APPENDIX E

Yearly Timeline of Faculty Handbook Changes

Changes approved by the BOT in November 2013
Effective January 2014

1. **MOTION:** To change the wording in SECTION TWO, IV., D., Paragraph 3 (pp. 12-13) of the Faculty Handbook (strikethroughs indicate previous wording and bold indicates newly proposed language):

For the awarding of tenure on initial appointment at the rank of Associate or Full 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 dean will submit the candidate’s curriculum vitae to the University RPTC for review. The University RPTC will submit a recommendation within 10 business days to the Provost/VPAA for review and then to the President. If the Provost/VPAA and President support the dean’s recommendation 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.

2. **MOTION:** Change SECTION THREE, IV., A., 2., e., (second to last line on p. 23) of the Faculty Handbook, to the following: “One clinical faculty member at the associate level or higher will be elected to join the University RPT Committee on its review of clinical portfolios that may be sent on from the college level.”

3. **MOTION:** Change the wording in SECTION THREE, IV., A., 4. (on p. 24 of the Faculty Handbook) to (bold indicates newly proposed language):

“**The President, informed by the complete portfolio and the Provost/VPAA’s recommendation, will write a separate recommendation regarding tenure or the promotion of a tenured faculty member.** If a recommendation regarding tenure is negative, the President will inform the Provost/VPAA, who will instruct the dean to issue a terminal contract to the candidate. **If a recommendation regarding promotion of a tenured faculty member is negative, the President, within 20 calendar days, will inform the Provost/VPAA who will instruct the dean to inform the candidate of the decision. If the recommendation is positive….””

4. **MOTION:** In SECTION THREE, IV., A., 1. (on p. 19 of the Faculty Handbook), the second, third, and fourth paragraphs, which currently are as follows:

“In such cases in which a candidate for tenure is a department chair or program director,
the candidate in consultation with his/her dean and the Provost/VPAA 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.

When a candidate for promotion to Professor is a tenured department chair or program director, a 3-level review will occur including the subcollege committee, the college RPTC, and the dean. University RPTC will serve in its usual capacity.

When a candidate for promotion to Clinical Professor or Research Professor is a department chair or program director, a 3-level review also will occur as described above.”

should be replaced by the following paragraph:

“In cases where 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/VPAA 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. MOTION: To revise the Faculty Handbook so that it specifies that the University Reappointment, Promotion and Tenure Committee has access to candidate e-binders on September 1st (i.e., the same day on which the e-binder is made available to all of the other levels of reviewers). The motion is to effect this change by making the following revisions to the Faculty Handbook (NOTE: current language is shown below together with strike-throughs of language to be removed and bold font for proposed new language to be added):

(1) SECTION THREE, IV, C. (p. 26)
Currently reads (5th sentence, last paragraph, paragraph starting with “The candidate is responsible...”):

"The portfolio will then be made available to the subcollege RPT committee, the chair/director, and the College RPT committee, the dean, and the University RPT committee to maximize the time that each level views the portfolio."

(2) ATTACHMENT 2, tenure track timeline, p. 98, date of September 1, under Action, last sentence currently reads:

“The subcollege RPTC, the chair/director, and the college RPTC, the dean, and the University RPTC will now have access to the electronic e-binders.”

(3) ATTACHMENT 2, non-tenure track timeline, p. 101, date of September 1, under Action, last sentence currently reads:
“The subcollege RPTC, the chair/director, and the college RPTC, the dean, and the University RPTC will now have access to the electronic e-binders.”

Portfolio forwarding statement – occurs in two places in timelines:

(4) ATTACHMENT 2, tenure track timeline, p. 99, date of January 1, under Action:

“Dean submits 3rd year portfolios to University RPTC for University RPTC conducts substantive review IF there has been a disparity of decisions at the four prior levels.”

“Dean submits all tenure portfolios to the University RPTC for University RPTC conducts 1.) A procedural review if there has been no disparity of recommendations from the four prior levels, or, 2.) A substantive review if a disparity exists.”

(5) ATTACHMENT 2, non-tenure track timeline, p. 102, date of January 1, under Action:

“Dean submits non-tenure track portfolios to the University RPTC for University RPTC conducts substantive review IF there has been a disparity of decisions at the four prior levels before the candidate is reviewed by the Provost/VPAA.”

“Dean submits all All non-tenure track portfolios that have no disparity of recommendations from the four prior levels are made available to the Provost/VPAA.”

6. MOTION: To replace SECTION TEN, Amendment Procedures, on p. 34 of the Faculty Handbook, which currently states the following:

“Any member of the faculty may propose amendments to this document. Amendments will be written and include a statement of supporting rationale. They will be supported by a petition with signatures of at least ten members of the faculty.

The amendment will be presented to the Chair of the Faculty Assembly who, within ninety days, must place the amendment on the agenda of a University Faculty Assembly meeting. A majority vote of members present at the meeting is required to pass the amendment to the President for transmission to the Board of Trustees for approval.

Meetings of the Board of Trustees 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.”
with the following language:

“Any member of the faculty may propose amendments to this document. Amendments will be written and include a statement of supporting rationale. They will be supported by a petition with signatures of at least ten members of the faculty.

The amendment will be presented to the Chair of the Faculty Assembly who, within ninety days, must place the amendment on the agenda of a University Faculty Assembly meeting (normally no later than the last UFA meeting of the academic year preceding the academic year in which the amendment would take effect). A majority vote of members present at the meeting is required to pass the amendment to the President, or the President’s designee, for transmission (normally no later than the first day of the academic year in which the amendment would take effect) to the Board of Trustees for approval.

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

7. **MOTION:** To replace SECTION THREE, II., B., on p. 14 of the Faculty Handbook, which currently states the following:

“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. 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.”

with the following language:
“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. 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.”

[NOTE: The above-mentioned “ATTACHMENT 8” is a newly approved part of the Faculty Handbook – see approved motion below]

8. MOTION: To replace the first sentence in SECTION THREE, II., B., on p. 14 of the Faculty Handbook, which currently states the following:

“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.”

with the following:

“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)

and to approve use of the annual review forms by the faculty member and the faculty member’s supervisor to be included in a newly created ATTACHMENT 8, as shown below:

9. MOTION: To revise language in SECTION FOUR, Termination of Employment, I., on p. 27 of the Faculty Handbook as follows (NOTE: strike-throughs are proposed deletions and bolds are proposed additions):

"A faculty member who wishes to terminate employment with the University at the end of an academic year 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 letter of reappointment to the end of contract. In cases of hardship, faculty may request a waiver of this notification requirement. Such cases will be evaluated by the faculty member's dean in consultation with the Provost. If the faculty member asking for hardship consideration is a dean, the case will be evaluated by the Provost in consultation with the President."

10. MOTION: To revise language in SECTION TWO, II., Faculty Classifications Defined, H., on p. 9 of the Faculty Handbook as follows (NOTE: strike-throughs are proposed
deletions and bolds are proposed additions):

“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 service as designated by the applicable academic dean on a semester-by-semester or other occasional basis. Adjuncts may teach no more than two academic courses per semester. The dean of the respective college will determine rank and title utilizing the designations from Section Two. **Utilizing the non-tenure-track designations from Section TWO, the dean of the respective college will assign one of the following ranks: Adjunct Assistant Lecturer, Adjunct Associate Lecturer, Adjunct Senior Lecturer, Adjunct Clinical Instructor, Adjunct Assistant Clinical Professor, Adjunct Associate Clinical Professor, Adjunct Clinical 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.”

and to revise language in SECTION TWO, III., A., 2. b., on p. 10 of the Faculty Handbook as follows (NOTE: strike-throughs are proposed deletions):

“Associate Lecturer: a faculty member with an appropriate professional degree engaged in teaching and providing service. First consideration for promotion to this level ordinarily will occur during the sixth full year of service as Assistant Lecturer. **Deans may award this title to appropriately outstanding adjunct faculty.**”

and to revise language in SECTION TWO, III., A., 2. c., on p. 10 of the Faculty Handbook as follows (NOTE: strike-throughs are proposed deletions):

“Senior Lecturer: a faculty member with an appropriate professional degree engaged in teaching and providing service. First opportunity for promotion to this level ordinarily will be in the sixth full year in rank as Associate Lecturer. **Deans may award this title to appropriately outstanding adjunct faculty.**”

and to revise language in SECTION TWO, III., A., 3. c., on p. 10 of the Faculty Handbook as follows (NOTE: strike-throughs are proposed deletions):

“Associate Clinical Professor: a faculty member with a doctorate or other appropriate 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 or service as Assistant Clinical Professor. **Deans may award this title to appropriately outstanding adjunct faculty.**”

and to revise language in SECTION TWO, III., A., 3. d., on pp. 10-11 of the Faculty Handbook as follows (NOTE: strike-throughs are proposed deletions):

“Assistant Clinical Professor: a faculty member with a doctorate or other appropriate 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. **Deans may award this title to appropriately outstanding adjunct faculty.**”
“Clinical Professor: a faculty member with a doctorate or other appropriate 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. Deans may award this title to appropriately outstanding adjunct faculty.”

11. MOTION: To clarify the current role of the UFA Financial Affairs Committee in the review of new academic programs, it is proposed that the current language in the Faculty Handbook, p. 43, Appendix A UFA By-laws, F. 8. e. iii., as shown in the first paragraph below:

"In carrying out its review, the Committee will have the opportunity to examine all appropriate institutional documents, including financial projections related to student enrollment and attrition, grants and giving programs, investments policy, new program proposals, academic plans, and the appropriate institutional documents. As an advocate for the academic integrity of the University, the Committee will study the allocation of institutional resources, as these relate to the academic plan(s) of the institution. 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."

be replaced with the paragraph shown below (NOTE: bolded is proposed addition):

"In carrying out its review, the Committee will have the opportunity to examine all appropriate institutional documents, including financial projections related to student enrollment and attrition, grants and giving programs, investments policy, academic plans, and the appropriate institutional documents. The Committee will work with the Academic Affairs Committee and review budgets for new program proposals. As an advocate for the academic integrity of the University, the Committee will work with the Vice President for Fiscal Affairs to review allocations of institutional resources, as these relate to the academic plan(s) of the institution. 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."

12. MOTION: To revise the wording in the lowest box on p. 100 of the Faculty Handbook’s ATTACHMENT TWO, tenure-track timeline as follows (NOTE: bolded is proposed addition):

“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.”

13. MOTION: Where it reads “Associate Provost” on in Section D. 4. on page 91 in the Faculty Handbook, it should read “Provost.” All references to Vice President of Human Resources should be “Executive Director of Human Resources.” All references to Associate
Provost for Research should be changed to “Vice President for Research and Scholarship.” A word search of the document should be done to find all cases of these needed changes.

14. MOTION: Page 43 of the Faculty Handbook should designate the Chief Financial Officer, rather than the Chief Information Officer, as ex officio member of the UFA Financial Affairs Committee.

15. MOTION: Page 43 of the Faculty Handbook should designate the Vice President for Research and Scholarship as ex officio member of the UFA Research and Scholarship Committee.

16. MOTION: Page 92, part d. i. of the Faculty Handbook, second sentence, should be changed from:

“Each member will serve for two years, new members (one from each college) joining four continuing members each year.”

to the following:

“Each member will serve for two years, new members (one from each college) joining continuing members each year.”

17. MOTION: The following sentence should be added at the end of 9. a. on p. 44 of the Faculty Handbook:

“The Chair of the Faculty Assembly and the Chair of UFA’s FAC will work with the University RPTC to orient its members.”

18. MOTION: To clear up confusion in the Faculty Handbook regarding the presence of an UFA Chairperson in June, and to clarify the UFA Chairperson, Vice-chairperson, and Secretary’s duties when new UFA Officers are inducted, Section E. 3. on p. 38 of the Faculty Handbook should be changed as follows:

Sub-section a. should be moved to Sub-section b., and the last sentence of that moved Sub-section a. (now Sub-section b.) should be removed and replaced by the following:

“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.”

The current Sub-section b. should be re-named as Sub-section c.

The new Sub-section a. should say the following:

“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.”

We should remove the last sentence of section E. 4. on p. 38 of the Faculty Handbook, which says:

“Newly elected officers will shadow current officers for the May meeting and officially assume their positions after the June Board of Trustees meeting.”

19. MOTION: The last sentence of section E. 1. a. on p. 37 of the Faculty Handbook, which currently says the following:

“In recognition of the duties of the Chair, that person will receive compensation in the form of a 33% course release (details to be worked out with appropriate administrators) and an operations budget in the amount of at least $2000.”

should be replaced by the following:

“In recognition of the duties of the Chair, that person will receive supplemental compensation in the form of a one-course release equivalent per semester or a $6000 annual stipend, 2013-14 value to be adjusted thereafter for cost of living index (details to be determined with the Provost) and an operations budget in the amount of at least $2000.”

20. MOTION: Replace the sentence in section F. 7. c. on p. 41 of the Faculty Handbook, which says:

“A Committee Chair is expected to communicate with relevant administrator(s) or other personnel on an ongoing basis.”

with the following sentence:

“A Committee Chair is expected to communicate with relevant administrator(s), ex officio members, or other personnel on an ongoing basis.”

21. MOTION: To add the following two sentences to the end of Appendix D, Section A. on p. 90 of the Faculty Handbook:

“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.”

22. MOTION: All references in the Faculty Handbook to “Provost/VPAA” should be changed to “Provost.”
23. **MOTION:** Within Attachment 2, RPT timeline in the box for the March 15th date (page 100 and 102), insert the following sentence after the sentence “President notifies candidate, dean, and chair/director of the decision”:

“The President’s decision is ultimately sent to the Board of Trustees for their approval at their next scheduled meeting.”

24. **MOTION:** Change the last sentence of SECTION THREE, IV. B. 7. b. (p. 25) to substitute in “UFA Chair” for “Provost/VPAA and President” so that the sentence reads as follows:

“The Appeals Committee will then review the process and procedure (see Appendix D) used in the college and forward its recommendation to the UFA Chair.”

Also, on page 100, under “Continuance of timeline with respect to dispute” (second block from the bottom), eliminate the first sentence due to redundancies.

Finally, on page 100, under “Continuance of timeline with respect to dispute” (last block), add at the end, the following:

“The President’s decision will be sent to the candidate, the candidate’s dean, and the candidate’s chair/director.”
Changes approved by the BOT in November 2014  
Effective January 2015

1. **MOTION:** Change Section Two, IV. F. of the Faculty Handbook as follows:

   "Change in a faculty member’s appointment between tenure track and non-tenure track status is not allowed."

2. **MOTION:** Edit the UFA Bylaws as follows [F6 speaks to “Membership of Standing Committees and F7 speaks to “Chairs of Standing Committees”]:

   F6a: Strike the sentence, “A member of each standing committee will also be appointed to convene the first meeting in September.”

   F7 insert a. as follows and relabel the remaining 4 subsections b, c, d, and e.:

   "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.”

3. **MOTION:** The following language is to be inserted in SECTION THREE, IV. B. 7.a. right after the sentence that reads, “Its members will have served as members of the University RPT Committee in the past.”

   If a sufficient number of members is not available, members may be selected from faculty who have served at least 1 full term on a college-level RPTC.

4. **MOTION:** The following changes will be made to SECTION THREE, IV, A.1.o.

   o. The dean then receives and reviews the portfolio, including reviews by the subcollege RPT committee, chair/director, and college RPT Committee, and formulates his/her separate recommendation. The following steps then are possible:

   **Faculty on a non-tenure track classification**— If there is 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 candidate’s portfolio is then reviewed by the **Provost/VPAA**. If there is any disagreement among the four college evaluations, the University RPT Committee will conduct a substantive review of the faculty member before the candidate is reviewed by the Provost/VPAA. The University RPT Committee forwards its decision to the Provost for notification.

   **Untenured faculty member on the tenure track classification in the third year of appointment (not being reviewed for tenure)**— If there is 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
candidate's portfolio is then reviewed by the Provost/VPAA. The Provost is notified of the decision. If there is any disagreement among the four college evaluations, the University RPT Committee will conduct a substantive review of the faculty member before the candidate's portfolio is reviewed by the Provost/VPAA. The University RPT Committee forwards its decision to the Provost for notification.

Untenured faculty member on the tenure track classification in the 6th year of appointment or being reviewed for tenure early—All tenure cases will be sent to the University RPT Committee after the four-level college review. If there is agreement among the four evaluations (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 conduct a procedural review only. If there is disagreement among those four evaluations, the University RPT Committee will conduct a substantive review of the faculty member, then the candidate's portfolio will be reviewed by the Provost/VPAA and President. The University RPT Committee forwards its decision to the Provost for review.

Tenured faculty member at Associate Professor rank reviewed for Professor—All these cases will be sent to the University RPT Committee after the four-level college review. If there is agreement among the four evaluations (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 conduct a procedural review only. If there is disagreement among those four evaluations, the University RPT Committee will conduct a substantive review of the faculty member, then the candidate's portfolio will be reviewed by the Provost/VPAA and President. The University RPT Committee forwards its decision to the Provost for review.

5. **MOTION:** The following changes will be made to SECTION THREE, IV, A.1.,2 a-e, and 3 (see attached document entitled “Document to Accompany Motion 5” for full description of changes needed to remove conflicting language in the *Faculty Handbook*).

6. **MOTION:** In Attachment 2, “University Timeline for Annual Reviews and the RPT Process,” under February 1 (page 101), insert another item as noted below so that it will be clearer and candidates will be clear that they will see a letter from the University RPTC:

3. Upon providing a written summary to the Provost, the University RPTC also will include a brief letter in the candidate’s specific e-Binder indicating whether they conducted a substantive or procedural review and the results.

7. **MOTION:** The Faculty Hiring Process will be approved for inclusion in the *Faculty Handbook* as Attachment 9. It will be listed in the Table of Contents as “ATTACHMENT 9, approved by UFA in consultation with the Provost and Director of Human Resources”.

(see supporting document entitled “Document to accompany Motion 7-Faculty Hiring Policy”)

8. **MOTION:** In Attachment 2, “University Timeline for Annual Reviews and the RPT
Process,” under February 1 (page 101), insert another item as noted below so that it will be clearer and candidates will be clear that they will see a letter from the University RPTC:

3. Upon providing a written summary to the Provost, the University RPTC also will include a brief letter in the candidate’s specific e-Binder indicating whether they conducted a substantive or procedural review and the results.

9. **MOTION:** The following changes will be made to SECTION THREE, A.1.,2 a-e, and 3 (see attached document for edited changes).

(see supporting document entitled “Document to accompany Motion 9-related FH Section IV changes”)

10. **MOTION:** SECTION THREE: ANNUAL REVIEW, REAPPOINTMENT, PROMOTION, AND TENURE GUIDELINES B. Policy, item 7 (p 25 of 154)

7. [add c. as stated below]

   c. 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.

11. **MOTION:** “Dean” will be substituted in for “Provost” in SECTION FIVE, III.B. last paragraph, last line.

12. **MOTION:** E. Formal Grievance Process

1. a. [stays the same]

   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 Executive Director of Human Resources (EDHR). If the EDHR 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/VPAA, 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 comprised of two faculty members from each college. At least one of the members from a given college must be tenured. 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 Executive Director of Human Resources (or the appointed facilitator if the EDHR is a party to the grievance). All documents will be forwarded to the Faculty Grievance Committee by the EDHR (or the appointed facilitator if the EDHR 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 EDHR (or the appointed facilitator if the EDHR 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 EDHR (or the appointed facilitator if the EDHR is a party to the grievance) will serve as an advisor and facilitator of Committee process and function. Ordinarily, the EDHR (or the appointed facilitator if the EDHR is a party to the grievance) will not attend meetings of the Committee. At the Committee's discretion, however, the EDHR (or the appointed facilitator if the EDHR is a party to the grievance) may be called upon to facilitate a hearing or serve as a consultant. The EDHR (or the appointed facilitator if the EDHR 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 EDHR (or the appointed facilitator if the EDHR is a party to the grievance).

Then skip to 2 e. f, and i. with the following edits:

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.

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.

Skip to Section 3, Disposition of Committee Findings for the following edits:

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.

13. MOTION: Motion to edit Attachment 2, March 15th with each reference (2 references
“March 15 or if March 15 falls on a weekend the Friday before this date”

14. **MOTION**: Motion to edit Attachment 2 to consistently have the same date for when Deans’ letters to be completed.

On page 114 the date of December 15 should be changed to December 31 for non-tenure Deans’ letters to be completed.

15. **MOTION**: A recommendation will be sent to the Provost to create a Global Education Advisory Committee with 6 faculty members—proportionally represented across colleges in which there are study abroad experiences. The Provost will select from self-nominations.

The committee’s charge will be advisory in nature and may include to
a) work with and advise the Provost;
b) ensure academic policy is followed integral to study abroad and courses are vetted through the appropriate college’s or the university’s ACC/AAC;
c) make certain that pilot courses have been scrutinized through the appropriate department;
d) ensure faculty who are hired have the appropriate qualifications;
e) make recommendations as to how scholarships are allocated - to ensure a fair and transparent process;
f) ensure students and faculty receive an orientation – (safety issues);
g) advise the Provost on a student’s outcome assessment who have received a scholarship, e.g. Students may be asked to help with promotional activities and materials.

16. **MOTION**: The attached document entitled, “SECTION THREE IV_final version sent to UFA for approval at the May 2014 meeting” will be inserted into the Faculty Handbook to replace the current SECTION THREE, IV.

(see supporting document entitled “Document to accompany Motion 16 - Section Three, IV_final version sent to UFA for approval at the May 2014 meeting”)

17. **MOTION**: To accept the proposed language to replace section F., 8., e. in Appendix A on p. 44 of the current Faculty Handbook.

Note: This was voted on and approved by the UFA $FAC

**Proposed Faculty Handbook Language:**

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 that receives the support of the UFA.
ii. The Committee will work with the Vice President for Fiscal Affairs (VPFA) 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 VPFA or his/her designee is an ex officio non-voting member of this committee.

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 VPFA institutional resources that relate to the academic plan(s) of the institution.

(see supporting document entitled “Document supporting Motion 17 - revising charge of UFA Financial Affairs Committee” describing the procedural process)

18. **MOTION:** To accept the proposed changes:

**Faculty Handbook SECTION TWO: II. H. p9.**

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 service as designated by the applicable academic dean on a semester-by-semester or other occasional basis. *Teaching limits will be determined by the college’s faculty assemblies in collaboration with the dean.* Adjuncts may teach no more than two academic courses per semester. The dean of the respective college will determine title and rank utilizing the designations from Section Two. 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.
Changes approved by the BOT in November 2015
Effective January 2016

1. MOTION: To approve a change to Faculty Handbook SECTION TWO: II. H. p10:

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 service as designated by the applicable academic dean on a semester-by-semester or other occasional basis. Teaching limits will be determined by the a collaboration between the Dean and the college’s faculty assembly assemblies in collaboration with the dean. The dean of the respective college will determine title and rank utilizing the designations from Section Two. 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.

2. MOTION: That programs can choose “Calendar Year” or an “Academic Year” or some arbitrary deadline as such to establish the timeline for annual performance reviews of faculty.

3. MOTION: To propose change to the UNE Faculty Handbook Section Two, IV, F to read as follows –

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

4. MOTION: The UFA FAC proposes the following amendments to clarify the intention that the review process will be incremental and cumulative. Proposed deletions are indicated with strike-through, additions in bold underline

FH p2 2 sect io n “0” :
“The dean then receives and reviews the portfolio, including informed by reviews by the subcollege RPT committee, chair/director, and college RPT Committee reviews, and formulates his/her separate recommendation. The following steps then are possible: …”

FH p26 (the last part of FH Section 3):
“The candidate is responsible for final assembly of those materials listed in Attachment 1 that are designated as the candidate’s responsibility. Candidates will submit materials to the e-binder no later than September 1 by 5:00 p.m. In compiling the portfolio, the candidate may solicit documentation from the chair/director or dean (e.g., course evaluations). The dean will add items as specified in Attachment 1. The portfolio will then be made simultaneously available to the subcollege RPT committee, the chair/director, the College RPT committee, the dean, and the University RPT
committee to maximize the time that each level views the portfolio. However, each level has different timelines to forward its recommendation to the next level so that there is an incremental substantive, cumulative review in which each successive review builds upon a foundation created by all previous reviews. 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 sub-college and chairperson’s reviews. University level reviewers conduct their reviews based on broader university-level view of 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.

5. **MOTION:** Suggested language changes to SECTION TEN (AMENDMENT PROCEDURES)

Current language:

*Any member of the faculty may propose amendments to this document. Amendments will be written and include a statement of supporting rationale. They will be supported by a petition with signatures of at least ten members of the faculty.*

*The amendment will be presented to the Chair of the Faculty Assembly who, within ninety days, must place the amendment on the agenda of a University Faculty Assembly meeting (normally no later than the last UFA meeting of the academic year preceding the academic year in which the amendment would take effect). A majority vote of members present at the meeting is required to pass the amendment to the President, or the President’s designee, for transmission (normally no later than the first day of the academic year in which the amendment would take effect) to the Board of Trustees for approval.*

Proposed language (new language in **bold underline**):

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

The amendment will be presented to the Chair of UFA who, within ninety days must place the amendment on the agenda of an UFA meeting. In order for the proposal to go into effect for the following year, the proposal must be on the UFA agenda no later than the September meeting. (normally no later than the last UFA meeting of the academic year preceding the academic year in which the amendment would take effect). A majority vote of members present at the meeting is required to pass the amendment to the President, or the President’s designee, for transmission (normally no later than the first day of the academic year in which the amendment would take effect) to the Board of Trustees for approval.
1. MOTION: Suggested language changes to Appendix A. F. 8. C. p42.

c. Faculty Affairs Committee

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

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

2. MOTION: Motion to remove language throughout the Faculty Handbook of any reference to the College of Graduate Studies (CGS). For example, in Appendix A (section A.1.b.) and in Appendix C CGS RPT Standards (and reference in table of contents).

APPENDIX A
UFA Bylaws

A. Membership
   1. Composition
      a. The Faculty Assembly consists of 35 members elected from the full-time faculty.
      b. The Faculty Assembly includes four Senators from each College and one professional librarian. The College of Graduate Studies will not have membership in UFA.

APPENDIX C
College RPT Standards

**COLLEGE OF GRADUATE STUDIES**
**REAPPOINTMENT, PROMOTION AND TENURE POLICIES AND PROCEDURES**
3. **MOTION:** Initial faculty appointments in a tenure track position (independent of rank), have up to six years to apply for tenure.

Section Two: The Nature of Faculty Appointments and Academic Ranks and Classifications
IV. Faculty Appointments
D. (p. 13, second paragraph)
Faculty hired to tenure track positions at the rank of Associate Professor will be considered for tenure no later than the third sixth year.

Section Three: Annual Review, Reappointment, Promotion, and Tenure Guidelines
II. Schedules for Annual Review, Reappointment, Promotion, and Tenure
E. (p. 14, first paragraph)
Consideration for tenure typically occurs in the 6th year following the date of hire at the Assistant Professor level or no later than the 3rd sixth year if hired at the Associate or Full Professor rank. Procedures for early consideration will be defined by the individual colleges.

4. **MOTION:**
*Current version: (changes indicated in bold)*

Section Three IV.K.6.a
The *ad hoc* Appeals Committee will be a special committee of the Faculty Affairs Committee of UFA. Its members will have served as members of the University RPT Committee in the past. If a sufficient number of members is not available, members may be selected from faculty who have served at least 1 full term on a college-level RPTC. Members of the committee will be appointed by the chair of the Faculty Affairs Committee or the UFA chair if the FAC chair has been involved in the process. 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.

5. **MOTION:**
*Current version*

Section Two, II
**Title:** Criteria and Procedures for Emeriti

*Current version*

Section Two, II

E. Emeriti: Faculty with academic rank who have retired after at least 10 years of outstanding service to UNE are eligible to be nominated for emeritus status. Although nominations ordinarily will come from the retiree's department, anyone employed by the University may recommend such an appointment to the Provost. If the Provost supports the recommendation, it will be forwarded to the President for approval. If approved by the President, it will be forwarded to the Board of Trustees for action.
Section Two, II

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

Current version  (added text in bold)
Section Two, III Academic Ranks

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

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

6. **MOTION**: Section Two: The Nature of Faculty Appointments and Academic Ranks and Classifications

IV. Faculty Appointments (p. 13)

**Current version:**
E. Terms and conditions of every appointment to the faculty member will be stated in writing (including status as either tenure track or non-tenure lecturer track, non-tenure clinical track, or non-tenure research track, and full-time, half-time, visiting, or adjunct), and a copy of the appointment document will be supplied to the faculty member who will sign and return the document within ten days to indicate understanding and agreement.

**Proposed changes (in bold and strike out):**
E. Terms and conditions of every **new faculty** appointment, **whether a new hire to the University or a transfer from another Department, Program or College**, faculty member will be stated in writing (including status as either tenure track, or non-tenure lecturer 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.**

ATTACHMENT 9: Faculty Hiring Process
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 be provided by the institution. At the time employment begins, a formal Letter of Hire must be provided to the new faculty member.

7. **MOTION:** To revise the fourth paragraph of SECTION TEN: AMENDMENT PROCEDURES (p. 35 of the Handbook), which currently is as follows:

   “Amendments ratified by the Board of Trustees before 5 pm November 30 of a given academic year will be compiled and published by the Office of the Provost, normally no later than January 1 of that academic year and become effective at that time. Any amendments ratified by the Board of Trustees after 5pm November 30 will be compiled and published by the Office of the Provost on January 1 of the following academic 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.”

8. **MOTION:** Starting the next academic year (June 2016-May 2017), three full time members of the College of Graduate and Professional Studies are invited to serve as *ex officio* (non-voting) members on UFA Faculty Affairs Committee and Academic Affairs Committee, and other committees agreed upon with the UFA Chair. These invitations are intended as a mechanism of transition toward establishing faculty governance protocols and procedures, and progressing toward full representation in UFA. This invitation will terminate in May 2017.
Changes Approved by the BOT in November 2017
Effective January 2018

1. **Title**: RPT Review and Administrator Duties – Motion a

**MOTION**: Add the following text to p16. Section Three. III

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.

2. **Title**: RPT Review and Administrator Duties – Motion b

**MOTION**: Make the following changes to...p.16 Section Three: 3, A

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 on tenure track and non-tenure track faculty 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, and 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.

... and p. 26: 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.

3. **Title**: Definition of supervisor and inclusion of college review committees

**MOTION**: (p.30) A. Second paragraph: “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, the Provost, and, where applicable, by college committees.
4. **Title:** “ad hoc”

**MOTION:** replace with “ad hoc” in these instances…

P17, twice in second paragraph from bottom
P28, in paragraph “6”
P28, in paragraph “6a”
P29 in paragraph “b”

5. **Title:** Motion batch process: “full professor”

**MOTION:** delete the word “full” in these instances…

P14, third line from bottom
P17, top line
P19, lines 6,7,11
P22, #11 line 2

**MOTION:** FAC’s proposed changes to the Table 1b legend is below.

<table>
<thead>
<tr>
<th>Step</th>
<th>Review body</th>
<th>Review outcomes for each college review level</th>
<th>College cumulative review outcomes</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Sub-College Committee</td>
<td>Positive or Negative Majority</td>
<td>1. Positive at each level</td>
</tr>
<tr>
<td>2</td>
<td>Chair/Director</td>
<td>Positive or Negative</td>
<td>2. Negative at any level</td>
</tr>
<tr>
<td>3</td>
<td>College Committee</td>
<td>Positive or Negative Majority</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Dean</td>
<td>Positive or Negative</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>URPTC</td>
<td>Positive or Negative Majority</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Provost</td>
<td>Positive or Negative</td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>President</td>
<td>Positive or Negative</td>
<td></td>
</tr>
</tbody>
</table>

**University Level**

<table>
<thead>
<tr>
<th>Step</th>
<th>Review body</th>
<th>Review outcomes for each college review level</th>
<th>College cumulative review outcomes</th>
</tr>
</thead>
<tbody>
<tr>
<td>5</td>
<td>URPTC</td>
<td>Positive or Negative Majority</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Provost</td>
<td>Positive or Negative</td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>President</td>
<td>Positive or Negative</td>
<td></td>
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**Type of Review**

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<th>Non-Tenure Track – All Reviews</th>
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<th>Steps 1,2,3,4,5,6</th>
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</thead>
<tbody>
<tr>
<td>Tenure Track – Year 3 Reappointment</td>
<td>Steps 1,2,3,4,6*</td>
<td>Steps 1,2,3,4,5,6</td>
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<tr>
<td>Tenure Track – Promotion to Associate Professor, Tenure, and Promotion to Professor</td>
<td>Steps 1,2,3,4,5,6,7</td>
<td>Steps 1,2,3,4,5,6,7</td>
</tr>
</tbody>
</table>

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

*Notification

^Procedural Review only

All numbers without a superscript connote substantive review.

*Notification

^Procedural Review only
6. **Title:** Who determines the Appeals Committee?

**MOTION:** Implementation Part 1 – change to the FH body:

2017 FH, Section 3, IV, K6 a (p28-29) says:
“a. The ad hoc Appeals Committee will be a special committee of the Faculty Affairs Committee of UFA. Its members will have served as members of the University RPT Committee in the past. If a sufficient number of members is not available, members may be selected from faculty who have served at least 1 full term on a college-level RPTC. Members of the committee will be appointed by the chair of the Faculty Affairs Committee or the UFA chair if the FAC chair has been involved in the process. 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.

Implementation Part 2 – change to the timeline:

2017 FH, Attachment 2, tenure track timeline:
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, with the advice of the Chair of UFA Faculty Affairs Committee, 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.

7. **Title:** Staffing Appeals Committee

**MOTION:** Changes proposed to body of FH, none necessary in attachment timeline.

2017 FH, Section 3, IV, K6 a (p28-29) says:

(all changes):

a. The ad hoc Appeals Committee will be a special committee of the Faculty Affairs Committee of UFA. Its members will have served as members of the University RPT Committee in the past. If a sufficient number of members is not available, members may be selected from faculty who
have served at least 1 full term on a college level RPTC. 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.

8. **Title:** Appeals Committee report

**MOTION:** Implementation Part 1, changes to FH body...

2017 FH, Section 3, IV, K6 a (p28) says:

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

...and further down the page...

b. Faculty who have received a unanimously negative set of recommendations at the college level (from the subcollege RPT committee, the chair/director, college RPT Committee, and dean) may appeal to the *ad hoc* Appeals Committee of UFA. The Appeals Committee will then review the process and procedure (see Appendix D) used in the college and forward its recommendation to the UFA Chair, Provost and President.

**Implementation Part 2: changes to the Attachment timeline...**

| Committee deliberation forwarded to the Chair of UFA, the Provost and the President. |
| 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 will have 10 working days to develop its recommendation.

The Committee will submit its recommendation to the Chair of the University Faculty Assembly, the Provost and the President.

9. **Title:** Clarifying language regarding 6-year review cycle.

**MOTION:** SECTION THREE, II.C. (p. 14):

Faculty on a non-tenure track classification who are at the Assistant level (whether full-time or half-time) will participate in a college-level review every three years until promotion to the associate level. This review will include the subcollege RPT committee, chair/director, college RPT committee, college dean, and Provost. Once the Associate Professor, Associate Lecturer, Associate Clinical Professor, or Associate Research Professor level has been achieved, this review will occur every six years and whenever a promotion is being sought even after being promoted to the highest level in that classification.

10. **Title:** Clarifying annual review process

**MOTION:** SECTION THREE, IV.K.2. (p. 26):

In order to provide all faculty with appropriate, timely, and transparent feedback, there will be an annual review at the college level for each faculty member, signed by the faculty member, chair/director, and the dean.

**SECTION THREE, IV.K.3. (p. 26):**

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).

11. **Title:** Clarifying the timeline of appointments and the review cycle (The Full Year Problem)

**MOTION:** Items are listed according to the order in the Faculty Handbook.

SECTION TWO, II.I. (p. 10):

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

SECTION TWO, III.A.4.b. (p. 12):

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 years six full years at the rank of Assistant Research Professor (or an equivalent period as a full-time researcher).

SECTION TWO, III.A.4.c. (p. 12):

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 years six full years as Associate Research Professor (or an equivalent period as a senior, full-time researcher).

SECTION TWO, IV.A. (p. 13): (New language is in bold)

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, faculty appointments are for three years three full years, except for faculty who have been granted tenure, faculty with a non-tenure track appointment, or those with terminal, visiting, or adjunct appointments.

SECTION TWO, IV.D. (p. 13):

Faculty hired to tenure track positions at the rank of Associate Professor will be considered for tenure no later than the sixth full year.
SECTION THREE, II.D. (p. 14):

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 year of appointment.

SECTION THREE, II.E. (p. 14-15):

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 Full Professor rank. Procedures for early consideration will be defined by the individual colleges.

SECTION THREE, IV.K.4. (p. 26):

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.

SECTION FOUR, II.A.2. (p. 28):

Beginning in the third year of regular full-time employment at the University, a faculty member will be provided with at least twelve months notice of termination except in circumstances where termination is for cause or where the faculty is otherwise unavailable. Regular half-time faculty will, in this situation, receive at least 6 months notice of termination except in circumstances where termination is for cause or where the faculty is otherwise unavailable.

SECTION FIVE, III.B., first paragraph (p. 31):

All regular full-time faculty are eligible for sabbatical leave for each six full years of service to the University. 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. Should a faculty member apply for tenure (or reappointment, if a member of the clinical faculty) and sabbatical concurrently, final approval for sabbatical will be contingent upon the awarding of tenure (or reappointment). 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).

SECTION FIVE, III.B., third paragraph (p. 31):

Faculty will not be allowed to accumulate sabbatical leave and, for example, take one year at full salary after twelve years of service. The University will provide an opportunity for faculty to take sabbatical leave after every sixth year sixth full year of service. It is the responsibility of the faculty member to make appropriate use of these opportunities as they arise. The minimum interval between successive sabbatical leaves will be six years six full years, unless negotiated with the Dean due to service requested on behalf of the University that causes deferral of sabbatical.

APPENDIX C, COLLEGE OF DENTAL MEDICINE REAPPOINTMENT, PROMOTION AND TENURE POLICIES AND PROCEDURES, VI.B.2., (p. 103):

Promotion of part-time faculty will not be considered until the faculty member has been employed at the College of Dental Medicine at least four years four full years. Beyond this minimum employment requirement, promotion is based on the established criteria. The part-time faculty member must hold each academic rank for a minimum of six years six full years prior to being promoted.

12. Title: Non-tenure language regarding length of initial appointment and subsequent review, Part 2.

MOTION ONE: To change the following language.

SECTION TWO, IV.A. (p. 13):

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, faculty with a non-tenure track appointment, or those with terminal, visiting, or adjunct appointments.

MOTION TWO: To change the following language.

BEFORE:

SECTION THREE, II.A. (p. 14):
A. Initial appointments to regular full and regular half-time faculty positions will not exceed
three years.

AFTER: 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. Initial appointments to regular full and regular half-time faculty positions will not exceed three full years. All non-tenure track faculty namely, Assistant Lecturers, Assistant Clinical Professors, Assistant Research Professors, Associate Lecturers, Associate Clinical Professors, Associate Research Professors, Senior Lecturers, 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.
1. **Title:** Clarify definitions of Appointments and Contracts

**MOTION:** We propose to provide definitions of the terms and then more detail on Contracts, by adding (italics) the following two text segments to Section Two, IV (currently p.14).

**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.

**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 2 c.
2. **Title:** Remove two paragraphs in Section Three that describe termination procedures.

**MOTION:** Delete (strikethrough) from Section Three, II, F.

> F. Except for circumstances primarily involving financial exigency, discontinuance of a program, availability to meet faculty responsibilities, or cause, regular full—and regular half-time, untenured faculty ordinarily may be terminated only consequent to the third year appointment review. However, in the case of perceived extraordinary academic deficiencies, a department or other program leader and the respective academic dean may call for a first full and formal reappointment review of a faculty member in his/her second year with UNE. The faculty member must be notified by March 15 of his/her first year; protocols and other timelines will be identical to ordinary third-year appointment reviews. If such a 2nd-year review leads to reappointment, the faculty member will re-enter the normal review cycle, including the intensive third-year reappointment review.

And further down, under Adjunct Faculty...delete this paragraph.

Termination of Adjunct Faculty—Adjunct faculty who wish to terminate employment with the University at the end of a contract period are encouraged to provide written notice to the appropriate supervisor at least one month prior to the end of the contract. In cases of hardship, such faculty may request a waiver of this notification requirement.

3. **MOTION:** We propose to provide definitions of the terms and then more detail on Contracts, by adding (italics) the following two text segments to Section Two, IV (currently p.14).

**IV. Appointments and Primary Faculty Contracts**

Adjunct faculty members, see section Two, II H and Three II G.

**B. 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 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.

And a little further down, we suggest the following statement about Contracts, and confirming that the first two years of faculty appointments are probationary. This is already the FH policy, but this statement makes it clearer. In our proposed changes to Section Four, we include a procedure, timeline and process for faculty review of such early non-renewal cases, see below.

C. Primary Faculty Contracts

4. Each annual primary faculty contract will include specific salary and appointment information for the contract year.

5. Each of the first two one-year primary faculty contracts for any new faculty member will be probationary.

6. 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 2 c.

4. Title: Remove two paragraphs in Section Three that describe termination procedures.

MOTION: Delete (strikethrough) from Section Three, II, F.

F. Except for circumstances primarily involving financial exigency, discontinuance of a program, availability to meet faculty responsibilities, or cause, regular full- and regular half-time, untenured faculty ordinarily may be terminated only consequent to the third year appointment review. However, in the case of perceived extraordinary academic deficiencies, a department or other program leader and the respective academic dean may call for a first full and formal reappointment review of a faculty member in his/her second year with UNE. The faculty member must be notified by March 15 of his/her first year; protocols and other timelines will be identical to ordinary third-year appointment reviews. If such a 2nd year review leads to reappointment, the faculty member will re-enter the normal review cycle, including the intensive third-year reappointment review.

And further down, under Adjunct Faculty…delete this paragraph.

Termination of Adjunct Faculty—Adjunct faculty who wish to terminate employment with the University at the end of a contract period are encouraged to provide written notice to the appropriate supervisor at least one month prior to the end of the contract. In cases of hardship, such faculty may request a waiver of this notification requirement.
5. **Title:** Clarify a sentence in Section Three, III, A

**MOTION:** Replace the sentence as indicated

First consideration for promotion to Professor typically occurs in the 6th year following promotion to Associate Professor. First consideration for promotion to Professor will not normally be entertained until the 6th full year following promotion to Associate Professor.

6. **Title:** Extensive Clarification of Termination language in Section Four.

**Motion:** Deleted text indicated in strikethrough. Inserted text indicated by *italics*.

**SECTION FOUR:**

**TERMINATION OF EMPLOYMENT 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 a 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 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 to terminate an academic year 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 letter of reappointment. In cases of hardship, faculty may request a waiver of this notification requirement. Such cases will be evaluated by the faculty member’s dean in consultation with the Provost. 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**

Except for circumstances described above in SECTION THREE, II, F, regular full- and regular half-time, non-tenured faculty may be terminated only following a negative judgment issuing from a full and formal reappointment evaluation, not during the interval between formal reviews.

*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.

**Section for Non-tenured Faculty**

**A. Standards for Notice Procedure and Timeline: Non-tenured Faculty Members**

1. First year or second-year faculty will be notified no later than March 15 if they are not to receive a contract for the following year.

Beginning in the third full year of regular full-time employment at the University, a faculty member will be provided with at least twelve months notification of termination except in circumstances where termination is for cause or where the faculty is otherwise unavailable.

1. Regular half-time faculty will, in this situation, receive at least 6 months notice of termination except in circumstances where termination is for cause or where the faculty is otherwise unavailable.

2. In lieu of such notice of termination, the faculty member will continue to receive her/his salary for the appropriate period beyond the termination date if termination is due to: 1) the elimination or curtailment of a program or 2) decision of the University
not to grant tenure at the end of the probationary period. This provision will not pertain in a bona fide case of financial exigency. In that event, AAUP guidelines will be followed. Additionally, salary will not be provided to those gainfully employed at another institution at a similar level of remuneration.

3. At the request of the faculty member, the chair/director will provide a written statement in consultation with the Executive Director of Human Resources explaining the reasons for dismissal. This statement becomes a permanent part of the faculty member's file.

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.

HERE WE ARE PROPOSING TO ADD A PROCEDURE, TIMELINE, AND PROVISION FOR FACULTY INPUT FOR NON-RENEWAL OF CONTRACTS DURING PROBATIONARY PERIOD

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**

<table>
<thead>
<tr>
<th>Action</th>
<th>Date</th>
<th>Responsibility</th>
</tr>
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<tbody>
<tr>
<td>Convene faculty panel</td>
<td>March 1</td>
<td>Dean</td>
</tr>
<tr>
<td>Faculty panel and Dean present</td>
<td>March 15</td>
<td>Faculty panel and Dean</td>
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<tr>
<td>separate recommendations to Provost</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Provost notifies Dean and faculty</td>
<td>March 20</td>
<td>Provost</td>
</tr>
</tbody>
</table>
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.

HERE WE PROPOSE A SECTION PROVIDING GUIDANCE IN THE CASE OF PROGRAM CURTAILMENT OR ELIMINATION, INCLUDING REDUCTION IN FORCE SITUATIONS

4. Non-tenure track faculty members may be non-renewed due to elimination or curtailment of a program; i.e., a major, field, or disciplinary area (whether broadly defined, such as a department, or narrowly defined, such as a University requirement).

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

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

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

a. First, reasonable efforts at relocation will be based on a faculty member’s ability to contribute appropriately in a new unit (e.g. to teach within that curriculum or based on other skill set matching).

b. Second, should the university need to reduce workforce, prioritization for retention of individuals will occur based on seniority and rank, as follows: Rank 1) Full-tenured, 2) Associate-tenured, 3) All other regular faculty, considering years at rank within rank, and years at UNE.
c. In a bona fide case of financial exigency, AAUP guidelines will be followed. Additionally, salary will not be provided to those gainfully employed at another institution at a similar level of remuneration.

d. The faculty member’s supervisor (Chair/Director/Dean/Provost) will develop a written statement in consultation with the Executive Director of Human Resources explaining the reasons for termination or non-renewal. This statement will be provided to the faculty member and becomes a permanent part of the faculty member's file.

Section for Tenured Faculty: small differences from Untenured Faculty section exist, for example, there is no probationary period for those with tenure.

B. Standards for Notice 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.

2. Non-Renewal of a Contract

   Tenured faculty member’s contract may be terminated 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).

   a. 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.

   b. 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.

   c. 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:

      i. 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).

      ii. 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.
d. 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.

e. The faculty member’s supervisor (Chair/Director/Dean/Provost) will develop a written statement in consultation with the Executive Director of Human Resources explaining the reasons for termination or non-renewal. This statement will be provided to the faculty member and becomes a permanent part of the faculty member’s file.

f. Tenured faculty members may be terminated in cases of prolonged disability subject to applicable law: see Personnel Handbook.

c. In the case of tenured faculty, at least one year’s notice will be given. At the time of termination of tenured faculty, because of elimination or curtailment of a program, the University will make a reasonable effort to locate appropriate alternate or equivalent employment within the University for such faculty.

d. Tenured faculty should receive preference over non-tenured members in any termination or reassignment decision.

1. Tenured faculty may be terminated in cases of prolonged disability subject to applicable law: see Personnel Handbook.

2. Termination for cause, including proven or admitted violations of ethical, moral or professional standards may be immediate. Alleged violations should be investigated as soon as possible.

7. **Title:** Insert reference to description of University RPT Committee found in Bylaws.

**MOTION:** Insert a reference to the URPTC description, found in the Bylaws (Appendix A) as follows… At Section Three. IV. B, after 2, insert:

“For a description of the University RPT committee, see Appendix A, section F, item 9a”

8. **Title:** Amend description of University Mini-Grant eligibility.

**Motion:** Make the following amendments to FH’18 Section six (p35)

Internal mini-grant research and scholarship awards are available on a competitive basis through the office of the Vice President, Associate Provost for Research and Scholarship and are open to all faculty 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.
1. **Title:** Change the amendment and publication cycle of the UNE Faculty Handbook from November BoT review to March and change publication from January to June

**MOTION:** To change the amendment and publication cycle of the UNE Faculty Handbook from November BoT Review and January publication to March BoT Review and June publication. (Section 10).

“Meetings of the Board of Trustees (normally no later than 5 pm March 31 November 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 March 31 November 30 of a given academic year will be compiled and published by the Office of the Provost, normally no later than June 1 January 1 of that academic year and become effective at that time. Any amendments ratified by the Board of Trustees after 5 pm March 31 November 30 will be compiled and published by the Office of the Provost on June 1 January 1 of the following academic 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 detailing that version’s amendments.”
Changes Approved by the Board of Trustees March 2020  
Effective June 2020

For specific Faculty Handbook language changes, *italics* represents new language and **STRIKEOUT** represents deleted language.

1. **Title:** Specification of, and reference to, sub-college RP/RPT criteria

**MOTION:** The proposed amendment is to add the sentence in **bold, green**. Section Three, IV, D. 2. p. 23.

In the document prepared by the sub-college RPT committee the strengths and weaknesses of the candidate will be described in the majority recommendation and the minority opinion, if there is one. Each individual document will include notation of the official vote taken by the committee. **The sub-college RPT committee’s document will specify the criteria used in its review. Sub-college criteria can be found on the Provost website.** The sub-college RPT committee will enter its review and recommendation into the candidate’s portfolio.

2. **Title:** RPT committees at each level should document the committees vote/differences of opinion

**MOTION:** The proposed amendment is to add the sentence in **bold, green**. Section Three, IV, H. p. 26-7.

**H. Procedures of the University RPT Committee**

1. The University RPT Committee, once the college level procedures are completed, will be required to either conduct no review, a procedural review, or a separate substantive review. A procedural review requires assurances that appropriate procedures were followed as outlined in this Faculty Handbook. A substantive review requires a comprehensive review of the content of the candidate’s portfolio and includes a procedural review.

**2. In the document prepared by the University RPT Committee, the strengths and weaknesses of the candidate will be described in the majority recommendation and in a minority opinion, if there is one, and will include notation of the official vote taken by the committee.**

3. **Title:** Change Faculty Handbook publication from January 1 to June 1 each year

**MOTION:** The UFA Faculty Affairs Committee moves to change the amendment and publication cycle of the UNE Faculty Handbook from November BoT review and January publication to March BoT review and June publication.
Meetings of the Board of Trustees (normally no later than 5pm March 31 November 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 March 31 November 30 of a given academic year will be compiled and published by the Office of the Provost, normally no later than June 1 January 1 of that academic year and become effective at that time. Any amendments ratified by the Board of Trustees after 5pm March 31 November 30 will be compiled and published by the Office of the Provost on June 1 January 1 of the following academic 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 detailing that version’s amendments.

4. **Title:** Changing the non-tenure track Lecturer title to non-tenure track Teaching Professor

**MOTION:** Deleted text indicated in strikethrough. Inserted text indicated by italics.

**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. **Anyone at the rank of** assistant professor, associate professor, professor, assistant lecturer, associate lecturer, senior lecturer, 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 ranks include both tenure track and non-tenure track positions.
II. Faculty Classifications Defined

A. Tenure Track: an assistant professor, associate professor, or professor, a faculty member at any rank, as defined in SECTION TWO, I, A, 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 Lecturer Teaching Track: a faculty member at any rank, as defined in SECTION TWO, I, A, 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 sub-college and college RPT committees. Scholarship in the Teaching Track will not ordinarily exceed 20%. Non-tenure track faculty are not expected to have responsibilities in scholarship, but they are expected to provide service to the University, and when appropriate, external communities. Lecturers 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. scholarship (except that scholarship is not expected for faculty with non-tenure lecturer or non-tenure clinical track appointments), and service.
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. When (and only when) a teaching need cannot be met using a regular full-time tenure-track (preferred) or a customary regular half-time position, a regular half-time position dedicated primarily to teaching may be filled. Service will be required but at a reduced level, apportioned as specified by contract with the respective academic dean.

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 Lecturer, Adjunct Associate Teaching Professor Lecturer, Adjunct Teaching Professor Senior Lecturer, Adjunct Clinical Instructor, Adjunct Assistant Clinical Professor, Adjunct Associate Clinical Professor, Adjunct Clinical Professor, Adjunct Assistant Research Professor, Adjunct Associate Research 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 lecturer 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 equivalent terminal 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 terminal appropriate graduate or-professional degree appointed without tenure.
   b. Associate Professor: a faculty member with a doctorate or other terminal-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 terminal-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 Lecture Track
a. **Assistant Lecturer**: a faculty member with an appropriate professional degree engaged in teaching and providing service.

b. **Associate Lecturer**: a faculty member with an appropriate professional degree engaged in teaching and providing service. First consideration for promotion to this level ordinarily will occur during the sixth full year of service as Assistant Lecturer.

c. **Senior Lecturer**: a faculty member with an appropriate professional degree engaged in teaching and providing service. First opportunity for promotion to this level ordinarily will be in the sixth full year in rank as Associate Lecturer.

2. Non-Tenure Teaching Track

a. **Assistant Teaching Professor**: a faculty member with an appropriate graduate or-professional degree engaged in teaching and providing 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 at the rank of Associate Research Professor (or an equivalent period as a senior, full-time researcher).

5. Emeriti

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

   Privileges

   Emeriti will be awarded the following:

   a. e-mail address will be maintained, access to UNE stationary and mailing, and limited staff support for UNE-related business (subject to availability);

   b. invitations to social and ceremonial functions of the University;

   c. UNE identification card, guaranteeing free access to UNE libraries and recreational facilities;

   d. faculty/staff parking sticker, free of charge;

   e. inclusion wherever names of UNE faculty members appear (e.g., UNE telephone listing and college catalogs).

   Procedures

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

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

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

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

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

A. Definitions:

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

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

B. Faculty Appointments

1. University-salaried faculty appointments are made by the President upon recommendation of the Provost, who will act upon recommendation of the respective academic dean(s) and academic unit(s) (college, school, or department). Ordinarily, initial faculty appointments are for three full years, except for faculty who have been granted tenure, or those with terminal, visiting, or adjunct appointments.

2. Recommendations and appointments will comply with applicable equal opportunity and affirmative action laws and policies.

3. At the time of initial appointment, faculty will receive a copy of this handbook and will be advised in writing to review all substantive
standards and procedures employed in decisions affecting reappointment, promotion, and tenure (SECTION THREE).

4. The academic rank conferred at the time of initial appointment may be considered in the context of the level of any of the following: professional education, rank achieved at a preceding institution, teaching experience and proficiency, scholarship, and distinction, as specified under SECTION TWO, III. The academic dean of the college doing the hiring in consultation with the Provost will assure consistency with standards and guidelines in this handbook regarding when a new faculty member will first be eligible for promotion and tenure. Faculty hired to tenure track positions at the rank of Associate Professor will be considered for tenure no later than the sixth full year.

a. For the awarding of tenure on initial appointment at the rank of Associate or Professor, the department/division/program chair or director (hereafter, in this document, this role will be referenced “chair/director”) recommends to the dean of the relevant college and, if in agreement, [the dean] will submit in writing a rationale for providing Tenure, and any relevant supporting documentation to the University RPTC for substantive review. The University RPTC will submit a recommendation within 10 business days to the Provost for review and then to the President. If the Provost and President support the awarding of tenure, the President will recommend approval to the Board of Trustees. In that case, letters of appointment will use the language “subject to approval by the Board of Trustees” if the Board has not met and acted when the appointment must be made.

5. Terms and conditions of every new faculty appointment, whether a new hire to the University or a transfer from another Department, Program or College, will be stated in writing (including status as either tenure track or non-tenure lecturer track, non-tenure teaching track, non-tenure clinical track, or non-tenure research track, and full-time, half-time, visiting, or adjunct), and a copy of the Letter of Hire will be supplied to the faculty member who will sign and return the document within ten days to indicate understanding and agreement. The Letter of Hire will be generated by the Dean of each College prior to new faculty appointments, and differs from the annual employment contract generated by the Dean of each College in collaboration with Human Resources. It is the responsibility of each faculty member to include the Letter of Hire in his or her Reappointment, Promotion and Tenure package.

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

C. Primary Faculty Contracts

1. Each annual primary faculty contract will include specific salary and appointment information for the contract year.

2. Each of the first two one-year primary faculty contracts for any new faculty member will be probationary.

3. Following the initial probationary years, the Dean of the College will recommend to the Provost whether the faculty member should have the primary faculty contract renewed. Notification of renewal or non-renewal of faculty members’ primary faculty contract will be made by Deans by March 20. For details regarding the non-renewal timeline, see SECTION FOUR, II, A, 2c.

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

I. Definition of Tenure

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

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

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

A. Ordinarily, initial regular full-time or regular half-time faculty appointments are for three full years, except for faculty who have been granted tenure, or those with terminal, visiting, or adjunct appointments. All non-tenure track faculty namely, Assistant Teaching Professors, Assistant Clinical Professors, Assistant Research Professors, Associate Teaching Professors, Associate Clinical Professors, Associate Research Professors, Teaching Professors, Senior Lecturers, Clinical Professors and Research Professors will undergo a college level review in the next review cycle following the completion of two full years from the faculty member’s date of hire.

B. Each full-time and half-time faculty member will participate in an annual evaluation of his/her performance to be conducted by chair/director with review of the evaluation by the dean. (see annual review forms in ATTACHMENT 8). The faculty member, the chair/director, and the dean will each sign this annual review. Each year’s review should be
included in the faculty member’s RPT portfolio. In the case of faculty members who have joint appointments at the level of 20% effort or higher, the chair/director from the primary college will seek input from a secondary college chair/director for feedback to be included in the annual review. Annual Review of Chairs/Directors will be conducted by their Deans using the faculty Annual Review Forms located in ATTACHMENT 8.

C. **Faculty on a non-tenure track classification who are at the Assistant level** (whether full-time or half-time) will participate in a college-level review every three years until promotion to the associate level. This college-level review will include the subcollege RPT committee, chair/director, college RPT committee, college dean, and Provost. Once the Associate Lecturer, Teaching Professor, Associate Clinical Professor, or Associate Research Professor level has been achieved, this review will occur every six years and whenever a promotion is being sought, even after being promoted to the highest level in that classification.

D. **Every regular untenured faculty member on the tenure track** will undergo an intensive review and evaluation by the subcollege RPT committee, chair/director, college RPT committee, college dean, and Provost in the third full year of appointment.

E. Consideration for tenure typically occurs in the sixth full year following the date of hire at the Assistant Professor level or no later than the sixth full year if hired at the Associate or Professor rank. Procedures for early consideration will be defined by the individual colleges.

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

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

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

G. Adjunct faculty—evaluation

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

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

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

III. Evaluation Criteria for Reappointment, Promotion, and Tenure

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

A. University-level criteria for promotion to Associate Professor with tenure: The University requires that all candidates for promotion to the rank of Associate Professor with tenure demonstrate evidence of excellence in teaching, scholarship, and service. On the rare occasion that a candidate seeking tenure has already achieved the rank of Associate Professor, the candidate will be evaluated against standards appropriate to the tenure review.

1. Teaching: evidence through multiple data sets of successful teaching as defined by the college.

2. Scholarship: evidence of a creative program of independent inquiry constituting a credible body of work that is peer-reviewed and disseminated.

3. Service: evidence of continuing engagement and investment in meaningful professional service to students, the institution, and/or significant professional and/or civic organizations, as defined by the college.

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

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

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

Further down in Section III, on p23

College-level policies and procedures will dictate the composition of the college RPT committee; however, the committee should whenever possible be composed of members from all classifications of the candidates being reviewed (tenure track, non-tenure track teaching professor, lecturer, non-tenure clinical professor, non-tenure research professor). When the college does not have a sufficient number of faculty to constitute an RPT Committee, the college will request the appointment of faculty from compatible academic programs in other colleges. Appointment terms for members of the college RPT Committees should be staggered.
For a description

Further down in Section III, p24.

1. The dean will review the portfolio, informed by the subcollege RPT committee, chair/director, and the college RPT Committee reviews, formulate his/her separate review and recommendation, and enter it into the candidate’s portfolio. The dean is responsible for assuring appropriate subsequent action. The following are possible:

a. Faculty member on the non-tenure track classification standing for third year reappointment review or sixth year reappointment and/or promotion review and subsequent reappointment or promotion reviews at sixth-year intervals (e.g., 12, 18, etc.) including promotion to Teaching Professor Senior Lecturer, Clinical Professor, or Research Professor.

Further down in Section III, p26

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 Senior Lecturer, Clinical Professor, or Research Professor.

Further down in Section III, table on page 27:

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 Senior Lecturer, Clinical Professor, or Research Professor.

5. **Title:** Policy on RPT portfolio missing items

**Motion:** Deleted text indicated in strikethrough. Inserted text indicated by *italics*. Section Three, IV, D. 1. p. 23.

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. While the candidate is ultimately responsible for the completeness of her/his portfolio, the subcollege RPT committee may request of the candidate any items noted as missing. The only additions that will be accepted by the chair of the subcollege RPT committee after the portfolio submission deadline are those identified in writing as missing items by the committee. The subcollege RPT committee should note in its letter to the candidate the request to provide
the missing item/s and establish a firm deadline of no more than two (2) business days by which the missing item/s must be received from the candidate in order to be considered in the review by the committee. Missing items cannot be provided by the candidate at a subsequent level of review.

6. **Title:** Clarification that ex-employees are excluded from Grievance Process

**MOTION:** to amend Faculty Handbook Section Four, II, c and Appendix D as indicated below. Red strikethrough indicates deletion, Green indicates insertion.

**FH Section Four, II, c**

**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.

This set of procedures is intended for use of all University salaried faculty except UNE Clinical Faculty, who are not directly employed by UNE and who would follow their employer’s process.

**FH 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 (except those resulting from a formal reappointment, promotion, or tenure review), the faculty member has full recourse to the this faculty grievance process, except those resulting from a formal reappointment, promotion, or tenure review. (described in Appendix D). In cases of dismissal resulting from a formal reappointment, promotion, or tenure review may be appealed according to the there is a separate appeal process described near the end of SECTION THREE.

**B. Justification for Grievance**

1. Justification for a grievance may include:

a. violation, misinterpretation, or inequitable application of any University policy;

b. unfair or inequitable treatment resulting from any act or condition that is contrary to established policies or practices affecting faculty, including complaints arising from perceived violation of Equal Employment laws or regulations.
2. Except as described in SECTION THREE decisions not to grant reappointment, promotion, or tenure are not subject to grievance by the process described here.

C. Harassment and Discrimination Claims

1. Claims involving discrimination or sexual or other harassment must be dealt with by use of harassment policy and procedures described in the Personnel Handbook. Should the harassment protocol described in the Personnel Handbook lead to an unsatisfactory outcome, faculty will still have access to the formal grievance process described in Section E below.

2. In some cases, a question may arise as to the line between academic freedom of expression and the creation of an offensive environment that violates UNE's harassment/discrimination policy. In such cases, a faculty representative educated both on harassment/discrimination and academic freedom issues will be chosen by and available to a complainant and/or respondent when a harassment/discrimination claim involving a faculty member comes forth. This faculty member may act as a resource to one or the other party, if requested, and may provide input to the investigation if appropriate and requested by either party or the investigators. The faculty member will not act as an advocate or be involved in the substance of the decision.

D. Informal Grievance Process

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

1. If possible, the aggrieved party (grievant[s]) should resolve the grievance through direct interaction with the person(s) involved (respondent[s]).

2. If this action is unproductive, the grievant should discuss the complaint with her/his immediate supervisor.

3. If the grievant is still unsatisfied, or if the supervisor is a party to the grievance, then the grievant should discuss the complaint with the appropriate college dean. The dean should make every effort to resolve the dispute, rather than let it become the business of the Faculty Assembly through its "Formal Grievance Process."

4. Likewise, if the grievant is not satisfied with the resolution after working with the dean, or the issue involves more than one college, the grievant should discuss the complaint with the Provost.

5. If the grievance involves a harassment claim, the grievant should contact the Executive Director of Associate Vice President for Human Resources or the Provost.

6. If the grievance is still unresolved, or if the dean(s) or Provost is a party to it, the aggrieved faculty member may proceed to the formal grievance process.

E. Formal Grievance Process

1. Preparation for Grievance Hearing
a. A faculty member whose complaint has not been resolved by the informal grievance process may submit to the Chair of the Faculty Assembly (or the Vice Chair, if the Chair is a party to the grievance) a written request for a formal grievance hearing. This request must be filed within 45 days of the faculty member’s knowledge of the event giving rise to the grievance. The request must include:

   i. a detailed description of the grievance,
   
   ii. the University policy(ies) and/or professional code(s) of conduct violated,
   
   iii. the name(s) of the respondent(s),
   
   iv. the names of all witnesses the faculty member wishes to call and a summary of the expected contribution of each,
   
   v. any supportive material, and
   
   vi. a brief account of all steps taken to resolve the grievance informally.

b. Immediately upon receiving a request for a grievance hearing, the Chair of the Faculty Assembly will forward copies of all documents submitted by the grievant to the respondent/s and the Executive Director of Associate Vice President (AVP) for Human Resources (AVPHR). If the EDHR AVPHR is party to the grievance, has served as an investigator in cases of sexual harassment claims (see Personnel Handbook), or is unable to serve for any other reason, the Provost, in consultation with the Chair of the University Faculty Assembly, will appoint another person to serve as facilitator.

c. Within 10 working days of receipt of the request for a hearing, the Chair of the University Faculty Assembly will appoint a Faculty Grievance Committee from the standing pool and inform the grievant and respondent of the appointees. The grievant and the respondent will have 5 working days to challenge an appointed member/s. Both grievant and respondent may challenge Committee membership on the basis of conflict of interest. The Committee (except challenged members) and the Assembly Chair will judge the merit of such concerns. The decision of the Assembly Chair will be final and, if necessary, the Assembly Chair will make substitute appointments. The Committee will have an odd number of members with at least one member from each college.

d. The membership of the Faculty Grievance Committee for a particular grievance will be drawn from a standing pool of faculty members selected from the University's full-time faculty by the College Faculty Assemblies.

   i. The Faculty Grievance Committee Standing Pool will be comprised of two faculty members from each college. At least one of the members from a given college must be tenured. 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 Executive Director of Human Resources AVPHR (or the appointed facilitator if the EDHR AVPHR is a party to the grievance). All documents will be forwarded to the Faculty Grievance Committee by the EDHR AVPHR (or the appointed facilitator if the EDHR AVPHR is a party to the grievance) only after all materials from both grievant and respondent have been submitted.

f. The first meeting of the Committee will be called and facilitated by the EDHR AVPHR (or the appointed facilitator if the EDHR AVPHR is a party to the grievance) within 10 working days of all documents having been received by Committee members. A quorum will be a majority of members plus one for this and all subsequent meetings. The Committee's first tasks will be to select its own Chair and judge the merit of the request for a hearing. In particular, the Committee will attempt to verify that:

   i. all information necessary to judge the merit of the request has been provided,
   ii. the request has substantive merit (see SECTION FOUR, II), and
   iii. all informal processes have been exhausted.

g. If the written request fails to satisfy any of the above criteria, the Committee will inform both parties to the grievance and will recommend to both a course for further action. This may include a request for additional information or a suggestion that additional informal measures be taken. The Committee also may declare that a formal hearing is not warranted.

h. For all subsequent meetings, the EDHR AVPHR (or the appointed facilitator if the EDHR AVPHR is a party to the grievance) will serve as an advisor and facilitator of Committee process and function. Ordinarily, the EDHR AVPHR (or the appointed facilitator if the EDHR AVPHR is a party to the grievance) will not attend meetings of the Committee. At the Committee's discretion, however, the EDHR AVPHR (or the appointed facilitator if the EDHR AVPHR is a party to the grievance) may be called upon to facilitate a hearing or serve as a consultant. The EDHR AVPHR (or the appointed facilitator if the EDHR AVPHR is a party to the grievance) will assist both parties to the grievance in obtaining any necessary internal documents and will assist the Committee in procuring any required materials.

i. Only during a hearing or at one of its formal meetings will members of the Faculty Grievance Committee accept factual information regarding the grievance from anyone, including parties to the grievance. Factual pertinent information will be accepted only if it is submitted through the EDHR AVPHR (or the appointed facilitator if the EDHR AVPHR is a party to the grievance).
2. Grievance Hearing

a. The Committee may, with the consent of parties concerned, hold joint prehearing meetings with the parties in order to: (i) simplify issues, (ii) effect stipulation of facts, (iii) provide for the exchange of documentary or other information, and (iv) achieve such other appropriate prehearing objectives as will make the hearing fair, effective, and expeditious.

b. A grievance hearing is not a legal proceeding; it is a fact-finding process. As such, success will be fostered to the extent that an open, cooperative, collegial atmosphere can be maintained. The hearing will always be closed to the public.

c. The hearing Committee will not be bound by strict rules of legal evidence and may admit any evidence that, in its opinion, is of probative value in determining the issues involved.

d. Audio recording of the hearing or Committee deliberations is prohibited. Committee members will not share the substance of a hearing or Committee deliberations, or any written record, with anyone outside the Committee.

e. Witnesses will include the grievant and respondent. Both parties to the grievance will be asked to provide names of additional relevant witnesses and a description of their expected testimony. The witnesses to be heard, and the order and length of their appearance, will be determined by the Committee. The Committee will consider reasonableness, relevance, need, and confidentiality when it decides what witnesses to hear and what materials to examine.

f. When witnesses are unable to appear, but the Committee determines that the interests of justice require admission of their statements, the Committee will accept a written, signed statement. The Committee may pose written questions back to the witness for consideration.

g. When called as witnesses, the grievant and respondent will be heard separately, unless it appears to the Committee that their simultaneous presence is crucial to the success of their fact-finding mission. No attorneys or other representatives will be present for any part of the hearing without the Committee’s agreement.

h. When other witnesses are heard, in no case will more than one be present at a time and neither grievant nor respondent will be present. Any witness, including grievant and respondent, may be recalled if necessary.

i. The Committee will gather information, analyze that information, and make recommendations for redress if they believe facts indicate the grievance has merit. Confidentiality must be maintained throughout the grievance process, and after the process has been concluded.

j. The Committee will make every effort to hold a hearing, reach its findings, and make its recommendation within 15 working days of its first meeting.

3. Disposition of Committee Findings
a. The Faculty Grievance Committee will send its written recommendations to the Chair of the Faculty Assembly, who will forward them immediately to the President, with copies to the Provost, the EXECUTIVE DIRECTOR OF HUMAN RESOURCES AVPHR, and both parties involved in the grievance.

b. If dissatisfied with recommendations of the Faculty Grievance Committee, either grievant or respondent may file a dissenting opinion to the President within five working days after receiving the written recommendation.

c. After giving both grievant and respondent five days to file a dissenting point of view, the President will formulate a decision, which is final.

d. The President will transmit a decision to the Chair of the Faculty Assembly, the EXECUTIVE DIRECTOR OF HUMAN RESOURCES AVPHR, and both grievant and respondent as expeditiously as possible.

e. The Committee will deliver all materials of record accumulated during the hearing to the EXECUTIVE DIRECTOR OF HUMAN RESOURCES AVPHR, who will maintain necessary records of the event and destroy unneeded materials.

F. Review of RPTC Recommendations

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

7. **Title:** inclusion of *ad hoc* reviewer for mini-grant review

**MOTION:** *Inserted text indicated in green.* Section Six, I. p. 37.

**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.

Title of Motion: Amend Faculty Handbook Attachment 1 to include reference to CETL "Innovation Accord".
Proposed amendment is to add the sentence in bold, green.

7) Teaching—sections “a” and “b” listed below should be separately grouped
   1. Documentation of teaching since last review or at most past six years (please specify) including all syllabi
   2. All written formal evaluations of teaching from students (since last review or at most the past six years with a written explanation if the evaluations are not complete and any absence of data should be addressed in the self-evaluative statement)
   3. Letters of internal peer faculty observations of teaching if your department/program requires these letters
   4. 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))