UNIVERSITY OF NEW ENGLAND
FACULTY HANDBOOK
2024-2025

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The process of modification may differ following University procedure as noted at the beginning of an appendix

ATTACHMENTS

Management policies to be edited without the need for formal Board of Trustee approval

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. Faculty Assembly and University Administration General Guidelines

- All UFA committees have representation from the Administration in the form of *ex officio* non-voting members.
- Inclusion and active participation of representatives from the Administration at UFA meetings and in UFA committees fosters a climate of collegial and cooperative discussions that best support the system of shared governance at UNE. This practice allows the Administration to have input as recommendations are deliberated, finalized and voted upon in UFA Committees and on the floor of UFA.
- All motions passed by UFA are in the form of recommendations to Administration, which has the authority to support or not support the recommendations.
- UFA bears the responsibility and obligation to represent the faculty voice.

D. Disposition of University Faculty Assembly (UFA) Recommendations

- As UFA reports to the Provost and the President (Section II, A.) and the Provost or their designee attends all UFA meetings, all recommendations (i.e. motions) passed by UFA will be recorded in the UFA minutes and transmitted to the Provost as part of the minutes of each meeting.
- It is the responsibility of the Provost and the UFA Chair to communicate recommendations to the President, University Council, Provost's Council or other administrative unit as needed for consideration.
- The Provost will provide an update to UFA not more than two scheduled UFA meetings following passage of the recommendation stating whether Administration supports the recommendation or does not support the recommendation.

1. Procedure for when the Administration Supports an UFA Recommendation

a. The Provost will advise the UFA Chair and the Chair of the standing UFA Committee that proposed the recommendation as to what unit(s) of Administration will be responsible for taking the next steps to implement the recommendation, if applicable.

b. The UFA Committee Chair and/or UFA chair and administrative unit(s) assigned by the Provost will meet to develop a plan for implementation, if applicable.

c. The UFA Committee Chair and/or UFA chair will report the plan and proposed resolution to UFA as part of its minutes and as requested during UFA meeting updates.

2. Procedure for when the Administration Proposes an Amendment to an UFA Recommendation.

a. The Provost will propose an amendment to the UFA Chair and the Chair of the standing UFA Committee that proposed the recommendation.

b. The Chair of the standing UFA Committee will meet with the committee members to discuss implications of the amendment to the original recommendation and determine if the amendment can or cannot be supported by the Committee.

c. If supported by the UFA Committee, the amended motion will be voted upon at the next scheduled UFA meeting.

d. If not supported by the UFA Committee, the Committee would bring the original motion, with the proposed amendment and committee recommendation to the next UFA meeting for consideration and vote. If the amendment proposed by the Provost is not supported by UFA, the original motion would proceed to options in Section 3.

3. Procedure for when the Administration does not support an UFA Recommendation

a. The UFA Chair and the standing UFA Committee that brought the recommendation to the floor will draft a motion for UFA consideration to refer the recommendation and related written rationale to the President. Referral to the President requires a two-thirds vote of UFA membership, and would require the President to confer with the UFA Officers and the Chair of the UFA committee that proposed the recommendation.

b. Upon notification by the President that the UFA Recommendation is not supported by Administration, the UFA Chair and the standing UFA Committee that brought the recommendation to the floor will draft a motion for UFA consideration to refer the recommendation to the Board of Trustees. Referral to the Board of Trustees requires a two-thirds vote of UFA membership.

c. The motion for referral will be added to the agenda of the next scheduled UFA meeting

E. 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.

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

G. 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).

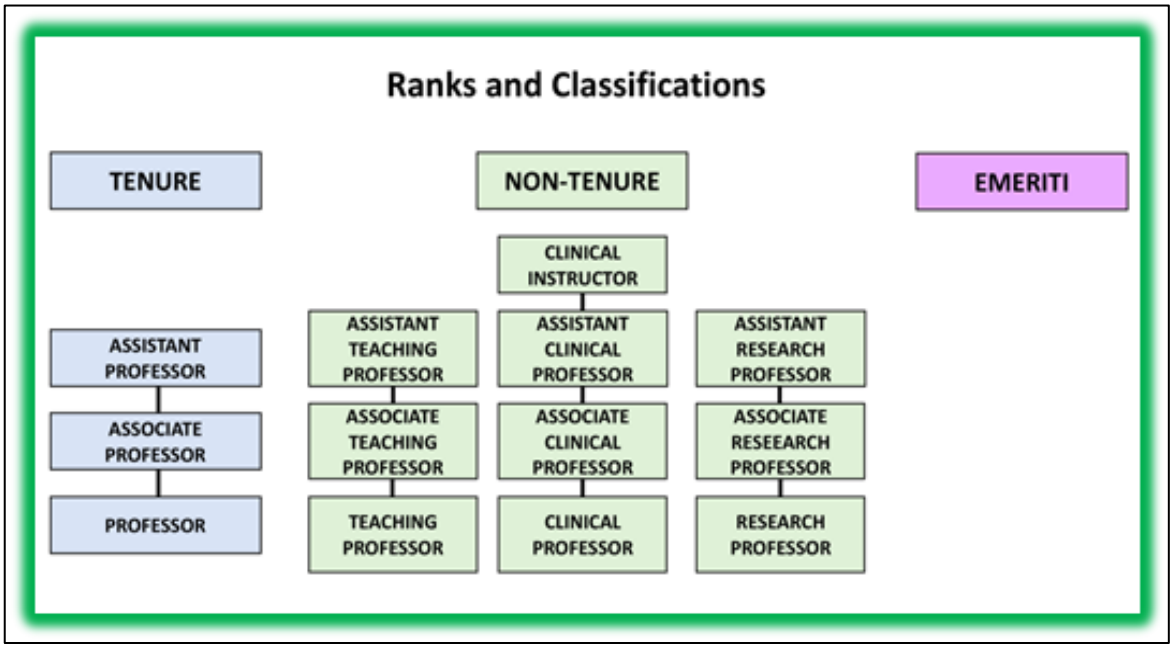
Procedures

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 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.

D. Faculty Members with Administrative Appointments

1. When members of the faculty are appointed to administrative positions, or administrators are hired with faculty status, it is necessary to document in the Letter of Appointment, at the time of appointment, an agreement among the faculty member, their chair/director, their dean and the provost, that includes the following considerations:

    a. Level of effort in the area of Teaching will be defined and any teaching effort will be evaluated via standard teaching evaluations as specified by each college.
    b. Faculty members and their supervisors will participate in Annual Review, which evaluates the activities associated with faculty duties, not administrative duties.
    c. Faculty members will be advised of the date and expectations of their next multi-level RPT review and eligibility for promotions in faculty rank, if any.
    d. Since RPT reviews effort in Service, an agreement must be reached describing what effort is expected in the administrative appointment, and what Service effort is expected in the faculty appointment.
    e. The level of effort in the area of Scholarship will be agreed upon and documented in accordance with RPT criteria.
    f. Faculty members will be notified of the details of their eligibility for Sabbatical leave, in proportion to their faculty effort.
    g. The procedures for any future transitions in faculty effort will be defined.
2. Any changes to this agreement will be re-negotiated by all parties and documented in the Annual Review process or subsequent updates to the Letter of Hire.

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. **Every regular faculty member on the non-tenure track hired at the Assistant Professor level** will participate in a multi-level review every third year of employment until promotion to the Associate level. Multi-level review will include the subcollege RPT committee, chair/director, college RPT committee, college dean, and if needed, provost. Once promotion to the Associate level has been achieved, this review will occur again whenever a promotion is being sought.

Non-tenure track faculty members hired at the Associate Professor rank will undergo one multi-level review in their third year of employment and whenever promotion is sought.

Non-tenure track faculty members hired at the Professor rank will undergo one multi-level review in their third year of employment.

Faculty members on the non-tenure track may be required to undergo additional multi-level reviews as defined by their college in Appendix C.

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.

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. Proposed changes in the college's RPT guidelines require review and approval by the Provost with input from UFA FAC to ensure alignment with policies and procedures outlined in the Faculty Handbook.

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's office 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 a pool of at least six potential external reviewers. The dean will select at least three from this pool, and the names of the eventual reviewers will be kept confidential. In the unanticipated situation where the dean is unable to secure the three letters from this pool, the dean, in consultation with the chair/director as necessary, will select additional potential external reviewers without consultation with the candidate.

    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, but votes will not be connected to individual committee members. 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, but votes will not be connected to individual committee members.

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 determines the type of action required by the University RPT Committee, according to the procedure detailed below, and communicates the required action to the Provost, who accordingly charges the University RPT Committee. 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 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 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 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. The type of action required by the University RPT Committee will be confirmed by the candidate's dean, who communicates the required action to the Provost, who accordingly charges the University RPT Committee.

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, but votes will not be connected to individual committee members.

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 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 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 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**
3rd 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** *The URPTC will forward its decision to the Provost for review*
3rd year Reappointment	No review	**Substantive Review** *Forward decision to dean and Provost for review*
Tenure and/or Promotion to Associate Professor or Professor	**Procedural Review** *The URPTC will then forward decision to Provost for review*	**Substantive Review** *The URPTC will then forward decision to Provost for review*

I. Procedures of the Provost

1. Within one business day after the dean inserts their letter, the Provost arranges for URPTC access to portfolios and, in collaboration with the dean, confirms which portfolios will undergo a procedural review, which portfolios will undergo a substantive review, and which portfolios will undergo no review by URPTC.

2. 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.

3. The Provost will enter his/her recommendation into the candidate's portfolio.

4. 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.

5. 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. Questions or concerns about the content or the process of review of an electronic portfolio should be referred to the Provost's office.

7. 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 portfolio 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 Associate Vice President of Human Resources/Chief Human Resources Officer 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 Associate Vice President of Human Resources/Chief Human Resources Officer 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 will 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, and submitted to Human Resources. Because taking this type of leave may have ramifications on a faculty member's benefits, including insurance, those applying for this leave are strongly encouraged to consult with Human Resources. Human Resources can provide the faculty member with the application form, and benefit implications can be found on the HR Leave Time Benefits Website https://www.une.edu/hr/benefits/leave-time. 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 an application for initial sabbatical leave in or after their 6th 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 Associate Vice President of Human Resources/Chief Human Resources Officer.

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

Therefore, the University of New England, inspired by the AAUP Statement of Principles on Academic Freedom and Tenure, adheres to the following:

I. Scholarship and Research:

Teachers are entitled to academic freedom in the pursuit and dissemination of scholarship and research, subject to adequate performance of their other academic duties.

II. Public Communication:

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 strive to be accurate, show respect for the dignity of others, and make every effort to indicate that they are not institutional spokespersons.

III. Teaching:

Teachers are entitled to academic freedom in the classroom, including freedom regarding teaching methods and grading practices, consistent with the rights and needs of the University's academic programs to make collective curricular decisions and establish common policies and procedures. The following principles should guide academic freedom:

A. Controversy and differing viewpoints are a normal aspect of free academic inquiry and teaching.
B. It is appropriate to teach subjects in the context of current events both locally and globally.
C. The faculty member should strive to be accurate, distinguish between fact and opinion, and show respect for the dignity of others.
D. Faculty are responsible for furthering the learning of students. Therefore, faculty should avoid statements and actions that may inhibit students' freedom of inquiry and expression in order to prevent a compromise of the University's most fundamental values.

Academic Freedom is a component of Freedom of Expression that applies to all UNE personnel. It is recognized that all expressions are limited to appropriate restrictions on speech including expressions that violate the law and the core values of the University as described in UNE's Strategic Plan. For further guidance on freedom of expression, social media, and media inquiries, see UNE Personnel Handbook located on the Human Resources policies page.

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 Chair of UFA Faculty Affairs Committee (FAC, which includes the Provost and President or designees) 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. Every effort will be made to maintain transparent and timely collaboration between faculty leadership and administrative leadership during the development of proposed amendments.

The Chair of UFA, within sixty days must place the proposed amendment on the agenda of a University Faculty Assembly meeting. In order for the proposal to go into effect for the following academic year, the proposal must be approved by UFA no later than the its April 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 approval and transmission to the Board of Trustees for approval.

Meetings of the Board of Trustees (normally no later than 5pm June 30) 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 June 30 of a given academic year will be compiled and published by the Office of the Provost, normally no later than July 1 of that year and become effective at that time. Any amendments ratified by the Board of Trustees after 5pm June 30 will be compiled and published by the Office of the Provost on July 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.

4. 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.

5. 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.

6. Vacancies

   If the Chair of the Faculty Assembly is not able to serve, the Vice-Chair will assume the Chair and serve out the remainder of the term of the departed Chair. An election would occur at the earliest convenience to elect a replacement Vice-Chair.

   In the event the Vice-Chair or Secretary vacates, they 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 eleven 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 (URPTC) and to the Faculty Grievance Committee (Appendix D). Both the URPTC and the Faculty Grievance Committee are committees of the faculty but are managed differently from other standing committees.

   a. Academic Affairs Committee
   b. Academic Technology Committee
   c. Diversity, Equity, and Inclusion Committee
   d. Executive Committee
   e. Facilities Committee
   f. Faculty Affairs Committee
   g. Financial Affairs Committee
   h. Global Affairs Committee
   i. Library Committee
   j. Research and Scholarship Committee
   k. Student 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 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. *Ex officio* members of UFA Standing Committees are non-voting members.

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, socio-economic 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 ensure that each College has mechanisms to address academic concerns specific to that College. *Ex officio* members include the President (or designee), the Provost (or designee), the Chief Financial Officer (or designee), and the chairs of comparable committees in each college as applicable.

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 Information Technology representative. *Ex officio* members include the Associate Vice President for Information Technology and Chief Information Officer (or designee) and the chairs of comparable committees in each college.

c. 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 (or designee), 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.

d. 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.

e. 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 University Operations (or designee), and the chairs of comparable committees in each college.

f. 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 ensure 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 (or designee), the Provost (or designee), and the chairs of comparable committees in each college as applicable.

g. 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.

h. 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. *Ex officio* members include the Director for the Office of Global Affairs (or designee) and the chairs of comparable committees in each college.

i. The Library Committee will promote library initiatives, resources, and services to support the work of faculty; respond to library-related questions and concerns; undertake the evaluation and endorsement of library policies, services, and resources that have implications for academic process and quality at the College and University levels. Members include the Dean of Library Services (or designee) as an *ex officio* member and may include non-Faculty Assembly members as well as non-faculty members.

j. 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. *Ex officio* members include the Associate Provost for Research and Scholarship (or designee) and the chairs of comparable committees in each college.

k. 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 ensure that each college possesses mechanisms to address student concerns specific to that college. *Ex officio* members include the Vice President of Student Affairs (or designee) and the chairs of comparable committees in each college.

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, February 2022.

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 of Human Resources/Chief Human Resources Officer who serves as Benefits Committee chair. The SVPFA/CHRO 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. The University Benefits Committee will meet at least once in the Fall Semester, at least once in the Spring semester, and whenever a committee member requests a meeting.

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

Additionally, individual CAS schools will develop their own teaching, scholarship and service 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 scholarship criteria change prior to a candidate's scheduled review, the candidate will be evaluated by the scholarship 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 previous review or time of hire if prior to the first review. To be reviewed according to the previous scholarship criteria, the candidate must follow this process:

- In the Annual Report preceding the RPT review, the candidate will note that he or she elects to be evaluated by the previous scholarship criteria, and will attach those criteria to the Annual Report prior to submitting to the Academic Director.

- When the Dean notifies the candidate of his or her eligibility for promotion (March 1st deadline), the candidate must note in their response that he or she elects to use previous scholarship criteria, and attach those criteria to their response to the Dean (May 1st deadline).
- At the time of submission, the candidate places the RPT criteria in the RPT portfolio (September 1st deadline).

1. Teaching

To demonstrate excellence in teaching, the candidate must exhibit mastery of content and pedagogy, 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 meets student learning outcomes through engaged and appropriate pedagogies.

CAS recognizes that modes of documenting teaching can vary from discipline to discipline, however, all candidates must demonstrate excellence in teaching with evidence that must include:

- Course syllabi
- Peer observation written summaries
- Faculty member's annual reviews from Academic Director/Chair with Dean's signature
- Official College of Arts and Sciences student course evaluations
    - While student course evaluations can be valuable in the detection of possible strengths or challenges of a candidate's teaching, decades of empirical research indicate[s] that they are not accurate measures of effective teaching.[1] In light of this, it is recommended that student course evaluations should play a subordinate role to peer evaluations of teaching, annual reviews, and other elements of the candidate's portfolio in the RPT process. When *broad* patterns related to teaching criteria are present in an individual's student course evaluations, they should be addressed by the individual and reviewers. However, reviewers and candidates should avoid placing significance in fine-grained distinction of numerical scores or occasional negative student comments. Reviewers should also avoid drawing close comparisons of numerical scores between peers or other academic units.

Additional materials could include:

- Samples of examinations, projects, student work, and other instructional materials that
- demonstrate the candidate's knowledge of pedagogy with a connection to student learning outcomes

[1] For a review of the empirical literature on student course evaluations, see Brennan and Magness' *Cracks in the Ivory Tower* (2019), Chapter 4.

- Reference to self-evaluations, responses to peer evaluations of teaching, reference to annual reviews, and student course evaluations, all with a focus on growth as a teacher.
- 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/school[1]
- Student mentoring in candidate's area of expertise
- Use of Learning Management System
- Professional development activities and identification of how these activities were implemented into teaching approaches

B. Faculty Percent Effort

Tenure-stream professors in the College of Arts and Sciences have teaching, service and scholarship requirements. While the percentage of time spent on these tasks will approximate 60% for teaching, 20% for scholarship, and 20% for service, the percentage of time spent on each will naturally vary from semester to semester depending upon what tasks and projects the faculty member is working on (as reflected in the annual review process).

Teaching Professors in the College of Arts and Sciences have teaching and service requirements. -While the percentage of time spent on these tasks will approximate 80% for teaching and 20% for service, the percentage of time spent on each will naturally vary from semester to semester depending upon what tasks and projects the faculty member is working on (as reflected in the annual review process).

If a faculty member anticipates a year in which their workload will significantly deviate from the standard values defined above, that individual may work with their Academic Director to seek pre-approval for a temporary workload adjustment for the next academic year. Once the faculty member and Academic Director have agreed on a temporary workload adjustment, the Academic Director will seek approval from the Dean. Such an adjustment will be temporary (one calendar year, with potential for limited renewal) and is not intended to permanently alter a faculty member's standard workload. Faculty should submit their request in writing to the Academic Director by November 15th of the academic year preceding the year in which the workload reallocation is sought. The Academic Director will review the request with the faculty member and, if approved, submit the request to the Dean by December 1st. The Dean will respond to the Academic Director and the faculty member with a written decision by January 15th. If the temporary workload adjustment is approved, then the faculty member should report the adjusted percent effort on that year's annual report and append the approval letter from the Dean to the annual report. Examples of situations that might lead to a request for temporary workload flexibility include, but are not limited to, the following:

- A faculty member on the non-tenure teaching track who applies for and is awarded time for scholarship (see II. C, below) will reduce the percent effort dedicated to either service or teaching and include that effort as scholarship.

- A tenure-track faculty member has a particularly active upcoming research period or has received external research funding may request reduced effort in teaching or service and increased effort in scholarship.

If a faculty member experiences an unanticipated, and not preapproved, change in workload, then they should report the actual percent effort on that year's annual evaluation with a brief explanation for the change. In such cases, reduced effort in one area should be accompanied by increased effort in another area. The unanticipated change in workload should be acknowledged and documented by the faculty member, the Academic Director and the Dean, via a letter from the Dean that is signed by all three parties. This letter should be solicited by the faculty member and appended to that year's annual evaluation.

A. Guidelines for Peer Observations

The College of Arts and Sciences (CAS) acknowledges the unique value of peer observation as a way for faculty members to (a) understand, appreciate, and learn from watching and discussing the teaching practices of our colleagues, (b) help each other develop and improve our teaching practices, and (c) provide an invaluable perspective on each other's teaching practices (in contrast to the student course evaluations) that will ensure such critical information is available to be used in annual reviews and RPT portfolios.

i. For assistant professors and assistant teaching professors: Each full-time CAS faculty member's teaching will be observed at least once each academic year in which they are teaching at UNE. Faculty members are encouraged to seek additional opportunities to be observed by peers, beyond the required one per year, to build their teaching portfolio Candidates should consult with their Chair/Academic Director regarding unit level expectations. In the year before their multi-level reviews, faculty members should be observed by peers promoted to at least the associate rank.

   For associate professors and associate teaching professors: The faculty member will work with their academic director/chair to ensure an appropriate number of peer observations are completed post-promotion to the associate level in alignment with their intention to seek promotion.

   - Faculty members will include all peer observation written summaries in their RPT portfolios.

ii. Peer observers should comment on each of four aspects of teaching: *content, pedagogy, assessment,* and *development*. (Section B, below, provides several "possible indicators" of excellence in each of those categories.)

iii. Before the observation, the faculty member will share relevant course-related

materials with the peer observer. Before the classroom observation the following actions should be completed:

- The syllabus for the course is shared and the main pedagogical goals are explained.
- A date for classroom observation is established.
- The main goals of the observation are established (e.g., any aspects of teaching that the faculty member being observed wants feedback on).
- Any special preparation to be done before the classroom observation (e.g., reading an assignment for that day's class) is determined.
- Any relevant materials related to assessment of student learning from the class period being observed are shared (e.g., quiz, test, written assignment)

iv. Each peer observation includes at least one classroom visit. If the course is delivered online, the observer will work with the faculty member to identify the appropriate elements of the course for evaluation.

v. Each peer observation includes a reflection meeting after the classroom observation has occurred. The observer provides feedback, which should normally include recognition of various strengths and possible areas for development or improvement of teaching. This need not be a critique. Areas for development or improvement can be things the faculty member identified as pedagogical goals. The meeting should be a constructive and collaborative conversation about the positive aspects of teaching practices and the possibility of further enhancement of these practices.

vi. Peer observers are required to submit a brief written observation summary of feedback referenced in point 5, to the faculty member observed within the academic year in which the observation occurred. This document will be included in the faculty member's RPT portfolio.

B. Possible Indicators for Each Main Category of Observation

The following indicators are provided as guidance only. They are not prescriptive, exhaustive, or intended for use as a checklist. Rather, they provide observers with a language to help them understand, categorize, and represent the teaching practices of the faculty members they observe. It is not expected that observers will touch on every point outlined below. Many peer observation summaries are 1-2 pages in length and focus on the most salient indicators.

Content

- Content is accurate, up to date, and shows awareness of developments within the discipline and related fields
- Content is organized effectively

- Alternative viewpoints are presented; subject matter is discussed from a variety of perspectives
- Course content is linked to broader social and cultural issues, as appropriate to the learning outcomes of the course
- Disciplinary methodologies and approaches to the course content are discussed Pedagogy

Communication

- Clearly communicates course content
- Demonstrates enthusiasm for the content
- Demonstrates effective oral and written communication - slides, writing on board, etc.
- Demonstrates good organizational abilities and planning skills
- States the goal or objective for the class clearly
- Uses a variety of effective pedagogical strategies and practices, as suits the level and nature of the course
- Encourages critical and/or creative thinking and/or making

Class Environment

- Respects students and is approachable
- Structures opportunities for students to engage with course content, develop their own understanding, and apply the concepts covered to other content or real-world experiences
- Models and supports effective communication skills peer to peer and peer to instructor
- Helps students connect learning experiences and facilitates development of self-knowledge
- Recognizes student contributions in class
- Encourages students' intellectual curiosity
- Uses inclusive pedagogical strategies to create an equitable learning environment

Assessment

- Articulates measurable learning outcomes
- Uses multiple methods of student evaluation including objective and written assignments as presented in syllabus and assignments descriptors
- Develops learning experiences aligned with stated student learning outcomes
- Differentiates teaching to meet the objectives of successful student learning
- Maintains high expectations of critical thinking and work, in a formative manner during class
- Connects course assessments to program and/or core learning outcomes

Development

- Engages in self-evaluation and self-reflection
- Open and responsive to feedback and open to setting goals based on feedback
- Consistent development and implementation/application of new methodologies

- Participates in professional development around teaching effectiveness and discipline-specific content - workshops, seminars, book studies, conferences, CETL (Center for Excellence in Teaching and Learning), etc.

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

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[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.

- 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 has demonstrated commitment to enriching their program, school, college, university or professional communities.[2] This commitment requires participation at meetings of program, school, CASFA, college; use of advising resources; and participation in annual assessment activities at course and/or program levels, as appropriate. Candidates will demonstrate collegiality and, in consultation with their Academic Directors or Department Chairs, seek activities that 1) reflect their interests, skills and rank, 2) broaden in scope over time, and 3) create opportunities for candidates to make meaningful contributions towards improving or maintaining the quality of the institution.

Beyond the required activities, candidates will document excellence in service with reference to the following categories and examples:

- *Faculty-Oriented Initiatives* (e.g., mentoring colleagues, offering or organizing faculty development presentations, providing "technical assistance" and care of instrumentation, serving on search committees)
- *Student-Oriented initiatives* (e.g., registration advising, Faculty Advisor to Student Clubs and organizations)
- *Professionally-Oriented Activity* (e.g., organizing conferences or seminars in a field, reviewing grants and manuscripts)
- *Faculty governance and other elected positions or working groups* (e.g., ~~to~~ standing committees, or ad hoc committees; ~~curriculum~~ working group or task force)
- *Recruitment/Retention/Alumni work* (e.g., Admissions work such as Experience UNE Days and Open Houses, meeting and/or corresponding with prospective students, maintaining connections with alumni)
- *Community-Oriented Professional Activity* (performing educational outreach, such as presentations or volunteer work, as an application of your professional expertise)
- *Institution-Oriented Activity* (e.g., serving as an academic unit leader, including tasks such as such as scheduling courses, budgeting, supervising faculty and professional staff, or designing or coordinating academic programs; or, in exceptional circumstances, serving in an interim or acting full-time administrative position at the college level)

[2] No amount of service outside of UNE will compensate for weak service contributions within UNE.

As this list suggests, the CAS recognizes and values multiple dimensions of service without privileging one. It views service to the college and university as a collective effort in which responsibilities are shared and leadership takes many forms. CAS also acknowledges that specific commitments may vary from year to year. To document these contributions, candidates are encouraged to request letters as activities are completed. Any contingencies, including changes to percent effort, will be documented separately in the annual review.

B. Teaching Track: Reappointment and Promotion Policies and Procedures

Normally, Assistant Teaching Professors will stand for reappointment in the third year of service, 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. Faculty members wishing to stand for early promotion are advised to consult with their Academic Director.

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–see Request for Scholarship Time, below—

Third-Year Review: Candidates standing for reappointment must demonstrate progress toward excellence in teaching and service commensurate with the standards defined above.

Sixth-Year Review: Assistant Teaching Professors applying for promotion must demonstrate excellence in teaching and service as defined above. Assistant Teaching Professors applying for promotion who have not yet demonstrated excellence in teaching and service may be reappointed to Assistant Teaching Professor without penalty.

Assistant Teaching Professors may apply for reappointment without promotion at the sixth year. Candidates who demonstrate progress towards excellence in teaching and service as defined above will be reappointed to the rank of Assistant Teaching Professor and undergo multi-level review every third year until promotion.

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.

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 (Teaching Track):

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

September 15th	Faculty member submits proposal for reassigned time to Academic Director. Proposals must be written according to proposal guidelines, below
October 1st	Faculty member submits proposal with Academic Director's support, and the Academic Director's plan for teaching and/or service coverage, to the Dean. a. Dean forwards proposal to the CAS Research and Scholarship Committee (RSC) for review and recommendation b. b. The RSC's review of proposals is based on the quality of the proposal, the adherence to proposal guidelines (described below), and 59 whether the timeline proposed is appropriate for the scope of the project.
November 1st	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 15th	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.

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

Normally, Assistant Professors will stand for reappointment in the third year of service, 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 and Dean.

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

Sixth-Year Review: Assistant Professors standing for promotion must demonstrate excellence in teaching, scholarship, and service as defined above.

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.

III. COLLEGE SPECIFIC CONSIDERATIONS

A. Composition of the subcollege RPTC

1. The composition of the subcollege RPTC will be determined by the appropriate Academic Director or Department Chair after consultation with the candidate. The

subcollege RPTC should be composed of members from the candidate's academic discipline or, when that isn't possible, from the candidate's school or other academic programs that are close, or relevant, to the candidate's work. The subcollege RPTC will have a minimum of three members with the total membership always being an odd number.

a. The subcollege RPTC for tenure track faculty must consist of tenured faculty at the rank of Associate Professor or Professor.

b. The subcollege RPTC for teaching track faculty must consist of faculty at the Associate or Professor rank, with at least one member on the teaching track.

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 must consist of faculty at the Associate or Professor rank, with at least two members on the teaching track. These two members will take part only in the review of teaching track faculty.

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.

REFERENCES

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

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

(Revised May 2023)

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

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. 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. Faculty may use the Teaching Effectiveness Framework to guide their teaching and self-assessment. Excellence in teaching, service, and scholarship within WCHP are defined below:

1. 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 (if applicable)

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 of 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 community[1].

[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.

Every regular faculty member on the Non-Tenure Track Teaching Professor Classification will participate in a multi-level review every third year of employment until promotion to the Associate level. Multi-level review will include the sub-college RPT committee, chair/director, college RPT committee, college dean, and if needed, provost. Once promotion to the Associate level has been achieved, this review will occur again whenever a promotion is being sought.

Non-tenure track faculty members hired at the Associate Professor rank will undergo one multi-level review in their third year of employment and whenever promotion is sought.

Non-tenure track faculty members hired at the Professor rank will undergo one multi-level review in their third year of employment.

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 evolvement 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 evolvement of service beyond that required at the rank of 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.

Every regular faculty member on the Non-Tenure Track Clinical Professor Classification will participate in a multi-level review every third year of employment until promotion to the Associate level. Multi-level review will include the sub-college RPT committee, chair/director, college RPT committee, college dean, and if needed, provost. Once promotion to the Associate level has been achieved, this review will occur again whenever a promotion is being sought.

Non-tenure track faculty members hired at the Associate Professor rank will undergo one multi-level review in their third year of employment and whenever promotion is sought.

Non-tenure track faculty members hired at the Professor rank will undergo one multi-level review in their third year of employment.

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 evolvement 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 evolvement of service beyond that required at the rank of Associate Clinical Professor rank.
- Demonstrate continued and proper credentialing.

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.

Every regular faculty member on the Non-Tenure Track Research Professor Classification will participate in a multi-level review every third year of employment until promotion to the

Associate level. Multi-level review will include the sub-college RPT committee, chair/director, college RPT committee, college dean, and if needed, provost. Once promotion to the Associate level has been achieved, this review will occur again whenever a promotion is being sought.

Non-tenure track faculty members hired at the Associate Professor rank will undergo one multi-level review in their third year of employment and whenever promotion is sought.

Non-tenure track faculty members hired at the Professor rank will undergo one multi-level review in their third year of employment.

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 evolvement 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 evolvement of teaching and /or service beyond that required at the rank of 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.

Please note: 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 the Dean's Office by June 1st in order for the materials to be sent out for external review. These materials, along with a copy of Section II.A.3 of this document, will be sent to the external reviewers no later than June 15th with a deadline given to the external reviewers of August 15th to submit their letter. This letter is inserted into the candidate's portfolio according to the timeline in Section Three, IV, A.11.

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 evolvement 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 evolvement 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 Sub-College Committees

1. The allocation of WCHP departments and schools into the sub-college committees will be determined by the Dean of WCHP in consultation with the Department Chairs/Program Directors.

2. The composition of the sub-college RPTC will be determined by the appropriate Department Chairs/Program Directors and will include, whenever possible, members from the candidate's school/department and/or discipline. The sub-college RPTC will have a minimum of three members with the total membership being an odd number as described in the UFH.

3. The sub-college RPTC should be representative of the candidates going up for review (clinical track, tenure track, etc.). Faculty members eligible to serve on the committee will (must) have, at minimum, undergone one level of RPT review at UNE. One member of the committee should hold at least an equivalent rank to what the candidate is going up for. If a candidate is going up for full/clinical professor, and no one is available within the program area, a full/clinical professor from the broader WCHP or UNE community should be identified to serve on the committee. The sub-college RPTC for tenure-track faculty must consist of at least one tenured faculty. If a candidate is going up for tenure and no one is available within the program area, a tenured faculty member from the broader WCHP or UNE community should be identified to serve on the committee.

4. The chair of the sub-college committee will be elected by the committee members, and should have previous experience serving as an RPT reviewer. Other procedures of the sub-college committee are described in the UFH.

B. 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 portfolios. 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 Portfolio 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 March 27, 2024

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 responsibilities and the faculty member's percentage effort in teaching, scholarship and service, including clinical and administrative if appropriate. Tenure-track faculty must be evaluated in all three areas of teaching, scholarship and service. If they have responsibilities in the clinical domain they may be evaluated in that.

2. Non-Tenured UNECOM Faculty

    a. Non-tenured positions within UNECOM adhere to RPT policies as presented in the UNE Faculty Handbook. Faculty members with regular half- and regular full-time non-tenure teaching track, clinical track, or research track appointments will be evaluated for reappointment and promotion using the same procedures and criteria as for tenure track faculty members with the exception that expectations for the academic areas vary as below:

Criteria

i. Non-tenure track clinical or teaching professor faculty are not required to engage in research or scholarship. In these cases, decisions for reappointment or promotion will be based on the percent effort in assigned academic areas as stated in the Personal Responsibility Agreement (PRA). Any scholarship/scholarly activity included above and beyond what is delineated in the faculty member's PRA can be considered in the RPT process.
ii. Non-tenure track research faculty should negotiate effort through the chair and/or Dean to include any requirements applying to Review and Promotion. In these cases, productivity in scholarship/research should 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. In cases where a faculty's workload contains duties as an administrator, such work is not reviewed by the RPT process. **All RPT levels of review will assess performance in each domain with reference to the PRA percentages assigned by the Department Chair**:

A. 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:

- 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)

- 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:

    a. **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.

    b. **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.

c. **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:

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

B. 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 teaching 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:

    - Basic science research
    - 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
    - Development/implementation, conduct of studies, data collection and/or analysis of new or existing data; may make intellectual contributions to multicenter studies
    - 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:

    - Invited or competitive scholarly presentations
    - Honors or recognitions for scholarly contributions
    - Publication in refereed journals or proceedings
    - Publication of books or chapters in edited volumes
    - Citation of candidate's published work
    - Grant/contract awards
    - Ongoing research leading toward dissemination and peer review
    - Attendance at routine continuing education for maintenance of certification or or staying current in one’s area of expertise is not considered scholarship

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.

C. 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. <u>Examples of Service to the College/University and Profession Include:</u>

- Serves on standing committee or academic council, either by election or appointment, in order to conduct School/University business
- Serves on college/university ad hoc committee
- Maintains membership or holds office in local, state, national, regional, international professional organization
- Serves as board member for health related local, state, regional, or national organization
- Attends business meeting of national professional organization
- Attends community meetings of organizations whose purpose is to promote health
- Attends COM Faculty Assembly and UNE Faculty Assembly meetings
- Review of grant proposals or books

2. Evidence of Service Might Include:

- Descriptions of duties and responsibilities on committees
- Letters of appointment to committees
- Letters of support from committee chairs
- Program and thank you note from a community function where you were leader or speaker
- Community, College, or University Presentation/paper on an issue
- Testifying (oral or written) regarding a policy change
- Organizing a community event
- Serving on a community or association Board of Directors (letter, webpage, photo)
- Starting a new department (report)
- Response to presentation to community organization
- Op-Ed piece in community newspaper
- Testimony on a specific issue to city council, legislative committee, e.g., health policy change
- A creative work illustrating diversity
- Honor or recognition for service
- 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.

D. 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

- Up to date board certificate in specialty of practice
- Up to date medical license
- Colleague Review
- Quality Service ribbons
- CIR (Clinical Improvement Ratings)
- OPPE (Ongoing Professional Performance reviews)
- FPPE (Focused Professional Performance Reviews)
- Recognition for expertise -- serving as clinically-oriented task force, consultant
- Obtaining certification in area of specialty, receipt of honors/awards/recognition for excellence in specialty (Diplomat/Fellow)
- Invitations to speak locally, and in many cases regionally & nationally, on issues related to area of clinical expertise
- Role in local professional organizations related to clinical expertise, including participation as a speaker in courses and program development
- 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
- Service as peer reviewer for clinical journals; Membership on editorial boards in area of clinical expertise
- 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
- 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:

- 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
- Development of guidelines and/or protocols for patient treatment or delivery of care that are adopted locally
- 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. Faculty are notified by March 1st if they are to be candidates for RPT and are required to submit a portfolio by the following September 1st

b. By May 1st, the candidate informs the Department Chair and the Dean of their intention to go through the RPT process, and submits the names of three UNE COM Faculty members 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 candidate or the Department Chair may suggest up to one non-UNE COM faculty member to be part of the Subcollege RPTC.

c. The Department Chair will inform the candidate of the final composition of the Subcollege RPTC by May 15th.

d. Subcollege RPTC members will select a chair of their committee by June 1st and send this information to the COM Dean's office. Should the Subcollege RPTC not adhere to this timeline for selecting a chair, the COM Department Chair will appoint a chair by this date.

e. All Subcollege RPTC members, tenure or non-tenure must be at the rank of Associate Professor or Professor.

f. At least one Subcollege RPTC member for tenure track faculty must be tenured faculty member.

g. At least one Subcollege RPTC member for candidates in Clinical Departments must be from clinical departments.

h. The committee will follow the procedure outlined 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.

ATTACHMENT 2 - EXCERPT

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	1. Candidate declares their intent to apply for promotion in writing to their chair/director and dean. If a candidate wishes to be considered for promotion from the associate level to professor level, they must submit a petition to their chair/director and dean. 2. Candidate submits the names of three UNE COM Faculty members to their Department Chair for Subcollege RPTC consideration. **3. Names for external reviewers shall be submitted to the dean for tenure review and promotion**.
May 15	1. The dean will send a list of candidates to the College RPT Committee and Provost
	2. The Department Chair will inform the candidate of the final composition of the Subcollege RPTC
June 1	Subcollege RPTC members will select a chair of their committee
	MORE- See handbook
Non-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	Candidate declares their intent to apply for promotion in writing to their chair/director and dean. If a candidate wishes to be considered for promotion from the associate level to professor level, they must submit a petition to their chair/director and dean. Candidate submits the names of three UNE COM Faculty members to their Department Chair for Subcollege RPTC consideration.
May 15	1. The dean will send a list of candidates to the College RPT Committee and Provost
	2. The Department Chair will inform the candidate of the final composition of the Subcollege RPTC
June 1	Subcollege RPTC members will select a chair of their committee
	MORE- See 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

REVISED 9/5/23

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-tenure clinical track faculty. Each of these reviews shall be conducted in accordance with the policies and procedures 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 Department Chair or Dean. At this meeting, the Department Chair or Dean will discuss the UNE reappointment, promotion, and tenure (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.

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 in consultation with the provost and senior vice president for academic affairs 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 the faculty members in the College are hired as non-tenure clinical faculty 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 on the tenure track, non-tenure teaching track, or non-tenure research track, 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, and service 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 clinical faculty unless included as part of their workload. Faculty members are encouraged to engage in scholarly activity and any scholarship

conducted by faculty members should be included in the portfolio for evaluation 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, Oral Health Center service, University service, and service in state, regional or national organizations.

B. Academic Ranks

Academic ranks used in the College of Dental Medicine will be consistent with those in the most current version of the University of New England *Faculty Handbook*.

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

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, and service.

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 Reappointment and Promotion for Non-Tenure Track Half-Time and Full-Time Faculty (Also reference UNE Faculty Handbook, Section Three)

A. Reappointment and Promotion

Half-time and full-time faculty will participate in a college-level review in the next review cycle following the completion of two full years from the faculty member's date of hire. Once promotion to the Associate Professor level has been achieved, this review will occur again whenever a promotion is being sought. Non-tenure track faculty members hired at the Associate Professor rank will undergo one multi-level review in their third year of employment and whenever promotion is sought. Non-tenure track faculty members hired at the Professor rank will undergo one multi-level review in their third year of employment. Half-time and full- time faculty must ordinarily hold each academic rank for a minimum of six full years prior to being promoted.

Decisions regarding reappointment and promotion are based on recommendations from four successive review levels within the College: (1) Subcollege Reappointment Promotion and Tenure Committee (RPTC); (2) 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 with review by the Dean. The direct supervisor will schedule a meeting to discuss and assess the faculty member's teaching, service, and scholarship (if applicable). The faculty member will receive a notice prior to the evaluation in accordance with the policies of UNE's *Faculty Handbook*. A signed digital copy of the annual evaluation is available to the faculty member for inclusion into their reappointment and promotion portfolio. Annual Review of Department Chairs will be conducted by the Dean.

   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 them more effective in the position; and
   c. Understands the continual expectation for professional growth, productivity and achievement in teaching, scholarship, and service 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 must be approved by the Department Chair and the Dean. Exceptions to policy will be stated at time of hire.

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

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 responsibilities, and if included as part of their workload, 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. 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

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, clinical demonstrations, and/or interprofessional education/practice activities.
    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 educations sites
    iii. Collaborates with community-based externship 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. 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 peers

r. Letters of support from colleague(s) external to the CDM who are involved in any interprofessional activities with the faculty member
s. Board/Licensure exam pass rates
t. CDM Faculty coverage schedule

B. Service Activities

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

a. Serves on CDM standing committees
b. Participates in the CDM Faculty Assembly or University Faculty Assembly
c. Participates in search committees
d. Serves as a student mentor or academic advisor
Formulates, implements and sustains innovative practice models or clinical service
e. Develops and implements new educational or healthcare programs or improves existing programs
f. Provides service to professional, civic and governmental organizations
g. Provides service by assuming responsibilities in the planning and/or presentation at the Departmental, College or University level
h. Contributes to the governance of the College or the University
i. Provides service by assisting other educational institutions
j. Provides advising services to students beyond that involved in regular teaching assignments including as a student organization advisor.
k. Provides editorial and/or peer review of books, journals or articles
l. Serves on university committee, committee in another UNE college, or advisory board within the university
m. Maintains membership or holds office in a local, state, national, regional, international professional organization
n. Serves as a board member for health-related local, state, regional, or national organization
o. Attends business meeting of a national professional organization
p. Serves as a reviewer for grants or contracts
q. Serves as an examiner for specialty boards or licensure exams
r. Participates in community service initiatives
s. Provides direct patient care, biopsy service, or CBCT interpretation service in the Oral Health Center

2. Evidence and Documentation

a. Documentation illustrating service appointment
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 healthcare quality
d. Leadership roles in College, University, regional, national and/or international committees
e. Editorial reviewer for professional books or journals
f. Thank you notes/letters
g. Honors and awards in recognition for outstanding contributions
h. Demonstration of effective procedures for counseling students in their professional growth
i. Letters of support from international, national or regional peers
j. Demonstration of collaborative efforts, engagement in shared academic and administrative tasks, professionalism and integrity, and mentorship
k. CDM Faculty coverage schedule
l. CDM Committees document listing committee appointments

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. 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 unless included as part of their workload. Faculty members are encouraged to engage in scholarly activity and any scholarship conducted by faculty members should be included in the portfolio for evaluation during the reappointment and promotion process.

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.

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

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

A. Composition of the Sub-college and College RPTC

1. The Sub-college 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 Sub-college RPTC will be appointed by the Dean, and may include, whenever possible, members from the candidate's discipline or specialty. The CDM 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 Sub-college 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 teaching track; non-tenure research track).
6. If a college has insufficient representative faculty members of the appropriate classification to formulate a college RPTC, the Dean 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.

B. Peer Evaluations for Simulation Clinic, Patient Clinic and Didactic Teaching Responsibilities

Every half-time and full-time faculty member will undergo a peer evaluation for each academic year for either the simulation clinic, the patient care clinic, or a didactic setting. An evaluator will be identified by the faculty member under review to conduct the evaluation, and the evaluator and faculty member will meet before the peer review to discuss the logistics and process of the review. It is the responsibility of the faculty member to arrange and schedule the peer evaluation in advance to ensure the appropriate time is allotted for the evaluator. The peer evaluator academic rank must be at or above the rank of the professor being evaluated. If this is not possible, the faculty member will consult with their Department Chair to determine an appropriate evaluator.

Evaluators will complete a report for the peer evaluation, using a written metric approved by the College and meet with the candidate after the peer evaluation. 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. After this meeting, both the evaluator and faculty member will sign the review form.

It is the responsibility of the evaluator to submit the signed reports to the faculty members department Chair, who will in turn submit the evaluations to the Dean. The Chair will 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.

VI. Adjunct Faculty Appointments (Also reference University of New England *Faculty Handbook* Section Two)

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.

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 regarding teaching, patient care, research, and/or service to the College.

COLLEGE OF PROFESSIONAL STUDIES COLLEGE STANDARDS FOR REAPPOINTMENT, PROMOTION, AND TENURE
August 2023

This document will describe the organization of faculty within the University of New England's backgrounds College of Professional Studies (CPS), and the process for the granting of reappointment and promotion for faculty in the CPS[1]. CPS consists of faculty with diverse academic; therefore, this document describes a review and promotion process for the CPS faculty across all disciplines employing criteria that are consistent and fair. The processes and criteria for reappointment and promotion described herein apply to faculty on the non-tenure teaching or clinical tracks and are consistent with processes and criteria described in the UNE *Faculty Handbook*.

I. UNE CPS FACULTY CLASSIFICATION AND RANKS

Faculty classifications and ranks are described in SECTION TWO the University of New England *Faculty Handbook*. Currently, faculty members in CPS have teaching or clinical track appointments:

a. 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 typically required in the Teaching Track, or considered in performance review, unless it is a workload component agreed upon initial appointment or during the annual performance appraisal. If there is an expectation for scholarship, the workload and the criteria for evaluation will be explicitly outlined in the Letter of Hire, and/or in Annual Review documents and understood by the candidate, program director, and Dean. Scholarship in the Teaching Track will not ordinarily exceed 20%. Those on the Teaching Track do not have, and may not acquire, tenure.

[1] Note: CPS does not currently have faculty on the tenure-track, and this document will be revised to incorporate tenure-track faculty should they be hired in the future.

b. Non-tenure Clinical Track: a faculty member at any rank, whose duties and responsibilities are primarily academic (teaching, mentoring, or precepting students in a clinical or setting where clinical services are being delivered) or supervisory (coordination and oversight of student internships/practicums). Non-Tenure clinical faculty also have expectations for service and may have other assigned duties in the areas of scholarship or administration. If there is an expectation for scholarship, the workload and the criteria for evaluation will be explicitly outlined in the Letter of Hire, and/or in Annual Review documents and understood by the candidate, program director, and dean. Scholarship in the Clinical Track will not ordinarily exceed 20%. Those on the Clinical Track do not have, and may not acquire, tenure.

II. REVIEW CRITERIA FOR CPS

The following are the criteria for reappointment and promotion that apply to CPS faculty. The multi-level reappointment and promotion review process will assess performance in each domain in the context of the percent effort outlined in the letter of hire and subsequent annual reviews.

A. Teaching Track and Clinical Track Evaluation:

Faculty typically carry out the educational mission of CPS via fully online methods of delivery grounded in teaching strategies that foster student engagement and learning.
Teaching duties in CPS include, but are not limited to*:* teaching of students or peers e.g., delivery of pre-recorded or live instruction, assessment of student learning, syllabus & curriculum development, rubric design, small group facilitation, instruction utilizing standardized patient/clients, student advising, thesis/capstone/dissertation advising, and professional development related to teaching. Accreditation

activities and updates may also be included in teaching load assignments.

Clinical teaching duties in CPS include, but are not limited to: oversight of field/clinical placements, supervised experiential learning (SEL), creation of preceptor training webinars and materials, interprofessional collaborative teaching in the field, student advising, practice-related thesis/capstone/dissertation advising, and professional development related to the work of clinical teaching. Clinical track faculty may also teach their peers, provide professional development to preceptors, consult on policy boards or be sought out for their expertise in the field.

B. Criteria for evaluating teaching excellence

The faculty member will examine and provide evidence for the quality, breadth, and quantity of their teaching:

1. Quantity: Number of courses developed, number of hours teaching; number of years teaching; number of learners and/or groups taught; number of student/preceptor webinars developed.
2. Breadth: Types of courses developed; pedagogical and curricular innovation; incorporation of different learning and teaching styles.
3. Quality: Course/instructional quality as assessed through student evaluations of teaching; peer observation/review; course director ratings; peer letters of support; webinar evaluations.

Teaching products or exhibits may include:

i. Self-written learning objectives, teaching, and assessment materials, including accreditation-related materials.
ii. Self-evaluative statement of teaching philosophy and teaching effectiveness
iii. Evaluations: Student evaluations of teaching; Peer evaluations, Annual Performance Evaluations, and letters of support
iv. Local (department/institutional) awards for teaching; honors or recognitions for teaching contributions
v. Letters of recommendation from student support and instructional designers on teaching effectiveness
vi. Contributions to professional educational organizations
vii. De-identified reports from Salesforce containing student commentary on the candidate's teaching effectiveness
viii. Awards for teaching or mentoring from sources other than the candidate's department/institution
ix. Evidence of satisfactory completion of all continuing-education requirements associated with level of practice
x. Strategic planning around student learning, outcomes, and assessment

Examples of Teaching Excellence Across Ranks:

<u>Assistant Professor:</u> The Assistant Professor will provide evidence of performance at a competent level and articulate personal goals characteristic of teaching excellence. 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); this may also include development of instructional methods, policy statements, and/or assessment tools.

<u>Associate Professor:</u> The candidate for promotion to Associate Professor will provide evidence of teaching excellence. A candidate for promotion to Associate Professor develops sound teaching methods, participates meaningfully in curricular development and/or revision, student assessment/appraisal, or implementation of educational policy. An Associate Professor may initiate novel or innovative pedagogies, IPE teaching, and/or may have served as a resource in orienting new faculty or mentorship of others.

Professor: The candidate for Professor will show continued and sustained excellence in teaching as reflected in student, peer, and programmatic evaluations. The candidate develops and refines sound teaching methods, and leads curricular improvements and enhancements to assessment methodologies. These curricular materials have opportunity for regional or national disciplinary adoption. The candidate may have trainees upon whom they had a major influence, including feedback from trainees as to their impact and/or student publications/presentations.

A II. Criteria for evaluating clinical teaching excellence

The faculty member will examine and provide evidence for the quality and quantity of the teaching endeavor related to:

1. Quantity: Number of courses developed, number of hours teaching including clinical duties; number of years teaching; number of learners and/or groups taught; number of student/preceptor placements and mentorships; number of capstone students advised.
2. Breadth: Types of courses developed; curricular innovation; incorporation of different learning and teaching styles.
3. Quality: Course/instructional quality assessed through student evaluations; peer observation/review; course director ratings; peer letters of support; invitations to consult on clinical practice or external peer review and program review.

Teaching products or exhibits may include:

i. Self-written learning objectives, teaching, and assessment materials, including accreditation activities and updates
ii. Self-evaluative statement of teaching philosophy and teaching effectiveness,
iii. Evaluations: Student evaluations; Peer evaluations and letters of support; Preceptor evaluations
iv. Local (departmental/institutional) awards for teaching or mentoring; honors or recognitions for teaching or mentoring contributions
v. Letters of recommendation from field site coordinators or preceptors; clinical preparation of students
vi. Contributions to professional educational organizations
vii. De-identified reports from Salesforce containing student commentary on the candidate's teaching effectiveness
viii. Awards for teaching or mentoring from sources other than the candidate's department/institution
ix. Evidence of maintenance of and currency in the field of practice, as appropriate to responsibilities
x. Evidence of satisfactory completion of all continuing-education requirements associated with level of practice
xi. Program review and quality improvement
xii. Strategic planning around student learning, outcomes, and assessment

Examples of Clinical Excellence Across Ranks:

Assistant Professor: The Assistant Clinical Professor will provide evidence of performance at a competent level and articulate instructional goals characteristic of teaching excellence. The assistant professor is involved in the development and local adoption of clinical educational materials to include syllabi, clinical/field curricula, web-based training modules or courses, performance assessment methods, and/or technologies (e.g., simulation). Instructional activities may also include the development of preceptor materials to support student education. An Assistant Clinical Professor may also be engaged with the development and implementation of practice-based policies and statements.

Associate Professor: The candidate for promotion to Associate Clinical Professor will provide evidence of excellence in clinical teaching and related practice. An Associate Clinical Professor demonstrates a track record of

sound teaching methodologies, meaningful contribution to clinical curriculum development and refinement, and sustained excellence in the appraisal of student clinical/field performance. The candidate may have initiated innovative or novel clinical educational approaches to include interprofessional experiences. An Associate Clinical Professor has cultivated deep relationships with disciplinary colleagues/preceptors, and serves as a mentor to students and new clinical faculty. The candidate should be well engaged in local or regional delivery systems to include clinical committees or policy development.

Professor: The candidate for Clinical Professor will show continued and sustained excellence in clinical teaching as reflected in student, peer, and programmatic evaluations. The candidate must demonstrate leadership in continuous clinical curricular enhancements beyond those described as the Associate Clinical Professor level. The body of teaching work presented must demonstrate impact to the discipline/profession. The candidate may have trainees upon whom they had a major influence, including feedback from trainees and/or co-authored student publications/presentations.

C. Scholarship*

Faculty with scholarship expectations carry out the mission of CPS to create new knowledge relevant to the different fields represented by the different programs. In recognition of the diverse CPS faculty, the College takes a broad view of scholarship to include discovery, integration, application, and the scholarship of teaching and learning.

Examples of scholarship in CPS may include:

a. Quantitative and qualitative research in areas represented by the expertise of CPS Faculty.
b. Activities and evidence related to the Scholarship of Teaching and Learning (SoTL).
c. Dissemination of scholarship through peer-reviewed publications, professional conference presentations.
d. Grants and extramural funding.
e. Honors or recognition of scholarly achievements.

Criteria for evaluating scholarly productivity

The quantity and quality of:

1. Dissemination of scholarly work at professional conferences outside of UNE.
2. Publication of articles in peer reviewed journals.
3. Research and dissemination related to the Scholarship of Teaching and Learning (SoTL)
4. Grants and extramural funding

**The criteria for scholarship will reflect the requirements unique to each program/ discipline*

Scholarship products or exhibits may include:

i. Links to invited scholarly presentations
ii. Downloaded copies or links to publications in journals or proceedings
iii. Copies of books or chapters in edited volumes
iv. Citation of candidate's published work
v. Grant/contract awards
vi. Accreditation and assessment documentation
vii. Submitted research or grant proposals
viii. Invited or competitive scholarly presentations
ix. Honors or recognitions for scholarly contributions
x. Links to webpages of newly developed products
xi. Links to webinars developed/delivered

Examples of Scholarship Across Ranks:

Assistant Professor: The Assistant Professor will provide evidence of an emerging and well-defined scholarship agenda. Dissemination of scholarly work through peer-review is essential. The Assistant Professor may be seeking internal or extramural funding to support research/scholarship endeavors.

Associate Professor: The candidate for promotion to Associate Professor will present a body of research and scholarship that shows sustained productivity and impact. This body of work should be well disseminated outside of UNE through publications and/or professional presentations. The research program should be expanding and may include collaborations with colleagues and/or extramural funding to support scholarship.

Professor: The candidate for Professor will demonstrate excellence and leadership in research/scholarship beyond that required for the Associate Professor. The research program has increased in depth and breadth, with outcomes/findings impactful to the discipline. The contributions of this scholarship are deemed significant at a national or international level.

D. Service

Excellence in service requires that a candidate be generous with their time in activities that enrich the department, college, university, and professional community. Expectations of the work performed and time spent conducting committee or service contributions should be clearly specified. Service within or outside the university, including professionally relevant external service, and resulting contributions should be documented. Evaluation should include the impact of the faculty member's service role(s) given the individual's career stage.

Criteria for evaluating service excellence may include:

1. Participation in faculty governance.
2. Active participation in departmental, college, and/or university committees.
3. Measurable outcomes of the candidate's roles on the committees on which they serve.
4. Participation as a peer-reviewer for professional journals.
5. Participation in community service that models the scholar-practitioner model of CPS.
6. Activities geared towards new program development.
7. Engagement and leadership of relevant professional organizations.
8. Serving on and contributing to committees at the program, college, university, and community levels
9. Serving on standing university committee or academic council, either by election or appointment
10. Invitation as a peer reviewer for professional journals or accrediting bodies
11. Contributing to and/or chairing a search committee
12. Contributing to program or college curricular revisions
13. Advising a student group
14. Civic community contributions beyond UNE that are relevant to the profession/discipline of the candidate

Service products or exhibits may include:

i. Descriptions of duties and responsibilities on UNE committees, ranging from committee member to chair/leadership roles
ii. Peer reviews for professional journals
iii. Letters of appointment to committees within and outside UNE
iv. Active membership or leadership of local, state, national, or international professional organizations
v. Editorial service for journals or professional associations, including review of external academic programs, grant proposals or books

vi. Letters of support from committee chairs
vii. Thank you notes from community stakeholders
viii. Letters or emails from journal editors to serve as an abstract/manuscript reviewer
ix. Honors or recognition for service

Examples of Service Across Ranks:

Assistant Professor: An Assistant Professor will serve at the program and/or college level. This engagement can assume many forms such as serving as a member of a hiring committee, advisory committee, or admissions committee.

Associate Professor: Candidates for Associate Professor will serve through greater engagement and at more diverse levels including progressive leadership roles. Candidates may provide service at the department or university level, or on editorial boards, grant review committees, program and conference program committees.

Professor: Candidates for Professor will be engaged in progressive leadership roles as part of their service responsibilities. They are expected to lead and contribute to major service initiatives for the program, college, institution, or professional organization. Candidates may provide service to relevant professional constituencies within and outside the academic community.

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 College of Professional Studies. 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.

Every regular faculty member on the Non-Tenure Track Teaching Professor Classification will participate in a multi-level review every third year of employment until promotion to the Associate level. Multi-level review will include 1) college RPT committee and the program 2) chair/director, 3) college dean, and 4) provost.
Once promotion to the Associate level has been achieved, this review will occur again whenever a promotion is being sought. Non-tenure track faculty members hired at the Associate Professor rank will undergo one multi-level review in their third year of employment and whenever promotion is sought.

Non-tenure track faculty members hired at the Professor rank will undergo one multi-level review in their third year of employment.

1. Third-Year Review: Candidates standing for reappointment in the third year will demonstrate sufficient progress in teaching, service, and scholarship (if applicable) as defined by the aforementioned criteria. Progress will be indicative of sufficient potential providing reasonable assurance that the standards for promotion will be met at the sixth-year review.

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 will demonstrate excellence in teaching, service, and scholarship (if applicable) as defined in the aforementioned criteria.

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 demonstrate a sustained record of excellence in teaching, service, and scholarship (if applicable) as defined in the aforementioned criteria.

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

Demonstrated excellence in teaching, service, and clinical contributions to the program. 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.

Every regular faculty member on the Non-Tenure Track Clinical Professor Classification will participate in a multi-level review every third year of employment until promotion to the Associate level. Multi-level review will include the 1) college RPT committee, 2) chair/director, 3) college dean, and 4) provost. Once promotion to the Associate level has been achieved, this review will occur again whenever a promotion is being sought.

Non-tenure track faculty members hired at the Associate Professor rank will undergo one multi-level review in their third year of employment and whenever promotion is sought. Non-tenure track faculty members hired at the Professor rank will undergo one multi-level review in their third year of employment.

1. Third-Year Review: Candidates standing for reappointment in the third year will demonstrate sufficient progress in teaching, service, and scholarship (if applicable) as defined by the aforementioned criteria. Progress will be indicative of sufficient potential providing reasonable assurance that the standards for promotion will be met at the sixth-year review.

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 will demonstrate excellence in teaching, service, and scholarship (if applicable) as defined in the aforementioned criteria.

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 sustained record of excellence in teaching, service, and scholarship (if applicable) as defined in the aforementioned criteria.

Evaluation Procedures
Consistent with the University *Faculty Handbook*, RPT reviews in the College of Professional Studies are conducted according to 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.

Formation of the College-level RPT Committee

CPS will have a college committee of at least three faculty at the associate or full professor ranks. Three members will be recommended by vote of the full-time faculty, and as necessary, up to two additional UNE faculty may be appointed by the Dean (ex: if one of the 3 elected faculty is also a mentor to the candidate for review and must recuse themselves). 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 track (teaching versus clinical) and/or candidate background/expertise. 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 University *Faculty Handbook* 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.

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.

D. 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.

E. 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 of Human Resources/Chief Human Resources Officer 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.

F. 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 of Human Resources/Chief Human Resources Officer (AVPHR/CHRO). If the AVPHR/CHRO 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/CHRO (or the appointed facilitator if the AVPHR/CHRO is a party to the grievance). All documents will be forwarded to the Faculty Grievance Committee by the AVPHR/CHRO (or the appointed facilitator if the AVPHR/CHRO 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/CHRO (or the appointed facilitator if the AVPHR/CHRO 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/CHRO (or the appointed facilitator if the AVPHR/CHRO is a party to the grievance) will serve as an advisor and facilitator of Committee process and function. Ordinarily, the AVPHR/CHRO (or the appointed facilitator if the AVPHR/CHRO is a party to the grievance) will not attend meetings of the Committee. At the Committee's discretion, however, the AVPHR/CHRO (or the appointed facilitator if the AVPHR/CHRO is a party to the grievance) may be called upon to facilitate a hearing or serve as a consultant. The AVPHR/CHRO (or the appointed facilitator if the AVPHR/CHRO 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/CHRO (or the appointed facilitator if the AVPHR/CHRO 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/CHRO, 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/CHRO, 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/CHRO, who will maintain necessary records of the event and destroy unneeded materials.

G. **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 Portfolio Annotated Table of Contents

_____ 3) Curriculum vita, and, as applicable, licensure documentation

_____ 4) Years of service documentation (letter of hire and any subsequent changes to the contract)

_____ 5) 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

_____ 6) Teaching—sections "a" and "b" listed below should be separately grouped

a. Documentation of teaching (see table below) including all syllabi
b. All written formal evaluations of teaching from students (see table below) 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))

_____ 7) Scholarly activity, documentation of scholarly activity (see table below)

_____ 8) Service, documentation of service (see table below)

_____ 9) All evaluations from prior (see table below) 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

_____ 10) Other information that the candidate believes to be relevant (please specify)

_____ 11) The candidate certifies that all required elements of the portfolio have been included by clicking the Check Box, prior to clicking "Next Step," which irreversibly submits the packet for review.

3-year Reappointment Review

- Teaching Documentation: Since Hire
- Service Documentation: Since Hire
- Scholarship Documentation: Since Hire (if applicable)
- Previous evaluations: All Annual Reviews

6-year Promotion and/or Tenure Review

- Teaching Documentation: Since Hire
- Service Documentation: Since Hire
- Scholarship Documentation: Since Hire (if applicable)
- Previous evaluations: All Annual Reviews and 3-year Review evaluations

Optional Promotion Review

- Teaching Documentation: Only the Last Six years, unless another limit is specified by the candidate's college
- Service Documentation: Only the Last Six years, unless another limit is specified by the candidate's college
- Scholarship Documentation: Since Last Promotion
- Previous evaluations (including all Annual Reviews): Since Last Promotion

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

If a Deadline Falls on a Weekend or University Holiday, the Effective Deadline will be 5pm of the Following Business Day

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.
March 15	The dean finishes their review of Annual Reviews and forwards results to Human Resources. The date by which faculty submit their self-evaluations to their supervisors, and the date by which supervisors forward their reviews to the dean's offices will be determined by the respective colleges and departments.
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. Names for external reviewers shall be submitted to the dean for tenure review and promotion.
May 15	The dean will send a list of candidates to the College RPT Committee and Provost
September 1	Candidate inserts items 1-11 listed in the University's RPT checklist (see Attachment 1) in their portfolio 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. 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.
September 2	The sub-college RPTC, the chair/director, the college RPTC, and the dean will have access to the electronic portfolios at noon.
September 21	Sub-college RPTC inserts their letter in the portfolio by 5:00 p.m.

October 15	Chair/Director inserts his/her letter in the candidate's portfolio by 5:00 p.m.
November 15	College RPTC inserts their letter in the candidate's portfolio by 5:00 p.m.
December 31	Dean inserts their letter in the candidate's portfolio by 5:00 p.m. (see THREE IV. G and Table 2.) Within one business day after the dean inserts their letter, the Provost arranges for URPTC access to portfolios and, in collaboration with the dean, confirms which portfolios will undergo a procedural review, which portfolios will undergo a substantive review, and which portfolios will undergo no review by URPTC.
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 portfolio indicating whether they conducted a substantive or procedural review and the results.
March 1	For 3rd -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 portfolio by 5:00 p.m.
March 15 or if March 15 falls on a weekend the Friday before this date	President notifies candidate, dean, and chair/director of decision. 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. The President's decision regarding promotion and tenure is ultimately sent to the Board of Trustees for their approval at their next scheduled meeting. Portfolios will be reopened to the candidate once any external review letters (applicable only with tenure and professor level review) are removed.
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.
10 working days upon receipt of the candidate's appeal	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.

Continuance of timeline with respect to a dispute	Committee deliberation forwarded to the Chair of UFA 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. 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. The Committee will submit its recommendation to the Chair of the University Faculty Assembly.
	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. 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.

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.
March 15	The dean finishes their review of Annual Reviews and forwards results to Human Resources. The date by which faculty submit their self-evaluations to their supervisors, and the date by which supervisors forward their reviews to the dean's offices will be determined by the respective colleges and departments.
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
September 1	Candidate inserts items 1-11 listed in the University's RPT checklist (see Attachment 1) in their portfolio 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. 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.
September 2	The sub-college RPTC, the chair/director, the college RPTC, and the dean will have access to the electronic portfolios at noon.
September 21	Sub-college RPTC inserts their letter in the portfolio by 5:00 p.m.
October 15	Chair/Director inserts his/her letter in the candidate's portfolio by 5:00 p.m.
November 15	College RPTC inserts their letter in the candidate's portfolio by 5:00 p.m.
December 31	Dean inserts their letter in the candidate's portfolio by 5:00 pm. (see THREE IV. G and Table 2.) Within one business day after the Dean inserts their letter, the Provost arranges for URPTC access to portfolios and in collaboration with the dean, confirms which portfolios will undergo a procedural review, which portfolios will undergo a substantive review, and which portfolios will undergo no review by URPTC.

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 portfolio 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 3rd 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 College Review Committee.

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. This letter should also be sent to the College Review Committee.

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 include the letter(s) from the Primary Supervisor (and Secondary Supervisor [if applicable]).

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, along with the letter(s) from the Primary Supervisor (and Secondary

Supervisor [if applicable] and the College Review Committee. 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

H. 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. This notification will also append the letters from the reviewers at all previous levels (Dean, College Review Committee and Supervisor[s]).

I. 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.
October 15	The college-level review committee submits their recommendation to the Dean. 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 and the letter(s) from the Primary Supervisor (and Secondary Supervisor [if applicable] and the College Review Committee their recommendation to the Provost.
December 15	The Provost sends written notification to the candidate, their immediate primary supervisor, their secondary supervisor (if 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. This notification will also append the letters from the reviewers at all previous levels (Dean, College Review Committee and Supervisor[s]).

EVALUATION RUBRIC: SABBATICAL PROPOSAL REVIEW AND SCORING CRITERIA

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? Please provide the rationale for the scoring (i.e., meets criteria, partially meets criteria, or does not meet criteria) within the respective scoring box for each criterion.*			
Evaluation Criteria	**Meets Criteria**	**Partially meets criteria**	**Does not meet criteria**
Purpose And Significance 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 contains clear, meaningful and measurable objectives or outcomes			
The design and methods to complete the activities are comprehensively and clearly articulated			
The timeframe proposed is reasonable, and identifies and accounts appropriately for possible delays.			
Resources (including access to materials or equipment, as well as required expertise) 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

FACULTY QUALIFICATIONS: *This section asks about the faculty qualifications to complete the proposed activities.*			
Evaluation Criteria	**Meets Criteria**	**Partially meets criteria**	**Does not meet criteria**
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 clearly demonstrated the potential skill set and/or has the appropriate background/experience to complete the proposed activities.			

SABBATICAL PROPOSAL EVALUATION SUMMARY WORKSHEET

REVIEWER NAME_____ APPLICANT NAME _____

3. Express your overall opinion

COMPOSITE opinion *The Composite opinion should reflect your overall rating of the quality of the proposal and the applicant's ability to complete the proposed activities.*			
	Meets Criteria	**Partially meets criteria**	**Does not meet criteria**
COMPOSITE Opinion The proposal is strong in purpose, significance, design, methods, outcomes, and other qualities such that it should be supported.			

ATTACHMENT 4

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

Policy Summary:

It is the policy of The University of New England ("UNE") to encourage creativity and entrepreneurism among its faculty, students, and staff. UNE invests in this endeavor by making available its own facilities, equipment, personnel, and information resources. UNE also actively seeks specific support for creative activity from external sources, both public and private.

The Policy supports the strategic goals of creating an outstanding student experience that promotes personal and intellectual development; recruiting and retaining excellent students, faculty and staff; and strengthening research and scholarship, as well as institutional financial resources.

Inventions, discoveries, and creative works that are developed by individuals at UNE may have commercial as well as scientific and scholarly value. The intent of this policy is to provide incentives that foster creative activity and to help assure that any such intellectual property produced will be exploited for the benefit of the creator(s), UNE, and the public. To help meet these policy objectives, UNE makes available, through its Office of Research and Scholarship, technical and legal assistance to protect ownership of intellectual property and to aid in its commercial development.

The specific aims of this policy are the following:

1. to encourage creativity among UNE faculty, students and staff;
2. to increase the likelihood that ideas, inventions, and creative works produced at UNE are used to benefit the public;
3. to protect the traditional rights of the creator(s) with respect to owning the products of their intellectual endeavors;
4. to assure compliance with the provisions of contracts with external sponsors; and
5. to provide that, when intellectual property is introduced for commercial development, the creator(s) and UNE share any net profits, where appropriate.

Scope of Policy

1. Who Is Covered: UNE Personnel Community

For purposes of this policy, UNE personnel community refers to UNE faculty members (this includes full time, part time, tenured, tenure-track and non-tenure track faculty), visiting faculty, postdoctoral scholars, researchers (research associates, scientists and engineers, and postdoctoral fellows), visiting scholars, investigators, administrators, office and technical staff, students, contractors (as appropriate), consultants, and all others whose work affiliation includes UNE, whether compensated by UNE or not. UNE personnel are bound under this policy when their creative work is developed partially or entirely during performance of their UNE responsibilities or when it involves the use of UNE resources such as space, facilities, equipment, staff, or funds, as stipulated for the particular circumstances described in the sections below "Determination of Rights for Patentable Subject Matter" for both patentable and copyrightable material.

As a condition of affiliation with UNE, members of the UNE personnel community are bound by all UNE policies, including this one.

2. What Is Covered: Intellectual Property

All intellectual property produced at UNE by its personnel (defined above) is covered by this policy. Intellectual property shall consist of, for example and without limitation: inventions, creative works, patentable subject matter, copyrightable materials, know-how, electronic or paper documents, software, multimedia or audiovisual materials, and photographs. For purposes of this policy, intellectual property is divided into two categories:

2.1 "Patentable intellectual property" shall include, without limitation, all inventions, discoveries, know-how (despite the fact that these may not benefit from patent protection) and discoveries or other material that is patentable under US law (whether or not produced in the US), as well as all software that is excluded from "copyrightable material" (whether or not patentable under US law).

2.2 "Copyrightable intellectual property" shall include, without limitation, all creative works, electronic or paper documents, software, multimedia or audiovisual materials, and photographs, and any other materials that may be copyrightable under US law (whether or not produced in the US).

2.3 All research lab notebooks, data sets, data images, gene constructs, reagents, animal, human and plant cell lines, model organisms remain the exclusive property of UNE.

2.1 Patentable Intellectual Property

Responsibility for Disclosure of Patentable Intellectual Property: UNE personnel who alone, or in association with others, create patentable subject matter with any use of UNE resources are responsible for disclosing the patentable subject matter to UNE. Such disclosure shall be made in a timely manner when it can be reasonably concluded that a patentable subject matter has been created, and sufficiently in advance of any publications, presentation, or other public disclosure to allow time for possible action that protects rights to the intellectual property for the creator and UNE. The disclosure form is available at https://www.une.edu/research/sponsored-programs/policies-forms

Determination of Rights to Patentable Subject Matter: Except for Patentable Intellectual Property developed independently and without UNE resources as noted below, all Patentable Intellectual Property produced by UNE Personnel shall be deemed "work made for hire" and be UNE's sole and exclusive property. UNE will assert ownership rights to patentable intellectual property developed under any of the following circumstances:

2.1.1 Development was funded by an externally sponsored research program or by any agreement that allocates rights to UNE.

2.1.2 Development required use of UNE resources (for example but not limited to facilities, equipment, funding, or personnel). UNE has rights to patentable material derived from research carried out with any use of UNE resources. However, patentable material developed independently by the creator outside of normal duties associated with the creator's position and with no use of UNE resources or facilities is vested with the creator and/or with the organization whose resources were used.

2.1.3 The creator was assigned, directed, or specifically funded by UNE to develop the material.

2.1.4 Material was developed by administrators or staff in the course of their employment duties and constitutes "work for hire" under US law.

2.2 Copyrightable Intellectual Property

Responsibility for Disclosure of Copyrightable Intellectual Property: In contrast to historical business practice,

the tradition of academic institutions is to give its personnel the right to retain ownership of their copyrightable products. This policy protects that traditional right and personnel are not obligated to disclose the creation of copyrightable material, even when the product might have commercial value, unless the material was developed under one of the qualifying conditions listed in the next section 2.2.1 to 2.2.5,, in which case the creator is responsible for timely disclosure.

Determination of Rights to Copyrightable Intellectual Property: Except for Copyrightable Intellectual Property developed independently and without UNE resources as noted below, all Copyrightable Intellectual Property produced by UNE Personnel shall be deemed "work made for hire" and be UNE's sole and exclusive property. To the extent that copyrightable material is developed for courses or curriculum at UNE by such individuals, and as a condition of employment by UNE, the creators of such copyrightable material grant a non-exclusive, royalty-free, perpetual license to UNE to use of such material for educational and research purposes.

UNE will assert ownership rights to copyrightable intellectual property developed under any of the following circumstances.

2.2.1 Development was funded by an externally sponsored research program or by any agreement, which allocates rights to UNE.
2.2.2 UNE personnel were assigned, directed, or specifically funded by UNE to develop the material, or UNE has negotiated an understanding or formal contract with the creator.
2.2.3 The material was developed with extraordinary or substantially more use of UNE resources than would normally be provided for the creator's employment duties. This might occur as disproportionate use of staff time, networks, equipment, or direct funding.
2.2.4 Works created by non-faculty independent contractors on behalf of UNE, unless otherwise specified in a written agreement between such independent contractor and UNE. Such contractors do not share in the creator's portion of Net Royalty Income (as defined below under "Income Distribution").
2.2.5 Laboratory Notebooks, data sets, biological materials.

Scholarly and Artistic Works Exception: "Scholarly and Artistic Works" means copyrightable and copyrighted works that are in the nature of academic and scholarly works of authorship and works of visual art, including but not limited to photography, film, audio-visual works, sculpture, painting, choreography and the like. "Scholarly and Artistic Works" include by way of example 1) scholarly articles and papers written for journal publication (rights to these is assigned to the publisher as a condition for publication), presentations and scholarly papers prepared for seminars and conferences, pedagogical works, and teaching and curriculum materials (including classroom lectures, seminars and presentations reduced by or for the author to written or other recorded form); and 2) paintings, drawings, musical compositions and performances, dramatic compositions and performance, poetry, fiction and other works of artistic expression authored by UNE faculty, post-graduate students, and postdoctoral fellows and postdoctoral associates ; provided that, the definition shall not apply to the works of UNE Students authored pursuant to activities undertaken as Teaching Assistants that are Scholarly or Artistic Works as described in this paragraph will remain the property of their authors.

"Scholarly and Artistic Works" shall be and remain the property of their Authors ("Individually-Owned Works") unless such copyrighted works are (i) developed as part of a UNE project, program or activity that is the subject of an external UNE agreement; (ii) developed within the scope of employment by non-faculty UNE Employees; or (iii) developed as part of a UNE- Commissioned project. All Scholarly and Artistic Works described in the preceding sentence under (i), (ii), or (iii) are UNE-Owned.

"Student Authored Scholarly and Artistic Works". Copyright to individual capstone project, sufficiency, thesis, and dissertation reports and documents are owned by the author, subject to other agreements. In the case of a

jointly written document, copyright is held jointly by all authors, subject to other agreements. In cases when such a document was submitted to fulfill a degree requirement, students will grant to UNE a nonexclusive, royalty-free license to distribute copies of the document, subject to other agreements.

2.3 Intellectual Property Created by Students

It is the general policy of UNE that UNE Students shall have ownership rights in Intellectual Property developed by them independently, except where it is developed using UNE funds, part of any project, directed study, directed research, or where UNE has external obligations with respect to Student Intellectual Property, such as via a contract with a company, or where there are federal funds involved. If there are no UNE external obligations for the Intellectual Property, Student Intellectual Property may assign to UNE and be treated as a UNE Invention.

If there is Student Intellectual property that is free from UNE external obligations, the Students may choose to enter into an agreement with UNE for the value of that Intellectual Property. Such value will not exceed 1% of the current value of that Intellectual Property. The waiver provisions of this Policy shall apply to UNE Students (Section 6).

Activities undertaken by UNE Students receiving financial aid as tuition assistance shall not be considered "UNE funds" unless such assistance consists of employment at UNE (including, but not limited to teaching assistantships) or is charged against a grant, contract or other agreement between UNE and an external funding source.

As a condition of study or a degree award, each student shall grant to UNE a non-exclusive, royalty-free, non-commercial license to reproduce and publicly distribute, including by electronic means, copies of the student's work in which the student retains copyright.

3.0 Significant Use of UNE Resources

Generally, an invention, software, or other copyrightable material, will not be considered to have been developed using UNE funds or facilities if:

3.1 only a minimal amount of unrestricted funds has been used; and
3.2 the Intellectual Property has been developed outside of the assigned area of research of the inventor(s)/author(s) under a research assistantship or sponsored project; and
3.3 only a minimal amount of time has been spent using significant UNE facilities or only insignificant facilities and equipment have been utilized (note: use of office, library, machine shop facilities, and of traditional desktop personal computers are examples of facilities and equipment that are not considered significant); and
3.4 the development has been made on the personal, unpaid time of the inventor(s)/author.

4.0 Intellectual Property Developed Under Sponsored Research Agreements

Ownership of copyrightable and patentable intellectual property developed pursuant to an agreement with any sponsor will be governed by the provisions of that agreement.

Government and nonprofit sponsors generally allow rights to intellectual property that arise from the research program to vest with the institution, subject to certain retained rights held by the federal government. Under special circumstances, sponsors, including government agencies, will provide for the institution to retain title to all intellectual property that arises in the course of the research program, with the sponsor retaining an option

to acquire commercialization rights through a separate license agreement.

5.0 Special Agreements

Since UNE aims to encourage creativity, it reserves the right to allow some flexibility in applying this policy. The inventor(s) or author(s) my request the Associate Provost for Research and Scholarship to release the intellectual property to them, at their own expense, unless other agreements exist.

6.0 Waiver or Return of Rights

UNE may determine that UNE will not take ownership of invention or UNE may, after initially exercising ownership, determine that UNE will no longer pursue or maintain intellectual property protection, for example in cases without a revenue producing license. Where UNE determines that it will not pursue or maintain intellectual property protection and licensing of UNE-Owned Intellectual Property, it will promptly and in writing advise the inventor(s) or author(s). To the extent permitted by external obligations, including any applicable laws and regulations, UNE may consider application by inventor(s) or author(s) for alternative funding of prosecution or maintenance of intellectual property, or waiver of ownership rights and the terms under which such waiver may be made. UNE will not consider requests for waiver of ownership with respect to any invention or software program unless all inventors and authors, as legally determined, concur with the request for waiver. Ownership waivers, if granted, will be made to all relevant inventors and authors as joint owners. Waiver agreement terms between UNE and the inventor(s) will include a perpetual, royalty-free right and license retained by UNE to use the invention or software for its own education and research purposes and will be further subject to any external obligations as may be required.

7.0 Administration of Intellectual Property Policy

Except as otherwise specified in this policy or as otherwise duly authorized by UNE, the Associate Provost for Research and Scholarship has responsibility for the interpretation, implementation and oversight of this Policy. The Associate Provost for Research and Scholarship will issue such administrative guidelines and procedures to facilitate Policy as may be reasonable and consistent with it. In accordance with otherwise applicable UNE policy or contract terms, UNE may also pursue disciplinary, or civil or criminal action, for Policy violations.

UNE personnel who wish to pursue the commercialization of their independently developed and owned intellectual property through UNE may offer such intellectual property to UNE by following the administrative process outlined above.

8.0 Income Distribution

Costs and Net Royalty Income: Unless otherwise agreed, Net Royalty Income shall mean Gross Royalties in the form of cash or cash proceeds whether from the sale of equity or obtained in licensing transactions, less all commercialization costs, including but not limited to, previous and ongoing billed costs for protection of intellectual property, marketing, legal fees and other licensing costs.

Distribution of Net Royalty Income: With respect to intellectual property owned by UNE hereunder, Net Royalty Income shall be distributed (usually annually) as follows:

33.3% Creator(s) (personal)
33.3% Creator(s) College/ Department 33.3%
University Share

It is encouraged that the College/Department share be prioritized to the inventor's laboratory if possible. The funds should be directed towards a continued investment in research and technology development. College and Department shares may involve multiple Colleges or Departments. If this occurs, the split will go according to how the inventors have agreed to split their share. The University Share is to be invested in the university's research and/or technology transfer activities through programs administered by the Associate Provost for Research and Scholarship.

Note that Intellectual Property created by students may have a different distribution per the conditions in section 4.

The creator will receive personal royalties as income. If the creator chooses to donate a portion of the royalties to research, the creator may do so in accordance with the policy and procedures of the Institutional Advancement Office of UNE and in accordance with local, state and federal tax policies.

Where all or a portion of the Royalty Income received by UNE is in shares of stock, stock options, warrants or other indicia of ownership ("Equity"), Inventors and Authors shall be entitled to shares to be negotiated with the company. If Inventors and Authors obtain Equity from the company, UNE Equity will be wholly owned by UNE. For all other Inventors/Authors who did not receive Equity from the Company, UNE, upon occurrence of a liquidation event, will distribute cash according to the distribution agreed upon among the inventors in their original invention disclosure.

UNE may postpone the distribution of Net Royalty Income when future expenses relating to the applicable technology, such as patent prosecution costs, or an infringement suit, are reasonably anticipated.

8.1 Creator Equity Participation

Creators may receive equity in return for their contributions as founders or consultants only with concurrence of the Provost. Annually, creators must fully disclose their equity positions and shall otherwise be and remain in compliance with the UNE Conflict of Interest policies.

9.0 Conflict of Interest and Conflict Avoidance in Equity Transactions

Where a Creator(s) holds or will acquire an equity or founder's stock and/or option position in a company to which Intellectual Property that the Creator(s) helped develop is licensed by UNE, UNE will accept an equity position in lieu of royalty. In all such situations, Creator(s) who remain in the employ of UNE will not use UNE students for research and development projects sponsored by the company without expressly disclosing to students the inventor(s)' equity ownership interest in the company and without the express approval of the academic department head or other appropriate administrative unit supervisor. In addition, inventor(s) will not restrict or delay access to their research results so as to benefit the company (apart from any UNE- authorized agreement with the company) and will not engage in such other activities that may create a presumption of conflict of interest between their activities as faculty or staff of UNE and their activities with or on behalf of the company. The limitations and conditions of this paragraph are in addition to those required by UNE's conflict of interest or other related policies. .

10.0 Survival of Terms

All licenses and rights granted to UNE will survive any termination of employment or end of enrollment by a student as applicable.

11.0 Conflict Resolution

When a disagreement arises between UNE and the inventor(s) concerning the interpretation of this policy, an Intellectual Property Appeal Board (the "Appeal Board") will be appointed and convened to resolve the disagreement. Appeals shall state explicitly what is in dispute and be submitted in writing to the President of UNE and to the UFA Faculty Affairs Committee. When a request for an appeal is received, an ad hoc Appeal Board shall promptly be appointed.

11.1 The Appeal Board is composed of five persons, three appointed by the University Faculty Assembly and two appointed by the UNE Associate Provost for Research and Scholarship (APRS). The UFA-appointed members shall be members of the faculty chosen from a current list of tenured faculty members who have agreed to serve on the Appeal Board if so requested, and who have a variety of experience. In making their respective appointments, UFA and the UNE APRS will seek to ensure that some of the appointees are familiar in detail with this policy and its past applications, and some of the appointees are familiar with the technical area of the intellectual property under consideration. No person with a special interest in the outcome of its decisions, including people who have participated in the decision that is under appeal, shall be appointed to the Appeal Board.

11.2 The Appeal Board shall promptly meet, elect a chair, and hear the appeal. The Appeal Board shall receive written briefs from each party to the dispute, take oral presentations open to all parties and their counsels, and receive written emendations to the written briefs. The Appeal Board shall have the power to summon witnesses and documents necessary to reaching its decisions. The Appeal Board shall consider all relevant facts, policies, and precedents, and then document their recommendation. The Appeal Board shall make a recommendation in writing to the President who will make the final decision.

12.0 Use of UNE Name, Mark, or Insignia

The UNE name, seal, or logo may not be used:

1. in conjunction with any private or commercial enterprise.
2. in tandem with the advertisement of any product.
3. by any individual or group promoting itself.

Any questions regarding the use of the UNE name, seal, or logo should be referred to the UNE Vice President of Communications.

12.1 Changes to this Policy

The Provost will periodically initiate review of this Policy to address legal developments and to reflect experience gained in its administration. Policy changes will be made in accordance with governance and applicable legal requirements.

Effective 14 November 2019 Rev.
5/12/20

ATTACHMENT 5

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

https://www.une.edu/sites/default/files/2020-12/UNE%20Investigator%20Financial%20Disclosure%20Policy%20Nov2020%20Revision%20Final.pdf

Originally Adopted March 2005 Revised August 2012

Revised November 2020

Introduction

This policy sets forth University of New England's (UNE) 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 UNE, thereby ensuring public trust and confidence in UNE's sponsored research activities.

In accordance with Federal regulations (42 CFR 50, Subpart F), UNE 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, UNE 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 mean 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 subcontractors[1].

[1] 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.

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 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 within the U.S., a U.S. Institution of higher education as defined at 20 U.S.C. 1001(a), a U.S. academic teaching hospital, medical center, or research institute that is affiliated with a U.S. Institution of higher education; or income from service on advisory committees or review panels for a Federal, state, or U.S. local government agency, a U.S. Institution of higher education as defined at 20 U.S.C. 1001(a), a U.S. academic teaching hospital, medical center, or research institute that is affiliated with a U.S. Institution of higher education.

4. Investigators, including subrecipient Investigators, must disclose all financial interests received from a foreign Institution of higher education or the government of another country (which includes local, provincial, or equivalent governments of another country). See https://grants.nih.gov/grants/guide/notice-files/NOT-OD-18-160.html

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. UNE 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 UNE routing form for grant and contract transmittal form ("the UNE pink sheet").

    b. **Annual disclosure** of significant financial interests shall be made to the Director of Research Administration 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 the Director of Research Administration by submitting the UNE Financial Interest Disclosure Form.

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 publicly available.

    a. UNE will make this policy available to the general public by posting it on the University of New England'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; and
        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-

ii. $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 UNE 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 UNE 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 it becomes aware of any Investigator non- compliance with this Policy. 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 or 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 a FCOI;

d. Whether FCOI was managed or reduced or eliminated;
e. The name of the entity with which the Investigator has a 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; and
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 FCOIRC shall recommend sanctions which may include disciplinary action ranging from a public letter of reprimand to dismissal and termination of employment. The FCOIRC's recommendations on sanctions shall be presented to the Investigator's chair and dean who, in consultation with the UNE President, shall enforce any disciplinary action in accordance with the UNE 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 Associate Provost for Research and Scholarship about the status and workings of this policy and the actions of the FCOIRC.

ATTACHMENT 6

POLICY ON RESEARCH MISCONDUCT

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 University[1]. 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.

This statement of policy and procedures does not apply to authorship or collaboration disputes and applies only to allegations of research misconduct that occurred within six years of the date the institution or HHS received the allegation, subject to the subsequent use, health or safety of the public, and grandfather exceptions in 42 CFR § 93.105(b).

2. Definitions[2]

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 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

[1] 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.

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

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. <u>Preliminary Reporting and Inquiry</u>

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.[3]

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 conducted.[4] 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.

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[3] 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.

4 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.

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 an 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 correction[5]; 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.[6]

e. The RIO or deputy RIO, in consultation with the Inquiry Committee, shall determine from this Inquiry whether an 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.

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[5] 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.

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

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.[7]

h. At any time prior to beginning an 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.[8]

i. Institutional members may not retaliate in any way against complainants, witnesses, or committee members. Institutional members should immediately report any alleged or apparent retaliation against complainants, witnesses or committee members to the RIO, who shall review the matter and, as necessary, make all reasonable and practical efforts to counter any potential or actual retaliation and protect and restore the position and reputation of the person against whom retaliation is directed.

j. 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.

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. The final inquiry report must include the following information: (1) the name and position of the respondent; (2) a description of the allegations of research misconduct; (3) the PHS support, including, for example, grant numbers, grant applications, contracts and publications listing PHS support; (4) the basis for recommending or not recommending that the allegations warrant an investigation; (5) any comments on the draft report by the respondent or complainant.

[7] 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).

[8] 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).

b. Throughout the research misconduct proceeding, the RIO will review the situation to determine if there is any threat of harm to public health, federal funds and equipment, or the integrity of the PHS supported research process. In the event of such a threat, the RIO will, in consultation with other institutional officials and ORI, take appropriate interim actions to protect against any such threat. Interim action might include additional monitoring of the research process and the handling of federal funds and equipment, reassignment of personnel or of the responsibility for the handling of federal funds and equipment, additional review of research data and results or delaying publication. The RIO shall, at any time during a research misconduct proceeding, notify ORI immediately if he/she has reason to believe that any of the following conditions exist:

   - Health or safety of the public is at risk, including an immediate need to protect human or animal subjects;
   - HHS resources or interests are threatened;
   - Research activities should be suspended;
   - There is a reasonable indication of possible violations of civil or criminal law;
   - Federal action is required to protect the interests of those involved in the research misconduct proceeding;
   - The research misconduct proceeding may be made public prematurely and HHS action may be necessary to safeguard evidence and protect the rights of those involves; or
   - The research community or public should be informed.

c. 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. Except as otherwise prescribed by law, all parties should limit the disclosure of any records or evidence from which research subjects might be identified to those who need to know in order to carry out a research misconduct proceeding.

d. The RIO or deputy RIO will request that the Chair of the University Faculty Assembly[9] recommend a fact-finding committee of five (5) tenured faculty members[10] who are unbiased[11] in the investigation ("the Committee"). Upon approval of the membership of the

[9] 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

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

[11] "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).

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.

e. 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.

f. 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 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.

g. 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.

h. Respondent may exercise the following rights during the Investigation of the Committee:
    - 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.

    - 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.

    - 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.

- 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.

- 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.

- Respondent is entitled to a presumption of innocence and need not prove his or her innocence[12] to the Committee.

- 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.

i. Once the investigation is completed, the Committee will prepare a draft Investigation report[13] that:

   - Describes the nature of the allegation of research misconduct, including identification of the respondent;
   - Describes and documents the PHS support, including, for example, the numbers of any grants that are involved, grant applications, contracts, and publications listing PHS support;
   - Describes the specific allegations of research misconduct considered in the investigation;
   - Includes the institutional policies and procedures under which the investigation was conducted, unless those policies and procedures were provided to ORI previously;

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[12] 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.)

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

- Includes a statement of findings for each allegation of research misconduct identified during the investigation. Each statement of findings must: (1) identify whether the research misconduct was falsification, fabrication, or plagiarism, and whether it was committed intentionally, knowingly, or recklessly; (2) summarize the facts and analysis that support the conclusion and consider the merits of any reasonable explanation by the respondent, including any effort by respondent to establish by a preponderance of the evidence that he or she did not engage in research misconduct because of honest error or a difference of opinion; (3) identify the specifics of PHS support; (4) identify whether any publications need correction or retraction; (5) identify the person(s) responsible for the misconduct; and (6) list any current support or known applications or proposals for support that the respondent has pending with non-PHS federal agencies.

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 evidence[14]. 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.

j. 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.

k. 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 to the Committee for further deliberation or fact-finding, and allow for submission of the report to ORI[15] 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.

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[14] 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.)

[15] If PHS-supported research is involved, the contents of the final report must comply with federal regulations ((42 C.F.R. § 93.219.)

l. 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.

m. 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 Provostand 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 deputy RIO determines that further action is required, the RIO or deputy RIO shall direct the department head or program director[16] 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.

[16] 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.

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 or recordings of hearings, reports of fact-finding committees, records of appeals and decisions of administrators and the Board of Trustees.

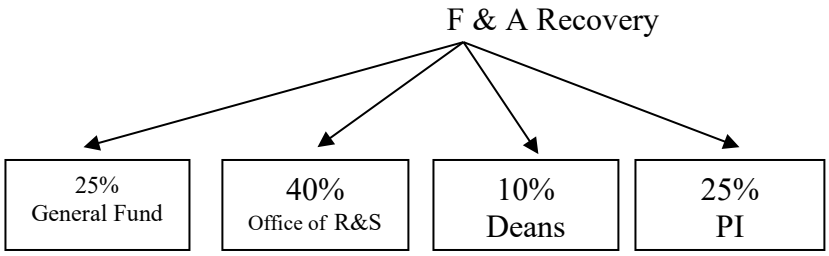
ATTACHMENT 7

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

https://sites.google.com/a/une.edu/une-fa-policy/

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.

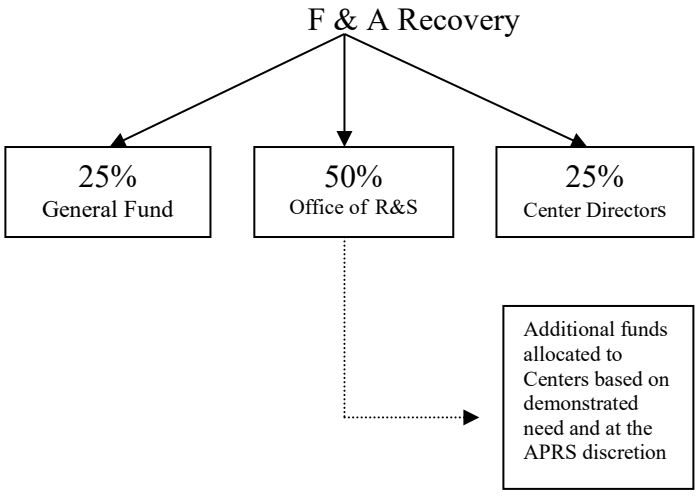
UNE's current F&A distribution recognizes the need to strategically invest in research. The F&A distribution for individual investigator awards for the FY 2012/2013 remains the same as it was for FY 2010 and 2011 and is as follows:



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 Calendar Year XXXX

Part A (Completed by Faculty Member undergoing evaluation)

The following information is to be provided via the PeopleAdmin tool at https://une.peopleadmin.com/hr/sessions/auto

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:

Pronouns:

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: Date of appointment to current rank:

(eg. Assistant, Associate, Professor, as appropriate. Generally, a candidate's new rank takes effect at the start of an academic year, i.e., June 1)

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:
Please describe any negotiated adjustments to RPT timeline as related to your administrative appointment.
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?

_____ _____
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.

_____
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

5. Optional Comments by Dean:

Signature of Dean Date

ATTACHMENT 8 (continued)

UNIVERSITY OF NEW ENGLAND

Annual Faculty Member Performance Evaluation
for Calendar Year XXXX

Part B (Completed by Faculty Member's Supervisor)

The following information is to be provided via the PeopleAdmin tool at https://une.peopleadmin.com/hr/sessions/auto

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.