized manner with skill and compassion
- o. Evidence of increased student learning effected by the faculty member
- p. Participation in teaching workshops, conferences, formal peer assessment, and other activities designed to increase teaching knowledge including evidence of how the experiences affected one's teaching
- q. Letters of support from international, national and regional peer reviewers

B. Service Activities

1. Criteria and Achievements may include, but are not limited to:

- a. It is expected that each faculty member will serve on at least one of the CDM's standing committees
- b. Participation in the CDM Faculty Assembly or University Faculty Assembly,
- c. Participation in search committees
- d. Serving as a student mentor or academic advisor
- e. Demonstrates excellence and innovation in patient care.
 - i. Formulates, implements and sustains innovative practice models or clinical service
 - ii. Provides direct dental and medical care to patients;
 - iii. Provides indirect dental and medical care through supervision of student clinicians; and/or
 - iv. Provides administrative oversight of clinical patient care operations.
 - v. Providing patient care outside of the Oral Health Center (e.g. in a private practice

setting), as frequently occurs with part-time and adjunct faculty members, would also fulfill this requirement.

- f. Develops and implements new educational or healthcare programs or improves existing programs
- g. Provides service to professional, civic and governmental organizations
- h. Provides service by assuming responsibilities in the planning and/or presentation at the Departmental, College or University level
- i. Contributes to the governance of the College or the University
- j. Provides service by assisting other educational or community oriented institutions
- k. Provides advising services to students beyond that involved in regular teaching assignments including as a student organization advisor.
- l. Provides editorial and/or peer review of books, journals or articles

2. Evidence and Documentation

- a. Student, peer and patient evaluations of clinical skills as well as patient referrals for special care
- b. Invitations to and presentations at regional, national and/or international conferences and symposia
- c. Invitations to serve as an expert witness, board examiner or evaluator of health-care quality
- d. Leadership roles in College, University, regional, national and/or international committees
- f. Editorial reviewer for professional books or journals
- g. Service as a reviewer for grants or contracts.
- h. Service as an examiner for specialty boards or licensure exams
- i. Honors and awards in recognition for outstanding contributions
- j. Demonstration of effective procedures for counseling students in their professional growth
- k. Letters of support from international, national or regional peer reviewers
- l. Demonstration of collaborative efforts, engagement in shared academic and administrative tasks, professionalism and integrity, and mentorship

C. Scholarly Activities - Excellence in scholarship is demonstrated by the faculty member's accomplishments, expertise, and attainment of regional, national or international recognition in their profession.

1. Criteria and Achievements may include, but are not limited to:

- a. Demonstrates steady, focused, continued productivity in research and scholarly activity
- b. Conducts and reports on formal research, including preparation and submission of manuscripts
- c. Develops theoretical or creative work that makes original contributions to the literature, including publications of clinical or scientific reviews, chapters, or monographs, case reports, improved methods of dental treatment, innovative solutions to special clinical problems, and new or improved dental instrumentation
- d. Develops and tests instructional materials and/or procedures for use in educational institutions
- e. Stimulates research efforts through consultation, coordination or directing research projects
- f. Contributes to compilations, reviews or textbooks
- g. Receives competitively awarded intra- and extramural grants
- h. Participates in basic science, clinical, educational or public health research.

i. Participates in courses, seminars or workshops devoted to education and the advancement of their profession.

2. Evidence and Documentation

- a. Publications of basic science, clinical, educational or public health articles, chapters, or monographs, case reports, improved methods of dental treatment, innovative solutions to special clinical problems, and new or improved dental instrumentation.
- b. Documentation of major responsibility for published findings
- c. Invitations to present findings at regional, national and/or international conferences or symposia
- d. Evidence of continued, competitively awarded funding from institutional, federal, private, and/or industrial sources
- e. Evidence of impact on the field reflected by the frequency of citation of manuscripts
- f. Patent awards
- g. Competitively awarded research prizes
- h. Evidence of the success of students in achieving their professional or advanced training aspirations in research
- i. Letters of support regional, national or international peer reviewers

*Participation in at least one of the mentioned activities would be sufficient to meet the requirements of scholarly activity for the CDM.

V. College Specific Considerations: (Also reference UNE Faculty Handbook, Section Three)

A. Composition of the Subcollege and College RPTC

1. The Subcollege RPTC will have a minimum of three members with the total membership always being an odd number, and the College RPTC will have five members.
2. Members of the Subcollege RPTC will be appointed by the Dean, and may include, whenever possible, members from the candidate's discipline or specialty. The Faculty Assembly will appoint three members of the College RPTC and the Dean will appoint two members.
3. Members of the committees will serve two-year terms that are staggered, so that new members join at least one continuing member each year.
4. The Subcollege and College RPTCs will elect a chair. If the chair's two-year term is ending at the close of an academic year, the existing committee members will elect a new chair who will be a continuing member of the committee to provide continuity.
5. The College RPTC should be composed of members from all classifications of the candidates being reviewed (tenure track, if applicable; non-tenure clinical track; non-tenure track lecturer; non-tenure research track).

B. Supervisory and Peer Evaluations for Clinical and Teaching Responsibilities

The review process is intended to be both a formative and summative process. The formative component will consist of a didactic and/or clinical observation by the faculty member's direct supervisor as a component of the annual review process. In addition, each faculty member will undergo a minimum of one peer evaluation per year for both the clinical and didactic settings.

During non-RPTC review years, three peer evaluators will be identified by the faculty member under review. One evaluator from the list will be approved by the Dean or a designee. It is the responsibility of the evaluator, with the assistance of the Dean or designee to schedule the classroom or clinical visits in advance with the faculty member under review. Evaluators will complete a report for both didactic and clinical visits, using a written metric approved by the College and meet with the candidates after each didactic or clinical visit. The purpose of the meeting is to provide meaningful feedback from the evaluation and an opportunity to discuss goals, teaching strategies and the professional development of the faculty member under review. If the direct supervisor or peer evaluators identify clinical or teaching deficiencies that require more attention, additional class visits will be scheduled as needed. It is the responsibility of the evaluator to submit the signed reports to the Dean's office and send a digital copy to the faculty member under review for inclusion in their annual evaluations and RPT portfolio. The peer evaluations are not intended to replace the summative evaluations that occur during RPT review years.

C. Privileges – Full-time and half-time faculty appointments carry a certain status and privileges including but not limited to: the use of the title on his/her business cards, access to the library and associated online resources, use of University fitness facilities, cafeterias, etc.

VI. Adjunct Faculty Appointments

These appointments shall be used to confer faculty status to individuals who have credentials comparable to full-time and half-time faculty and require a faculty title to perform instructional, patient care and/or research service to the College.

A. Visiting Adjunct Faculty Appointment – Appointments reserved for individuals who have credentials comparable to full-time and half-time faculty that are faculty at another educational institution, and are currently employed by UNE on a short-term contract.

B. Adjunct Faculty Appointment – Short-term contract or volunteer faculty appointments reserved for individuals who have a regular faculty appointment in another College at UNE or serve in the capacity as lecturers or course instructors on a part-time basis and do not meet the criteria for a half-time or full-time faculty appointment. Adjunct faculty appointments may include faculty employed by other institutions who serve as preceptors for dental student externs and may also include practitioners who volunteer their time, either for specific assignments or who provide clinical teaching on a regular basis. (University of New England Faculty Handbook Section III.B.2.c.).

C. Academic Rank

Faculty members with adjunct appointments may be recommended and appointed to any academic rank for which they are deemed qualified.

D. Appointment Length and Renewal

Faculty members with adjunct appointments, who have been properly credentialed and approved by the Dean, may be offered a one-year renewable faculty appointment to the College of Dental Medicine or may be offered a fixed-term contract. Renewal of the contract is dependent upon the faculty member providing requested documentation of applicable current licenses, certifications, and training. The Dean of the College will determine the contributions of the adjunct faculty member with regard to teaching, patient care, research and/or service to the College.

E. Privileges

Adjunct appointments carry certain status and privileges including but not limited to: the use of the title on his/her business cards, access to the library and associated online resources, use of University fitness facilities, cafeterias, etc.

VII. Emeritus Status (University of New England, Faculty Handbook Section 2.II.E and Section 2.III.5)

A sense of continuity is very important to an educational institution. One important element of that continuity is the participation of retired faculty members in the life of the University. They provide a source of wisdom about the experiences that led to the present, and this becomes one element in determining the future direction of the University. University of New England promotes participation of its retired faculty members by granting the title of Emeritus to those retired faculty members who have distinguished themselves in service to the University.

APPENDIX D

Faculty Grievance Procedures

A. Coverage

This set of procedures is intended for use by currently employed University of New England faculty who are salaried. These Faculty Grievance procedures are NOT applicable to faculty whose contracts have already been terminated, or community clinicians or others who may serve the University or work with UNE students but who are not employed by the University of New England. In all cases of proposed dismissal, the faculty member has full recourse to this faculty grievance process, except those resulting from a formal reappointment, promotion, or tenure review. In cases of dismissal resulting from a formal reappointment, promotion, or tenure review, there is a separate appeal process described near the end of SECTION THREE.

B. Justification for Grievance

1. Justification for a grievance may include:
 - a. violation, misinterpretation, or inequitable application of any University policy;
 - b. unfair or inequitable treatment resulting from any act or condition that is contrary to established policies or practices affecting faculty, including complaints arising from perceived violation of Equal Employment laws or regulations.
2. Except as described in SECTION THREE decisions not to grant reappointment, promotion, or tenure are not subject to grievance by the process described here.

C. Harassment and Discrimination Claims

1. Claims involving discrimination or sexual or other harassment must be dealt with by use of harassment policy and procedures described in the Personnel Handbook. Should the harassment protocol described in the Personnel Handbook lead to an unsatisfactory outcome, faculty will still have access to the formal grievance process described in Section E below.
2. In some cases, a question may arise as to the line between academic freedom of expression and the creation of an offensive environment that violates UNE's harassment/discrimination policy. In such cases, a faculty representative educated both on harassment/discrimination and academic freedom issues will be chosen by and available to a complainant and/or respondent when a harassment/discrimination claim involving a faculty member comes forth. This faculty member may act as a resource to one or the other party, if requested, and may provide input to the investigation if appropriate and

requested by either party or the investigators. The faculty member will not act as an advocate or be involved in the substance of the decision.

D. Informal Grievance Process

A faculty member seeking to resolve a grievance must take the following actions before proceeding to the formal grievance process.

1. If possible, the aggrieved party (grievant[s]) should resolve the grievance through direct interaction with the person(s) involved (respondent[s]).
2. If this action is unproductive, the grievant should discuss the complaint with her/his immediate supervisor.
3. If the grievant is still unsatisfied, or if the supervisor is a party to the grievance, then the grievant should discuss the complaint with the appropriate college dean. The dean should make every effort to resolve the dispute, rather than let it become the business of the Faculty Assembly through its "Formal Grievance Process."
4. Likewise, if the grievant is not satisfied with the resolution after working with the dean, or the issue involves more than one college, the grievant should discuss the complaint with the Provost.
5. If the grievance involves a harassment claim, the grievant should contact the Associate Vice President for Human Resources or the Provost.
6. If the grievance is still unresolved, or if the dean(s) or Provost is a party to it, the aggrieved faculty member may proceed to the formal grievance process.

E. Formal Grievance Process

1. Preparation for Grievance Hearing
 - a. A faculty member whose complaint has not been resolved by the informal grievance process may submit to the Chair of the Faculty Assembly (or the Vice Chair, if the Chair is a party to the grievance) a written request for a formal grievance hearing. This request must be filed within 45 days of the faculty member's knowledge of the event giving rise to the grievance. The request must include:
 - i. a detailed description of the grievance,
 - ii. the University policy(ies) and/or professional code(s) of conduct violated,
 - iii. the name(s) of the respondent(s),
 - iv. the names of all witnesses the faculty member wishes to call and a summary of the expected contribution of each,

- v. any supportive material, and
 - vi. a brief account of all steps taken to resolve the grievance informally.
- b. Immediately upon receiving a request for a grievance hearing, the Chair of the Faculty Assembly will forward copies of all documents submitted by the grievant to the respondent/s and the Associate Vice President for Human Resources (AVPHR). If the AVPHR is party to the grievance, has served as an investigator in cases of sexual harassment claims (see Personnel Handbook), or is unable to serve for any other reason, the Provost, in consultation with the Chair of the University Faculty Assembly, will appoint another person to serve as facilitator.
- c. Within 10 working days of receipt of the request for a hearing, the Chair of the University Faculty Assembly will appoint a Faculty Grievance Committee from the standing pool and inform the grievant and respondent of the appointees. The grievant and the respondent will have 5 working days to challenge an appointed member/s. Both grievant and respondent may challenge Committee membership on the basis of conflict of interest. The Committee (except challenged members) and the Assembly Chair will judge the merit of such concerns. The decision of the Assembly Chair will be final and, if necessary, the Assembly Chair will make substitute appointments. The Committee will have an odd number of members with at least one member from each college.
- d. The membership of the Faculty Grievance Committee for a particular grievance will be drawn from a standing pool of faculty members selected from the University's full-time faculty by the College Faculty Assemblies.
- i. The Faculty Grievance Committee Standing Pool will be composed of two members from each college: one tenure track faculty member (if possible) and one non-tenure track faculty member. Each member will serve for two years, with terms staggered such that each year, one new member-from each college will join the continuing pool members. All vacancies or needs for additional members, scheduled and otherwise, will be filled by the college faculty assemblies. Faculty members selected to fill unscheduled vacancies will finish the terms of departed members. Members may not serve more than two consecutive terms.
 - ii. Vacancies - By March 1, the Chair of the University Faculty Assembly will notify the chairs of each college faculty assembly of the number of Faculty Grievance Committee Standing Pool vacancies to be filled for the next academic year; normally, there will be only one per college.
 - iii. Selection - By April 1, each college faculty assembly will submit to the Chair of the University Faculty Assembly as many names as necessary to fill college assembly vacancies on the Faculty Grievance Committee Standing Pool.

- e. From the date the respondent receives a copy of the grievance request and other materials submitted by the grievant, she/he will have 10 working days to compile a written response, and any supportive material. These will be submitted to the Chair of the Assembly, who will forward copies to the grievant and the AVPHR (or the appointed facilitator if the AVPHR is a party to the grievance). All documents will be forwarded to the Faculty Grievance Committee by the AVPHR (or the appointed facilitator if the AVPHR is a party to the grievance) only after all materials from both grievant and respondent have been submitted.
- f. The first meeting of the Committee will be called and facilitated by the AVPHR (or the appointed facilitator if the AVPHR is a party to the grievance) within 10 working days of all documents having been received by Committee members. A quorum will be a majority of members plus one for this and all subsequent meetings. The Committee's first tasks will be to select its own Chair and judge the merit of the request for a hearing. In particular, the Committee will attempt to verify that:
 - i. all information necessary to judge the merit of the request has been provided,
 - ii. the request has substantive merit (see SECTION FOUR, II), and
 - iii. all informal processes have been exhausted.
- g. If the written request fails to satisfy any of the above criteria, the Committee will inform both parties to the grievance and will recommend to both a course for further action. This may include a request for additional information or a suggestion that additional informal measures be taken. The Committee also may declare that a formal hearing is not warranted.
- h. For all subsequent meetings, the AVPHR (or the appointed facilitator if the AVPHR is a party to the grievance) will serve as an advisor and facilitator of Committee process and function. Ordinarily, the AVPHR (or the appointed facilitator if the AVPHR is a party to the grievance) will not attend meetings of the Committee. At the Committee's discretion, however, the AVPHR (or the appointed facilitator if the AVPHR is a party to the grievance) may be called upon to facilitate a hearing or serve as a consultant. The AVPHR (or the appointed facilitator if the AVPHR is a party to the grievance) will assist both parties to the grievance in obtaining any necessary internal documents and will assist the Committee in procuring any required materials.
- i. Only during a hearing or at one of its formal meetings will members of the Faculty Grievance Committee accept factual information regarding the grievance from anyone, including parties to the grievance. Factual pertinent information will be accepted only if it is submitted through the AVPHR (or the appointed facilitator if the AVPHR is a party to the grievance).

2. Grievance Hearing

- a. The Committee may, with the consent of parties concerned, hold joint prehearing meetings with the parties in order to: (i) simplify issues, (ii) effect stipulation of facts, (iii) provide for the exchange of documentary or other information, and (iv) achieve such other appropriate prehearing objectives as will make the hearing fair, effective, and expeditious.
- b. A grievance hearing is not a legal proceeding; it is a fact-finding process. As such, success will be fostered to the extent that an open, cooperative, collegial atmosphere can be maintained. The hearing will always be closed to the public.
- c. The hearing Committee will not be bound by strict rules of legal evidence and may admit any evidence that, in its opinion, is of probative value in determining the issues involved.
- d. Audio recording of the hearing or Committee deliberations is prohibited. Committee members will not share the substance of a hearing or Committee deliberations, or any written record, with anyone outside the Committee.
- e. Witnesses will include the grievant and respondent. Both parties to the grievance will be asked to provide names of additional relevant witnesses and a description of their expected testimony. The witnesses to be heard, and the order and length of their appearance, will be determined by the Committee. The Committee will consider reasonableness, relevance, need, and confidentiality when it decides what witnesses to hear and what materials to examine.
- f. When witnesses are unable to appear, but the Committee determines that the interests of justice require admission of their statements, the Committee will accept a written, signed statement. The Committee may pose written questions back to the witness for consideration.
- g. When called as witnesses, the grievant and respondent will be heard separately, unless it appears to the Committee that their simultaneous presence is crucial to the success of their fact-finding mission. No attorneys or other representatives will be present for any part of the hearing without the Committee's agreement.
- h. When other witnesses are heard, in no case will more than one be present at a time and neither grievant nor respondent will be present. Any witness, including grievant and respondent, may be recalled if necessary.

- i. The Committee will gather information, analyze that information, and make recommendations for redress if they believe facts indicate the grievance has merit. Confidentiality must be maintained throughout the grievance process, and after the process has been concluded.
 - j. The Committee will make every effort to hold a hearing, reach its findings, and make its recommendation within 15 working days of its first meeting.
3. Disposition of Committee Findings

- a. The Faculty Grievance Committee will send its written recommendations to the Chair of the Faculty Assembly, who will forward them immediately to the President, with copies to the Provost, the AVPHR, and both parties involved in the grievance.
- b. If dissatisfied with recommendations of the Faculty Grievance Committee, either grievant or respondent may file a dissenting opinion to the President within five working days after receiving the written recommendation.
- c. After giving both grievant and respondent five days to file a dissenting point of view, the President will formulate a decision, which is final.
- d. The President will transmit a decision to the Chair of the Faculty Assembly, the AVPHR, and both grievant and respondent as expeditiously as possible.
- e. The Committee will deliver all materials of record accumulated during the hearing to the AVPHR, who will maintain necessary records of the event and destroy unneeded materials.

F. Review of RPTC Recommendations

Faculty seeking to resolve a dispute regarding a decision not to grant reappointment, promotion, or tenure should proceed with the process described near the end of SECTION THREE.

ATTACHMENT 1

RPT Checklist

- _____ 1) cover sheet with candidate's name, department, home college, action expected of RPTC, and date
- _____ 2) RPT E-Binder Annotated Table of Contents
- _____ 3) this completed RPT checklist with faculty signature
- _____ 4) curriculum vita, and, as applicable, licensure documentation
- _____ 5) years of service documentation (letter of hire and any subsequent changes to the contract)
- _____ 6) self-evaluative statement
- A narrative self-evaluation of your teaching, scholarship and service that addresses:
- Your teaching philosophy
 - Summary of teaching (strengths and weaknesses)
 - Response to student course evaluations
 - Explanation of scholarship (if applicable to your classification), and
 - Service contributions
- _____ 7) Teaching—sections “a” and “b” listed below should be separately grouped
- a. Documentation of teaching since last review or at most past six years (please specify) including all syllabi
 - b. all written formal evaluations of teaching from students (since last review or at most the past six years with a written explanation if the evaluations are not complete and any absence of data should be addressed in the self-evaluative statement)
 - c. Letters of internal peer faculty observations of teaching if your department/program requires these letters
 - d. Additional teaching documentation (if any. For example: Faculty who have implemented innovative significant changes to their courses may apply for a CETL Innovation Accord (see CETL for more information))
- _____ 8) Scholarly activity, documentation of scholarly activity since last review (please specify)
- _____ 9) Service, documentation of service since last review (please specify)
- _____ 10) All evaluations from prior annual evaluations (parts A and B) and RPT reviews organized by type
- All annual reviews, parts A and B with signatures of the candidate, supervisor, and Dean
 - Subcollege RPTC
 - Chair/Director
 - College RPTC
 - Dean
 - University RPTC
- _____ 11) Other information that the candidate believes to be relevant (please specify)

Faculty's signature certifying completion of the portfolio, items 1 through 11

Date

The candidate's Dean will be responsible to ensure that the written evaluations from at least three external peer reviews are inserted prior to the subcollege RPTC review. These letters will be inserted in a separate tab marked "External Letters of Review" following all sections that the candidate has compiled.

If the candidate has a joint appointment in more than one college and the effort in the secondary college is 20% or more, the Dean from the primary college will request a letter from the Dean of the secondary college and this letter will be inserted by the Dean of the primary college prior to the subcollege RPTC review.

After each level of review (subcollege RPT committee, chair/director, college committee, dean), the written letter of the committee/reviewer will be inserted in the final tab of the portfolio marked "Current RPT Evaluations" for inclusion at the next level/s of review with this checklist being checked off and signed at the appropriate place below.

Written evaluations from each level of the current review inserted at the appropriate stage of review

- Subcollege RPTC

Signature date

- Chair/Director

Signature date

- College RPTC

Signature date

- Dean

Signature date

- University RPTC

Signature date

ATTACHMENT 2

University Timeline for Annual Reviews and the RPT Process

Tenure track classifications	
Deadline	Action
March 1	Dean informs candidate of required review for reappointment and/or tenure, or eligibility for promotion to associate level, or promotion to professor level.
May 1	<p>Candidate declares his/her intent to apply for promotion in writing to his/her chair/director and dean.</p> <p>If a candidate wishes to be considered for promotion from the associate level to professor level, he/she must submit a petition to his/her chair/director and dean.</p> <p>Names for external reviewers shall be submitted to the dean for tenure review and promotion.</p>
May 15	The dean will send a list of candidates to the College RPT Committee and Provost
May 31	Annual faculty reviews are submitted to the dean's office.
September 1	<p>Candidate inserts items 1-11 listed in the University's RPT checklist (see Attachment 1) in their e-binder by 5:00 p.m. with a cover letter stating that the portfolio represents the work that should be evaluated in the RPT process. The RPT checklist must be inserted with the candidate's signature certifying that the portfolio contains items 1-11 of the University RPT checklist.</p> <p>The candidate's dean will ensure that the written evaluations from at least three external peer reviews, when applicable, are inserted prior to the sub-college RPTC review, by 5:00 p.m.</p> <p>The sub-college RPTC, the chair/director, the college RPTC, the dean, and the University RPTC will now have access to the electronic e-binders.</p>

September 21	Sub-college RPTC inserts their letter in the e-binder by 5:00 p.m., the chair signs the University RPT checklist asserting that it includes the committee's letter.
October 15	Chair/Director inserts his/her letter in the candidate's e-binder by 5:00 p.m.
November 15	College RPTC inserts their letter in the candidate's e-binder by 5:00 p.m.
December 31	Dean inserts his/her letter in the candidate's e-binder by 5:00 p.m. (see THREE IV. G and Table 2.)
February 1	University RPTC provides recommendations to the Provost for all portfolios reviewed.
	Upon providing a written summary to the Provost, the University RPTC also will include a brief letter in the candidate's e-binder indicating whether they conducted a substantive or procedural review and the results.
March 1	For 3 rd -year reappointment reviews that included a negative recommendation at any of the four lower levels of review, the Provost will consult with the dean to determine action at the college level.
	Provost inserts his/her letter in the candidate's e-binder by 5:00 p.m.
March 15 or if March 15 falls on a weekend the Friday before this date	<p>President notifies candidate, dean, and chair/director of decision.</p> <p>The President sends Termination Notice to those denied reappointment. Terminal Contracts are issued by the dean to those with 3 or more years of service.</p> <p>The President's decision regarding promotion and tenure is ultimately sent to the Board of Trustees for their approval at their next scheduled meeting.</p> <p>Portfolios will be reopened to the candidate once any external review letters (applicable only with tenure and professor level review) are removed.</p>
Within 10 working days of the candidate's receipt of the recommendation	Candidate's appeal of a negative decision: Appeal of a negative recommendation must be lodged, in writing, with the Provost and with the Chair of the Faculty Assembly, within 10 working days of the candidate's receipt of the recommendation.

<p>10 working days upon receipt of the candidate's appeal</p>	<p>The Chair of the University Faculty Assembly constitutes and assembles the Appeals Committee and forwards the appeal: The Chair of the University Faculty Assembly, will have 10 working days from receipt of a candidate's appeal to constitute and assemble the Committee and forward the appeal for Committee review.</p>
<p>Continuance of timeline with respect to a dispute</p>	<p>Committee deliberation forwarded to the Chair of UFA</p> <p>If the University RPT Appeals Committee alone hears the appeal, it will have 10 working days from the date of its first deliberative meeting to develop its recommendation.</p> <p>If the Committee solicits input through the faculty grievance process or a discrimination investigation, resultant reports will be submitted to the University RPT Appeals Committee within 10 working days after which the University RPT Appeals Committee will have 10 working days to develop its recommendation.</p> <p>The Committee will submit its recommendation to the Chair of the University Faculty Assembly.</p> <hr/> <p>Chair of the University Faculty Assembly within two working days will transmit all materials (including reports deriving from grievance or discrimination investigations) to the candidate, academic dean(s), supervisor(s), the Provost, and the President.</p> <p>After considering this input from the Appeals Committee, the President formulates a determination, which will be final. The President's letter of decision will be sent to the candidate within 20 calendar days from the date on which the President received the recommendation report of the RPT Appeals Committee. The President's decision will be sent to the candidate, the candidate's dean, and the candidate's chair/director.</p>

Non-Tenure track classifications

Deadline	Action
March 1	Dean informs candidate of required review for reappointment or eligibility for promotion to associate level, or promotion to senior/professor level.
May 1	Candidate declares his/her intent to apply for promotion in writing to his/her chair/director and dean. If a candidate wishes to be considered for promotion from the associate level to professor level, he/she must submit a petition to his/her chair/director and dean.
May 15	The dean will send a list of candidates to the College RPT Committee and Provost
May 31	Annual faculty reviews are submitted to the dean's office.
September 1	<p>Candidate inserts items 1-11 listed in the University's RPT checklist (see Attachment 1) in their e-binder by 5:00 p.m. with a cover letter stating that the portfolio represents the work that should be evaluated in the RPT process. The RPT checklist must be inserted with the candidate's signature certifying that the portfolio contains items 1-11 of the University RPT checklist.</p> <p>The sub-college RPTC, the chair/director, the college RPTC, the dean, and the University RPTC will now have access to the e-binders.</p>
September 21	Sub-college RPTC inserts their letter in the e-binder by 5:00 p.m., the chair/director signs the University RPT checklist asserting that it includes the committee's letter.
October 15	Chair/Director inserts his/her letter in the candidate's e-binder by 5:00 p.m.
November 15	College RPTC inserts their letter in the candidate's e-binder by 5:00 p.m.
December 31	Dean inserts his/her letter in the candidate's e-binder by 5:00 pm. (see THREE IV. G and Table 2.)

February 1	University RPTC provides recommendations to the Provost for all portfolios reviewed.
March 1	For all reviews that included a negative recommendation at any of the four lower levels of review, the Provost will consult with the dean to determine action at the college level. Provost inserts his/her letter in the candidate's e-binder by 5:00 p.m.
March 15 or if March 15 falls on a weekend the Friday before this date	The dean notifies candidate and chair/director of decision. Terminal Contracts will be issued by the dean to those with 3 or more years of service. Portfolios will be reopened to the candidate.
Within 10 working days of the candidate's receipt of the recommendation	Candidate can appeal a negative recommendation by requesting in writing a substantive review by the University RPTC. A copy of this letter should be submitted to the dean so that the candidate's portfolio can be reviewed by the University RPTC.
10 working days upon receipt of the candidate's appeal	University RPTC provides a recommendation back to the dean with respect to 3 rd year portfolios and promotions.
Within 2 working days	After considering the input from the University RPTC, the dean formulates a determination, which will be final.

ATTACHMENT 3

Sabbatical Leave Process

A. Summary of Sabbatical Leave Process

1. The faculty member confirms with their immediate primary supervisor as applicable and Dean that they are eligible to apply.
2. The faculty member submits a sabbatical proposal to their primary supervisor. In cases where a faculty member has a joint appointment, the secondary supervisor should be notified of the sabbatical leave proposal submission as applicable.
3. The primary supervisor submits the proposal along with their recommendation to the Dean and the relevant college-level review committee(s) (e.g., the college RPT committee) as determined by the faculty member's college.
4. The college review committee submits their recommendation to the Dean.
5. The secondary supervisor submits to the Dean a statement confirming whether there is coverage for course and other responsibilities with budget support in place in the secondary college/department to support the sabbatical leave.
6. The Dean submits the proposal along with their recommendation to the Provost, including a statement confirming there is course coverage and budget support in place in the primary and secondary (if applicable) college/department to support the sabbatical leave.
7. The Provost determines the number of sabbatical leaves that can be supported in a given year. The Provost ensures that there is equitable distribution of sabbatical awards across the eligible colleges, assuming that the proposals from different colleges are of equal quality.
8. The Provost sends written notification to the candidate, their immediate primary supervisor, their secondary supervisor (as applicable) and the Dean, regarding the approval or non-approval of their sabbatical request, including a statement of rationale for the decision.
9. When the faculty member returns from sabbatical, the primary supervisor and Dean will document in the faculty member's Annual Review, their evaluation of whether the expectations, performance and outcomes from the sabbatical were met by the faculty member.

B. Request for Approval for Sabbatical Leave

The faculty member submits a sabbatical proposal to their primary supervisor, according

to the timeline in Attachment 3.

The proposal will include the following items in the order given:

1. Title Page: Containing name and contact information of faculty member applying for sabbatical (including department and college); date of submission; and a descriptive title for the project, not to exceed 180 characters
2. Statement: A description of purpose(s), significance, and nature of the sabbatical leave, intelligible to persons not familiar with the area of professional development (limit one page)
3. Objectives/Outcomes: A list of clearly written and measurable project objectives/outcomes
4. Location: The location(s) at which leave will be taken
5. Design, Methods/Activities: Description of the design and methods/activities to accomplish the proposed objectives/outcomes
6. Time Line: A detailed time line for activities proposed in # 5 above, including start and end dates of the sabbatical
7. Rationale: The rationale for using a sabbatical leave to pursue these activities
8. Alliances: A written statement from collaborators (if any), documenting the scope and duration of the collaboration – letters should be included in the appendix
9. Expenses: An outline of anticipated sabbatical-related expenses and financial compensation including external funding
10. Research Approval: If approval from either an IACUC or IRB will be required, specification that approval will be sought; (see SIX, III, B above)
11. Curriculum Vitae: Limited to six (6) pages and featuring accomplishments supporting the faculty member's ability to complete the sabbatical project

The Dean and Provost will not support proposals that do not comply with these guidelines.

C. Responsibilities of the Primary Supervisor

1. Reviews proposal for sabbatical
2. Submits the proposal along with a recommendation to the Dean of the faculty member's home college (college of primary appointment) based on the proposal review criteria below. The recommendation should also address budget and scheduling implications for the department (or other academic unit), and whether the faculty member has met the obligations of previous sabbatical leaves (if applicable). The primary supervisor sends written notification to the candidate.

D. Responsibilities of the Secondary Supervisor (if applicable)

1. Submits to the Dean a statement confirming whether there is coverage for course and other responsibilities with budget support in place in the secondary college/department to support the sabbatical leave.

E Responsibilities of the College Review Committee

1. Reviews proposal for sabbatical
2. Submits a recommendation to the Dean of the faculty member's home college (college of primary appointment) based on the sabbatical proposal review criteria (see Attachment 3). This letter will also be delivered to the faculty member.

F. Responsibilities of the Dean

1. Reviews the proposal and the primary supervisor and college review committee recommendations
2. Submits a recommendation to the Provost that is based on the proposal, the recommendations of the primary supervisor and college review committee, and their assessment of whether the proposal has met the review criteria
3. States whether the faculty member's department has planned effectively for the faculty member's absence. This statement and the faculty member's proposal are expected to be forwarded to the Provost according to the timeline in Attachment 3. A copy of the Dean's statement should be sent to the faculty member and supervisor. Late or incomplete requests will be returned to the Dean by the Provost without review and may not be resubmitted until the following year.
4. Outlines the financial terms of the sabbatical

G. Responsibilities of the Provost

1. Reviews the proposal and recommendations
2. Evaluates the proposal and its ranking within the portfolio of all proposed sabbatical leaves for that year from the college and from all colleges
3. The Provost sends written notification to the candidate, their immediate primary supervisor, their secondary supervisor (as applicable) and the Dean regarding the approval or non-approval of their sabbatical request, including a statement of rationale for the decision, which is final.

H. Faculty Member's Responsibility Related to Sabbatical

1. Returns to the University for at least one full year of further service following a sabbatical leave. In the event that a faculty member does not fulfill this service obligation following a sabbatical leave, they will be liable for sabbatical leave salary and the costs of associated benefits.
2. Prepares a detailed written report on the sabbatical leave including all results and products for submission to the primary supervisor and Dean no later than three months following their return.
3. Presents the results of sabbatical work to a relevant faculty audience within one academic year at an on-campus seminar, workshop, or other similar forum.

Sabbatical Timeline: (If date falls on a weekend, the next business day will apply)

All reviewers will use the Scoring Criteria to Evaluate Proposals

September 1	Faculty member submits completed proposal to primary supervisor. In cases where a faculty member has a joint appointment, the secondary supervisor will be notified of the sabbatical leave proposal submission as applicable
September 15	The primary supervisor forwards the proposal along with their recommendation to the Dean and relevant college-level review committee(s) (e.g., the college RPT committee) as determined by the faculty member's college.
	The college-level review committee submits their recommendation to the Dean.
October 15	The secondary supervisor (if applicable) submits to the Dean a statement confirming whether there is coverage for course and other responsibilities with budget support in place in the secondary college/department to support the sabbatical leave.
November 15	The Dean forwards the proposal along with their recommendation to the Provost.
December 15	The Provost sends written notification to the candidate, their immediate primary supervisor, their secondary supervisor (as applicable), and the Dean regarding the approval or non-approval of their sabbatical request, including a statement of rationale for the decision.

EVALUATION RUBRIC: SABBATICAL PROPOSAL REVIEW AND SCORING CRITERIA

<i>WEAK</i>			<i>AVERAGE</i>			<i>STRONG</i>
7	6	5	4	3	2	1
<i>Poor</i>	<i>Fair</i>	<i>Satisfactory</i>	<i>Good</i>	<i>Very Good</i>	<i>Excellent</i>	<i>Exceptional</i>

PROPOSAL QUALITY: *To what extent is this professional development activity well-designed, achievable, and likely to lead to the attainment of the proposed objectives/outcomes?*

	7	SCORE (range 1-7)	1
Purpose And Significance	Proposal does not articulate how the activities will promote additional knowledge, skills or expertise to academe and/or the greater community. The proposed activities are not aligned with the department, college or university strategic plan		Proposal provides compelling rationale explaining benefits to academe and/or the greater community. The proposed activities are aligned with the department, college or university strategic plan.
Objectives/Outcomes	The proposal does not contain clear, meaningful and measurable objectives/outcomes		The proposal contains clear, meaningful and measurable objectives/outcomes
Design/Methods or Proposed Plan	The design/methods or proposed plan to complete the activities not clearly articulated		The design/methods or proposed plan to complete the activities comprehensively and clearly articulated
Timeframe	The timeframe proposed is not appropriate for the activities, and does not allow for possible delays.		The timeframe proposed is appropriate for the activities, and identifies and allows for possible delays.
Resources (including access to materials or equipment, as well as required expertise)	Resources crucial to the success of the proposal are either not available, or access or permissions have not been granted. It appears activities cannot succeed based on missing resources alone. Proposed resources are not appropriate for the activities. Resources are either grossly exaggerated or grossly insufficient to complete activities.		The proposal has all the resources available to perform the proposed activities, including equipment, expertise, supplies, permissions, etc. Nothing is missing, and costs are appropriate.

EVALUATION RUBRIC: SABBATICAL REVIEW AND SCORING CRITERIA

<i>WEAK</i>			<i>AVERAGE</i>			<i>STRONG</i>
7	6	5	4	3	2	1
<i>Poor</i>	<i>Fair</i>	<i>Satisfactory</i>	<i>Good</i>	<i>Very Good</i>	<i>Excellent</i>	<i>Exceptional</i>

FACULTY QUALIFICATIONS: *This section asks about the faculty qualifications to complete the proposed activities.*

	7	SCORE (range 1-7)	1
Does the faculty member and proposed collaborators (if applicable) have the basic skills or knowledge to undertake proposed activities?	The faculty member (with collaborators if applicable) has NOT adequately demonstrated the potential skill set, or does NOT have experience to complete the proposed activities.		The faculty member (with collaborators if applicable) has clearly demonstrated the potential skill set and/or has the appropriate background/experience to complete the proposed activities.

ATTACHMENT 4

Intellectual Property Policy: Rights and Responsibilities with Respect to Intellectual Property at the University of New England.

I. Preamble

The University of New England (“University”) seeks to encourage creativity and development of inventions and innovations among its faculty, students and staff, and makes its facilities and resources available for such activity. The University also seeks external support for related scholarship and research from private and public sources.

From time to time the creative works, inventions and discoveries (“intellectual property”) made at the University may have commercial value in addition to scholarly value. Moreover, federal research funding agencies require that the fruits of their funding be made available for public benefit (Bayh-Dole Act, 1980 and as amended, 1983). The University should attempt, when appropriate, to commercialize the products of such research.

The University, therefore, has set forth guidelines for an orderly transition of commercially viable products from the University to the public marketplace, as well as assurances that the University community will retain reasonable access to, and use of, the intellectual property created by its faculty, students and staff.

These University goals will be accomplished by providing legal protection for the Originator(s) of the intellectual property, as well as legal protection for the intellectual property against unauthorized use by patenting or copyrighting and licensing to acceptable commercial partners.

When successfully managed, commercialization of University generated intellectual property may provide professional recognition and financial compensation to faculty and financial return to University for the support of future research and commercialization.

II. Objectives of the Policy

- To encourage creativity, research and innovation among faculty, students and staff, thereby generating new knowledge;
- To facilitate the transfer of knowledge and technology, and the utilization of such knowledge and technology, for the general benefit of society;
- To safeguard intellectual property so that it may receive adequate and appropriate legal protection against unauthorized use;
- To provide an administrative system to determine the commercial significance of discoveries and new developments and to assist in bringing these into public use;
- To provide for the equitable disposition of any revenue earned from intellectual property among the developer, author, or inventor (“Originator”) and the University;
- To provide incentives to Originators in the form of personal development, professional recognition, and financial compensation;
- Assure compliance with provisions of federal law and contracts with external sponsors.

III. Definitions and Guidelines for Ownership of Intellectual Property

IP shall be determined by examining the intent and purpose of its origination, the source and terms of external sponsorship, if any; and the extent that University-owned resources were used in its creation.

Ownership of intellectual property may reside with the University employee who created the idea or invention, with the University, or with both employee and University in certain circumstances involving copyright. The IP Committee (IPC) shall establish the provisions of appropriate agreements governing each situation.

For purposes of this Policy “intellectual property” (“IP”) shall include tangible or intangible results of teaching, research, trademarks, trade secrets or other intellectual activity, including the following categories or combinations thereof:

- Written material fixed in a tangible media in which copyright vests, including textbooks, instructional materials, multi-media programs; literary works, audio and/or video recordings, films; and computer programs (both object code and source code and related documentation);
- Inventions and discoveries that may be patentable, i.e., are considered novel, useful, and non-obvious, including a machine, method, process, composition of matter; asexually reproduced plants of a distinct variety; new, useful and ornamental designs;
- Tangible research property such as biological materials, including cell lines, plasmids, hybridomas, monoclonal or polyclonal antibodies and plant varieties; data bases, mask works¹.

The three categories above are not mutually exclusive; a given IP may include aspects of all three categories.

Ownership of intellectual property may reside with the University employee who created the property; with the University, or with both employee and University in certain circumstances involving copyright. The Intellectual Property Committee (IPC) shall establish the provisions of appropriate agreements governing such situations.

“University employee” shall be defined as any full time or part-time employee (as identified by the University Faculty Handbook) of the University, including faculty, staff, or students, or any other individuals whose primary work and/or research affiliation is with the University.

Other individuals including visiting scholars, consultants and contractors shall execute an agreement with the University regarding disposition of any intellectual property IP that may arise from his/her affiliation with the University before the affiliation commences.

¹ Properties in the last category may or may not be patentable or be deemed to be a copyright work. From a commercial perspective, it may not be economically advisable to pursue legal protection by patent. However, Originators of copyright works are encouraged to seek necessary copyright protection as appropriate. The appropriate pathway will be determined in consultation with the Office of Sponsored Programs and the Intellectual Property Committee (IPC).

For example:

- A. A Visiting Scholar's salary is usually paid by a non-University source, thus determining ownership of IP may become complicated. University and visiting scholar should make decisions about IP ownership prior to arrival. Will the IP belong to the Scholar or the Scholar's institution, to the University, or will it be jointly owned?
- B. If a consultant uses University resources (facilities, equipment, personnel time) to perform the contracted scope of work, who owns the IP resulting from the consultancy? Usually, if the consultant is not using University resources, the consultant will own resulting IP.
- C. If someone other than existing faculty is hired to teach an extension course and such work requires the creation of new instructional material, the contract should include "work for hire" and/or appropriate assignment language that provides for University ownership of the material. University's assertion of ownership rights might be mitigated by offering the contractor a share of any revenues derived from licensing the materials to other institutions. The contractor should be paid separately for 1) creation of teaching tools, including but not limited to: course syllabus, lecture notes, outlines, reference materials, and exercises, and 2) instruction time.
- D. Allowing graduate and undergraduate students (collectively "students") to participate in research that may involve IP may offer unique and valuable experiences for the Students. It is critical, however, for the principal investigator(s) to work with the University to structure relationships with students who may wish to be involved in entrepreneurial activities. Conflict management plans are to be put in place to assure that the formal educational requirements of each student is given the highest priority and that any entrepreneurial involvement of students will not adversely affect their academic progress or University employment. The plan will allow students under the principal investigator(s) supervision to only perform research that may directly improve the University technology licensed to a company pursuant to formal sponsored research agreements. Furthermore, students must be notified in writing prior to beginning research, that any such research may not be used to satisfy the criteria for a thesis or dissertation if the material is restricted from publication.

IV. Determination of IP Rights

1. Application to Patents

When a University employee develops or originates an item of IP that under the terms of this policy may be owned and controlled by the University, the individual shall make a disclosure of the IP to the Office of Sponsored Programs/Technology Transfer as outlined in Section V. Following review of the IP by the IPC, a decision will be made regarding its ownership and management. The Originator shall cooperate in the execution of the management plan including, where appropriate, filing of legal documents and in the review of literature and prior art. As described in Section V, the Originator will be encouraged to assist in the further commercial development of the IP. The Originator will also have an interest in and share in any income derived from the commercialization of such property as outlined in Section VII.

Specific guidelines for the determination of IP rights are described in detail below:

- A. Rights to IP resulting from sponsored programs shall be owned and controlled by the University. In some instances, the provision of private funding, background information, product samples, or confidential proprietary data by a sponsor may create a situation in which the sponsor may claim partial or complete ownership of IP that might result from the sponsored project. In such cases, final disposition of the property may be negotiated as a part of the sponsored program agreement.
- B. The IPC shall be a standing committee appointed by the Vice President for Research and Scholarship. One faculty member from each college will serve on the committee at any given time. Ordinarily, the faculty members will serve a two-year term with a rotation schedule that staggers the turnover of its members. The Provost will serve as the Chairperson of the IPC and have full voting rights. One representative from the Office of Sponsored Programs/Technology Transfer and one representative from the Office of Institutional Advancement will also serve on this committee. One member of the Board's R&D committee will serve as well for a one-year term. If additional expertise is needed in the consideration of a particular IP matter, the Chairperson may appoint *ad hoc* members. These *ad hoc* members are non-voting members. The board must have a quorum, equal to the majority of its members, to conduct any business, which requires a vote of the committee.
- C. The legal interests of the University and its staff, faculty, and students in any IP, except traditional scholarly works as described in Section IV 2. shall be determined in accordance with this policy by the IPC.
- D. The primary responsibility of the IPC is to provide guidance in interpretation of the IP Policy and to mediate disputes regarding its implementation. The committee shall also be responsible for revision of the Policy when the changing mission and scope of the University require such revisions.
- E. If the invention is categorized as University property, the faculty member has an obligation to disclose the invention according to procedures in Section V below. An Originator may disclose to the University any personally owned material that he/she believes has commercial value (see Section VI E). Any profits derived there from will be shared according to the University revenue distribution policy, described at Section VII below.

2. Application to Copyright Works

Traditional products of scholarly activity that have customarily been considered to be the unrestricted property of the Originator are excluded from the general policy. Such traditional products include journal articles; textbooks; literary works; reviews; works of art including paintings, sculpture, and musical compositions; and course materials such as syllabi, workbooks, and laboratory manuals. The University has not and will not claim any ownership rights to such traditional works. It also specifically may disclaim any potential

rights to do so under the "work for hire" provisions of the U.S. Copyright Act².

- A. The University may assert rights to any copyright work created by University employees under the following scenarios:
1. Material was developed by the employee under his/her own initiative with use of University resources. The University does not consider the ordinary use of University resources such as the libraries, one's office, desktop computer and University computer infrastructure, or secretarial staff and supplies, to be significant use of University resources for purposes of vesting the University with ownership of IP. In cases where significant University resources are used, the Originator(s) and University may in such cases hold joint ownership of a copyright; faculty retains publication rights, but University may retain a perpetual, royalty-free, non-exclusive license to use the material.
 2. Material was created under assignment or direction of the University and the University has negotiated an understanding or formal contract with the Originator. The University and Originator may hold joint ownership of a copyright. If there is commercial value in the material (e.g., a distance education multi-media course that could be licensed to other universities), the University shall retain a right to license the material non-exclusively to others. Such arrangement will not prohibit the Originator from using the material royalty-free for his/her own purposes at another institution. The Originator will receive a share of any revenues received by University as determined by the specific contract.
 3. Material was developed by non-faculty employees in the course of employment duties and thus falls under the "work for hire" principles of U.S. Law. These materials include, but are not limited to, instructional films and videotapes, telecourses, drawings, slides, computer programs, software, prototypes and models. Income from the University's use of such works in instructional programs may be shared with the Originator and/or Originator's department under a written agreement with the Provost's office.
 4. If the material is categorized as University property, the faculty has an obligation to disclose the material according to procedures in Section V below. Any profits derived there from will be shared according to the University revenue distribution policy, described at Section VII below.
 5. An Originator may disclose to the University any personally owned material that he/she believes has commercial value (see Section VI E). Any profits derived there from will be shared according to the University revenue distribution policy, described at Section VII below.

² Copyright is determined by the act of authorship. The author(s) does not have to mark a work with a copyright symbol. However, for public information, it is advisable to mark a work with: " Copyright (or ©), Year of publication, Name of Author(s)". A work does not have to be registered with the Library of Congress until such time as an author wishes to bring suit for infringement.

V. Administrative Procedures

- A. The legal interests of the University and its staff, faculty, and students in any IP, except traditional scholarly works as described in Section IV. A & B. shall be determined in accordance with this Policy by the IPC.
- B. Disclosure.
1. The Originator(s) shall disclose to the IPC any invention that he/she believes has commercial potential before publicly disclosing it. The Originator(s) are required to make best efforts inform the university seven (7) days in advance of a disclosure to the public. Instructions for disclosing an invention are posted on the University website of the Office of Sponsored Programs/Technology Transfer. The IPC will advise the Originator(s) about the appropriateness of filing a provisional patent application before the first public disclosure.
 2. To clarify the purpose of the above request:
 - a. All foreign patent rights will be lost with the first public disclosure (internet posting of abstract or full text; journal publication, disclosure at a conference, or disclosure to people other than University staff without a signed Confidential Disclosure Agreement).
 - b. Patent rights in the United States may be retained by filing a patent application within 12 months of the first public disclosure.
- C. Determination of Rights
1. The IPC shall determine the ownership and treatment of IP, specifically a patentable invention, by examining the intent and purpose of its creation, the source and terms of external sponsorship, if any; and the extent that University-owned resources were used in its creation.
 2. If the IPC determines that there has been no substantial use of University resources, the IPC shall release the property to the Originator, and the University shall not exert any further claim to the invention.
 3. The IPC may determine that the University has a legal interest in the invention but that the chances of successful commercialization are minimal or that the costs of pursuing such commercialization outweigh the income potential. In such cases, the IPC shall release the IP to the Originator as above.
 4. If the IPC determines that the University has a legal interest in the invention and judges that there is a reasonable chance for successful commercialization, it shall: (1) inform the Originator in writing that the University claims ownership rights to the property; (2) determine and record the rights of the Originator to share in any income in accord with

Section VII; and (3) provide recommendations as to appropriate courses of action. The Originator shall execute an assignment of ownership rights to the University.

5. In some instances the IPC may find that the University has an ownership right in a discovery but that the discovery can not yet be reduced to practice as that a decision as to patentability or commercialization is possible. In such cases, the IPC shall place the discovery in a pending status, provide the Originator reasons for taking such action and suggestions as to additional information or data that might be helpful, and request the Originator to report to the IPC at some specified interval if and when the discovery is brought to a more advanced stage.
6. Except for Section V.B.5., if the IPC takes no action within six months after receiving the initial report of the new discovery, right to the discovery shall be deemed to be released to the Originator.

VI. Commercialization Procedure

The Office of Sponsored Programs and Technology Transfer will seek the best commercial partner or partners that can demonstrate that it can fund additional research and development if necessary, and, in most cases, maintain a proven record of accomplishment in marketing and distribution of similar products.

A corporate sponsored research agreement usually requires that the sponsor have a first option to license any technology resulting from the funded research. In such cases, the University is allowed to retain legal ownership of the technology but exclusively licenses the technology to the sponsor.

The Office of Sponsored Programs and Technology Transfer will have full authority to manage the patent prosecution and licensing of all disclosed IP. When an entity is not the potential licensee, the Originator will be asked to participate in the licensing process, as he/she is often the person most familiar with the research, commercial applications, and potential licensees. However, to avoid conflict of interest, the Originator(s) may not participate in the selection of the licensee or in the license negotiation process.

- A. In seeking and developing commercialization of IP, the Office of Sponsored Programs and Technology Transfer shall be guided by the following principles:
 1. A primary objective and responsibility of the University shall be to assure that the products of its intellectual activity are brought into the widest possible use for the general benefit of society;
 2. IP should be treated as an asset and an appropriate return should be sought. Responsibility for this provision of the document rests with the IPC;
 3. Universities are required to give preference for technology developed with federal funding to small businesses;
 4. Actively encourage Originator participation in the commercialization efforts.

- B. In some situations, it may be in the best interests of the University, the general public, and the Originator to enter into commercialization arrangements with entities wholly or partially owned or controlled by employee who originated the invention. Due to the potential of such arrangements for contributing to the economic development of the state and local areas, such arrangements may be considered and accepted, provided these are not specifically prohibited by law and that adequate provisions, including full disclosure of interests, are made to avoid or otherwise protect against conflict of interest on the part of those involved. Such negotiations for the creation of new commercial entities arising directly from the University's IP or arising from a potential collaboration between the University's employees and some outside entity will be handled by the IPC in consultation with the University's legal counsel.
- C. Commercialization of IP is a process that may take a considerable amount of time. This process may involve discussions and negotiations over months or sometimes years and, based on national data, more often fails than succeeds. Timing, market conditions, and many other factors enter into the process. Quick success is rare. However, to protect the Originator, if no commercialization has occurred within two years after the property has been assigned to the University, the Originator may request that all rights be returned. Such requests should be directed to the IPC. The IPC shall require the Office of Sponsored Programs and Technology Transfer to explain what efforts have been made and what additional efforts are planned. If the IPC determines that there is little chance of successful commercialization, it shall direct the University to return all rights to the Originator, and the University shall no longer claim any rights to the property. If, on the other hand, the IPC determines that the Office of Sponsored Programs and Technology Transfer has undertaken reasonable efforts to commercialize and that further efforts offer reasonable chances of success, it shall deny the Originator's request. Such denials will be accompanied by a report summarizing the factors considered by the IPC in arriving at the decision. If the Originator remains unsatisfied with the commercialization efforts, this process may be repeated at six-month intervals.
- D. The Office of Sponsored Programs and Technology Transfer, as the designated agent for the University in the management of the IP program, shall receive by assignment ownership rights from the Originator(s). The Office of Sponsored Programs and Technology Transfer will have the responsibility for valuing the IP and protecting the University's interests. The process for licensing, selling, or otherwise conveying IP will not involve the use of sealed bids. With close consultation and collaboration with the Originator(s), the Office of Sponsored Programs and Technology Transfer shall determine the appropriate method of protection of the property and, where appropriate, obtain such protection. The Office of Sponsored Programs and Technology Transfer will license, sell, or otherwise convey the IP and will distribute any net income from commercialization in accordance with this Policy and the determinations of the IPC. All costs associated with these actions shall be borne by the Office of Sponsored Programs and Technology Transfer, except that such costs shall be offset against future income in accordance with Section VII.

- E. Faculty, staff or students of the University may request that the University accept, for management and commercialization, intellectual property that is owned personally and not originally subject to this Policy. Given such a request, the Office of Sponsored Programs and Technology Transfer, with advice of the IPC, shall determine if there is a reasonable expectation that the property can be commercialized successfully. If the University accepts management and commercialization responsibilities for such IP, that IP shall become subject to, and shall be treated in accordance with, all provisions of this Policy.
- F. IP referred to or offered to the University by third parties ("off the street") shall be treated as any other gift offer and shall be channeled through the Office of Institutional Advancement. If accepted by the University, the property shall be managed by the Office of Sponsored Programs and Technology Transfer in accordance with appropriate parts of this Policy and the terms of the gift agreement.

VII. Revenue Distribution Policy

- A. Net income is defined as license fees, milestone fees, gross royalties, or other payments received by the University, less deductibles such as, but not limited to, costs of mailing or courier services, interferences, patent prosecution and maintenance, licensing costs, and auditing fees. The Office of Sponsored Programs and Technology Transfer will provide the Originator(s) an annual accounting of income and costs associated with the management of the IP.
- B. Except as otherwise provided in this section, net income shall be distributed according to the following table:

Originator Share	33.3%
College/Department Share	33.3%
Sponsored Programs/University Share ³	33.3%

- C. The Originator’s share of net income shall remain with the individual if he/she retires or leaves the University or bequeaths to the individual’s heirs for so long as net income is derived from the IP.
- D. Where there is more than one Originator, the persons shall determine among themselves the percentage of the Originator’s royalty share each shall receive. If the Originators cannot reach such agreement within sixty (60) days of disclosing the IP to the University, the University shall, by default, divide the shares equally among the Originators.
- E. The Originator(s) may request that all or a portion of his/her personal share be distributed to his/her laboratory/office account to support furthering research and development of new IP. The Originator thereby enjoys the financial benefits of the revenue and may reduce payment

³ To be reinvested in the university's research and/or technology transfer activities through programs administered by the Office of Sponsored Programs and Technology Transfer.

of personal income tax. Such requests may be limited in duration to a specific time period or to some specific future event, e.g., the Originator's retirement or resignation from the University, and may be cancelled or modified by the Originator at any time.

- F. Distribution of net proceeds over \$1,000,000.00 will be negotiated with the University of New England.

VIII. Sharing of Research Materials

Transfer of materials created at the University should be conducted under a Materials Transfer Agreement that clarifies commercialization rights, as well as personal and product liabilities. Life Science Departments should use a Biological Material Transfer Agreement. The Physical Science Departments should use a similar Agreement. Computer software programs or experimental research equipment should be transferred under Beta Test Site Agreements.

IX. Consulting Agreements and Outside Business Relationships

- A. Consulting for outside organizations is encouraged and may be performed by university employees pursuant to applicable university policies as outlined in the Faculty handbook, including policies on consulting, conflict of interest, and this IP Policy. If the employee's obligations under this IP Policy conflict with the employee's obligations to the consulting entity, the obligations under this IP Policy will take precedence.
- B. Any fulltime University employee who consults with, or who has an ownership interest in, an outside business is responsible for ensuring that the consulting activity or the conduct of outside business is not in conflict with the terms of this Policy or with his/her employment commitments to the University. He/She must determine that neither the University's rights nor his/her obligations to the University are limited by the terms of such agreements or conduct of outside business interests. The faculty will be careful not to employ any students whom he/she is currently supervising academically or may supervise academically in the future. The University will provide such agreements and/or review any such proposed agreements.

Supporting Documents that will be required for implementation of Policy:

1. Invention Disclosure Form
2. Confidential Disclosure Agreement (one-way and two-way)
3. Biological Material Transfer Agreements
4. NIH approved Uniform BMTA (see AUTM website)
5. BMTA for non-signatories to the UMBTA
6. Beta Test Site Agreement
7. Conflict of Interest Disclosure Form
8. Visiting Scholar Agreement (HR)
9. Consulting Agreement (HR)

ATTACHMENT 5

University of New England Investigator Significant Financial Interest Disclosure Policy for Sponsored Projects

Originally Adopted March 2005
Revised August 2012

Introduction

This policy sets forth University of New England's general policy and procedures regarding financial conflicts of interest in relationship to research or externally sponsored projects. Its purpose is to protect the credibility and integrity of the University, thereby ensuring public trust and confidence in the University's sponsored research activities.

In accordance with Federal regulations, the University has a responsibility to manage, reduce, or eliminate any actual or potential conflicts of interest that may be presented by a financial interest of an Investigator. Thus, the University requires that Investigators disclose any significant financial interest that may present an actual or potential conflict of interest in relationship with a sponsored project. Unless otherwise indicated in the relevant section below, investigator **disclosure requirements** of this policy apply to all externally sponsored projects, regardless of funding source. Institutional **reporting requirements**, if any, will vary according to the requirements of the funding entity.

Background

On June 28, 1994, the National Science Foundation (NSF) issued notice of its policy on financial disclosure by scientific Investigators in sponsored research (59 Fed. Reg. 33308). This policy is designed to protect the integrity of NSF-funded research and at the same time to promote sharing and publication of research results. The notice, entitled *Investigator Financial Disclosure Policy*, became effective October 1, 1995.

Placing primary responsibility on the institution to develop information-gathering and reporting procedures, the National Science Foundation requires that grantee institutions employing more than 50 persons maintain "an appropriate written and enforced policy on conflict of interest." Researchers and institutional representatives must comply with the institutional requirements.

Also on June 28, 1994, the Public Health Service (PHS) published a proposed rulemaking entitled *Objectivity in Research*. Under its proposed rules, PHS would require that applicant institutions ensure there is no reasonable expectation that the design, conduct, and reporting of the research to be funded will be biased by any significant financial interest of the Investigator responsible for the design, conduct, and reporting of the research. The final rule was published in the Federal Register of July 11, 1995 with an effective date of October 1, 1995.

On August 25, 2011, PHS published a Final Rule substantially revising the 1995 Rule. These

revisions apply to both individuals and institutions engaged in research, and contain new and amended definitions as well as policy and procedural requirements. This amended UNE policy document implements those regulatory changes.

Requirements

Federal regulations require institutions to have policies and procedures in place to ensure objectivity in research by establishing standards that provide a reasonable expectation that the design, conduct, and reporting of research funded under Public Health Service (PHS) grants or cooperative agreements will be free from bias resulting from Investigator financial conflicts of interest. To achieve this goal, UNE is required to assess potential Investigator financial conflicts of interest related to the Investigator's institutional responsibilities. UNE must also develop appropriate specific mechanisms by which conflicts of interest will be satisfactorily managed, reduced, or eliminated, prior to award or acceptance of an award. The institution must also maintain appropriate records. If a new reportable significant conflict of interest arises at any time during the period after the submission of the proposal through the period of the award, the filing of a disclosure is also required. Furthermore, UNE must require certain Investigators to complete an appropriate training at least once every four (4) years.

Definitions

Disclosure of significant financial interests means an Investigator's disclosure of significant financial interests to an Institution.

Financial conflict of interest (FCOI) means a significant financial interest that could directly and significantly affect the design, conduct, or reporting of funded research.

FCOI report means an Institution's report of a financial conflict of interest to a PHS Awarding Component.

Financial interest means anything of monetary value, whether or not the value is readily ascertainable.

HHS means the United States Department of Health and Human Services, and any components of the Department to which the authority involved may be delegated.

Institution means any domestic or foreign, public or private, entity or organization (excluding a Federal agency) that is applying for, or that receives, PHS research funding.

Institutional responsibilities means an Investigator's professional responsibilities on behalf of the Institution, and as defined by the Institution in its policy on financial conflicts of interest, which may include for example: activities such as research, research consultation, teaching, professional practice, institutional committee memberships, and service on panels such as Institutional Review Boards or Data and Safety Monitoring Boards.

Investigator means the project director or principal Investigator and any other person, regardless

of title or position, who is responsible for the design, conduct, or reporting of funded research or research proposed for such funding, which may include, for example, collaborators, consultants and subcontractors⁴.

Manage means taking action to address a financial conflict of interest, which can include reducing or eliminating the financial conflict of interest, to ensure, to the extent possible, that the design, conduct, and reporting of research will be free from bias.

PD/PI means a project director or principal Investigator of a PHS-funded research project; the PD/PI is included in the definitions of senior/key personnel and Investigator under this subpart.

PHS means the Public Health Service of the U.S. Department of Health and Human Services, and any components of the PHS to which the authority involved may be delegated, including the National Institutes of Health (NIH).

PHS Awarding Component means the organizational unit of the PHS that funds the research that is subject to this subpart.

Public Health Service Act or *PHS Act* means the statute codified at 42 U.S.C. 201 *et seq.*

Research means a systematic investigation, study or experiment designed to develop or contribute to generalizable knowledge relating broadly to public health, including behavioral and social-sciences research. The term encompasses basic and applied research (*e.g.*, a published article, book or book chapter) and product development (*e.g.*, a diagnostic test or drug). As used in this policy, the term includes any such activity for which research funding is available from a PHS Awarding Component through a grant or cooperative agreement, whether authorized under the PHS Act or other statutory authority, such as a research grant, career development award, center grant, individual fellowship award, infrastructure award, institutional training grant, program project, or research resources award.

Senior/key personnel means the PD/PI and any other person identified as senior/key personnel by the Institution in the grant application, progress report, or any other report submitted to funders by the Institution under this subpart.

Significant financial interest means any of the following:

1. A financial interest consisting of one or more of the following interests of the Investigator (and those of the [Investigator's](#) spouse and dependent children) that reasonably appears to be related to the [Investigator's institutional responsibilities](#):
 - a. With regard to any publicly traded entity, a *significant financial interest* exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure and the value of any equity interest in the entity as of the

⁴ At UNE, the PI is generally the individual best able to decide who meets this definition. The UNE PI **must** ensure that all personnel who meet this definition be apprised of the Investigator Significant Financial Disclosure Policy and prepare the UNE Financial Interests Disclosure Form, if applicable.

date of disclosure, when aggregated, exceeds \$5,000. For purposes of this definition, remuneration includes salary and any payment for services not otherwise identified as salary (*e.g.*, consulting fees, honoraria, paid authorship); equity interest includes any stock, stock option, or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value;

- b. With regard to any non-publicly traded entity, a *significant financial interest* exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure, when aggregated, exceeds \$5,000, or when the [Investigator](#) (or the [Investigator's](#) spouse or dependent children) holds any equity interest (*e.g.*, stock, stock option, or other ownership interest); or
 - c. Intellectual property rights and interests (*e.g.*, patents, copyrights), upon receipt of income related to such rights and interests.
2. PHS funded [Investigators](#) also must disclose the occurrence of any reimbursed or sponsored travel (*i.e.*, that which is paid on behalf of the [Investigator](#) and not reimbursed to the [Investigator](#) so that the exact monetary value may not be readily available), related to their institutional responsibilities; provided, however, that this disclosure requirement does not apply to travel that is reimbursed or sponsored by a Federal, state, or local government agency, an Institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education. For UNE, the details of this disclosure will include, at a minimum, the purpose of the trip, the identity of the sponsor/organizer, the destination, and the duration. In accordance with this FCOI policy, the institutional official(s) will determine if further information is needed, including a determination or disclosure of monetary value, in order to determine whether the travel constitutes an FCOI.
3. The term *significant financial interest* **does not** include the following types of financial interests: salary, royalties, or other remuneration paid by the Institution to the [Investigator](#) if the [Investigator](#) is currently employed or otherwise appointed by the Institution, including intellectual property rights assigned to the Institution and agreements to share in royalties related to such rights; any ownership interest in the Institution held by the [Investigator](#), if the Institution is a commercial or for-profit organization; income from investment vehicles, such as mutual funds and retirement accounts, as long as the [Investigator](#) does not directly control the investment decisions made in these vehicles; income from seminars, lectures, or teaching engagements sponsored by a Federal, state, or local government agency, an Institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education; or income from service on advisory committees or review panels for a Federal, state, or local government agency, an Institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education.

Small Business Innovation Research (SBIR) Program means the extramural research program for small businesses that is established by the Awarding Components of the Public Health Service and certain other Federal agencies under Public Law 97–219, the Small Business Innovation Development Act, as amended. For purposes of this subpart, the term SBIR Program also includes the Small Business Technology Transfer (STTR) Program, which was established by Public Law 102–564.

Applicability

This policy has two distinct components: internal disclosure of [Significant Financial Interests](#) and external reporting of [Financial Conflicts of Interest](#). All UNE [Investigators](#) **must** disclose [Significant Financial Interests](#) when submitting a “pink sheet” to the Office of Sponsored Programs and within thirty (30) days of acquiring or discovering a [Significant Financial Interest](#).

As required by the individual funding entity reporting requirements, UNE will report [Financial Conflicts of Interest](#) to the funder. For PHS, UNE will be subject to the August 25, 2011 Final rule, including its disclosure requirements, as to any Notice of Award issued on or after August 24, 2012 and all award renewals, made by PHS or any subsidiary entity, including but not limited to:

1. NIH;
2. National Cancer Institute (“NCI”);
3. Centers for Medicare and Medicaid Services (“CMMS”);
4. Agency for Healthcare Research and Quality (“AHRQ”);
5. Centers for Disease Control and Prevention (“CDC”); and
6. Food and Drug Administration (“FDA”).

This overall policy applies to the following entities and individuals:

1. The University of New England;
2. Any [Investigator](#), as defined above, planning to participate or participating in the research;
3. Any individual applying for or receiving research funding; and
4. SBIR/STTR Phase II applicants and awardees. Phase I SBIR/STTR applicants and awardees are exempt.
5. Subcontractors and sub-awardees are subject to the same disclosure and reporting requirements.

Policy

1. University of New England requires each [Investigator](#) submitting a proposal for external funding to submit all required financial disclosures at the time of proposal submission and to update this information at least annually. However, [Investigators](#) must submit an updated disclosure of significant financial interests within thirty (30) days of discovering or acquiring (*e.g.*, through purchase, marriage, or inheritance) a new significant financial interest.

- a. **Initial disclosure** of significant financial interests shall be made to the Director of Research Administration by submitting a packet of information consisting of the [UNE Financial Interest Disclosure Form](#), all required supporting documentation (in a sealed envelope marked *confidential*), the proposal, and the University of New England routing form for grant and contract transmittal form ("the UNE pink sheet").
 - b. **Annual disclosure** of significant financial interests shall be made to a responsible institutional representative by submitting [UNE Financial Interest Disclosure Form](#).
 - c. **Thirty (30) day disclosure** of new significant financial interests, and all Reportable Travel, shall be made to a responsible institutional representative by submitting [UNE Financial Interest Disclosure Form](#).
 - d.
2. In accordance with Federal regulations, a complete initial disclosure must be made by the [Investigator](#) prior to submission of the proposal.
 3. The procedure to review disclosures, assess their potential for conflicts of interest, and develop resolution strategies to "manage, reduce or eliminate" such conflicts shall be incorporated with the standard proposal signature process and integrated into the normal proposal submission process.
 4. The Director of Research Administration, or official designee, will review [UNE Investigator FCOI Disclosure Forms](#) to determine whether an actual or potential conflict of interest exists. If an actual or potential conflict of interest is found, the matter will be referred to the UNE [Financial Conflict of Interest Review Committee](#) to determine what conditions or restrictions, if any, should be imposed by the institution to manage, reduce, or eliminate such conflicts of interest; and as necessary, recommend sanctions.
 5. The Office of Sponsored Programs shall be responsible for appropriate follow-up reporting and records management procedures.
 6. By law, information regarding the UNE FCOI policy and its implementation must be publically available.
 - a. UNE will make this policy available to the general public by posting it on the University's [Research-Sponsored Programs](#) website.
 - b. As required, UNE will make certain information about FCOIs related to PHS-funded research by Senior/Key Personnel available to the public. UNE will do so by responding to any request for information about these specifically covered FCOIs within five (5) business days. The Requestor will be informed that the information a) is up to date as of the date of disclosure and b) is subject to update as follows:

- i. at least annually; or
 - ii. within 60 days of a newly discovered FCOI; and
 - iii. will remain available for 3 years after the most recent update.
 - c. Information that must be made available is:
 - i. Investigator's name;
 - ii. Investigator's title and role with respect to a research project;
 - iii. Name of the entity in which the SFI is held;
 - iv. The nature of the SFI;
 - v. and the approximate dollar value of the SFI (dollar ranges are permissible: \$0-\$4,999; \$5,000-\$9,999; \$10,000-\$19,000; \$20,000-\$100,000 by increments of \$20,000; amounts above \$100,000 by increments of \$50,000), or a statement that the interest is one whose value cannot be readily determined through references of public prices or other reasonable measures of fair market value).
7. UNE will make available FCOI training to all [Investigators](#) and Senior/Key personnel, as defined above. This training is **required** for all UNE personnel engaged in research funded or sponsored by PHS and is **recommended** for all UNE personnel engaged in research. The Conflict of Interest training **must** be completed prior to engaging in research related to any PHS funded grant or contract and at least every four years thereafter. In addition, training must be completed immediately by PHS funded [Investigators](#) under the following circumstances:
- a. UNE FCOI policies change in a manner that affects [Investigator](#) requirements;
 - b. A PHS funded [Investigator](#) is new to UNE and brings current PHS funding to UNE; or
 - c. UNE finds an [Investigator](#) noncompliant with the institutional policy or his/her Management Plan.

This training requirement may be satisfied through face to face sessions offered by UNE and/or through online training modules approved by UNE.

Procedure & Implementation

1. Financial Conflict of Interest Review Committee: UNE will maintain a Financial Conflict of Interest Review Committee (FCOIRC). Committee members will be appointed by the President. The committee shall contain, at a minimum, researchers representing a cross section of disciplines, a research administrator, and other appropriate University personnel. The committee shall determine what conditions or restrictions, if any, should be imposed by the institution to manage actual or potential conflicts of interest arising from disclosed significant financial interests. Recommendations for committee members will be made to the President by the Director of Research Administration.

2. Investigator Disclosure: When making a new, annual, or 30-day disclosure under this policy, each Investigator is required to complete the UNE Financial Interests Disclosure Form and attach any required supporting documentation. For initial disclosures, the completed disclosure form must be submitted with the proposal and the University of New England Proposal Transmittal Form (“pink sheet”) to the Office of Sponsored Programs according to normal University procedures.

Regardless of the above minimum requirement, a faculty or staff member, in his or her own best interest, may choose to disclose any other financial or related interest that could present an actual conflict of interest or be perceived to present a conflict of interest. Disclosure is a key factor in protecting one's reputation and career from potentially embarrassing or harmful allegations of misconduct.

3. Timeframe for Investigator Disclosure: As required by federal regulation, all significant financial interests must be disclosed to UNE prior to the time a proposal is submitted to the funding agency. All financial disclosures must be updated by Investigators while the award is pending, either on an annual or thirty (30) day basis, as described above.
4. Subawards: If UNE carries out PHS-funded research through a subrecipient (e.g., subcontractors or consortium members), UNE as the awardee Institution must take reasonable steps to ensure that any subrecipient Investigator complies with this Policy or an equivalent policy at the subrecipient's home institution. These steps include, but are not limited to:
 - a. Incorporating as part of a written agreement with the subrecipient terms that establish whether UNE's financial conflicts of interest policy or that of the subrecipient will apply to the subrecipient's Investigators;
 - b. If the subrecipient's Investigators must comply with the subrecipient's financial conflicts of interest policy, the subrecipient shall certify as part of the agreement referenced above that its policy complies with current PHS standards. If the subrecipient cannot provide such certification, the agreement shall state that subrecipient Investigators are subject to UNE's financial conflicts of interest policy for disclosing significant financial interests that are directly related to the subrecipient's work for UNE;
 - c. If the subrecipient's Investigators must comply with the subrecipient's financial conflicts of interest policy, the agreement referenced above shall specify time period(s) for the subrecipient to report all identified financial conflicts of interest to UNE. Such time period(s) shall be sufficient to enable UNE to provide timely FCOI reports, as necessary, to PHS;
 - d. Alternatively, if the subrecipient's Investigators must comply with UNE's financial conflicts of interest policy, the agreement referenced above shall specify time period(s) for the subrecipient to submit all Investigator disclosures of significant financial interests to UNE. Such time period(s) shall be sufficient to enable UNE to comply timely with its review, management, and reporting obligations under this subpart.

- e. UNE will provide FCOI reports to the PHS Awarding Component regarding all financial conflicts of interest of all subrecipient [Investigators](#) according to the timeframe for reporting UNE Investigator FCOIs set forth below (*e.g.* prior to the expenditure of funds and within 60 days of any subsequently identified FCOI).
5. Disclosure Form Review: The Director of Research Administration or official designee shall conduct an initial review of all financial disclosures (Initial, 30 day and Annual) to determine if any disclosed significant financial interest could affect the design, conduct, or reporting of the proposed sponsored project. If the initial review indicates that there may be a potential for conflict of interest covered by this policy, the investigator will be notified and the disclosure will be referred to the FCOIRC.
6. Review of Untimely Disclosure: Within sixty days of learning that a) an [Investigator](#) failed to make a timely disclosure, or b) UNE had not previously reviewed an [Investigator's](#) disclosure in a timely manner, the Director of Research Administration shall review the disclosure of the significant financial interest in order to:
 - a. Determine whether it is related to PHS-funded research;
 - b. Determine whether a financial conflict of interest exists; and, if so,
 - c. Implement, on at least an interim basis, a management plan that shall specify the actions that have been, and will be, taken to manage such financial conflict of interest.

Depending on the nature of the significant financial interest, the Director of Research Administration may determine that additional interim measures are necessary with regard to the Investigator's participation in the PHS-funded research project between the date of disclosure and the completion of the Institution's review.

7. Retrospective Review: In addition to the above described prospective review, UNE shall conduct retrospective reviews whenever the University becomes aware of any [Investigator](#) non-compliance. Retrospective reviews will be completed and documented within 120 days of the date non-compliance is discovered.
8. Resolution Plan: Prior to consideration by the FCOIRC, the [Investigator](#), in cooperation with the [Investigator's](#) department and school or college, shall develop and present to the FCOIRC a resolution plan that details proposed steps that have or will be taken to manage, reduce, or eliminate any actual or potential conflict of interest presented by a significant financial interest.

At a minimum the resolution plan shall address such issues as public disclosure of significant financial interests, review of research protocol by independent reviewers, and monitoring of research by independent reviewers.

Within a reasonable time period, the FCOIRC shall review the resolution plan and approve it, add conditions or restrictions, including but not limited to the following:

- (i) Public disclosure of financial conflicts of interest (e.g., when presenting or publishing the research);
- (ii) For research projects involving human subjects research, disclosure of financial conflicts of interest directly to participants;
- (iii) Appointment of an independent monitor capable of taking measures to protect the design, conduct, and reporting of the research against bias resulting from the financial conflict of interest;
- (iv) Modification of the research plan;
- (v) Change of personnel or personnel responsibilities, or disqualification of personnel from participation in all or a portion of the research;
- (vi) Reduction or elimination of the financial interest (e.g., sale of an equity interest); or
- (vii) Severance of relationships that create financial conflicts.

The approved resolution plan shall be incorporated into a memorandum of understanding that details the conditions or restrictions imposed upon the [Investigator](#) in the conduct of the project or in the relationship with the business enterprise or entity. The memorandum of understanding shall be developed by the Office of Sponsored Programs and signed by the [Investigator](#) and the [Investigator's](#) chair and dean. Actual or potential conflicts of interest will be satisfactorily managed, reduced, and eliminated in accordance with these guidelines prior to accepting any award, or they will be disclosed by the Office of Sponsored Programs to the sponsoring agency as may be required.

9. Record Retention: Records of [Investigator](#) financial disclosures and actions taken to manage actual or potential conflicts of interest shall be retained by the Office of Sponsored Programs until three (3) years after the later of 1) the submission of the final expenditures report to PHS or 2) the resolution of any government action involving those records. All records, forms, correspondence, and all copies thereof shall be returned to the [Investigator](#) at the determination of award or resolution of government action involving those records.
10. UNE Reporting to PHS: UNE shall report any identified FCOI to the PHS Awarding Component. Timeframes for filing reports are as follows:
 - a. Prior to the expenditure of any funds;
 - b. Within sixty (60) days of identifying an [Investigator](#) who is newly participating in the project;
 - c. Within sixty (60) days of identifying any new, or newly identified FCOIs, for existing [Investigators](#);
 - d. At least annually until the completion of the project; or
 - e. Following a [retrospective review](#) to update a previous report, if indicated.

Such reports shall contain the following information:

- a. Grant Number;
- b. Project Director/Principal Investigator or designated contact person;
- c. Name of the [Investigator](#) with FCOI;
- d. Whether FCOI was managed, reduced or eliminated;
- e. The name of the entity with which the [Investigator](#) has the FCOI;
- f. The nature of the FCOI (*e.g.* equity, consulting fees, travel reimbursement, honoraria);
- g. The value of the financial interest in the following manner:
 - i. \$0-\$4,999;
 - ii. \$5,000-\$9,999;
 - iii. \$10,000-\$19,999;
 - iv. \$20,000-\$99,999 in increments of \$20,000;
 - v. More than \$100,000 in increments of \$50,000; or
 - vi. A statement that a value cannot be readily determined.

In the case of either prospective or [retrospective reviews](#), if UNE determines that that the FCOI resulted in bias in the conduct of the project, UNE will promptly notify the PHS awarding component and submit an appropriate mitigation report, setting forth at a minimum the following:

- a. the key elements documented in the review;
- b. a description of the impact of the bias on the research project; and
- c. UNE's plan of action or actions taken to eliminate or mitigate the effect of the bias (*e.g.*, impact on the research project; extent of harm done, including any qualitative and quantitative data to support any actual or future harm; analysis of whether the research project is salvageable).

11. **Monitoring:** The Director of Research Administration, or designee, will monitor PHS funded [Investigator](#) compliance with any management plans until the completion of the project.
12. **Non-Compliance/Violations:** Whenever an [Investigator](#) has violated this policy or the terms of the memorandum of understanding, the conflict of interest review committee shall recommend sanctions which may include disciplinary action ranging from a public letter of reprimand to dismissal and termination of employment. The committee's recommendations on sanctions shall be presented to the [Investigator's](#) chair and dean who, in consultation with the University President, shall enforce any disciplinary action in accordance with the University procedures then in force.

If the failure of an [Investigator](#) to comply with UNE's financial conflicts of interest policy or a financial conflict of interest management plan appears to have biased the design, conduct, or reporting of the PHS-funded research, UNE shall promptly notify the PHS Awarding Component of the corrective action taken or to be taken.

In any case in which the HHS determines that a PHS-funded project of clinical research whose purpose is to evaluate the safety or effectiveness of a drug, medical device, or treatment has been designed, conducted, or reported by an [Investigator](#) with a financial conflict of interest that was not appropriately managed or reported by UNE, UNE shall require the [Investigator](#) involved to disclose the financial conflict of interest in each public presentation of the results of the research and to request an addendum to previously published presentations.

13. UNE Internal Reporting: The Director of Research Administration or official designee shall report annually to the Vice President for Research and Scholarship about the status and workings of this policy and the actions of the conflict of interest review committee.

ATTACHMENT 6

University of New England - Office of Research Integrity

Policy on Research Misconduct

(Last Updated April 06, 2021)

1. Introduction and Applicability

The reputation of the University of New England (UNE or University) and its scholarly and academic endeavors require that all members of its community maintain the highest ethical standards in their professional activities. In recognition of this need, UNE has adopted the following policy to respond to allegations of Research Misconduct and to inform members of the community of the appropriate channels for bringing such matters to the attention of the University⁵. This policy applies to any person who, at the time of the alleged Research Misconduct, was employed by, was agent of, or was affiliated by agreement with UNE, including faculty, staff and students.

2. Definitions⁶

- a. *Complainant*. The individual, department or entity who in good faith makes an allegation of Research Misconduct.
- b. *Inquiry* means preliminary information-gathering and preliminary fact-finding consistent with Section 3 of this policy and applicable provisions of 42 CFR §§ 93.307-309.
- c. *Investigation* means the formal development of a factual record and the examination of that record leading to a decision not to make a finding of Research Misconduct or to a recommendation for a finding of Research Misconduct which may include a recommendation for other appropriate

⁵ This policy is based upon the federal regulations governing research misconduct governing Public Health Service ("PHS")-supported activities and will be interpreted and applied so as to be in compliance with those regulations. UNE has also determined that this policy will be applied as the minimum standard to **all** allegations of research misconduct, regardless of the funding source(s) or whether the scholarly activity is funded.

Institutional response to research misconduct allegations in areas not PHS-supported will follow the same general principles except for the actual involvement of PHS. In the event another research sponsor has additional requirements to those covered by this policy, all research funded by that source will be subject to those additional requirements.

⁶ Definitions are based on the Federal Policy on Research Misconduct, 42 C.F.R. Part 93.

actions, including administrative actions.

- d. *Research Misconduct* is defined as knowing, intentional or reckless fabrication, falsification, or plagiarism in the conduct of scholarly activity. Research Misconduct does not include honest error or differences of opinion.
 - i. *Fabrication* is making-up data or results and recording or reporting them.
 - ii. *Falsification* is manipulating research results, equipment, or processes, or changing or omitting data or results such that information is not accurately represented in the research record.
 - iii. *Plagiarism* is the appropriation of another person's ideas, processes, results, data or words without giving appropriate credit.
- e. *Research Record* is the record of data or results of scholarly activity and includes, but is not limited to, research proposals, laboratory records (both physical and electronic), progress reports, abstracts, theses, oral presentations, internal reports, and materials submitted for publication or published in any form.
- f. *Respondent* means the person against whom an allegation of Research Misconduct is directed or who is the subject of a Research Misconduct Proceeding.
- g. *Scholarly Activity* includes, but is not limited to, writing research proposals, undertaking research activities, and reporting or presenting research results. Scholarly activity includes all basic, applied, and demonstration research in all fields of study. Scholarly activity also includes reviewing the research of others for publishers, funding agencies or any other purpose.

3. Preliminary Reporting and Inquiry

- a. Allegations of Research Misconduct shall be made to the UNE Research Integrity Officer (RIO) and/or his or her designated deputy RIO. Such reports will preferably be made in writing. However, **any** form of communication will be considered acceptable under this policy. The RIO will inform the Associate Provost for Research & Scholarship (APRS), the Provost and the Human Resources department of any allegations. Allegations of Research Misconduct committed by the RIO or deputy RIO should be submitted directly to the Provost.⁷
- b. Within five (5) business days of receiving an allegation of Research Misconduct, the RIO or deputy RIO will conduct an informal investigation to determine whether the behavior alleged meets the definition of Research Misconduct above and is sufficiently credible and specific so that potential evidence of such Research Misconduct may be identified, in which case an Inquiry will be

⁷ When allegations are raised against the RIO or deputy RIO, the Provost shall perform the role of the RIO or deputy RIO as defined in this policy.

conducted.⁸ The APRS and Provost will be notified of the result of the informal investigation prior to the determination to conduct an Inquiry or Investigation. To initiate the Inquiry process, the RIO or deputy RIO shall forward a copy of the allegation to the Respondent along with a copy of this policy. The RIO or deputy RIO shall, at the same time, inform Respondent's department head or other immediate supervisor of the nature of the claims alleged and immediately arrange to take all appropriate actions to obtain and secure all Research Records and evidence needed to conduct the Research Misconduct Inquiry. Respondent shall have an opportunity to respond in writing to the RIO or deputy RIO to any allegations raised. Responses must be received by the RIO or deputy RIO within ten (10) business days, but upon reasonable request, the RIO or deputy RIO may choose to grant additional time.

- c. After Respondent has been notified and has had an opportunity to respond, the RIO or deputy RIO, in consultation with the department head or program director and, if the RIO or deputy RIO deems appropriate, the APRS, Provost, the Institutional Compliance Officer, and/or such other persons as the RIO or deputy RIO decides would be helpful to the Inquiry process (the "Inquiry Committee"), shall determine whether a Investigation is warranted. As part of the Inquiry, the RIO or deputy RIO and/or other members of the Inquiry Committee will undertake an initial review of the evidence and may interview Respondent, Complainant and other relevant witnesses, all on an individual basis. Pursuant to 42 CFR 93.310(g), such interviews shall preferably be audio or video recorded and transcribed, or alternatively may be solely transcribed. Transcripts of each interview shall be provided to each person interviewed for the purpose of correction⁹; and the RIO shall include the transcript and any corrections in the record of the investigation.
- d. The RIO or deputy RIO his/her designee from the Inquiry Committee shall prepare a written report detailing the results of the Inquiry. Respondent shall be provided a copy of the draft report and provided an opportunity to respond or comment within ten (10) business days. Any written response or comment will be included in the final Inquiry report.¹⁰

⁸ When the RIO or deputy RIO is the subject of an allegation, the Provost shall consult with the Chair of the University Faculty Assembly and, if the Provost decides that further inquiry is warranted, it shall be conducted by the Chair of the University Faculty Assembly.

⁹ Interviews will either be audio recorded, video recorded, or manually transcribed in writing by an individual selected by the RIO or deputy RIO. Transcripts will be prepared from audio or video recordings or prepared by the individual taking notes. The method of recording (or manual transcription) shall be mutually agreed upon by the interviewee and the RIO or deputy RIO, but shall be one of these approved methods.

¹⁰ Inquiry reports involving PHS-supported research must comply with Federal Regulations. See 42 C.F.R. § 93.309.

- e. The RIO or deputy RIO, in consultation with the Inquiry Committee, shall determine from this Inquiry whether a Investigation is warranted. An Investigation is warranted when the information developed during the Inquiry supports a reasonable basis for concluding that the allegation falls within the definition of Research Misconduct under this policy and preliminary information-gathering and preliminary fact-finding from the Inquiry indicates that the allegation may have substance. During the Inquiry, the identities of all parties involved will be held in confidence to the maximum extent that an effective Inquiry allows.
- f. The entire Inquiry process must be completed within sixty calendar days of the appointment of the Inquiry Committee unless the RIO or deputy RIO determines, for good cause shown and documented on the record, that circumstances warrant a longer period.
- g. The RIO or deputy RIO shall, at any appropriate time and when required by law, notify federal authorities of allegations of Research Misconduct in federally supported research.¹¹
- h. At any time prior to beginning a Investigation, the RIO or deputy RIO may meet with the parties involved and seek to informally resolve the issues raised by the allegation. If the parties cannot agree on a settlement of the issues, the RIO or deputy RIO shall proceed with an Investigation.¹²
- i. The University shall take no action against Respondent as a result of Research Misconduct allegations pending the conclusion of the Inquiry or Investigation, unless it is determined, in consultation with Human Resources, that the presence of that person on campus, in class or in the research setting poses an immediate threat of physical or psychological harm to others. A suspension on this basis shall not result in a reduction of salary while an Inquiry or Investigation is pending. During the course of the Inquiry and Investigation, the Respondent remains subject to all other University policies and procedures.

¹¹ Regulations require institutions receiving grants under the Public Health Service to notify the Office of Research Integrity (“ORI”), a component of the Office of the Director of the National Institutes for Health (“NIH”), when an institution determines that a formal investigation is warranted (42 C.F.R. § 93.309) and certain specific conditions exist (see 42 C.F.R. § 93.318). If it is determined that an investigation is not warranted, the institution must maintain, for a period of at least seven (7) years, sufficiently detailed documentation of the inquiry to permit a later assessment of reasons supporting that determination (42 C.F.R. § 93.309(c)).

¹² If PHS-supported research is at issue, the RIO or deputy RIO must notify the ORI, if UNE intends to close a case at the Inquiry, Investigation or appeal stage on the basis that Respondent has admitted guilt or a settlement with Respondent has been reached (42C.F.R. § 93.316).

4. Procedures for Formal Investigations

- a. If the RIO or deputy RIO determines that an Investigation is warranted, they will notify the APRS and Provost, and the Investigation shall begin within twenty-one (21) days of the conclusion of the Inquiry. Before the Investigation begins, the RIO or deputy RIO shall notify Respondent in writing that an Investigation is in order and shall forward to respondent a copy of the final Inquiry report.
- b. All parties involved in an Investigation and any subsequent proceedings shall, to the extent possible, endeavor to maintain confidentiality regarding the allegations, and evidence and proceedings, and shall use care in balancing the need for disclosure and any privacy interests of persons involved.
- c. The RIO or deputy RIO will request that the Chair of the University Faculty Assembly¹³ recommend a fact-finding committee of five (5) tenured faculty members¹⁴ who are unbiased¹⁵ in the investigation (“the Committee”). Upon approval of the membership of the committee by the RIO or deputy RIO, the Committee shall elect its own chair who shall be responsible for determining the manner in which witness interviews are handled by the Committee. The Committee shall have one hundred twenty (120) days from the date of beginning the formal investigation to complete it.
- d. The Committee will be provided with the Inquiry report, Research Record, and all other necessary information about the allegation and empowered to review relevant documents and interview witnesses. The Committee shall review all relevant Research Records and documentation and interview respondent and complainant and any other available persons who have been identified as having relevant and material information regarding the Investigation. Respondent shall receive written notice, in advance, of all the planned fact-finding activities of the Committee. The Committee may seek assistance from UNE Counsel in conducting its Investigation and from the UNE or Federal ORI, if needed.
- e. The Committee will be expected to pursue all significant issues and leads developed during the Investigation, including evidence of additional instances of possible Research Misconduct. The Committee will give Respondent written

¹³ If the respondent is the Chair of the University Faculty Assembly, the Vice-Chair of the University Faculty Assembly will perform the functions of the Chair of the University Faculty Assembly as outlined in this section

¹⁴ The Committee shall include individuals with appropriate expertise to evaluate the particular issues and evidence involved in the alleged misconduct.

¹⁵ “Unbiased” in this context means person(s) “who do not have unresolved personal, professional or financial conflicts of interest with” respondent (42 C.F.R. § 93.310(b)).

notice of any new instances or allegations of Research Misconduct not addressed during the Inquiry or in the initial notice of Investigation within a reasonable amount of time of deciding to pursue such allegations.

- f. The Committee shall keep records of all its fact-finding proceedings and, pursuant to 42 CFR 93.310(g), shall arrange for a recording or transcript of each interview consistent with Section 3(c) above.
- g. Respondent may exercise the following rights during the Investigation of the Committee:
 - i. Respondent may choose to be represented by legal counsel that they secure. Respondents may consult with legal counsel or a non-lawyer personal adviser (who is not a principal or witness in the case) to seek advice. Respondent may bring an attorney adviser or non-lawyer personal advisor. Such an adviser may act as an observer only, and may not comment on the proceedings, propound questions, cross-examine interviewees, or raise objections of any sort. Respondent will be responsible for all costs associated with such advice or representation.
 - ii. Respondent shall have the opportunity to present a defense to the Committee, to present witnesses for interview by the Committee, and to respond to all allegations of Research Misconduct. The Federal/State Court Rules of Evidence will not formally apply to this proceeding.
 - iii. UNE will take reasonable steps to ensure an impartial and unbiased Investigation to the maximum extent practicable, including participation of persons with appropriate scientific expertise who do not have unresolved personal, professional, or financial conflicts of interest with those involved with the Inquiry or Investigation. Respondent may challenge the composition of the Committee, if he or she believes that one or more of its members is not unbiased, has a conflict of interest, or should otherwise recuse himself or herself. The Committee, in consultation with the RIO or deputy RIO, shall determine whether bias or conflict of interest exists and shall request that the Chair replace a committee member when appropriate.
 - iv. Respondent has the right to appear at a preliminary conference with the Committee to set an interview schedule. The Committee shall endeavor to provide Respondent with a reasonable amount of time to prepare for the investigation consistent with the overall time constraints on the investigation process.

- v. At the request of Respondent, the Committee shall use its authority to obtain documents and evidence and to interview witnesses who have information relevant to the defense of Respondent.
- vi. Respondent is entitled to a presumption of innocence and need not prove his or her innocence¹⁶ to the Committee.
- vii. Respondent shall receive a copy of the draft Investigation report of the Committee and shall have an opportunity to provide a written response to such report. Respondent shall receive a copy of the final report at the time it is provided to the RIO or deputy RIO.
- h. Once the investigation is completed, the Committee will prepare a draft Investigation report¹⁷ stating whether or not Respondent has committed Research Misconduct and summarizing the facts and analysis that support that conclusion and, if appropriate, addressing the merits of any reasonable explanation or defense provided by Respondent. Findings of Research Misconduct shall only be made if a majority of the members of the Committee agree that there has been a significant departure from accepted practices of the relevant research community, and such Research Misconduct findings are supported by a preponderance of evidence¹⁸. If the Committee determines Respondent has engaged in Research Misconduct, it may also recommend disciplinary actions (up to and including termination). This draft report should be prepared within fifteen (15) days of conclusion of the evidentiary phase of the investigation.
- i. The Committee will provide Respondent with a copy of the draft Investigation report for comment as well as a copy of, or supervised access to, the evidence on which the report is based. Respondent shall have thirty (30) days to respond to the draft report. Respondent's comments will be considered and included in the final report for transmission to the RIO or deputy RIO.
- j. The final Investigation report must be in writing and submitted to the RIO or deputy RIO, APRS and Provost in a timely fashion such that the RIO or deputy RIO may review the report, determine whether to accept it as written, return it

¹⁶ The respondent bears the burden of proving any affirmative defenses raised (e.g., honest error or difference of opinion) or mitigating factors. (See 42 C.F.R. § 93.106.)

¹⁷ If applicable, the investigation report shall comply with the requirements of 42 C.F.R. § 93.313.

¹⁸ Preponderance of the evidence as applied to the Committee's and Respondent's (defenses) burdens of proof means, "proof by information that, compared with that opposing it, leads to the conclusion that the fact at issue is more probably true than not." (42 C.F.R. § 93.219.)

to the Committee for further deliberation or fact-finding, and allow for submission of the report to ORI¹⁹ or the appropriate sponsor no later than 120 days from the date the Investigation began if there is a finding of Research Misconduct. If this time period cannot be met and PHS-supported research is at issue, the RIO or deputy RIO must file a written request and explanation for an extension with the ORI. If the RIO or deputy RIO's determination differs from the Committee, he/she must provide a written explanation of the reasons therefore.

- k. If the RIO or deputy RIO concludes that Respondent has committed Research Misconduct, the RIO or deputy RIO, in consultation with the APRS, AVP of Human Resources, and the relevant dean, department head or program director, shall also determine the appropriate disciplinary action, up to and including termination. The RIO or deputy RIO shall promptly notify Respondent of this decision, which shall be final, subject to a limited right of appeal to the President, as described below.
- l. Should the procedure followed under this policy find no Research Misconduct by the Respondent, the party or parties who conducted the Inquiry or Investigation shall, as appropriate, undertake a good faith effort to protect or restore the reputation of the Respondent. Reasonable efforts will also be taken to protect the standing of the Complainant who raised the issue of possible Research Misconduct, unless the Inquiry or Investigation reveals that such Complainant acted in bad faith, in which case appropriate disciplinary actions may be taken.

5. Review of Disciplinary Actions by the Provost and President

- a. The Respondent may appeal the disciplinary action on grounds of process or procedure or bias only to the University Provost and President. Such appeal must be in writing, must state the reasons for appeal, and must be presented to the Provost and President within ten (10) business days of the date of Respondent's receipt of notice of such disciplinary action. Thereafter, the RIO or deputy RIO shall promptly transmit the final Investigation report. The President and Provost shall review the reasons for appeal, the final Investigation report, any changes thereto made by the RIO or deputy RIO (see ¶ 4(j)) and, if necessary, may seek additional submissions or information from Respondent or the RIO or deputy RIO. The President shall notify both Respondent and the RIO or deputy RIO of his or her decision, which shall be the final decision on the part of the institution, subject to review by the ORI where applicable.

6. Special Measures

- a. If the Committee concludes that Research Misconduct occurred and the RIO or

¹⁹ If PHS-supported research is involved, the contents of the final report must comply with federal regulations (42 C.F.R. § 93.313).

deputy RIO determines that further action is required, the RIO or deputy RIO shall direct the department head or program director²⁰ to notify the editors of publications to which abstracts and/or papers relevant to the research misconduct have been submitted, and request that the work be withdrawn prior to publication. If any relevant work has already been published, the department head or program director will request that a correction or retraction be published. The individual who was found to have committed Research Misconduct will ordinarily be responsible for preparing and presenting appropriate corrections and/or retractions.

7. Reporting and Records

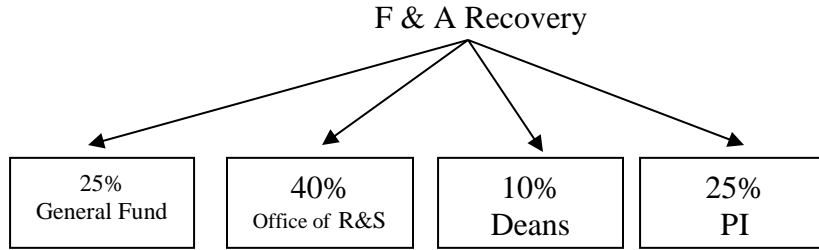
- a. If the Research Misconduct occurred in the context of externally sponsored research, the RIO or deputy RIO shall instruct the APRS to convey the results of the investigation and any decision or further actions taken as a result of that Investigation to the sponsor of the research. This communication shall include a description of the procedure that was followed to investigate the allegation(s) and a summary of the views of the person(s) found to have engaged in Research Misconduct.
- b. The RIO or deputy RIO shall file reports on allegations and investigations of Research Misconduct as required by the Federal Office of Research Integrity, Office of Scientific Integrity, or other relevant agency.
- c. Upon completion of the matter, the RIO's office shall provide a summary report of all proceedings (including disciplinary action and appeal, if applicable) to the Respondent, their relevant dean, department head or program director, APRS, Human Resources, Provost and President.
- d. The RIO's office shall maintain, for a period of seven years, all records and documentation regarding allegations of Research Misconduct, including written allegations and responses to them, transcripts of hearings, reports of fact-finding committees, records of appeals and decisions of administrators and the Board of Trustees.

²⁰ For the purposes of this section, the RIO or deputy RIO will fulfill the responsibilities of the department head when the Research Misconduct was committed by a department head or program director.

ATTACHMENT 7
Policy on Distribution of F&A Recovery Funds for FY 2012/2013

UNE’s distribution policy for F&A (sometimes referred to as “indirect”) recovery funds shall be reviewed annually by the Office of Research and Scholarship and is subject to change as the financial needs of UNE and its research mission both changes and matures.

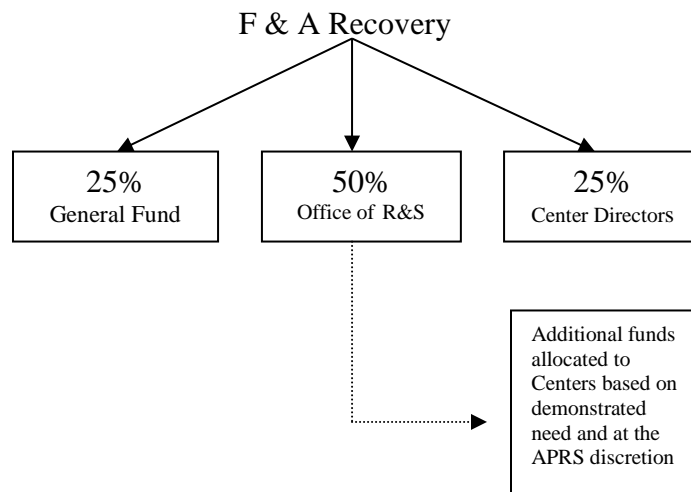
UNE’s current F&A distribution recognizes the need to strategically invest in research. The F&A distribution for individual investigator awards for the FY 2012/2013 remains the same as it was for FY 2010 and 2011 and is as follows:



UNE faculty have comparatively heavy teaching loads in relation to research intensive institutions. This distribution model recognizes that at this stage of UNE’s development, providing incentives to PIs to expand their research is critical. This model provides an incentive for PIs to increase research productivity by returning 25% of recovered F&A directly to the PI to be used in support of future research. The 40% to the Office of Research and Scholarship will be used to help contribute to new faculty start up packages, shared research resources, and faculty mini-grants, and other strategic investments designed to increase research volume and improve the administrative support that faculty receive (OSP, research compliance, etc.)

While the Dean’s share is now currently 10%, budget relief which results from grant funded faculty salaries shall remain within the college, providing further incentives for increasing faculty participation in research.

University-wide Research Centers of Excellence have been established through the office of Research and Scholarship. In recognition of the importance of investing in these Centers to ensure their future growth, the F&A distribution model for center-initiated, cross-college program projects (PPGs) for FY2012/ FY2013 is as follows:



ATTACHMENT 8
Annual Review Forms for Faculty Member and Faculty Member's Supervisor

UNIVERSITY OF NEW ENGLAND

**Annual Faculty Member Performance Evaluation
for Academic or Calendar Year XXXX/YYYY (indicate one)**

Part A (Completed by Faculty Member undergoing evaluation)

Content of this form serves as the minimal protocol and can be supplemented by individual units. This form is to be completed by each faculty member, and submitted to and discussed with her/his supervisor. The UNE Faculty Handbook states that every member of the faculty will be reviewed annually as part of the Annual Review, Reappointment, Promotion, and Tenure process. All reporting of teaching, scholarship and service will align with departmental criteria established for reappointment, promotion, and tenure.

When completed and signed by the candidate, supervisor, and dean, Faculty Member will add Parts A and B of this form to their RPT portfolio to be considered in multilevel RPT reviews.

Name of Faculty Member:

Date of Hire:

Due Date of Faculty Member's Portfolio for next Multilevel RPT Review:

Faculty Classification: (*Teaching, Research, Clinical or Tenure track*) (indicate one):

Rank:

(*eg. Assistant, Associate, Professor, as appropriate*)

Date of appointment to current rank:

Date tenured: (*if appropriate*)

Total Full-Time Equivalency (FTE; full-time regular, half-time regular, full-time visiting, half-time visiting or other (indicate one):

Supplemental UNE contract/Overload? YES/NO (indicate one): Please describe:

Annual contract length: (eg. 9 mo., 10 mo., 11 mo., 12 mo. (indicate one):

Percent Time (Effort), to total 100% (or equivalent workload quantification system):

Teaching Time:

Research/Scholarship Time:

Service Time:

Administration Time:

Clinical:

TEACHING

1. What were your teaching assignments?
2. What were your teaching goals for the academic year under review (refer to last year's annual review or other discussions with your administrative supervisor)?
3. Student Evaluations: *Attach copies of the student evaluation report for each course to this document.*
4. What other activities demonstrate evidence of your teaching performance for the year under review (e.g. student advising, peer review, teaching innovations, awards, meetings, etc.)?
5. How would you rate your overall performance in the area of teaching for the year under review? (Using these categories: did not meet expectations, met expectations, exceeded expectations). Justify your response. (e.g., what are your strengths and weaknesses, what have you learned from student and peer evaluations, what improvements have you tried to incorporate into your courses, reflection on whether goals were met).
6. What are your teaching related goals for the upcoming year of review and beyond?

SCHOLARLY ACTIVITY

1. What were your scholarship-related goals for the year under review (refer to last year's annual review or other discussions with your administrative supervisor)?
2. What activities in the year under review demonstrate evidence of your scholarship (this may be presented in list form)? For each, indicate your level of involvement (examples: principal investigator, consultant, co-author, presenter). Include finalized work such as manuscripts published, presentations and grants funded, as well as work in progress such as grant applications, articles in preparation, etc.

- 3 How would you rate your overall performance in the area of scholarship for the year under review? (Using these categories: did not meet expectations, met expectations, exceeded expectations). Justify your response (e.g., what are your strengths and weakness, reflection on whether goals were met).
4. What are your scholarship-related goals for the upcoming year of review and beyond?

SERVICE

1. What were your service goals for the year under review (refer to last year's annual review or other discussions with your administrative supervisor)?
2. What were your service activities in the year under review (this may be presented in list form)? For each, indicate your level of involvement (e.g., student advising, committee member, chair, consultant) and the frequency of activity (example: committee met quarterly), and particular achievements.
3. How would you rate your overall performance in the area of service for the year under review? (Using these categories: did not meet expectations, met expectations, exceeded expectations). Justify your response (e.g., what are your strengths and weaknesses, reflection on whether your goals were met).
4. What are your service-related goals for the upcoming year of review and beyond?

OTHER

1. Were you involved with any faculty development activities regarding teaching, scholarship, or service? If so, please list these here.
2. List other notable activities, awards, etc. with a brief description of each (1-3 sentences maximum).
3. Do you have any faculty development goals for the next academic year?

Signature of Faculty Member

Date

ATTACHMENT 8 (continued)

UNIVERSITY OF NEW ENGLAND

**Annual Faculty Member Performance Evaluation
for Academic or Calendar Year XXXX/YYYY (indicate one)**

Part B (Completed by Faculty Member's Supervisor)

Content of this form serves as the minimal protocol and can be supplemented by individual units. This form is to be completed by each faculty member's supervisor and will be sent to the faculty member after the annual review and included in the faculty member's RPT portfolio. The UNE Faculty Handbook states that every member of the faculty will be reviewed annually as part of the Annual Review, Reappointment, Promotion, and Tenure process. All reporting of teaching, scholarship and service will align with departmental criteria established for reappointment, promotion, and tenure.

1. For teaching, scholarship, and service, separately, indicate:
 - a. your assessment of the faculty member's performance by explaining whether the faculty member does not meet, meets, or exceeds expectations set for the year under review. Discuss relevant circumstances that may explain any deviation from expected level of performance. Justify your rating using the evidence provided by the faculty member or other evidence that may be relevant.

 - b. your assessment of the faculty member's teaching, scholarship, and service-related goals for the upcoming year of review and beyond.

2. Considering the faculty member's performance in each area and other factors discussed, indicate and justify your single overall assessment (does not meet, meets, or exceeds).

3. For all faculty members eligible for promotion or tenure, comment about progress toward achieving the levels of performance that justify a recommendation for promotion to a more senior rank or award of tenure. Comments must address each area of professional responsibility.

Date of Faculty Member's next Multilevel Review: _____

SIGNATURES

1. Signature of Supervisor _____
Date

2. Faculty Member:

I have received these comments and ratings from my immediate supervisor. I understand that I have the right to respond to these comments and ratings in writing within five (5) working days after receipt of this document.

1. Signature of Faculty Member _____
Date

3. Optional Comments by Faculty Member:

I would like to add these comments:

Signature of Faculty Member _____
Date

4. Signature of Dean _____
Date

ATTACHMENT 9

Faculty Hiring Process

Preamble

The following protocol is designed for full-time, tenure track faculty positions, and should also serve as a general guideline for other academic appointments. It is recognized that in exceptional situations, e.g., when negotiations include the possible hiring of a domestic partner, the protocol might need to be adjusted but should never circumvent a credentialed review and interview by a committee of at least 3 faculty members.

Opening a position

The decision to open a new position will be made by the Dean in consultation with the chair/director and faculty of the unit(s) involved. The Faculty should be consulted as to the job description and in the type of resources needed to attract applicants to the position (e.g., research space, equipment). The Dean, in consultation with the chair/director or other administrator will identify the means for supporting the position and submit an 'approval to hire' form according to the protocols identified by the college and Human Resources.

Search Committee

The Dean, in consultation with the chair/director of the department/program, will appoint the chair of a search committee from outside the chain of command for hiring, and sufficient faculty representation with the expertise to understand the departmental/programmatic needs. Efforts should be made to ensure gender and ethnic diversity on the search committee. The Search Committee should be chaired by a faculty member with significant experience in at least one area relevant to the search (e.g., education or research), and preferably has experience conducting faculty searches. The Search Committee should include a member external to the department/college (whenever possible and practical).

Once the committee is formed, the Dean will charge the committee and remind that confidentiality should be maintained at all appropriate phases. The chair of the Search Committee should contact Human Resources to assure the process necessary to be in compliance with University policy.

The Search Committee will draft position announcements and seek approval from the dean/chair/director. The committee should share the announcement with the program, department and/or college faculty, for appropriate input prior to distribution. Position announcements should be crafted in a manner consistent with the discipline and specify all possible classifications/ranks (e.g., seeking Assistant Professor but outstanding candidates of higher ranks will be considered). The advertisements should specify a start date for review of applications. The Search Committee will suggest proper venues to advertise the position and submit suggestions to the Dean/Chair for input and approval. The position should be posted internally and externally.

In accordance with the charge from the Dean, the Search Committee will review/evaluate applications and choose a cohort of applicants for preliminary evaluation. Based upon these preliminary interviews, the committee will choose candidates for the Dean to consider for on-campus interviews.

The Search Committee will evaluate candidates systematically and document the process which was followed in order to provide recommendations according to the Dean's charge. Communication with persons providing reference information for finalists is required.

Offers

The Dean, in consultation with others in the university administration will craft an offer letter and negotiate with the selected candidate. The faculty classification/rank cannot exceed that which was advertised. The offer letter must include responsibilities and expectations of the faculty member (e.g., initial percent effort in teaching, research/scholarship, service and/or clinical appointments), and any resources which will may be provided by the institution. At the time employment begins, a formal Letter of Hire must be provided to the new faculty member.

Follow-up

The Search Committee Chair is responsible for ensuring that all unsuccessful candidates are notified.