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FOREWORD

This new edition of the Faculty Guide is based on the excellent work done some years ago by a group of faculty and staff chaired by Professor Frederick Tillis and subsequently revised by a group chaired by Professor Javier Cevallos. We have used their work as our point of departure, and have built upon its strengths. This Faculty Guide is intended to be useful to all faculty members on campus. It is our hope that it will be particularly useful to new faculty in finding ways to access some of the many resources available. It is not intended, however, to be a detailed description of all university policies, rules and regulations, nor does it have any legal standing. It does include, in section V, a copy of the Trustee Document on Academic Personnel Policy ("Red Book"), but it does not include the Agreement Between the Board of Trustees and the Massachusetts Society of Professors (MSP), which is the collective bargaining agent for University faculty and professional librarians. All information is believed to be current as of the time of posting but is subject to change without notice. Section VI, The Faculty Member as Employee, consisting principally of information about employee benefits, is currently under revision and will be provided as soon as available.
I. University History and Organization

A. History and General Information
One of today's leading centers of public higher education in the Northeast, the University of Massachusetts Amherst was established in 1863 under the original Morrill Land Grant Act. Its campus is the oldest and largest in the state university system. The University has achieved a reputation for excellence in an increasing number of disciplines, for the breadth of its academic offerings, and for the expansion of its historic roles in education, research, and public service. The University prides itself on the diversity of its student body, and is committed to the principles of affirmative action, civility, equal opportunity, and the free exchange of ideas.

Located in the historic Pioneer Valley of Western Massachusetts, the 1,405-acre campus provides a rich cultural environment in a rural setting. The University is one of the founding members of the Five College cooperative program, offering both reciprocal student access among the University and Amherst, Hampshire, Mount Holyoke, and Smith colleges, and many opportunities for faculty collaboration and interaction. Within its nine schools and colleges, the University offers associate's degrees in six and bachelor's degrees in 92 areas, master's degrees in 68 and the doctorate in 48. More than 90 percent of the approximately 1,200 full-time faculty hold the highest degree in their fields. Approximately 4,300 diverse courses are offered. There are approximately 22,000 students (full-time equivalent), made up of some 17,000 undergraduates and 5,700 graduates, including part-time, and about 300 students at the two-year Stockbridge School of Agriculture. Student ages range from under 15 to over 60, averaging 21 for undergraduates and 33 for graduate students. About 80 percent of the undergraduate enrollment comes from Massachusetts. About 41 percent of the graduate students come from Massachusetts, and about 24 percent from foreign countries.

B. Amherst Campus Vision Statement
The vision of the Amherst campus reflects the University's mission in the following ways: As the system's flagship campus, Amherst draws students from throughout the Commonwealth, the nation and the world, providing a broad undergraduate curriculum with nearly 100 majors and approximately 50 doctoral programs. It will continue as a Carnegie Research I university and maintain its presence in Division I intercollegiate sports; it will continue its efforts to achieve a median ranking among the American Association of Research Libraries and obtain membership in the American Association of Universities.

Access: Providing undergraduate education for all qualified students (meeting their full financial need) in a broad range of areas found in leading public Research I universities, as well as in graduate programs leading to doctoral or other appropriate terminal degrees in most of these fields.

Excellence: Maintaining a range of academic offerings comparable in quality to those offered at AAU universities; maintaining national leadership in such areas as creative
writing, computer science, engineering, polymer science, linguistics, astronomy, sports management and hotel management; and striving for national leadership in other academic areas.

Innovation: Creating new knowledge with a broad program of distinctive research; and disseminating this knowledge through publications, public presentations and professional conferences.

Economic Development and Global Competitiveness: Supporting the economic development of the Commonwealth by providing assistance to small business and industry; encouraging technology transfer; undertaking research in areas of economic importance; and providing the language instruction and other tools necessary for participation in the global economy.

Public Service: Providing public service by meeting formal land-grant responsibilities; serving agriculture, offering assistance to regional cities and towns; and engaging in outreach in such areas as public health, environmental safety, transportation, public finance, and education.

Quality of Life: Developing the human and cultural quality of life for the region through a comprehensive arts program; assisting the public social agencies to provide improved services to the citizens of the Commonwealth; and promoting the multicultural awareness and tolerance of diversity essential to a pluralistic, transnational society.

C. The Board of Trustees
The University is governed by a Board of Trustees, which meets regularly on the University's five campuses to act on University-wide matters of policy, mission, finance, and physical plant. The Board has 19 voting members, 18 of whom are appointed by the Governor. The students of each of the five campuses elect a student trustee, and two of these five serve as voting members of the Board on a rotating basis. Governance responsibilities in some areas (e.g., tuition, academic program review and approval) are shared with the statewide Higher Education Coordinating Council. The Board has a chair and six standing committees: Executive, Administration and Finance, Academic and Student Affairs, Athletics, Audit, and External Affairs. The Trustees' statement on governance specifically acknowledges the primary responsibility of the faculty in academic matters. In practice, this means a proposal relative to academic policy must be acted upon by the faculty before it is recommended to the Trustees and the HECC by other components of the University. Board policy is administered by the president and the five campus chancellors.

D. Office of the President
The Office of the President of the University of Massachusetts provides overall leadership to the entire University and its five campuses pursuant to the direction of the Board of Trustees. Primary responsibilities include: representation of the University to the governor, legislature, executive branch agencies, state agencies, federal government and other major external constituencies; coordination of strategic planning, academic
affairs, management and fiscal policies, information systems, legal matters, and human resources management; evaluation of the performance of chancellors and campuses; and support for the Board of Trustees. The President's Office accomplishes these tasks through the department of Management and Information Systems, University Auditing, the Treasurer's Office and the University Controller's Office. Overall planning and policy development and initiation of University-wide programs are also carried out through the President's Office.

E. Amherst Campus Administration
The Amherst campus is administered by the Chancellor, the Vice Chancellor for Academic Affairs and Provost, the Chief Information Officer, and the Vice Chancellors for Administration and Finance, Student Affairs and Campus Life, and University Advancement. While all campus vice chancellors are concerned with matters of importance to faculty members, the office of the Vice Chancellor for Academic Affairs and Provost has as its primary purpose to provide support for the work of the faculty.

1. Office of the Chancellor
The Chancellor is the chief administrative officer of the Amherst Campus and reports to the President of the University system. The Vice Chancellors, Chief Information Officer, and Associate Chancellors report to the Chancellor. The responsibilities of the Vice Chancellors and Chief Information Officer are described below. Externally, the Chancellor speaks for the campus to such audiences as trustees, state and federal legislators, alumni, state and local public officials, business and community leaders. Internally, the Chancellor is responsible for coordinating the major administrative units of the campus, each supervised by the Chief Information Officer or a Vice Chancellor. In addition to supervising routine activities within these units, the Chancellor is responsible for campus strategic planning and, in particular, for proposing and reviewing activities which involve different major administrative units, such as budget reallocations, enrollment management, facilities planning and some labor relations. In addition to the Chief Information Officer and the Vice Chancellors, the Director of Athletics reports to the Chancellor and the Associate University Counsel advises the Chancellor and others about legal issues that involve the campus.

Chief Information Officer
[description forthcoming]

2. Vice Chancellor for Academic Affairs and Provost
The Vice Chancellor for Academic Affairs and Provost is the Chief Academic Officer of the campus. The Provost provides leadership in all areas of the academic enterprise and is responsible for maintaining its quality. The Provost oversees the development and implementation of new programs, is responsible for the implementation of academic policies and procedures, and for the evaluation and professional development of faculty. The Academic Affairs area of the campus is organized into nine schools and colleges and their component departments, programs, centers, institutes, and laboratories. A number of other academic units provide support for the campus.
All faculty members are affiliated with an academic department, and many are associated with more than one. In addition, there are many specialized academic programs, centers, institutes, research programs, and laboratories located within departments or colleges. The following listing includes all departments within the nine schools or colleges. Campus-wide academic units are described in a later section. The Library and the Division of Continuing Education are also housed with Academic Affairs.

a. Humanities and Fine Arts
The College of Humanities and Fine Arts, one of the largest units on campus, is home to a variety of departments that together provide students with opportunities to study the Fine Arts (art, music, dance, theater, art history), history, creative writing, all aspects of languages and literatures (both foreign and domestic), philosophy and ethics, and ethnic and gender studies. Associated programs include the Interdepartmental Film Studies Programs (jointly with the College of Social and Behavioral Sciences and the Five Colleges); the Writing Program; the Renaissance Center; the Five College Center for the Study of World Languages; and the Translation Center. The academic departments and programs are:
Afro-American Studies
Art
Art History
Classics
Comparative Literature
English
History
Judaic and Near Eastern Studies
Languages, Literatures and Cultures
Linguistics
Music and Dance
Philosophy
Theater
Women's Studies
World Languages

b. Natural Sciences and Mathematics
The College's mission is to expand, to teach, and to use the knowledge base of Natural Sciences and Mathematics. The integration of these activities is the whole point of a twenty-first century university. Commitment to this integration, creativity in implementing it, and aspiring to the highest levels of achievement for faculty, staff, and students are the hallmarks of the College culture. The faculty and staff live daily with the dynamic tension created by the demand to be effective in everything they do with students, and to succeed in the competition for the resources that are essential to be active in research. The College is committed to enhancing the University's contribution to economic development. The College consists of the following departments:
Astronomy
Biochemistry and Molecular Biology
Biology
Chemistry
Computer Science
Geosciences
Mathematics and Statistics
Physics
Polymer Science and Engineering
Additionally, Ph.D. degrees are offered through interdisciplinary graduate programs in
Molecular and Cellular Biology, Neuroscience and Behavior, Organismic and
Evolutionary Biology, and Plant Biology.

c. Social and Behavioral Sciences
The vision of the faculty of the College is the expectation that students will achieve an
understanding of culture, society, individual and social interaction processes, and the
methods by which knowledge in the social and behavioral sciences is created. The
faculty envision a college with traditional disciplines complemented by interdisciplinary
programs focused on broad social problem areas. The College is composed of the
following departments and programs:
Anthropology
Communication
Economics
Labor Relations and Research Center
Legal Studies
Political Science
Psychology
Public Policy and Administration
Social Thought and Political Economy
Sociology
d. School of Education
The School of Education is dedicated to enhancing the practice of education through
scholarship that informs both the preparation of educational professionals and the
development of public policy affecting education. The School's approach is shaped by a
fundamental commitment to social justice and diversity and by a belief in the essential
importance of national and international perspectives in advancing education in the
Commonwealth. Graduate programs in the School of Education are designed to promote
faculty-student collaboration in scholarship and discipline inquiry that advances
educational theory, practice, and public policy. As a comprehensive professional school,
the School also maintains a range of master's and professional preparation programs for
teachers, school counselors/psychologists, and school administrators. The School of
Education is composed of three academic departments:
Education Policy, Research, and Administration
Student Development and Pupil Personnel Services
Teacher Education and Curriculum Studies
Incorporated within the School of Education are the Center for International Education,
the Center for Education Policy, the Center for Educational Assessment, and the Center
for School Counseling Outcome Research. The School's K-12 Academic Outreach
Office coordinates University outreach to the public schools in the Commonwealth. The School of Education is accredited by the National Council on the Accreditation of Teacher Education. The Ph.D. program is accredited by the American Psychological Association; and professional preparation programs are approved by the Massachusetts Department of Education.

e. College of Engineering
The mission of the College of Engineering is to support the teaching, research, and academic outreach needs of the Commonwealth and the nation, and to produce engineering leaders for the twenty-first century. This will be accomplished by offering nationally recognized programs of research with strong external support and educational programs of outstanding quality for students pursuing B.S., M.S., or Ph.D. degrees in major engineering disciplines. Engineering has four major academic departments:
- Chemical Engineering
- Civil and Environmental Engineering
- Electrical and Computer Engineering
- Mechanical and Industrial Engineering
The College of Engineering houses the Center for Process Design and Control, the University of Massachusetts Transportation Center, the Center for Energy Efficiency and Renewable Energy, the Microwave Remote Sensing Laboratory, and the Center for Manufacturing Productivity.

f. College of Natural Resources and the Environment
The departments and programs in the College of Natural Resources and the Environment apply the principles and tools of biology, chemistry, mathematics, physics, engineering, design, business, and economics to a wide range of academic and career areas. The departments and programs are:
- Environmental Sciences
- Food Science
- Landscape Architecture and Regional Planning
- Microbiology
- Natural Resources Conservation
- Plant, Soil and Insect Sciences
- Resource Economics
- Veterinary and Animal Sciences
The Stockbridge School, a two-year professional and technical school founded in 1918, is part of the College of Natural Resources and the Environment. Included as an integral part of the College's Land-Grant functions is the Massachusetts Agricultural Experiment Station, which conducts research in cooperation with the U.S. Department of Agriculture.

g. Isenberg School of Management
The Isenberg School of Management offers thirteen programs of study through its six academic departments. The six departments are:
- Accounting and Information Systems
- Finance and Operations Management
- Hospitality and Tourism Management
Management
Marketing
Sport Management
The Isenberg School offers a Bachelor of Business Administration degree with majors in seven areas, a general M.B.A. degree, an accelerated P.M.B.A. for working professionals, Master of Science degrees in Accounting, Hospitality and Tourism Management, and Sport Management, and a Ph.D. degree, specialized in one of seven areas of concentration. The Isenberg School is headquarters for the state's network of Massachusetts Small Business Development Centers. The School is also home to the Center for International Securities and Derivatives Markets, and the Nonprofit Center.

h. School of Nursing
The School of Nursing strives to create a model community committed to diversity, learning and discovery, excellence in life-long scholarship, and a passion for the practice of nursing as a discipline of caring and compassion. The School of Nursing offers three undergraduate baccalaureate nursing programs:
- The Traditional Prelicensure Track
- The RN-BS Online Nursing Mobility Track for Registered Nurses pursuing a baccalaureate degree in nursing
- The Second Bachelor’s Track for individuals who have an earned bachelors degree in any major who wish to pursue a second baccalaureate degree in nursing
Masters graduate study is offered in the following specialties:
- Family Nurse Practitioner
- Gerontological Clinical Nurse Specialists
- Psychiatric-Mental Health Clinical Nurse Specialists
- Community/School Health Nursing Concentration – online program
- MS/MPH Dual Degree Program offered in conjunction with the School of Public Health and Health Sciences – online program
- A Post-Master’s Nurse Practitioner Certificate Program is designed to prepare new family nurse practitioners
A Ph.D. is offered in collaboration with the Worcester campus and is designed to prepare nurse researchers, scholars, and educators. The School of Nursing is approved by the Massachusetts Board of Registration in Nursing and accredited by the Commission on Collegiate Nursing Education (CCNE).

i. School of Public Health and Health Sciences
The mission of the School of Public Health and Health Sciences is to provide high-quality education for graduate and undergraduate students and continuing education for health professionals. Emphasis is placed on the pursuit of basic and applied research as well as the dissemination of the knowledge gained. Technical assistance and consultation to health and other human service agencies, to communities in the private sector, and to innovative demonstration programs are important objectives. The School participates in scientific, professional, and policy-making bodies at the state, regional, national, and international levels. The School recognizes its special obligations to ameliorate
health-related problems, and to promote continued good health, thereby enhancing the quality of life. The School of Public Health and Health Sciences has four departments offering MS and Ph.D. degrees:
Communication Disorders
Exercise Science
Nutrition
Public Health

In addition, the Master of Public Health (MPH) degree, a terminal degree for experienced health professionals, is offered with emphasis in either Biostatistics/Epidemiology, Community Health, Environmental Health, or Nutrition. Three departments offer a Bachelor's degree: Communication Disorders, Exercise Science, and Nutrition. The Environmental Health Sciences Department directs the environmental health option in the College of Natural Resources and the Environment.

j. Graduate School
With the advice and assistance of the Graduate Council of the Faculty Senate, the Office of the Graduate Dean reviews and supervises each of the more than 65 graduate programs conducted in the Schools and Colleges. This includes guidance and development of new programs, as well as ensuring the standards for existing ones. Specific responsibilities include:
Admitting candidates to the Graduate School and to the academic departments, based on departmental recommendations;
Approval of graduate courses, degree programs and program changes, graduate admissions, degree requirements, and appointments of thesis and dissertation committees;
Administering the Graduate Fellowship Program;
Administering the Minority Scholar Fellows Program, the Office of Minority Graduate Student Recruitment Funding Program, and the Minority Targeted Fellowship Program;
Approving the appointment of graduate faculty members;
Approving the appointment of teaching assistants, teaching associates, and research assistants and associates;
Administers the Graduate Student Grant Service which assists the graduate student population to identify and apply for fellowships and grants from sources outside the university.
Responsibility for graduate student affairs and services, including liaison with the Graduate Student Senate, admissions, registration, records, degree certification, financial aid announcements, and publishing the Graduate School Bulletin, Handbook and application packages;
Hearing any graduate student grievances which are not resolved at the program, department, or college level;
Responsibility for implementation of the graduate academic honesty policy; and
Promotion of new interdisciplinary efforts.

The Graduate School administrative personnel (under the direction of the Dean of the Graduate School) carry out these assignments. The scope of graduate studies at the University is indicated by the fact that there are 48 doctoral degree programs and 68 master's degree programs. Detailed statistics on enrollment, admissions, degrees granted,
Graduate programs are reported annually in the *Graduate School Fact Book*. General information concerning the graduate programs is published in the *Graduate School Bulletin* and the Graduate School's Policies and Procedures notebook (available in each department). They include University-wide admissions policies and degree requirements as well as each graduate program's requirements and courses. Most graduate programs also publish guidelines for their own students. Fellowships and financial aid announcements for graduate study are made in the on-line campus newsletter *In the Loop*, the annual Graduate Student Grants Directory, the *Massachusetts Daily Collegian*, and on bulletin boards at the Graduate School and across the campus.

**Graduate Faculty**

The Graduate Faculty consists of all faculty who meet specific departmental criteria (as approved by the Graduate Council). They provide graduate instruction, and some chair or serve as members of doctoral dissertation and master's thesis committees. Current graduate faculty are listed by department in each year’s *Graduate School Bulletin*. Each department is responsible for reviewing its own faculty and making nominations for Graduate Faculty membership for the Graduate Dean's approval. Faculty members at Amherst, Hampshire, Mount Holyoke, and Smith colleges are eligible for Graduate Faculty status.

**k. Vice Provost for Research**

The Vice Provost for Research advances the research mission of the University. Working closely with the faculty to encourage research and scholarly activities, the Vice Provost is responsible for the initiation, review, and implementation of all policies and procedures relating to research. The Vice Provost serves as campus Patent Administrator, and as the primary contact point between the University and federal agencies, especially those with regulatory responsibility over research activities. The University, primarily through the Office of Research Affairs (ORA), supports a number of programs that assist in developing the ability of faculty to better compete for sponsored research projects. ORA staff have valuable contacts, information, and experience in sponsored research activities. They assist faculty by suggesting where to apply for outside support for research and training, and helping to prepare and submit applications. Faculty who expect to engage in sponsored activities are advised to consult the Sponsored Research Handbook, which is produced by ORA and contains important discussion of procedures and policies concerning developing and conducting sponsored projects. Faculty Publications, an annual compilation of the research and scholarly productivity of faculty, is also published and distributed by ORA. The programs that are offered by ORA include Internal Travel and Research Grants, Grant Development Training and Consulting, Sponsor Identification, and Equipment Matching Grants. Specific information about the Office of the Vice Provost for Research is found on the sections "The Faculty Member as Scholar and Researcher" and "The Faculty Member in Economic Development, Outreach, and Public Service."

**3. Vice Chancellor for Student Affairs and Campus Life**

In support of the overall mission of the University, the Division of Student Affairs aims to enhance students’ quality of life by helping them take full educational advantage of the
University experience in the application of knowledge. The Division is committed to assisting students in their preparation for careers, life, leadership, and participation in a changing world. Co-curricular opportunities, support programs, and services are provided which allow students to experiment and integrate the knowledge and skills they have obtained. Student Affairs programs are concerned with the whole student and are designed to enhance the intellectual, emotional, physical, cultural, ethical, and social development of students in a safe and secure environment. Student Affairs offers services including admissions; financial aid; orientation; the career center; residence hall and family housing; academic support; programs of physical and mental health care; assessment of student needs, satisfaction, and attitudes; and campus safety and security programs. Based on ongoing surveys and other assessment programs, Student Affairs updates and modifies its existing services or introduces new programs to meet the needs of a changing student population.

4. Vice Chancellor for Administration and Finance
The role of the Office of Administration and Finance is to provide the internal and external constituents of the University of Massachusetts Amherst with the highest quality services in the most supportive and cost effective manner. In contributing to fulfilling the campus' mission of teaching, research, and public service, Administration and Finance is responsible for the development, stewardship, and enhancement of the campus' human, fiscal, environmental, and physical resources. Administration and Finance services are provided through Administrative Systems, Auxiliary Services, Budget Office, Bursar’s Office, Campus Services, Controller’s Office, Environmental Health and Safety, Facilities and Campus Planning, Financial and Cost Analysis, Human Resources, Mullins Center, Physical Plant, Procurement, and the UCard Office. Specific information about the employment services provided by Administration and Finance is found in the section on "The Faculty Member as Employee."

5. Vice Chancellor for University Advancement
The mission of University Advancement is to create a dynamic environment which increasingly expands private investment in the University of Massachusetts Amherst. In collaboration with alumni, parents, friends and organizational partners, University Advancement seeks to maximize support of our premier research programs and to help ensure our students are provided the finest educational opportunities.

This is accomplished through an integrated program of communications, fund raising, and the involvement of alumni locally, nationally and around the world. The UMass Amherst Alumni Association, www.umassalumni.com, provides services and programs to involve and engage alumni, individually and collectively. The Development Office, www.umass.edu/development, works closely with constituencies to promote philanthropic investment in support of our excellent students, exceptional faculty, and superb academic, athletic and cultural programs. The University of Massachusetts Amherst Foundation, www.umass.edu/foundation, leads and supports private fund raising on behalf of the faculty, staff and students of the Amherst campus. Its volunteer Board of Directors provides leadership for the development of philanthropic investment in support of the research, teaching and outreach of UMass Amherst. The Foundation works closely
with campus leadership to identify opportunities for private support and to enhance UMass Amherst’s effectiveness in communicating its remarkable strength and opportunities to its many constituencies.

To enhance these efforts, in July 2003, an Advancement Communications group was established that encompasses *UMass Amherst* magazine, [www.umassmag.com](http://www.umassmag.com), which is sent three times annually to alumni, faculty, staff, parents, friends and donors (circulation approximately 180,000); and the campus Web Gateway, [www.umass.edu](http://www.umass.edu), the audiences for which are prospective students and their parents, current students and their parents, faculty, staff, alumni, friends and organizations. In addition, this group provides communications expertise and support to the Development Office, Alumni Association and the UMass Amherst Foundation, Inc.; and assists with campus visual identity guidelines which can be found at [www.umass.edu/identity](http://www.umass.edu/identity).

### F. Faculty and Governance Organizations

The Board of Trustees Statement on University Governance (T73-098 as amended) endorses the 1996 joint Statement on Government of Colleges and Universities by the American Association of University Professors, the American Council on Education, and the Association of Governing Boards of Universities and Colleges and recognizes faculty primary responsibility in academic matters and faculty status. The Faculty fulfills these primary responsibilities at the department, school and college level through appropriate committees, including personnel committees, and at the campus level through the Faculty Senate with its committees and councils. In addition, the Faculty Senate provides oversight and advice to the central administration on most other campus matters, including planning, development, budget, and other administrative matters. The Faculty Senate does not exercise responsibility with respect to faculty personnel issues or working conditions, which are the purview of the Massachusetts Society of Professors.

#### 1. Faculty Senate

The Faculty Senate consists of 60-80 elected senators from approximately 20 election districts including all academic departments and the library. There are also more than 20 *ex officio* members, including the President, Chancellor, Provost, Vice Chancellors, and Deans. The Senate’s elected officers include the Secretary, Presiding Officer, Delegate to the Board of Trustees, and two Associate Delegates to the Board of Trustees. The elected officers, plus 4 members elected at-large, comprise the Rules Committee, which elects a Chair from among its at-large members. While the Chancellor is the titular President of the Faculty Senate, the Secretary is the chief operating officer and spokesperson. The Chair of the Rules Committee also plays a substantial leadership role, since the Rules Committee manages the flow of work to the councils and committees, sets the agenda for each full meeting of the Faculty Senate, and meets regularly with the Chancellor and Provost.

The Faculty Senate meets approximately every two weeks, but not less than once a month, during the academic year. Meetings take place on Thursday afternoons at 3:30pm and are open to all members of the University community and to the press. The formal agenda consists mostly of reports and motions prepared by the Senate’s 24 councils and...
committees. Faculty Senate meetings also offer the opportunity for brief addresses or announcements by the Chancellor, Provost, Vice Chancellors, and others, and for questions posed to the officers of the University by faculty from the floor (in the style of the British House of Commons). Such questions can be wide-ranging and frequently test the ability of University administrators to “think on their feet.” At some meetings, important figures in the political and educational life of the Commonwealth are invited to address the Senate and, similarly, to respond to questions from the floor.

Most of the work of the Faculty Senate takes place in its 16 councils and 8 committees, each of which is built around a “lead administrator.” Councils are empowered to provide direct tactical advice to these “lead administrators” in appropriate areas, while matters of strategy or new policy must be forwarded to the full Senate for approval. Membership in councils and committees is broadly representative of the diverse academic areas of the campus, as specified in the bylaws, but also includes significant representation by staff and students. There are over 260 places on the councils and committees for faculty and librarians, and approximately 250 places for staff and student representation. Each semester, nominations to fill vacancies on councils and committees are solicited. The Committee on Committees forwards recommendations for appointments to the full Senate for approval.

Faculty Senate Councils (and lead administrator[s]) consist of: Academic Matters (Deputy Provost), Academic Priorities (Associate Provost for Planning), Athletic (Athletic Director), International Studies (Associate Provost for International Programs), General Education (Deputy Provost), Graduate (Dean of the Graduate School), Health (Directors of University Health Services), Program and Budget (Vice Chancellor for Administration and Finance), Research (Vice Chancellor for Research), Research Library (Director of Libraries), Status of Minorities (Associate Chancellor for Diversity), Status of Women (Associate Chancellor for Diversity), Student Affairs and University Life (Vice Chancellor for Student Affairs), Undergraduate Education (Provost), University Advancement (Vice Chancellor for Advancement), and University Service, Public Service, and Outreach (Vice Provost for Outreach).

Faculty Senate Committees (and lead administrator[s]) consist of: Admissions and Records (Provost/Vice Chancellor for Student Affairs), Campus Physical Planning (Director of Facilities Planning/Director of Physical Plant), Committee on Committees, Rules Committee (Chancellor/Provost), Service Departments (Vice Chancellor for Administration and Finance), University Computer and Electronic Communications (Chief Information Officer), University Press (Director of the University Press), University Writing (Director of the Writing Program).

Precise charges to each council and committee are specified in the Senate Bylaws, available at: www.umass.edu/senate. Also on the website are minutes of recent meetings, transcripts of addresses, basic campus governance documents, recently adopted legislation, and much additional information.

2. Massachusetts Society of Professors
The Massachusetts Society of Professors (MSP), 105 Hampshire House, is the exclusive collective bargaining agent for faculty members and librarians on the Amherst campus.
Along with its statewide and national affiliates (Massachusetts Teachers Association and National Education Association), MSP protects unit members' professional and employment rights through negotiation and maintenance of a contract with the Trustees. Membership in or payment of an agency service fee to MSP is mandatory, and gives unit members the right to representation in all aspects of their employment covered by the MSP contract. More information about the MSP can be found at its website, www.umass.edu/msp, or you can call the office at 545-2206 for answers to any questions you may have.

3. Student Role in Campus Governance
Students participate with faculty on various committees at the departmental, college or school, and university levels. In addition, the Student Government Association and the Graduate Student Senate have committees on which there is faculty representation. Every year the students elect a Representative to the Board of Trustees. The Student Government Association is recognized by the Board of Trustees as a Campus Governance Body.

G. Five College Cooperation
Five Colleges, Inc. is one of the oldest and the most successful of the nation’s educational consortia. Cooperation among the five institutions located in the Pioneer Valley of Western Massachusetts--Amherst, Hampshire, Mount Holyoke, and Smith colleges and the University of Massachusetts Amherst--is based on the principle that sharing of information and resources helps each institution offer the best possible education to all. Cooperative arrangements span academic, cultural, and social areas. Fundamental to the cooperative structure is the student interchange which enables students to register for courses at any of the other institutions at no additional cost. Cross-registration is supported and facilitated by a free bus service among the five campuses and a meal exchange. Additionally, the main library collections are open to all Five College faculty and students. Examples of academic cooperation include two Five College departments--Astronomy and Dance. These departments share faculty, facilities, and courses of the five campuses. There are also a range of Five College programs in fields such as African Studies, African Studies; Coastal and Marine Sciences; Culture, Health and Science; Early Music, Film; and Peace and World Security Studies. Shared centers based at one campus serve the faculty and students at all five in such areas as Women’s Studies, Crossroads in the Study of the Americas, and world languages. The Center for the Study of World Languages, for example, administers a Supervised Independent Language Program (SILP) offering over a dozen less-commonly taught languages.

Academic cooperation comprises faculty exchange, Five College faculty seminars, and collaboration on a wide variety of special projects and performances. The Five College Handbook and the Five College Directory furnish detailed information about the forms of exchange and how to join or form a seminar. The handbook also explains the guidelines for applying to the Five College Lecture Fund to secure supplemental support for one-time events planned on a shared basis. Both publications are distributed free to members of the faculty and staff.
Five College joint faculty appointments enable the schools to offer courses in new and emerging areas such as Asian/Pacific/American Studies and film production. They also serve to encourage inter-departmental planning and curricular coordination. A list of the current joint appointments appears in the *Five College Directory* each year, along with a list of new and visiting faculty at all the campuses.

Cooperative agreements such as the open auditions policy of the theater departments contribute to the lively cultural life of the Valley, as does the online Five College Calendar of Events that lists the many concerts, theater performances, films, and lectures taking place every week at all five campuses. Faculty from the five member schools serve on the editorial board of *The Massachusetts Review*, an award-winning quarterly devoted to literature, arts, and public affairs.

Detailed information about the consortium and the wide range of programs and activities it administers is available on the Five College Web site: [www.fivecolleges.edu](http://www.fivecolleges.edu). To request copies of Five College publications, contact the Five College office: 413-256-8316 or send requests through inter-campus mail addressed to Five College Center.

II. The Faculty Member as Teacher and Advisor

As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly standards of the discipline. They demonstrate respect for the student as an individual, and adhere to their proper role as intellectual guide and counselor. They also avoid any personal exploitation of students, staff, colleagues and others and will not abuse their position as members of the academic profession. They make every reasonable effort to foster honest academic conduct and to ensure that the evaluation of students reflects their true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation of students, staff, colleagues and others for their private professional advantage and acknowledge significant assistance from them. They protect their academic freedom. (Code of Professional Ethics for the Faculty)

A. Faculty Responsibilities in Teaching and Advising

1. Academic Regulations

Every academic year, commencing in 2004-2005, the Office of the Provost publishes and distributes an updated version of the official *Academic Regulations*. Faculty members should refer to this publication on all issues relating to undergraduate academic policies. Among the policies included in this document are the Academic Calendar, Course Management Guidelines, the Grading System, Student Absence Guidelines for Instructors, Academic Honesty, the Academic Grievance procedure, and Dispute resolution.

*Code of Student Conduct*, a separate publication from the Office of the Vice Chancellor for Student Affairs and Campus Life, provides students with specific information
concerning the Code of Student Conduct, Alcoholic Beverage Policy, Hazing Policy, Picketing Code, Family Educational Rights and privacy Act (FERPA) etc.

2. Counseling and Advising Students
In addition to teaching, research, and service, faculty members are normally required to maintain office hours for counseling and advising students in their respective academic departments. The schedule and number of hours faculty members dedicate to counseling and advising is usually determined by the academic department head or chair. For non-academic matters, faculty are encouraged to consult with, or refer students to, the Dean of Students Office, tel. 545-2684.

3. Teaching Courses
Faculty teach a wide variety of courses, according to specific disciplinary needs. Among the different types of courses are lectures, labs, discussion sessions, internships, independent studies, honors, etc. Teaching is the primary mission of the faculty. Specific teaching loads are set at the departmental level. Course assignment is the responsibility of the department's head or chair, subject to the approval of the dean.

4. Course Requirements, Term Papers, and Examinations
All major course requirements, including texts, papers, and examinations, should be clearly indicated to students at the beginning of the semester. If there are changes, announcements should be made so that all individuals enrolled in the course are informed. Final examinations normally do not exceed two hours, and are scheduled at the end of the term. They should be held at the time and place designated in the official schedule of examinations, and may not be scheduled during the last week of classes unless they are cumulative and a section test is given that week.

If a student is absent from a midterm test because of illness, death in the family, or an equally compelling cause, the absence is not counted against the student's record. The decision to waive the test or give a make-up test is made by the instructor. A student who is absent from a final examination or has not completed other major requirements should have a grade of Incomplete reported if the student has made arrangements with the instructor and could pass the course. Records of arrangements to complete the course should be maintained in the department office. Without prior official notification of absence or reason for missing major work, a grade of F may be reported for the student.

5. University Policy on Class Absence for Religious Observances
Instructors must accept a student's assertion of the need to be absent from class for religious reasons, but students are required to notify instructors in advance that they will miss class in order to observe a religious holiday. University policy and Massachusetts state law require faculty to offer make-up assignments or exams to students who are absent for religious observance. Students planning to be absent from classes due to religious observance must notify their instructors at least one week in advance. In the event of a dispute between a student and a faculty member, either party should contact the department head or the Ombuds Office at (413) 545-0867. As an aid to curriculum planning, the campus publishes a list of major religious observances for the academic
year. Please note that several religious observances begin at sundown of the previous day. This list is not exhaustive.

6. Course Numbering System
Courses at the University of Massachusetts Amherst are numbered according to level. Undergraduate courses range from 100s to the 400s; courses open to both undergraduate and graduate students carry numbers in the 500s; and graduate courses range from the 600s to the 800s. Graduate students outside the offering department may enroll in 400 level courses for graduate credit, but those inside the offering department may not. Some are standard across all departments, e.g., Independent Study courses all end in the digits 96, Special Topics in 97, master’s thesis credits are numbered 699, and doctoral dissertation credits are numbered 899. Specific departments may, at their own discretion, impose additional systematic features on course numbering.

7. Permanent and Experimental Courses
The course approval process is overseen by the Faculty Senate. For a course to be offered, it must first be approved as 1) a permanent course, or 2) an experimental course. (If the course is also to carry General Education credit, it must go through the additional approval step described below). Complete procedures for proposing courses are described in the Consolidated Approval Procedure Guide, which is available at the Faculty Senate website or at the FS Office, Room 104, Hampshire House, tel. 545-3611.

Permanent Courses. Adding a new course to the curriculum requires a written proposal which must be reviewed and approved by the departmental curriculum committee, the department chair or head, the school or college curriculum committee, the dean, the appropriate Faculty Senate Committee (the Academic Matters Council for undergraduate courses and the Graduate Council for graduate courses), the Faculty Senate, and the Provost's Office. Cross-departmental courses must be approved by the appropriate departmental committees, chairs or heads, and so forth. Although there are many steps in the approval process, Senate guidelines ensure prompt action at each review level.

Experimental Courses. To provide the opportunity for departments to introduce new and innovative courses, the Faculty Senate mechanism requires using course numbers ending in the digits 90, with the first digit representing the level of the course (e.g.,190, 390, 690). An experimental course requires approval of the appropriate departmental curriculum committee, the department chair or head, and the dean. The Secretary of the Faculty Senate then forwards it to the Provost's Office for final approval. This way, experimental courses may be scheduled with little delay. A specific experimental course may be offered no more than three times.

8. General Education Designation
General Education requirements are organized into the broad areas of the Social World, the Biological and Physical World, and Basic Mathematics and Analytic Reasoning. Within the Social World, students complete courses in arts and literature, historical studies, and social and behavioral sciences. Social World and Interdisciplinary courses may also fulfill social and cultural diversity requirements. All General Education courses
must meet certain criteria, described in *General Education Requirements, University of Massachusetts Amherst* available from the Faculty Senate website or FS Office. Forms and instructions for proposing courses for General Education designation are also available from the Faculty Senate website.

9. Grades
It is the responsibility of each faculty member to submit student grades at the appropriate time, according to the schedule published by the Provost's Office at the close of each semester. The timely submission of grades is necessary for advising students and for maintaining accurate, up-to-date academic records by the Office of the Registrar. Faculty members are urged to turn in grades as soon as possible after the last day of classes or after the final examination, and not to wait until the final day.

a. Grading System
Grades carry the following interpretation and confer quality point values per semester hour:

A = Excellent 4.0 points; A- = 3.7 points; B+ = 3.3 points; B = Good 3.0 points;
B- = 2.7 points; C+ = 2.3 points; C = Average 2.0 points; C- = 1.7 points;
D+ = 1.3 points; D = Passing (but not satisfactory) 1.0 point; F = Failure 0.0 point;
Inc = Incomplete 0.0 point

Other grade symbols not included in the Quality Point Calculations are:
P = Pass. P grades are not included in the computation of semester averages. They are added to graduation credits.
SAT = Satisfactory. Used for graduate students in graduate level courses. They are not included in the computation of semester averages. They are added to graduation credits.
Y = Year-long course
W = Withdrawn
Cr = Credit Satisfied

For specific policies regarding Incompletes, please refer to *Academic Regulations*.

University graduation requirements for a baccalaureate degree include the completion of a minimum of 120 credits, 45 of which must be completed in residency, and a cumulative average of at least C (2.0).
Other requirements may be established by individual academic units for specific degrees.

b. Changes in Grades
Following the report of a final grade to the Office of the Registrar, any request for a change in the grade should be made by the instructor of the course. The request for a change of grade must be accompanied by the instructor's statement of the reason for the change.

10. Books and Supplies
The University Store, on the concourse level of the Campus Center, and its extension, the Textbook Annex, located in the Physical Plant Building, maintain a large inventory of books and art materials as well as school and office supplies. They also offer computers, software and peripherals, and imprinted UMass products. The Textbook Annex is the
contracted bookstore for all course materials. UMass faculty and staff are entitled to a 10% discount on most merchandise sold at the store. Please see the store for exceptions.

11. Print and Copy Services
Print Services provides competitively priced and conveniently located copying and printing services to the campus. Services include full color digital printing and copies, low and high volume copy jobs, manual or electronic job submission, document scanning and storage, and finishing work such as binding, collating, punching, etc. Print Services also coordinates and facilitates the mailing of printed materials through Mail Services utilizing state of the art addressing and mail preparation techniques in the most cost effective manner. Faculty are encouraged to contact Print Services for consultation and services at the production facility in room 151 Whitmore Administration Building or through Office 2 Office Customer Service at 545-3071.

12. Creative Services
Creative Services offers comprehensive services for the production of effective print and electronic publications, including: writing and editing; composition and layout; graphic design; photographic imaging; managing printing contracts; and overseeing the campus¹ visual identity. For more information, see www.umass.edu/creativeservices

B. Support for Teaching and Advising

1. Center For Teaching
The Center for Teaching, formally established in 1989, offers opportunities and resources for professional development in teaching to enable student learning. Faculty members can use the Center's range of services to assess, enhance, and document their efforts as teachers. The CFT's activities are wide-ranging: consultations with individual faculty and departments; award programs; teaching assistant training; annual campus-wide events; fellowship programs; resource development and dissemination; and research and funded grants. Key activities include:

Teaching Consultation: The CFT offers opportunities for individual faculty as well as entire departments to examine their teaching. Consults can be short-term, or can include a more comprehensive analysis through classroom visits and videotaping; midterm student feedback through questionnaires or student interviews; data analysis; and course materials review.

Midterm Assessment Project: All faculty at the University, including newly hired faculty, are eligible to obtain confidential student feedback on their teaching at mid-semester through either a small-group interview process or a questionnaire. Interviews and questionnaires can be modified to target specific interests of individual faculty members, such as student response to the use of classroom technologies.

Campus-wide Events: Each semester, the CFT brings faculty members together in an ongoing series of campus-wide workshops, conferences and seminars to discuss teaching,
learning, and faculty development issues with noted experts and with one another. Annual events include the New Faculty Orientation, the Deans and Chairs Conference, the Tenure Preparation Seminar, the Teaching Assistant Orientation, the Faculty Writing Retreat, and the Celebration of Teaching Dinner.

Teaching Assistant Training: In addition to TA Orientation, the CFT assists faculty who mentor TA’s and provides opportunities for teaching assistants, including “From Graduate Student to Faculty Member,” a yearlong teaching development seminar that helps prepare graduate students of color for academic careers. Participants attend several seminars and work closely with a faculty mentor on research, teaching, and faculty development issues.

Teaching Awards: The Provost’s Office and the CFT manage the selection process for the annual Distinguished Teaching Award for faculty and TA’s, and the College Outstanding Teaching Awards. The CFT also sponsors the University’s nominations for national teaching awards such as the U.S. Professor of the Year Award and the Robert Foster Cherry Award for Great Teaching.

Professional development in teaching is further supported by several fellowship and grant programs. They include:

Lilly Teaching Fellows Program: This competitive annual fellowship program provides eight junior faculty with an opportunity to focus on issues of teaching and learning during the academic year, and pursue a teaching-related project such as the design or substantial redesign of a course. The fellows participate in an annual retreat and bi-monthly seminars, observe outstanding teachers in the classroom, and work closely with senior faculty mentors as well as the CFT’s Director.

Teaching and Learning in the Diverse Classroom (TLDC) Program: In this competitive annual fellowship, instructors participate in a collegial forum to explore and implement diversity-related pedagogical initiatives. Fellows may be selected from the same department/program as a group or as discipline-related pairs in an interdisciplinary cohort. Fellows participate in an annual retreat, bimonthly seminars, intensive workshops, and individual projects. Department teams often complete a team project as well.

TEACHnology Fellowship Program: This competitive annual fellowship program helps senior faculty apply the capacities of technology to teaching and learning, particularly at the undergraduate level. Fellows participate in an annual retreat, bi-monthly seminars, develop individual projects, and work collaboratively to implement instructional technologies effectively in their classrooms.

Faculty Grants for Teaching: The Provost’s Office and the CFT sponsor the Faculty Grants for Teaching Program to encourage faculty to explore new and improved approaches to instruction. The CFT coordinates the annual grant process and meets with grantees to provide assistance in the completion of their projects.
PMYR Grants for Teaching Innovations: Faculty who participate in the University’s Periodic Multi-Year Review Program are eligible to apply for grants of up to $3000. These funds can be used for projects that support innovation in teaching or match college development funds for teaching innovations. The CFT also provides individual consultation on each project.

In addition to offering these programs, the CFT houses a Multimedia Lab with both PC and Mac-compatible equipment. The lab is available on a drop-in basis for faculty who are developing technology-related teaching projects through the CFT, and technology support and individual consultation are available by appointment.

The CFT also maintains an extensive circulating library of print and video resources on teaching issues and practice, provides annotated bibliographies and videographies on teaching and learning, and publishes several popular resources including *The Handbook for Teaching Assistants* and *Preparing a Teaching Portfolio*.

Additional information on the CFT’s programs, services, and resources is available online at [www.umass.edu/cft](http://www.umass.edu/cft).

2. Undergraduate Advising and Academic Support Center (UAASC)
609 Goodell Building, (413) 545-6493
The Undergraduate Advising and Academic Support Center (UAASC) is a university-sponsored unit incorporating a variety of academic programs and student support services. Our primary mission is to collaborate with the faculty and deans of the university’s undergraduate schools and colleges to provide a comprehensive academic advising unit for undergraduate students. We serve students who have not yet declared a major and wish to explore the wide array of academic programs and opportunities at the University, before committing to an academic field of study. Academic advising services are integrated with counseling services and specialized academic programs to enhance our students’ intellectual growth, personal development, and academic success. The Bachelor's Degree with Individual Concentration (BDIC) program, for students wishing to work with faculty to design their own interdisciplinary majors, is an affiliated unit to UAASC.

The academic programs and support services units encompassed in UAASC are described below. The director of UAASC is an associate dean in Academic Affairs, and is also the director of Pre-Major Advising Services.

3. Pre-Major Advising Services (PAS)
615 Goodell Building, (413) 545-2191
Students who have not yet declared or been admitted to a major are considered to be in a "pre-major" status, and receive advising and undergraduate dean services through Pre-Major Advising Services. Our students are served by academic advisors, who are members of the University professional staff or graduate teaching assistants. The undergraduate deans in PAS have authority to make decisions concerning academic discipline and requests for exceptions to academic regulations.
PAS advisors assist students in making informed choices about campus programs and course selection, forming academic plans to meet short and long-term goals, and identifying other resources at the University. PAS provides advising during new student orientations, assistance with course registration, help with applications to limited-access majors, and guidance about programs with pre-major tracks. The undergraduate deans and advisors in PAS coordinate efforts with the specialized programs for ALANA students, agencies for students with disabilities, and others providing student support services (i.e., varsity athletes), to provide a cohesive framework for decision making and referral.

PAS advisors help identify problems that are interfering with a student’s academic success, and support the student's development. Advisors and deans help students make decisions about coping with academic difficulties (i.e., cumulative average below 2.0), and answer questions about petitions for exceptions to academic regulations (i.e., late withdrawal from a course, appeals regarding academic discipline actions).

Each year PAS co-sponsors a *Majors Fair* giving students easy access to information about a wide variety of departments and programs on campus. The fall semester *Window of Opportunity* event and winter’s *Declare Your Major Month* are other featured activities that facilitate student access to advising resources. Students are encouraged to schedule an appointment, to take full advantage of our personalized services.

**4. Opportunities for Academic Success with Individualized Support (OASIS)**

607 Goodell Building, (413) 545-6617

Opportunities for Academic Success with Individualized Support (OASIS) by Pre-Major Advising Services is a first-year experience designed to meet the needs of undeclared students with a variety of learning profiles. During the fall semester, a one-credit seminar is offered to help students make a smooth transition to UMass, provide opportunities to develop academic skills, behaviors, and attitudes necessary for success at the University, and create opportunities for students to work closely with an academic advisor.

Depending upon staff availability and demand for services, students may be linked to an experienced advisor who can provide academic support sessions for basic skills that would be useful in many courses that meet General Education Requirements (especially mathematics and physical sciences).

In addition to providing students with the personal tools and strategies to foster academic success, OASIS helps them become proactive in their learning experience. Students thereby expand their awareness and utilization of University support opportunities, increase their confidence and ability to interact productively with academic advisors and professors, and enhance academic and life skills.

Through OASIS, PAS advisors respond to students who have stumbled in their academic careers. By developing a comprehensive approach, they aim to catch problems early in the freshman year and intervene before a student becomes subject to academic discipline.
Interested students should meet with a Pre-Major advisor to learn more about OASIS.
5. Domestic Exchange and Five College Interchange Programs
614 Goodell Building, (413) 545-5351
These programs extend a student's educational opportunity beyond the Amherst campus. The Five College Interchange Program gives University students chances to experience a smaller classroom setting and participate in a wide range of academic programs offered at four local liberal arts institutions (Amherst, Hampshire, Mount Holyoke, and Smith colleges) at no extra cost. Through the National Student Exchange Program, undergraduates can experience a different geographical and academic setting at one of the 170 participating colleges and universities across the country. And through the University of Massachusetts Undergraduate Exchange, students can attend University of Massachusetts campuses in Boston, Lowell, or Dartmouth. These programs offer UMass students a distinct opportunity to learn with other faculty and students, while taking advantage of the many academic and cultural programs that are offered locally and nationally.

Students interested in participating in these programs should contact the Domestic Exchange Program and Five College Interchange Program Office for information and advice.

6. Counseling and Assessment Services (CAS)
123 Berkshire House, (413) 545-0333
Counseling and Assessment Services (CAS) provides a broad spectrum of clinical and skills-related services to all students at the University. Services include psychological counseling and therapy, diagnostic assessment, career counseling, biofeedback, and stress management.

Diagnostic assessment services are available for students who are experiencing academic and learning problems. Comprehensive testing can document or rule out the presence of Learning Disabilities, Attention Deficit Hyperactivity Disorder, and a variety of psychological disorders. Students who go through such learning assessments receive a written report of test findings, a diagnostic conclusion, and an individualized set of recommendations specifically tailored to campus resources. There is a fee for these diagnostic assessment services; a variety of payment options can be discussed at the time of referral.

CAS provides case management and academic support for students with psychological disabilities. Case management services include assistance with procuring reasonable accommodations, time management and study skills assistance, assistance in setting academic and personal goals, referrals to other support services, and liaison with other mental health service providers.

Intakes for counseling appointments and for assessment information can be made by calling 545-0333 or by visiting 123 Berkshire House. Information sessions for psychological disability services may be scheduled by calling 577-2457 or visiting 117 Berkshire House.
7. English as a Second Language
308B Bartlett Hall, (413) 545-4210
The mission of the English as a Second Language Program is to help matriculated non-native speakers of English attain near-native fluency and competency in formal academic English. On a space available basis, international students and students participating in university-sponsored exchange programs can take advantage of our courses. ESL courses focus on writing, reading, speaking, and listening skills as well as on grammatical accuracy. Undergraduate students receive grades and credit toward graduation for these courses. To enroll, students must first take the ESL Placement Test. Dates and locations of this test are available by contacting the ESL Office.

Anyone desiring information about the program or its courses should visit or call the ESL office. Additional information is available at www.umass.edu/esl.

8. Learning Support Services

Located on the tenth floor of the W. E. B. Du Bois Library, LSS offers peer tutoring in many general education and required courses considered difficult by first and second year students. Tutoring is available on a walk-in basis and students can easily access the tutoring schedule either online at the LSS website (www.umass.edu/lss) or by calling (545.5334).

Supplemental Instruction, student lead review sessions, is offered for a specific section of a course. Supplemental Instruction leaders are achieving students who have successfully completed the course. In collaboration with faculty, LSS trains leaders to hold 75-minute twice weekly review sessions at LSS. Leaders are model students who have learned to include time management, test taking strategies and organizational tips along with course content.

LSS also provides a small computer lab with 15 PCs, 5 IMACs and 5 plug-in ports. Although frequently in use for tutoring, UMass Amherst students are welcome to use available computers during hours of operation. LSS is open five afternoons a week until 9 PM (1 – 9 PM Monday through Thursday; 5 – 9 PM on Sunday). In addition, video-viewing facilities are available at LSS for viewing videos that support course work.

9. ALANA Support Services

The Bilingual Collegiate Program (BCP), the Committee for the Collegiate Education of Black and Other Minority Students (CCEBMS), the United Asia Learning Resource Center (UALRC), and the Native American Student Support Program (NASSP) provide support services to ALANA (African-American, Latino, Asian-American, Native American) students on campus. Services include tutorial support, peer mentoring and counseling, advocacy, and general student support and counseling. The support programs work with campus cultural centers to provide an array of student services that emphasize student success for students from varying cultural backgrounds. The programs also assist
in the recruitment of students of color and assist with a number of local and regional outreach efforts in elementary, middle, and secondary schools.

10. Academic Instructional Media Services

Academic Instructional Media Services (AIMS) is a campus wide support service providing educational media/AV classroom support and video services. AV classroom support consists of Equipment Loan and Technical Support. Equipment loan is located in Goodell 302. Delivery and/or user pick up of a wide variety of contemporary media equipment can be requested by calling 545-5765. Located in Goodell 205, Technical Support services include training faculty users in presentation technologies such as auditorium projection systems and portable data projectors. Technical Support also provides repair and maintenance of university-owned AV and video equipment and can be reached at 545-5767.

AIMS Video Services, with offices in the Photo Center building, provides a wide variety of video recording, duplication, taping/production and video conferencing services at national award winning levels. AIMS Video Services includes the UMATV television studio, with Academic Channel 15 in Herter 21 and video conferencing classroom (DL-1) in Herter 19F. For more information, call 545-3151.

Faculty can find out more about AIMS services by calling 545-3151 or online at www.umass.edu/aims.

11. Professional Education for Engineering and Applied Science

The Professional Education for Engineering and Applied Science Program acts to raise the level of expertise among existing engineers and information technology professionals to improve their productivity and creativity. With over 100 courses offered per year, students from industry have the opportunity to acquire state-of-the-art education and training by enrolling in individual graduate, undergraduate, or non-degree courses at their own locations. Professional Education averages a thousand course enrollments per year, shipping CD-ROMs, DVDs, and VHS tapes to students around the globe. In addition, the program broadcasts over 1,200 hours of instruction via its satellite uplink, providing corporate and industrial students with the opportunity to benefit from live instruction.

The Professional Education Program participates in the Association for Media-Based Continuing Education for Engineers (AMCEE) and the National Technological University (NTU). AMCEE is a consortium of 33 schools and colleges of engineering that offer education to engineers in a variety of settings world-wide. NTU provides graduate degree programs in engineering and information technology. A charter member and primary contributor to NTU, Professional Education offers courses from the College of Engineering's departments of Electrical and Computer Engineering and Mechanical and Industrial Engineering. Also offered are courses in Computer Science, Mathematics, and Public Health. All of these semester-length courses can be taken on a credit-free basis or for regular University of Massachusetts credit. By enrolling in a graduate degree program, one may earn a Master of Science degree in Computer Science, Electrical and Computer Engineering, or Mechanical and Industrial Engineering.
C. Multi-disciplinary and Pan-Campus Activities

1. Commonwealth College
Commonwealth College is the honors college at the University of Massachusetts Amherst. The honors college offers a variety of educational, service, social and advising opportunities to support its over 2,500 academically talented students. Commonwealth College is a campus-wide program; students from all majors in every college are eligible to join the honors college.

Love of learning lies at the heart of Commonwealth College. The curriculum of the College emphasizes inquiry and facilitates critical analysis, independent research, collaborative work, and effective communication skills. Consistent with the land-grant mission of the University, Commonwealth College also promotes engagement with society. The College affords its students many opportunities for engagement through a variety of academically-based opportunities including internships, co-ops, experiential learning courses, leadership training and community service learning courses. The College also promotes student leadership through specific leadership courses, through its speaker series and alumni mentoring/shadowing programs, and by encouraging student participation in College activities including peer mentoring, committee work and activity planning.

Honors students experience the advantages of a small college and the wide-ranging opportunities of a nationally recognized research university. The College encourages students to undertake research and supports their efforts by helping to identify faculty mentors, teaching thesis workshops, and offering research fellowships for financial assistance. Recently, the College established a Center for Research Literacy which focuses on developing resources for faculty to use in the classroom and collaborates with the W.E.B. DuBois Library to offer students tools to improve their research skills. The College also offers a lecture series that brings distinguished visitors to the campus to speak on selected national issues, publishes a newsletter, sponsors service projects and student gatherings, and administers a competitive awards program.

First-year honors students may select from several residential options such as theme-based honors learning communities in the Orchard Hill Residential Area, the Talent Advancement Programs (TAP) in the Southwest Residential Area, and Thatcher Language House.

Advising
All students in the College are encouraged to meet regularly with a Commonwealth College adviser, as well as with an adviser in the department of their major. Faculty, staff and peer advisers are available to assist students with questions or concerns they have as they progress through their academic careers. This includes advice on honors course selection; how to integrate their honors requirements with their major department, academic college and other University requirements, study abroad and community
service; and referral information about other services. Graduating honors students may request a letter of recommendation for prospective employers and graduate schools.

Each department of a student’s major has a departmental honors coordinator who advises students on the subset of requirements associated with departmental honors. Advising concerning other academic matters (e.g., late course adds, late course drops, credit limit increases) is handled through the advising office of the student’s academic college.

The College’s Office of National Scholarship Advisement (ONSA) assists eligible students applying for national competitive fellowships such as the Rhodes, Marshall, Fulbright, and Truman Scholarships. ONSA advises students on requirements, qualifications, personal statements, and the interview process.

The Curriculum
The honors curriculum includes entirely enriched honors courses, colloquia, interdisciplinary seminars, independent study, service learning, and a culminating experience requirement. The culminating experience is a six-credit activity that may range in scope from the more traditional thesis to approved capstone courses to projects involving synthesis of academic study, guided reflection and experience gained through community service, study abroad, or internship.

Community service learning (CSL) is a core value of Commonwealth College. Many honors courses have community service built into the coursework; examples include American Popular Culture and Violence in American Culture. Several courses focus on mentoring and tutoring opportunities, including mentoring youth of color, mentoring middle school youth, and tutoring young people in low-income housing cooperatives. Students may add a CSL component to any course in the University through a one- to two-credit CSL Honors Independent Study. First-year students may apply to participate in IMPACT, a CSL residential learning community. The Citizen Scholars Program offers scholarships and leadership training for students engaged in challenging work linking academics and community outreach. The University of Massachusetts Amherst Office of Community Service Learning at Commonwealth College promotes and coordinates honors and non-honors service learning opportunities that link theory with practice to enhance the learning of academic material and the practical understanding of society, citizenship, and community.

Honors Requirements
All students who complete Commonwealth College requirements will graduate as Commonwealth College Scholars. These requirements include a GPA of 3.2 or better, foundation skills, honors courses, and a culminating experience. To graduate with higher Latin honors students must attain a minimum GPA of 3.5 for magna and 3.8 for summa cum laude. Cum laude will be determined by GPA and residency credits alone. Note: to graduate with any level of honors a student must complete 45 graded credits in residence. Departmental or Interdisciplinary Honors are awarded in addition to Commonwealth College and Latin honors. Specific requirements vary depending on a student’s major.
Commonwealth College students must satisfy foundation requirements in three areas. The writing requirement is satisfied by completion of the General Education College Writing requirement (ENGLWP 112H or 113H or exemption). The oral communications requirement is performed through successful completion of the three-credit Dean’s Book seminar series.

A minimum of eight honors courses must be completed with grades of B or better. These ten honors courses must include: College Writing (ENGLWP 112H or 113H); two other General Education courses, one of which must have an Interdisciplinary (I) designation, in addition to the Dean’s Book series which also carries the General Education “I” designation (students must complete three one-credit seminars, Honors 191D, 291D and 391D). Three of the ten honors courses must be at the 300-level or above, of which two must comprise a six-credit culminating experience ending in a 499-numbered course.

Accommodations may be made for those entering the College after the freshman year. Under no circumstances will the Dean’s Book requirement or the culminating experience requirement be waived. Students who transfer into Commonwealth College having completed an associates degree through a certified Commonwealth Honors Program are recognized as having completed the first two years of their Commonwealth College requirements.

Students are encouraged to integrate international study, internships, cooperative education, and service learning into their honors experience. Portions of this work may be approved as substitutions to fulfill honors course requirements. For details, call or visit the Commonwealth College office.

2. Bachelor's Degree with Individual Concentration (BDIC)
BDIC is a program that allows students to design their own interdisciplinary major under faculty guidance. Graduates are awarded either a B.A. or B.S., with Individual Concentration in their chosen field. In developing their concentrations, students may combine courses from departments or schools within the University and from among the Five Colleges, as well as undertake independent study and/or participate in internship opportunities.

3. International Programs
The International Programs Office (IPO) encourages and supports activities and programs in international education and cooperation, involving faculty, staff, and students. Among IPO’s various activities are the following:

Foreign Students and Scholars: Within IPO, the Office of Foreign Students and Scholars provides many services including counseling on immigration requirements, authorization of U.S. visas, advising and assisting with housing, health, finance, and academic and personal concerns. IPO also provides up-to-date information on employment issues and on government regulations. The office holds an orientation program at the beginning of each semester for all new foreign students. (See VI, B, 6 regarding employment of non-citizens.)
Overseas Study and Exchanges: IPO is strongly committed to providing study abroad opportunities for a wide range of students and to enhancing the academic life of the campus by promoting study, work, and internships abroad. Working closely with faculty and the administration, IPO coordinates and administers over fifty overseas study programs, many of them full-year reciprocal exchanges, in virtually every major world region. For information on faculty opportunities abroad, see IV, G.

4. Departments of Military Leadership and Aerospace Studies
Courses of study in both departments are integrated with University curricula leading to a bachelor's degree. Faculty members are approved by the Provost upon recommendation by the Military Affairs Subcommittee of the Faculty Senate. Upon successful completion of University degree requirements and the required AirForce or Army Reserve Officers' Training Corps programs, graduates are commissioned as officers in the respective military service. (Note: The AFROTC program is scheduled to be terminated in summer, 2007)

D. Teaching and Advising Awards and Recognition

1. The Distinguished Teaching Award.
The Distinguished Teaching Awards recognize the highest excellence in teaching. The annual awards (three to faculty and two to graduate student teachers) consist of a cash prize, a plaque, and inclusion on the Distinguished Teaching award monuments located in the Campus Center. The program is administered through the Office of the Provost.

2. College Outstanding Teacher Award
The College Outstanding Teacher Awards recognize excellence in teaching and honor individual faculty members for their teaching accomplishments. This program expands, at the college level, the recognition of teaching already provided by the Distinguished Teaching Awards. Each college and school selects outstanding faculty members for recognition.

3. Outstanding Academic Advisor
The Outstanding Advisor of the Year award recognizes excellence in advising and honors accomplishments and commitment as an advisor. One faculty member and one staff member are recognized each year. The annual award consists of a cash prize and a plaque, and is administered through the Provost's Office.

III. The Faculty Member as Scholar and Researcher
Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end, they devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although they may follow subsidiary interests, these interests must never
seriously hamper or compromise their freedom of inquiry. (Code of Professional Ethics for the Faculty)

A. Support for Research and Scholarly Work

1. Library System
The Library System provides support for teaching and research through collections and services in the W.E.B. Du Bois Library, science libraries, Music Reserve Lab, and its web site, the UMass Amherst Digital Library. An extensive collection of electronic services and resources is available 24 hours a day at http://www.library.umass.edu.

The W.E.B. Du Bois Library houses materials in the social sciences and humanities as well as the Government Documents, East Asian, Map, and Law Collections, and Special Collections and Archives, where the W.E.B. Du Bois Collection is located. A reserve reading room and multimedia reserve collection are located on the third floor. Most of the science collection is found in the Biological Sciences Library in Morrill Science Center, and the Physical Sciences and Engineering Library in the Lederle Graduate Research Center.

Present library holdings number more than 5.7 million, including books, scholarly journals, newspapers, maps, musical recordings, and government documents. Numerous periodical indexes and full-text databases are available electronically. A current UCard, the University photographic I.D., serves as a library card.

The Five College library catalog provides electronic access to the libraries at the University and the Four Colleges (Amherst, Hampshire, Mount Holyoke, and Smith colleges). It is the current record of the collections and provides a variety of ways in which to access library holdings information.

The University Library System is a depository for U. S. government publications; it also receives several categories of publications from the United Nations and houses publications of the Commonwealth of Massachusetts. The Physical Sciences and Engineering Library is an official U.S. Patent and Trademark Depository Library.

Reference librarians are available in person, online, and by telephone to answer questions and provide assistance in using the collections. A virtual reference service provides 24/7 reference librarian assistance in real time via the web. The librarians can supply information on course-related library instruction, database searches, interlibrary loan, document delivery, and the services available through the University Library System’s membership in various library consortia. Librarians, in consultation with interested faculty, offer group instruction sessions in the Library’s electronic classrooms.

Faculty members interested in particular aspects of the library collections are invited to contact the appropriate subject specialist librarian. The librarians serve as liaisons between the library and the academic departments and programs. Enrichment of library
resources and facilities is the mission of the Friends of the Library, an organization open to all who share these concerns.

Through Five College cooperation, faculty, students, and staff at the University have direct borrowing privileges at the main library of each institution. A messenger service makes daily deliveries of interlibrary loans among the Five College libraries.

2. Office of Information Technologies
The University offers centralized computing and telephone services through the Office of Information Technologies (OIT). Many of the areas within OIT provide services directly to faculty, staff and students. Others work in the background to keep these resources reliable and up-to-date.

The OIT Web site (http://www.oit.umass.edu) provides access to online documentation and contact information for all OIT services. Specific information about OIT services for faculty is available at http://www.oit.umass.edu/guides/faculty.html

OIT Computing and Telecommunications Services
OIT Accounts are available at no extra charge to the faculty, students and staff on the UMass Amherst campus. All matriculated students are required to activate their OIT Account and use their OIT email (a.k.a. UMail) to receive official University communications.

The following services are included with every OIT Account:

- Access to the Internet on campus via Ethernet from all public classrooms, all OIT computer classrooms, and most campus buildings. There is also an ever-growing number of buildings on campus with wireless access. From off campus, faculty can connect to the Internet via OIT’s high-speed modem bank.
- Email service is provided through OIT’s IMAP-based UMail system. Features of UMail include enhanced security, access to email via a browser (UMail on the Web), and spam filtering.
- Personal Web sites are available to all faculty, staff and students. These sites have 100 MB of file space that may be used to store Web pages or other files. Faculty can also request additional Web sites for each of the courses they teach (see “Public Course Sites” below).
- Free anti-virus software is available for installation on computers. OIT also scans incoming email for viruses, blocking infected messages.
- Access to computers in public computer classrooms and email kiosks. Classrooms and kiosks are located in LGRC, the W.E.B. Du Bois Library, and many other buildings across campus. Faculty may reserve a computer classroom if students need to access to computers during class time.
- Access to UMass WebCT courses. The OIT Account provides access for faculty and students using the WebCT course management software.
- Remote access to library databases. The OIT Account provides access from off-campus to the extensive collection of online databases and journals provided by the library.
UNIX shell & applications (OITUNIX). Faculty who are interested in working in the UNIX shell environment or running host-based applications, can access OIT’s UNIX systems via SSH (Secure Shell).

Telecommunications services do not require an OIT Account. OIT Telecom maintains the campus phone system and provides support for people using campus telephones, the voicemail system, long distance service, and cellular communication services. Details about telecommunications services are available at: http://telecom.oit.umass.edu/

Getting Help with Computing and Telecommunications Services
After the OIT Web site, the OIT Help Desk is the next place to go to get help with computing services and supported software. Help Desk Consultants are available for walk-in, telephone and email consultations and are backed up by a sophisticated “trouble-ticket” system that tracks your requests and ensures that they are resolved. Any questions that can’t be answered by Help Desk Consultants will be referred to other specialists in Software Support, Hardware Support, LAN Support or one of the other areas in OIT. Access the Help Desk online through http://www.oit.umass.edu/help.html. For help with telecommunications services, “Telephone User Group Representatives” (TUG Reps) are volunteers that act as liaisons between departments and Telecommunication Services. TUG Reps help with issues such as telephone problems or requests for additional services. To find the TUG Rep for a specific department, go to: http://telecom.oit.umass.edu/tug_rep/

Instructional Technology Services for Faculty
Faculty can get specialized help from OIT when they are incorporating technologies into their teaching and research by contacting Academic Computing (www.oit.umass.edu/academic/). Academic Computing provides direct support to faculty in the following areas:

- OIT Computer Classrooms can be reserved faculty need their students to have access to computers during class time. There are eleven classrooms on campus; each can accommodate about 20 students. Both Macintosh and Windows platforms are available. The standard software suite in the classrooms includes common packages as well as specialized software See www.oit.umass.edu/classrooms/ for more details.
- OIT’s Video Conferencing Classroom can be connected to similar classrooms in the Five College system or anywhere in the world with compatible equipment.
- WebCT Course Sites use the WebCT course management system to simplify the process of posting course-related content on the Web. WebCT sites can also include online learning activities such as quizzes, bulletin board discussions, and areas where students can post their own work. Students use their OIT Account to log in to WebCT courses. WebCT rosters are automatically updated through the registrar.
- Public Course Sites are posted on the OITUNIX server using standard HTML software (such as Dreamweaver). Each course can have 100 MB of space for a Web site. Academic Computing provides templates as a jump-start on site design.
- Access to equipment is available through Academic Computing’s Instructional Media and Faculty Video Labs. Standard scanners, slide scanners, video editing
Hardware, and specialized software can be used by faculty developing materials for use in their courses and research. Consultants are available if faculty need help or training.

Getting Help with Instructional Technology

- Consultants in the Instructional Media and Faculty Video Labs are available to help with many aspects of content production: scanning pictures or slides, using image files, developing course sites in Dreamweaver or WebCT, creating PDF files, video editing and other topics. Faculty can make an appointment by calling 545-2823 or emailing instruct@oit.umass.edu.
- Special projects and consulting are available for faculty interested in learning more about a new teaching technology or want some help developing a technology-based tool for their teaching or research. The staff at Academic Computing can help develop ideas, evaluate technology, and make sure that the technology does not interfere with central pedagogical goals.

OIT Behind the Scenes

There are other areas of OIT that do not have a public presence, but work hard to make sure everything works. The Administrative Computing Support Organization (ACSO) supports administrative functions for the campus, including the development and maintenance of the SPIRE/PeopleSoft SIS software. Network Systems and Services (NSS) manages and operates campus-wide data network systems and services.

3. Engineering Computer Services

The Engineering Computer Services (ECS) is a facility that provides computer support for the instructional, research and administrative needs of the College of Engineering. ECS currently provides these services to Engineering faculty, staff, and students (both graduate and undergraduate) who have diverse needs in research, coursework, and administrative computing.

The ECS facility was founded in 1980 with a gift from Digital Equipment Corporation (DEC) of a VAX 11/780 computer. Since its beginning, ECS has experienced a tremendous amount of growth. It now provides hardware, software, and network support for the computing needs of the College.

Computing facilities are now integral throughout the College of Engineering's seven main buildings. These facilities communicate through the Engineering Local Area Network to the main ECS computer facilities which include Unix and Microsoft Windows servers. Centralized Unix computing is provided by Sun and Intel-based computers running the Solaris, Linux, and OpenBSD operating systems. A full time staff of 13 provides system management consulting and maintenance for all of the ECS computing systems as well as providing service to the many departmental and faculty owned computers. Students have access to PC and workstation labs, both during the day and evenings. Internet access allows the students to explore the World Wide Web, and use e-mail.
Two terminal rooms, a workstation area and a PC classroom have been established by ECS to provide students with access to computer facilities. These areas are located in the Marston and Engineering Lab buildings. The workstation area houses 10 Sun SPARC systems to support the VLSI program. This lab is used for VLSI design instruction and general workstation access. The terminal rooms are opened a minimum of 12 hours per day, six days a week (nine hours on Saturday) for use by Engineering students. Access to laser printers, and color printing are available from these areas.

A PC classroom was established in 1987. This area was recently upgraded and now contains fortyeight Pentium III based PCs and two laser printers. All PCs in the ECS classroom and public terminal rooms are connected to the Engineering Local Area Network and are served through three Sun Solaris file servers. The classroom is available for general use nights and weekends and for scheduled instructional use during the day.

4. University of Massachusetts Press
The University of Massachusetts Press is the book publishing arm of the University. Its primary mission is to publish significant works of scholarship developed by the faculty and other scholars and writers. The Press editorial staff also serves as a source of information and advice to faculty members who are seeking guidance as to how and where to place their manuscripts. Since its inception in 1963, the Press has sold more than one million individual volumes. Today it has over 900 titles in print and produces and markets more than forty new books annually. The imprint of the Press is governed by a faculty editorial board, appointed by the Faculty Senate. Additional information can be found at www.umass.edu/umpress.

B. Support for Scholarship and Research Through the Office of the Vice Provost for Research

1. Internal Grants Program
The Internal Grants Program of the University of Massachusetts Amherst provides approximately $450,000 annually for the purpose of stimulating and developing research and scholarly activities. These monies are made available through multiple peer reviewed competitions throughout the year. The five grant programs are: the Faculty Research Grants, the Biomedical Research Support Grant, the Healey Endowment Grant, the Public Service Endowment Grant, and the Faculty Research Grant for Travel. The first three of these support general purpose research, while the latter two are directed at more specialized activities.

2. Equipment Matching Grant
Many research equipment grant programs have requirements concerning an institutional matching contribution toward the purchase of equipment. The Vice Provost maintains a fund for the purpose of providing support to equipment grant programs that require some form of matching. Requests for matching funds are made at the time of proposal submission and are coordinated as part of the Internal Processing Procedure.

3. Proposal Development Services
In order to enhance faculty success in securing sponsored research funding, the Office of Research Affairs (ORA) offers a seminar series on Successful Proposal Development, which introduces the skills necessary for achieving success in grant development. The seminar is offered once each semester to all faculty. Registration and scheduling information are announced each semester. In addition to the seminars, ORA offers individual consulting services in the areas of sponsor identification, idea development, grant planning, and proposal editing.

4. Sponsor Identification
Basic grant development services center on advising faculty about research funding opportunities. This general activity of sponsor identification consists of two tasks. The first is the recommendation of funding programs in response to unsolicited project ideas. The second is alerting and targeting groups of specific faculty in response to proposal solicitations. Critical to accomplishing these tasks are computer inventories of faculty and sponsor research interests, which comprise the primary information resources of the ORA. A discussion of these systems and their applications follows.

a) Research Interest Profile System
ORA utilizes the Research Interest Profile System (RIPS) to alert faculty to special grant opportunities. RIPS is a catalogue of faculty research interests and specialties as well as recent publication and research activities. In addition to facilitating the distribution of grant announcements, the RIPS information is used to prepare an annual Research Specialty Index to the faculty. The index is distributed both internally and externally to help promote interactions based on common research interests. All faculty are invited to complete the RIPS Questionnaire, which is available from ORA.

b) Research Newsletter and Supplements
The primary publication for the announcement of grant programs is a newsletter, the Research News, compiled monthly from an extensive inventory of sponsoring programs. This database is composed of all continuing programs that have historically supported UMass projects or have been deemed highly suitable for project support. The newsletter is produced based on pending deadlines and areas of concentration, with separate issues in Physical and Life Sciences, Social and Behavioral Sciences, and Humanities and Fine Arts. Programs of a non-recurring or specialized nature are announced through Newsletter Supplements, which are routinely disseminated using the Research Interest Profile System. A no-cost subscription to Research News may be obtained from ORA, tel. 545-3428.

5. Institutional Review and Processing
Before a completed proposal can be submitted to a sponsoring agency, it must be reviewed within the University for compliance with University and agency policies.

a) Office of Grant and Contract Administration
The Office of Grant and Contract Administration (OGCA) is the designated office for sponsored project administration. Providing administrative support services to campus researchers and directors of sponsored projects, OGCA is responsible for the review,
processing and submission of proposals to external sponsors. In collaboration with the campus fiscal services, it ensures conformance with both University fiscal management practices and sponsor's regulations. OGCA is the designated representative authorized to execute contractual agreements and legally bind the institution for sponsored projects.

Indirect Costs
Indirect costs are real costs incurred while performing sponsored activities. These costs are incurred for common or joint objectives and therefore cannot be identified readily and specifically with a particular project or activity. At educational institutions such costs are normally classified under the following indirect cost categories: depreciation and use allowances; general administration and general expenses; sponsored projects administration; operation and maintenance expenses; library expenses; departmental administration and student administration expenses; and student administration and services. Guidelines for the determination of direct and indirect costs are stated in OMB Circular A-21. Current rates are available in the OGCA Fact Sheet. Any variance or waivers must be approved in writing by the Vice Provost for Research.

Cost Sharing/Matching Funds
Some sponsor guidelines or regulations require the Institution to contribute to the total cost of the project. Normally this will be in the form of contributed academic salary, associated fringe, and indirect costs. Cost sharing (either mandatory or voluntary) in a proposal is considered a formal commitment, thus it must be documented and is subject to audit. According to OMB A-110, all cost sharing and matching must be verifiable from the Institution's records.

b) Institutional Review Boards

Regulatory Committees
The University has established a series of regulatory committees to ensure the proper handling of hazardous materials and to guide faculty through the regulatory process. These committees include the Radioisotope Use Committee, which oversees the use of radioactive materials as required by the federal government, the Chemical Hazards Committee, the Biological Hazards Committee, and the Recombinant DNA Biosafety Committee.

Human Subjects
All relevant federal guidelines for the protection of human subjects are strictly enforced at the University. The Institutional Review Board (IRB) for Human Subjects Research Review includes faculty, staff, and external members.

Animal Research
The Director of Animal Care and Campus Veterinarian is responsible for ensuring compliance with all federal and state regulations covering the use of laboratory animals.

6. General Research Services
The University maintains a variety of services in support of research. Some of these are very general and some are extremely specialized. Some of the specialized services offered, in addition to the University Computing Center, are discussed below.

**a. Scientific Glassblowing Laboratory**
Glassblowing services for research projects are available for faculty of all departments of the University. The glassblowing laboratory assists the research community with the design, fabrication, and repair of scientific glassware.

**b. Microanalysis Laboratory**
The Microanalysis Laboratory provides for the analytical testing of materials for their elemental constituents. A list of standard analyses and their price is available from the lab.

**c. Digital Photographic Research Service**
The Digital Photographic Research Service (DPRS) provides an array of custom photographic services to those in the University community who are involved in the creation of computer-generated digital imagery. The DPRS has become a center of expertise for the production of color and black and white image products from a wide variety of graphics and image processing computer systems.

**d. Cartographic Information Research Services**
The Cartographic Information Research Services (CIRS) assists researchers in locating various kinds of maps and other cartographic information from federal, state, and local government agencies and private companies. CIRS staff assist users in the selection of appropriate sources and arrange for delivery to the user.

**e. Central Microscopy Facility**
The Electron Microscopy (EM) Facility provides a complete range of research services in light and electron microscopy, and computer image processing, with special emphasis on biological applications. It also provides increasingly important services through advice and assistance in preparing grant proposals and through a flexible training program for clients wishing to use the instruments.

**f. Environmental Health and Safety**
Environmental Health and Safety provides technical information, training resources, and other safety services to faculty, employees, and students at the University. The biological and chemical safety program monitors laboratory facilities and informs researchers on risk assessment and recommended procedures for safe handling of chemical and biological hazards. The radiation protection program oversees all uses of radioactive material on campus. The hazardous waste management program provides comprehensive pollution control services including collection, storage, and treatment of hazardous waste.

**g. Environmental Institute**
The Environmental Institute assists faculty members and departments in developing and administering environmental research and training programs sponsored by public and
private sector organizations. A primary role of the Institute is to provide public agencies and private firms access to University research and training expertise that involves combinations of academic departments, schools, and colleges. It also assists faculty members and departments in preparing and subsequently administering proposals for projects in which the size and complexity of the effort calls for administrative support not available at the academic department level. The Environmental Analysis Laboratory (a part of the Water Resources Research Center within The Environmental Institute) is a state-certified laboratory that conducts high quality inorganic analyses of water, sediment, or tissue samples. Analytical work is geared toward publicly supported environmental research, management, and monitoring activities, particularly water-related efforts requiring substantial numbers of samples.

C. Research and Scholarship Awards and Recognition

1. Faculty Fellowship Program
The Faculty Fellowship awards are granted for demonstrably outstanding accomplishments in research, scholarship, or creative activity. Selection of recipients is made upon recommendation of the Research Council to the Vice Provost for Research. The awards consist of one year release time from formal teaching and other duties (to allow a focus on graduate education, research, and scholarship) and a cash award of $3,000.

2. Distinguished Faculty Lecture Series
Founded in 1974, the Distinguished Faculty Lecture Series, formerly the Chancellor's Lecture Series, is a means of recognizing distinguished members of the faculty of the University of Massachusetts Amherst. Through these lectures, outstanding scholars reach a varied audience from the University community and beyond, while serving a wider purpose in celebrating learning, scholarship, and creativity, intellectual values at the heart of the academic enterprise. Each participant in the Distinguished Faculty Lecture Series is awarded the Chancellor's Medal, the highest honor bestowed on individuals who have rendered exemplary and extraordinary service to the University of Massachusetts Amherst.

IV. Faculty Member in Economic Development, Outreach, and Public Service

A. Corporate Relations
Campus and faculty relationships with corporations are important to almost all aspects of campus life. They fund and participate in research, fund student scholarships, hire students for field experience and career opportunities, join advisory boards, license campus technology, hire faculty as consultants, sponsor arts, athletic, and academic events, provide case studies for practicums and capstone courses, and many match the philanthropic contributions of our alumni. The proximity of companies based in Massachusetts make them desirable partners, but the campus reach is international. Several campus administrative and academic offices can help you find corporate partners and sponsors. Most of these offices would also like your help in identifying corporate
opportunities, technology interests, highly placed alumni, and how your research might be of interest to corporate supporters. Offices that facilitate the campus' corporate links in ways that are of particular interest to faculty include the Office of Corporate Relations (www.umass.edu/corporate), college and school development offices, the Office of Commercial Ventures and Intellectual Property (http://amherst.cvip-umass.net/), Industry Liaison and Economic Development (http://www.umass.edu/iled), and the Office of Grant and Contract Administration (http://www.umass.edu/research/ogca/).

1. Industry Liaison and Economic Development (ILED)
ILED supports the development of high priority, multi-college/school initiatives with services that include strategic planning, data analysis, conference support, and grant writing assistance. The staff will help faculty identify and cultivate industry partners for federal grant opportunities and maintains corporate research links at targeted companies. This unit is the place to go for information on and access to regional and state economic development initiatives such as the Massachusetts Science and Technology Roadmap, the John Adams Centers of Excellence Program, and the Regional Technology Alliance. The Research Area electronic newsletter, ACCESS, provides updates on research opportunities. Additional information is available at http://www.umass.edu/iled.

2. Office of Corporate Relations (OCR)
The OCR takes a campus-wide view corporate/university interaction in enhancing corporate funding of campus activities. The OCR maintains the campus website www.umass.edu/corporate, a guide for corporations and faculty; sustains relationships with targeted corporations and industry associations; and provides corporate research services to the Development and Outreach staff in each college and their deans. For questions and support, faculty should first contact the Development staff in their college or school.

B. Division of Continuing Education
The Division of Continuing Education provides access to the academic resources of the University for the people of the Commonwealth who are not full-time degree students, for businesses throughout the state and region, and for the online community.

Each year, the Division meets the needs of more than 15,000 people in a variety of programs that include evening and credit courses, University summer and winter sessions, online courses, specialized on-campus and off-campus undergraduate and graduate programs, post baccalaureate programs, a Bachelor of General Studies degree program, second bachelor’s degree programs, independent study courses and internships, specialized credit courses designed to meet the needs of specific groups, noncredit workshops in the areas of the arts, and professional and personal development programs.

The Division's Academic Programs Office offers over 600 courses a year through its evening, winter and summer sessions. These courses serve the needs of many Continuing Education students as well as regular University students when the
University is not in session. The Division does not, however, have its own faculty; instructors are identified and approved by the academic departments.

1. Credit Courses

Each semester, a proposed curriculum is submitted to chairs and department heads. Proposals are submitted in March for fall courses, in August for winter session and spring semesters, and in November for summer sessions. To maintain the high academic standard of the University, all credits offered through the Division of Continuing Education must be approved by the department head and the dean of the appropriate school. Faculty wishing to teach through Continuing Education should contact their department head. Compensation earned through the Division by full-time faculty and staff is subject to current University regulations on additional compensation.

2. Online Courses and Degree Programs

Between 20 and 30 undergraduate- and graduate-level courses are offered online each semester and during summer and winter sessions. Information may be obtained through www.umassonline.net as well as www.umass.edu/contined. Three online graduate programs are also offered: the accelerated P.M.B.A. program for working professionals, the Master of Science Nursing in Community/School Health (designed for advanced-practice nurses), and the Master of Public Health (for practicing professionals with relevant public health-related experiences). Developed and taught by resident University faculty, online courses meet the same academic requirements as traditional on-campus courses.

3. Seminars, Conferences, and Workshops

Conferences, customized training, and various certification programs enable individuals and businesses to upgrade and increase their knowledge in both general and specialized fields.

Noncredit workshops, with their flexible formats, short time commitment, and low cost, offer the public an opportunity to expand their skills, advance their careers, or improve their community or personal lives. Some of these workshops allow faculty to experiment with ideas for future credit courses and offer the opportunity to pursue personal avocations. In addition to noncredit workshops, English as a Second Language classes for visiting faculty and their families, special certificate programs, and cultural trips and tours to fit specific interests or classroom needs are also available.

4. Arts Extension Service

The Arts Extension Service (AES) is a national arts service organization inspired by the example of cooperative extension. Since 1973, AES has extended the
resources of the University to promote access and integration of the arts in communities through continuing education for artists, arts organizations, and community leaders. While most of AES constituents are in Massachusetts and New England, AES programs extend throughout the country and the world with participants from more than 30 states and six foreign countries.

C. University Without Walls (UWW)
University Without Walls (UWW), an alternative program of individualized learning that leads to the baccalaureate degree, was developed in conjunction with the Union for Experimenting Colleges and Universities. UWW abandons the idea of a sharply circumscribed campus and provides education for students wherever they may be--at work, in their homes, through internships, independent study and field experiences, as well as in traditional classes. UWW students are most easily classified as students who would not normally have access to the University and its resources. These are older students with fulltime jobs, women or men with full-time family responsibilities, and students who, for philosophical or logistical reasons, cannot pursue a chosen field of study within present University structures.

D. Cooperative Education
The Office of Cooperative Education in the University Career Center provides a partnership between education and industry, enabling students to combine semesters of classroom study with periods of off-campus employment and training. The office affords students access to hundreds of employer representatives who visit campus each year. Manufacturing, banking, insurance, high technology, tourism, government and private agencies are among the many programs included in Cooperative Education.

E. UMASS Extension
For more than 90 years, UMass Extension has provided educational programs to assist the citizens, businesses, and communities of the Commonwealth in adapting to a world of scientific, social, and economic change. UMass Extension is the Massachusetts arm of the national Cooperative Extension System and a unit of UMass Amherst’s University Outreach division.

The mission of UMass Extension is to improve the health, well-being and security of youth, families and communities; conserve and enhance natural resources; and strengthen agriculture and food systems. We fulfill our mission by utilizing the research and teaching capacity of the University of Massachusetts Amherst to generate and communicate knowledge while creating approaches, methods, and tools for solving problems. UMass Extension links the Massachusetts land grant university with a larger community of people in collaborative partnerships to address issues of fundamental importance to the people of Massachusetts, New England, and the nation.

UMass Extension has programs affiliated with the university’s College of Natural Resources and the Environment and the School of Public Health and Health Sciences. Its five programs are: 1) Agriculture and Landscape; 2) Nutrition Education; 3) Communities, Families and Youth; 4) Natural Resources and Environmental
Conservation; and 5) the Massachusetts 4-H Program. More information on UMass Extension and its programs can be found at www.umassextension.org.

F. International Participation Opportunities
Faculty Research and Teaching Experience Abroad: The International Programs Office (IPO) helps faculty to have professional experience abroad by serving as the campus contact for the Fulbright Senior Scholar Program. IPO also facilitates international faculty exchanges, which permit a change of location personnel action under which faculty may continue to receive their regular salary and benefits while teaching abroad on exchange.

Faculty Administration Abroad: Some Amherst campus study abroad programs offer opportunities for faculty to serve as program director, especially during the summer programs. Arrangements are developed through consultation with IPO and academic departments.

Other International Programs, Outreach: IPO outreach includes arranging programs for visitors from other countries and initiating or assisting with special programs to honor important figures from abroad, as in honorary degree ceremonies, special lectures, and awards ceremonies. IPO also collaborates with the Massachusetts Council for International Education (MaCIE), a consortium of all the public institutions of higher education in Massachusetts. MaCIE offers important channels to encourage and implement international education throughout the Commonwealth. MaCIE also offers faculty at its member institutions inter-institutional exchange and consulting opportunities both within Massachusetts and abroad.

V. University Policies

A. Code of Professional Ethics for the Faculty
I. Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end they devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although they may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.

II. As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly standards of the discipline. They demonstrate respect for the student as an individual, and adhere to their proper role as intellectual guide and counselor. They also avoid any personal exploitation of students, staff, colleagues and others and will not abuse their position as members of the academic profession. They make every reasonable effort to foster honest academic conduct and to ensure that the evaluation of students reflects their true merit. They respect the confidential nature of the
relationship between professor and student. They avoid any exploitation of students, staff, colleagues and others for their private professional advantage and acknowledge significant assistance from them. They protect their academic freedom.

III. As colleagues, professors have obligations that derive from common membership in the community of scholars. They respect and defend the free inquiry of their associates. In the exchange of criticism and ideas they show due respect for the opinions of others. They acknowledge academic debts and strive to be objective in their professional judgment of colleagues. They accept a share of faculty responsibilities for the governance of their institution.

IV. As a member of their institution, professors seek above all to be effective teachers and scholars. Although they observe the stated regulations of their institution, provided they do not contravene academic freedom, they maintain their right to criticize and seek revision. They determine the amount and character of the work done outside the institution with due regard to their paramount responsibilities within it. When considering the interruption or termination of service, they recognize the effect of the decision upon the program of the institution and give due notice of their intentions.

V. As a member of the community, professors have the rights and obligations of any citizen. They measure the urgency of these obligations in the light of responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as a private person they avoid creating the impression that they speak or act for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

VI. As members of the faculty, professors respect the rights of others, regardless of gender; race; age; physical and language handicap; prior civil disability; sexual and religious preference; marital and socio-economic status; or national origin, citizenship and allegiance. Professors avoid such extraneous considerations in the evaluation of peers, students, or in the assignment of duties and responsibilities in the University. Professors promote the ideals of a learning environment that fosters individual rights and encourages mutual respect.

B. Personnel Policies
The University has established formal policies and procedures for decisions involving faculty appointment, promotion, and tenure. Standards, criteria, and procedural guidelines are contained in the "Academic Personnel Policy of the University of Massachusetts" (see below). These policies are consistent with AAUP standards for promotion and tenure and traditions of faculty primary responsibility in matters of faculty status. An annual memorandum from the Provost provides supplemental instructions on the process for recommending personnel actions. Many schools and colleges provide supplemental guidance to the faculty as well. An annual workshop for probationary faculty is run by the Center for Teaching. All faculty members are encouraged to inform themselves about faculty personnel policies.

1. Academic Personnel Policy of the University of Massachusetts (Doc. T76 - 081) ("Red Book")
ARTICLE I. Authority, Duration, Definitions

Section 1.1
These academic personnel policies and procedural standards are promulgated by the Trustees of the University of Massachusetts under the authority of Massachusetts General Laws, Chapter 75. They shall remain in effect until amended, modified, or revoked by action of the Trustees, the right to do which is hereby reserved.

Section 1.2
Amendments and modifications to these academic personnel policies may be recommended by any appropriate campus governance unit and shall be submitted for the appropriate governance review on all other campuses of the University prior to submission to the Trustees.

Section 1.3
Unless otherwise specified herein, these academic personnel policies and procedural standards shall apply to the following personnel actions: appointments, reappointments, promotions, the award of tenure, alterations of the tenure decision year, sabbatical leaves, and salary adjustments. The standards and criteria herein shall apply to all departmental recommendations and subsequent reviews and decisions initiated after the date of this document.

Section 1.4
Within the framework of the established allocation of primary responsibility and these University-wide policies and procedural standards, the separate campuses of the University may develop supplementary academic personnel policies which are subject to the approval of the Board of Trustees.

Section 1.5
The term department or departmental level as used in this document refers to the first organizational unit of the faculty.

Section 1.6
The term major personnel action as used in Section 6.4 refers to reappointments through the tenure decision year, promotions to the ranks of Associate Professor and Professor, and the award of tenure.

Section 1.7
Words and phrases shall be construed according to the common and approved usage of the language, but technical words and phrases and such others as have acquired a peculiar and appropriate meaning shall be construed and understood according to such meaning. Words importing the singular number may extend and be applied to several persons or things, and words importing the plural number may include the singular. As used in these policies and procedural standards, the following terms shall have the meaning herein given unless otherwise expressly provided:
"Academic position" - A position as a lecturer, instructor, assistant professor, associate professor, or professor and all positions of like title, but bearing a specific designation such as adjunct, visiting, clinical, research, part-time, Commonwealth, etc.
"Academic year" - Except for the University of Massachusetts at Worcester, that period of time commencing with the beginning of the first week of classes in the fall and ending with commencement exercises, including any intersessions occurring during said period.
"Basic file" - The compilation of all relevant material related to the individual under consideration for a personnel action, and all recommendations based thereon necessary for a decision.
"Credit toward tenure" - The amount of time in yearly segments credited toward a faculty member's tenure decision year.
"Faculty member" - A member of the professional staff of the University who holds an academic position.
"Faculty" - As used in this document, is the departmental, collegiate, or campus group exercising primary responsibility in academic matters and in matters of faculty status, the membership of which is determined according to campus governance.
"Primary responsibility" - As defined in Trustee Document T73-098, is the capacity to initiate recommendations, after appropriate consultation, which will be overruled only by written reasons stated in detail. Faculty primary responsibility is the capacity of the faculty to initiate recommendations in academic matters and in matters of faculty status.
"Probationary period" - The period during which a faculty member can enjoy full-time regular academic appointments without being awarded tenure, not including a terminal appointment as provided for in Section 6.2 (h).
"Professional staff" - All officers of the University and all persons (except those whose duties are clerical, custodial, security, labor, maintenance and the like) employed by the Commonwealth in the service of the University for teaching, research, administration, extension, enforcement, control laws and regulatory services, technical and specialized support staff, and such related activities as shall be determined by the Trustees.
"Tenure" - The right of a faculty member to continuous employment in an academic position until retirement age, subject to dismissal or suspension only as established in Trustee policy.
"Tenure decision year" - The academic year during which a faculty member is considered for an appointment with tenure.

ARTICLE II. Academic Freedom, Equal Opportunity, and Affirmative Action

Section 2.1
Academic freedom, equal opportunity, and affirmative action are principles to be honored throughout the University, but they are particularly significant in academic personnel policy.

Section 2.2
The standards and interpretations of the American Association of University Professors on matters of academic freedom as set forth in the 1940 Statement of Principles on Academic Freedom and Tenure shall serve as the basic guidelines for the maintenance of academic freedom.

Section 2.3
These standards and interpretations as to academic freedom shall apply to all persons who are members of the professional staff of the University who perform teaching or research functions whether or not such persons occupy “academic positions” as that term is defined herein. No member of the professional staff of the University shall be dismissed, suspended or denied employment, or otherwise penalized, if said action would constitute a breach or infringement of said standards and interpretations as to academic freedom.
Section 2.4
In all personnel decisions, there shall be equal opportunity for all persons without regard to race, color, religion, sex, age or national origin. Consistent with this principle, affirmative action shall be taken to seek and maintain adequate representation of women and minority group members throughout the University. All applicable federal and state laws and regulations relating to equal employment opportunity and affirmative action are incorporated herewith, together with campus and University plans and procedures which have been promulgated to implement such laws and regulations.

ARTICLE III. Roles and Responsibilities in Personnel Matters
Section 3.1
The faculty has primary responsibility in matters of faculty status, such as appointments, reappointments, promotions, tenure and salary adjustments. The faculty also has primary responsibility in academic matters, and shall, whenever appropriate, relate the two in making personnel recommendations. The faculty shall exercise its primary responsibility as follows:
a) At the departmental level, the faculty shall establish, subject to campus policy and governance procedures, the procedure for the exercise of primary responsibility in matters of faculty status and academic matters. The procedure shall be designed so as to assure that departmental faculty participate, through a personnel committee or such other committee as may be agreed upon, in the discharge of their primary responsibility.
b) In each college or school, there shall be a personnel committee of the faculty to review departmental recommendations. The committee shall be chosen by procedures established on each campus in a manner designed to represent the interests of the faculty of each college or school.
c) At the campus level, the faculty shall be involved, in accordance with established governance procedures, in the further development of personnel policies and procedures. The faculty initiates written recommendations in matters of appointment, reappointment, promotion, or tenure, acting through established personnel procedures and according to approved policy. In exercising its primary responsibility of peer review, the faculty has the obligation to present a clear, complete and convincing case for the recommendations so as to assure the faculty member of a complete presentation of his or her qualifications and achievements, and so as to provide the basis both for full reviews of the recommendation, and for the decision.

Section 3.2
The Board of Trustees has the statutory authority to make decisions in matters of faculty status and may delegate that authority only to appropriate administrative officials (Mass. G.L. c.75 §3A). The President has been delegated the authority to appoint members of the faculty to tenure with the concurrence of the Board of Trustees. Within the framework of Trustee policy, the chancellors have been delegated the authority to make decisions in all matters of faculty status. Any re-delegation of appointing authority to the Provost or other academic administrative officials is subject to the approval of the Board of Trustees.

Section 3.3
Academic administrative officials below the level of the delegated appointing authority are responsible for the review of the faculty recommendations. Such a review shall be
based on an evaluation of the strength of the evidence in the basic file regarding the qualifications of the individual, and whenever appropriate, the justification of the recommendation within the context of long-range plans. Any such review shall result in an additional written recommendation which shall specifically address the original faculty recommendation in the context of established standards and criteria. The decision of the delegated appointing authority shall be made on the same basis. In making personnel reviews and decisions, all academic administrative officials shall act according to approved policy and through established personnel procedures. No academic administrative official shall make a recommendation or decision which is counter to the original faculty recommendation without compelling reasons in written detail which shall specifically address the content of that recommendation as well as the established standards and criteria. In addition, the President, in making tenure decisions, should disagree with the campus recommendation only in rare instances.

Section 3.4
Students will also be assured the opportunity to participate in the personnel process, through contributing to the evaluation of a faculty member's effectiveness, particularly in teaching. Procedures for student participation shall be determined on each campus.

Section 3.5
In academic personnel matters, the Department Chairperson/Head is responsible for the proper procedures at the departmental level, as outlined in Section 6.4 (a-f), as well as for the following:

a) Coordinating all administrative matters relating to personnel actions, such as negotiations for initial appointment, notification of impending review, maintenance of personnel files, compilation of the basic file of material to support a recommendation, and notification of action.

b) Keeping faculty members informed as to their status, rights, and responsibilities.

c) Developing and maintaining, with appropriate faculty participation as stipulated under Section 3.1 (a), long-range plans for the department within the context of the current and long-range needs of the college or school and the campus, and keeping the department informed of the status of those plans.

d) Providing the departmental personnel committee with information appropriate for the consideration described in Section 4.2.

Section 3.6
In academic personnel matters, the Dean is responsible for the proper procedures at the school or college level, as outlined in Section 6.4 (f), as well as for the following:

a) Ensuring that general criteria and procedural standards are consistently employed in all departments within the college, school, or similarly designated academic unit.

b) Reviewing departmental plans and developing and maintaining, with appropriate faculty participation, long-range plans for the college or school within the context of the current and long-range needs of the campus, and keeping the school or college informed of the status of those plans.

c) Ensuring the establishment of a college or school personnel committee.

Section 3.7
In academic personnel matters, the Provost is responsible for the following:

a) Ensuring that general criteria and procedural standards are consistently employed in all colleges and schools of the campus.
b) Reviewing college and school plans and developing and maintaining, with appropriate faculty participation, long-range plans for the campus, within the context of the long-range needs of the University, and keeping the campus informed of the status of those plans.
Section 3.8
In academic personnel matters, the Chancellor is responsible for:
a) Ensuring adherence to the proper procedures at the campus level, as outlined in Section 6.4 (g).
b) Reviewing the campus plans within the context of the current and long-range need of the University.
Section 3.9
In academic personnel matters, the President is responsible for:
a) Ensuring adherence to the proper procedures at the University level, as outlined in Section 6.4 (h).
b) Ensuring that general criteria and procedural standards are consistently employed throughout the University.
c) Reviewing the long-range plans of each campus, and developing and maintaining, with appropriate faculty participation, long-range plans for the University as a whole, and keeping the University informed of the status of those plans.

ARTICLE IV. Standards and Criteria for Personnel Reviews, Recommendations and Decisions
Section 4.1
High professional standards must be the basis for all personnel decisions. Personnel recommendations and decisions shall be made only after a review of all of the qualifications and all the contributions of the individual in the areas of teaching; of research; creative or professional activity; and of service. All three areas must be considered, but the relative weight to be given to each may be determined in the light of the duties of the faculty member.
Section 4.2
For personnel recommendations and decisions, consideration must also be given to the relationship of the recommended personnel action to the following:
a) program plans at the department, college, campus, and University level;
b) flexibility as affected by rank and tenure distributions and anticipated retirement dates;
c) departmental affirmative action goals, considering the nature of the positive contribution that affirmative action is able to make to the diversity of perspective that is essential to the well-being of the department and the University community.
For new appointments, reappointments through the tenure decision year, and for the award of tenure, these considerations must be given in writing as established in Section 6.4 (e).
Section 4.3
The standards and criteria described in this document and any standards and criteria established in Trustee-approved campus personnel policies shall be the only standards and criteria used in making and reviewing personnel recommendations.
Section 4.4
Regular academic appointments at the University are made for full-time service at the ranks of Instructor, Assistant Professor, Associate Professor, and Professor. The following general criteria shall apply to all candidates for such appointments:

a) For an appointment as an Instructor, a candidate must have made substantial progress toward the completion of all requirements for the terminal degree in his or her field of academic specialization, or possess equivalent professional experience that is appropriate to the position to be filled. The candidate must also give promise of academic or professional development and achievement.

b) For an appointment as an Assistant Professor, a candidate must possess the appropriate terminal degree, or equivalent professional experience. If the candidate has held a faculty appointment at another college or university, he or she must also have a record of achievement in the field of academic specialization. In addition, the candidate must show promise of continuing professional development and achievement.

c) For an appointment as an Associate Professor, a candidate must possess the appropriate terminal degree, or equivalent professional experience, and must have had considerable academic or professional experience beyond the level which would warrant an appointment as Assistant Professor; must have a record of achievement sufficient to have gained recognition on and off campus from scholars or professionals in his or her field; and must show promise of continuing professional development and achievement.

d) For an appointment as a Professor, a candidate must possess the appropriate terminal degree, or equivalent professional experience; and must have a record of achievement sufficient to have gained substantial recognition on and off campus from scholars or professionals in his or her field; and must show significant potential for continuing professional achievement.

Section 4.5
The general criteria for reappointment at regular academic ranks shall be the following:

a) Evidence of continuing achievement and growth since initial appointment.

b) Reasonable assurance of continuing professional development consistent with the ability to reach the level for eventual promotion to the next higher rank.

c) Consideration of the relationships as stated in Section 4.2.

Section 4.6
Recommendations for promotion shall be based on qualifications and contributions in the areas of teaching; of research, creative, or professional activity; and of service; and on the following considerations:

a) For promotion to Assistant Professor, the faculty member must possess the appropriate terminal degree, or equivalent professional experience, and have a record of achievement in the field of academic specialization. In addition, the candidate must show promise of continuing professional development and achievement.

b) For promotion to Associate Professor, the faculty member must have a record of achievement sufficient to have gained recognition on and off campus among scholars or professionals in his or her field; and must show promise of continuing professional development and achievement.

b) For promotion to Professor, the faculty member must have a record of achievement sufficient to have gained substantial recognition on and off campus from scholars or professionals in his or her field; and must show significant potential for continuing professional achievement.
Section 4.7
All appointments and reappointments to regular academic positions without the award of tenure are probationary. The probationary period is an opportunity for the faculty member to demonstrate the qualifications for reappointment, promotion, and the award of tenure. During the probationary period, the faculty member should have access to information on the substantive and procedural standards generally employed in decisions affecting reappointment, promotion, and the award of tenure.

Section 4.8
No regular academic appointment without tenure shall carry with it any assurance, explicit or implicit, of a reappointment, a promotion, or the eventual award of tenure. Such actions must be based on a positive recommendation in accordance with procedures and standards established in articles II, III, IV, and VI.

Section 4.9
The award of tenure can be made only by the President with the concurrence of the Board of Trustees. Consideration of a candidate for tenure shall be based on the following:

a) Convincing evidence of excellence in at least two, and strength in the third, of the areas of teaching; of research, creative or professional activity; and of service, such as to demonstrate the possession of qualities appropriate to a member of the faculty occupying a permanent position.

b) Reasonable assurance of continuing development and achievement leading to further contributions to the University.

c) The relationships as stated in Section 4.2

Recommendations for the granting of tenure without promotion to Associate Professor must be accompanied by compelling reasons stated in detail.

Section 4.10
The criteria for an initial appointment with tenure shall be those established for the rank involved and those for the award of tenure.

Section 4.11
Special academic appointments include appointments with the titles of lecturer, adjunct (all ranks), clinical (all ranks), and visiting (all ranks). Each campus may develop definitions, criteria, and procedures for making special academic appointments subject to the concurrence of the Board of Trustees and within the following University wide guidelines:

a) Special academic appointments are not considered probationary and holders cannot be awarded tenure.

b) The responsibilities of a faculty member on a special academic appointment need not include the three functions of teaching; of research, creative or professional activity; and of service; but may be limited to any one of these areas as determined by mutual agreement between the faculty member, the Department Chairperson/Head and the Dean.

c) In most cases, the term of a special academic appointment does not exceed one year, and in no case shall it exceed five years.

d) Full-time, salaried, special academic appointments cannot usually extend beyond a total of six years.

e) In the event that the holder of a special academic appointment shall apply for a regular academic appointment, the criteria for initial appointment to that rank shall apply. In that
case, full-time and/or part-time service, subsequent to the award of the terminal degree, or equivalent professional experience, may count toward the tenure decision year.

f) The prerogatives of holders of special academic appointments shall be determined on each campus.

Section 4.12
Subject to the availability of funds, there are provisions for salary increments for professional advancement, awards for exceptional contributions, and adjustments for promotions and adjustments of salary inequities. Within the guidelines set for these categories by the President with the concurrence of the Board of Trustees, the Chancellor, in accordance with the appropriate governance procedures, shall determine the criteria and procedures for implementation of salary policy.

Section 4.13
In addition to the provisions of University sabbatical leave policy (T66-049 as amended by T73-065), the general criteria for the award of sabbatical leaves, subject to the availability of funds and a request by the faculty member, are the following:

a) A record of achievement, service, and contribution during the years of service prior to the leave period that provides reasonable expectation that the objectives of the sabbatical project will be achieved.

b) A sabbatical leave project which promises to contribute to the development of the faculty member in areas of teaching; of research, creative or scholarly activity; and/or of professional service capability, and hence contribute to the institution as a whole upon the return to the University for at least one year following the academic year in which the sabbatical leave takes place.

Section 4.14
Leaves without pay may be granted by the appointing authority for reasons of health, for advanced study and research, or in connection with temporary employment or service which will be of value to the faculty member and the University. They are not normally granted for more than one year. An extension beyond the second year must be with the approval of the President.

ARTICLE V. Rights of Members of the Faculty in Academic Personnel Matters and Responsibilities as Conditions of Employment

Section 5.1
Policies, criteria, and procedural standards established herein and additional policies, criteria, or procedures established on the campuses shall not infringe upon the following rights of faculty members in personnel matters:

a) For personnel reviews, recommendations and decisions, the right and the responsibility to present all materials which he or she believes will be essential to an adequate consideration of the case, and the opportunity to supplement the original presentation with additional relevant information in the event that a review indicates shortcomings in the presentation.

b) The right to have access to information on the current needs and long-range plans of the department, college or school, campus and University.

c) The right to have extra-departmental service contributions considered at the department level as well as at other levels of review, recommendation and decision.
d) The right to be considered for tenure if given an appointment or a reappointment through the end of the probationary period.

e) The right to equitable treatment in personal matters so as to ensure generally consistent recognition to departmental faculty members whose chosen field, overall professional development, period of service on the campus, and quality of contributions, all taken as a whole are judged to be approximately equal.

f) The right to discuss his or her professional progress and any personnel matter of concern with his or her Department Chairperson/Head; and, if such discussions prove unsatisfactory, with the Dean; and, if still unsatisfied, with the Provost.


g) The right to be informed of the personnel recommendation made at the department, college or school, and campus level.

h) The right to notification of non-reappointment as specified in Section 6.7.

i) The right to discuss reasons for a negative personnel decision at all appropriate administrative levels as specified in Section 6.10.

j) The right to invoke the grievance procedures, under the conditions specified in Trustee grievance policy.

Section 5.2

Satisfactory fulfillment of the following responsibilities is expected of all members of the faculty as a condition of employment in all parts of the University:

a) Performance of assigned teaching duties and other instructional activities including counseling and appropriate evaluation of student work.

b) Scholarly, creative and professional activity adequate, as a minimum, for continuing updating of course content and other instructional and professional activities so as to reflect current developments in the faculty member's academic field.

c) Participation in the operation and governance of the department, college or school, campus or University to the extent normally expected of all faculty members.

d) Participation in extension work, continuing education, and other professional outreach service when such service is usually expected of all faculty members of the unit in which the faculty member holds an appointment.

Positive personnel recommendations and decisions must be based on the achievement of appropriate standards as stated in Article IV.

ARTICLE VI. Procedural Standards in Personnel Matters

Section 6.1

The length of initial appointments to regular academic positions and subsequent reappointments must conform to the following guidelines:

a) Initial appointments and subsequent reappointments at the rank of Instructor shall be for one year. In no case shall service at this rank exceed three years.

b) Initial appointments and subsequent reappointments at other ranks may vary in length depending upon the qualifications of the individual and the needs of the department, provided that the review described in Section 6.4 (e) shall be made at the time of a reappointment decision which will carry the candidate through the end of the probationary period.

c) No probationary appointment or reappointment shall exceed a term of four years.

Section 6.2
The timing of personnel recommendations, reviews, and decisions for individuals on probationary appointments shall conform to the following guidelines:

a) A maximum of three years of credit toward tenure may be awarded at the time of initial appointment to individuals who have had an academic appointment at another college or university subsequent to the attainment of the terminal degree or who have had equivalent professional experience.

b) The probationary period for a full-time faculty member possessing the terminal degree or equivalent professional experience may not exceed six years.

c) Designation of the tenure decision year for a full-time Instructor, appointed without the terminal degree or equivalent professional experience, shall be made, upon the recommendation of the department personnel committee or equivalent faculty agency, no later than the beginning of the academic year following the award of the terminal degree.

d) Designation of the tenure decision year shall, in all other cases, be made at the time of initial appointment.

e) The tenure decision year may be altered, upon written agreement between the individual and the appointing authority, in the following circumstances:

1) When a non-tenured faculty member is named to either a full-time or part-time administrative position which would restrict opportunity for scholarly and professional activity, the duration of the administrative position, up to a maximum of three years, will not be included in the probationary period, provided there has been prior written agreement between the faculty member and the appointing authority.

2) When an non-tenured faculty member is granted a leave without pay, the time spent on leave will not be included in the probationary period, except in unusual circumstances agreed to in writing at the time the leave is approved, and shall not be credited towards eligibility for sabbatical leave.

3) When a non-tenured faculty member, with the approval of the Department Chairperson/Head and the Dean, temporarily transfers from full-time to two-thirds status or less, an adjustment of the tenure decision year may be negotiated. No adjustment will be permitted for a temporary transfer to more than two-thirds status.

f) In any other circumstances, a request by the faculty member for alteration of the tenure decision year shall require:

1) recommendations of the department personnel committee and Chairperson/Head;
2) review and recommendation by appropriate administrative officials;
3) approval by the Chancellor.

If approved, the redesignated tenure decision year shall be set forth in a written agreement between the individual and the Chancellor.

g) Consideration of a candidate for an appointment with tenure shall normally be made during the tenure decision year, and only in exceptional circumstances may an award of tenure be considered prior thereto.

h) If tenure is not granted during the tenure decision year, a terminal appointment for one academic year shall be made, in those cases in which the faculty member does not already hold such an appointment.

Section 6.3

The terms and conditions of every appointment to an academic position shall be stated in, or as part of, the Approved Offer and Acceptance Form, signed by the appropriate administrative officials and countersigned by the candidate, which shall signify his or her
understanding and acceptance of said terms and conditions. The terms and conditions shall specify the date of first full-time appointment at the University, credit toward tenure, the expiration of the current appointment in the case of an appointment without tenure, and the tenure decision year in the case of a probationary appointment. No other term or condition, whether implied or stated, whether to the advantage or disadvantage of the candidate, shall have binding force.

The terms and conditions of every reappointment (or any modification thereof) shall be stated in or as part of the Notification, Offer, and Acceptance of Professional Staff Reappointment Form signed by the appropriate administrative officials, and countersigned by the candidate, which shall signify his or her understanding and acceptance of said terms and conditions. No other term or condition, whether implied or stated, whether to the advantage or disadvantage of the candidate, shall have binding force.

Section 6.4

The process for recommendations, reviews, and decisions for major personnel actions – reappointments through the tenure decision year, promotion to the ranks of Associate Professor and Professor, and the award of tenure - shall conform to the following guidelines. For appointments, these guidelines shall be applied as indicated.

a) The faculty member shall be advised by the Department Chairperson/Head as early as possible (in cases of reappointment and tenure, at the beginning of the academic year) that a review of his or her contributions will be made for the purposes of a personnel recommendation.

b) The faculty member shall submit to the Department Chairperson/Head any and all materials, for inclusion in the basic file, which he or she believes will be essential to an adequate consideration of the case.

c) For appointments at, or promotions to, the ranks of Associate Professor and Professor and for tenure recommendations, the Department Chairperson/Head shall obtain outside letters of reference from a list of scholars and professionals which includes, but is not limited to, those suggested by the faculty member. The confidentiality of such letters shall be governed by appropriate federal and/or state statutes.

d) The basic file will be studied at all levels where responsibility for recommendation, review or decision has been established. The basic file shall contain the items in b) and c) and the following:

1) vita, bibliography, copies and/or reviews of published works;
2) appropriate evaluations of teaching effectiveness, including but not limited to those of students;
3) evaluations of extra-departmental contributions;
4) recommendations of the department and college or school faculty bodies and of appropriate administrative officials.

e) At the departmental level, the faculty, acting in accordance with the responsibilities defined in Section 3.1, and the standards and criteria established in Article IV, initiates the personnel action by a recommendation of the departmental personnel committee based on the evidence set forth in the basic file. The Department Chairperson/Head reviews the departmental personnel committee recommendation and a) may endorse it; or b) after consultation, may formulate a contrary recommendation. In considerations of new appointments, reappointments through the tenure decision year, and the award of
tenure, these recommendations shall contain written justifications on the basis of the relationships described in Section 4.2. When the recommendation does not accord with departmental long-range plans, reasons for such a departure shall be indicated. When the basic file is forwarded from the departmental level to the Dean, the following will have been added:

1) the recommendation and vote of the department personnel committee (or other agency for the initiation of recommendations);
2) the recommendation of the Department Chairperson/Head;
3) if letters of reference are a part of the basic file, a description of the professional standing of their writers.

A copy of the recommendation of the Department Chairperson/Head shall be sent to the Chairperson of the department personnel committee. Copies of the recommendation of the department personnel committee and of the Chairperson/Head shall be sent to the faculty member.

f) The faculty committee at the school or college level shall review the basic file as forwarded from the departmental level. The school or college committee shall formulate its recommendation in accordance with the responsibilities defined in Section 3.1 and on the basis of the standards and criteria established in Article IV. Prior to a recommendation that may be contrary to either of the recommendations forwarded from the departmental level, the committee shall consult with the department. A copy of the recommendation of the school or college committee shall be sent to the department and to the faculty member.

The Dean, acting in accordance with the responsibilities defined in Section 3.3, reviews the recommendation of the school or college committee together with the remainder of the basic file and formulates an additional written recommendation. Prior to a recommendation that may be contrary to either of the recommendations forwarded from the departmental level, the Dean shall invite the department to provide additional information for the basic file or clarification of the recommendation in question. A copy of the Dean's recommendation shall be sent to the Chairperson of the school or college committee, to the department, and to the faculty member.

In considerations of new appointments, reappointments through the tenure decision year, and the award of tenure, the recommendations at the school or college level shall contain written justifications on the basis of the relationships described in Section 4.2. When either of these does not accord with school or college long-range plans, reasons for such departure shall be indicated.

When the basic file is forwarded from the school or college level to the Provost or Chancellor, the following will have been added:

1) any additional information provided by the department at the request of the Dean;
2) the recommendation and vote of the school or college personnel committee;
3) the recommendation of the Dean.

g) At the campus level, the Chancellor, or the Provost as his or her designee, acting in accordance with responsibilities defined in Section 3.3, and on the basis of the standards and criteria established in Article IV, reviews the basic file as forwarded from the Dean, and makes a recommendation or decision. Prior to a recommendation or decision that may be contrary to either recommendation prepared at the school or college level, the
Chancellor or Provost shall invite the Dean to provide additional information for the basic file or clarification of the recommendation.

In decisions on new appointments and reappointments through the tenure decision year, the Chancellor shall take into consideration the justifications of the recommendations within the context of campus long-range plans. In recommendations for the award of tenure, the Chancellor's recommendation shall contain written justification on the basis of the relationships described in Section 4.2. When the recommendation does not accord with the campus long-range plans, reasons for such departure shall be indicated.

When the basic file is forwarded with a recommendation for tenure, the following will have been added:
1) any additional information provided by the Dean at the request of the Chancellor;
2) the recommendation of the Chancellor.

A copy of the recommendation of the Chancellor shall be sent to the Dean, to the department, and to the faculty member.

h) At the university level, the President, acting in accordance with responsibilities defined in Section 3.3, and on the basis of standards and criteria established in Article IV, reviews the basic file as forwarded from the Chancellor, and with the concurrence of the Board of Trustees, makes the tenure decision. Prior to a negative decision that would be contrary to the recommendation of the Chancellor, the President shall invite the Chancellor to provide additional information for the basic file or clarification of the recommendation. The President shall take into consideration the successive justifications of the recommendation within the context of university long-range plans.

Section 6.5
As established in Sections 4.2 and 6.4 (e), in cases of reappointment through the tenure decision year, and the award of tenure, the justification of the recommendation shall be made within the context of departmental long-range plans. Reviews of the recommendation at the various levels shall be made in the context of school or college, campus, and University plans. If, after an initial recommendation has been submitted by a department, new information and circumstances affecting program plans on the department, school or college, campus and University level develop, and such circumstances might lead to a reversal of the departmental or subsequent recommendation, these shall be communicated to the department and to all intervening reviewers and each level shall have the opportunity to reconsider its recommendation and to comment on the revised plans before action is taken.

Section 6.6
No faculty member or administrative official shall participate directly in any recommendation or decision relating to appointment, reappointment, promotion, tenure, or other condition of employment at the University of any parent, child, spouse, sibling, parent-in-law, sibling-in-law, child-in-law, or stepchild, except under such circumstances as the President of the University may determine as warranting waiver of this prohibition in the best interests of the University. A faculty member or administrative official should withdraw from participation in any personnel recommendation or decision involving potential conflict of interest.

Section 6.7
Notice of non-reappointment shall be given in writing to the faculty member by the appointing authority:
Section 6.8
Failure to send timely notice of non-reappointment shall entitle the faculty member to a terminal reappointment of one academic year.

Section 6.9
A faculty member, wishing to terminate his or her appointment effective at the end of the academic year, shall give notice in writing at the earliest possible opportunity, but not later than May 15; or 30 days after receiving notification of the terms of his or her appointment at the University of Massachusetts for the coming year; whichever date occurs later. Waiver of this requirement of notice may be requested by the faculty member and granted by the appointing authority in appropriate circumstances.

Section 6.10
Once a decision has been made by the appointing authority, the candidate may exercise the right of discussion at all administrative levels, beginning on the level where the first adverse recommendation was made. Prior to and at the level of the delegated appointing authority, such discussion may lead to a reconsideration of the recommendation or a change of decision. Beyond the level of the appointing authority, discussion may lead to a request that the appointing authority review the decision. For decisions taken at the level of the President, the right of discussion may be exercised with the President and subsequently with the Chairman of the Faculty and Educational Policy Committee of the Board of Trustees.

2. Affirmative Action and Non-Discrimination Policy
The University of Massachusetts Amherst prohibits discrimination on the basis of race, color, religion, creed, gender, sexual orientation, age, marital status, national origin, mental or physical disability, or veteran status; in any aspect of the access to, admission, or treatment of students in its programs and activities or in employment or application for employment. Furthermore, University policy includes prohibitions of harassment of students and employees, i.e., racial harassment, sexual harassment, and retaliation for filing complaints of discrimination. Affirmative Action in employment is required for women, racial and ethnic minorities, Vietnam-era veterans, and individuals with disabilities in order to address underrepresentation in the workforce. Inquiries concerning applicable laws, regulations, and policies should be addressed to the Office of Equal Opportunity & Diversity, 305 Whitmore Administration Building, tel. 545-3464.

3. Conflict of Interest and Conflict of Commitment
University faculty and staff are subject to Chapter 268A of Massachusetts General Laws (the State Ethics Code) and to the following policies on conflict of interest and conflict of commitment:

**a. Conflict of Interest in Research and Scholarly Activity Policy**

A conflict of interest exists *when it can be reasonably determined that an investigator's personal financial concerns could directly and significantly influence the design, conduct, or reporting of sponsored research activities*. Faculty and staff of the University of Massachusetts Amherst (the University) have an obligation to maintain the objectivity of their research, avoiding any conflict of interest. This Conflict of Interest in Research and Scholarly Activity Policy has been developed by the University of Massachusetts Amherst and complies with specific federal agency requirements laid out in Title 42 Code of Federal Regulations (CFR) Part 50, Subpart F, “Responsibilities of Applicants for Promoting Objectivity in Research for Which PHS Funding is Sought” which can be found at [http://grants.nih.gov/grants/compliance/42_CFR_50_Subpart_F.htm](http://grants.nih.gov/grants/compliance/42_CFR_50_Subpart_F.htm). Every investigator participating in PHS or NSF funded research must comply with 42 CFR Part 50 Subpart F. When the University carries out PHS-funded research through subgrantees, contractors, or collaborators, the University will take reasonable steps to ensure that Investigators working for such entities comply with 42 CFR Part 50 Subpart F, either by requiring those Investigators to comply with the University's Policy or by requiring the entities to provide assurances to the University that will enable the University to comply with this subpart.

University employees are reminded that, in addition to the provisions of this policy, activities of University employees are subject to the provisions addressed in the University of Massachusetts Policy on Conflicts of Interest Relating to Intellectual Property and Commercial Ventures which can be read at [http://www.umass.edu/research/ora/confl.html](http://www.umass.edu/research/ora/confl.html)

**DEFINITIONS:** As used in this Policy:

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

**Investigator** means the principal investigator and any other person who is responsible for the design, conduct, or reporting of research funded by PHS, or proposed for such funding. For purposes of the requirements of this subpart relating to financial interests, “Investigator” includes the Investigator's spouse and dependent children.

**PHS** means the Public Health Service, an operating division of the U.S. Department of Health and Human Services, and any components of the PHS to which the authority involved may be delegated.

**PHS Awarding Component** means the organizational unit of the PHS that funds the research that is subject to 42 CFR Part 50 Subpart F.

**Public Health Service Act or PHS Act** means the statute codified at 42 U.S.C. 201 et seq.
Research means a systematic investigation designed to develop or contribute to generalizable knowledge relating broadly to public health, including behavioral and social-sciences research. The term encompasses basic and applied research and product development. As used in this Policy, the term includes any such activity for which research funding is available from a PHS Awarding Component through a grant or cooperative agreement, whether authorized under the PHS Act or other statutory authority.

Significant Financial Interest means anything of monetary value, including but not limited to, salary or other payments for services (e.g., consulting fees or honoraria); equity interests (e.g., stocks, stock options or other ownership interests); and intellectual property rights (e.g., patents, copyrights and royalties from such rights). The term does not include:

1. Salary, royalties, or other remuneration from the applicant institution;
2. Any ownership interests in the institution, if the institution is an applicant under the SBIR Program;
3. Income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities;
4. Income from service on advisory committees or review panels for public or nonprofit entities;
5. An equity interest that when aggregated for the Investigator and the Investigator's spouse and dependent children, meets both of the following tests: Does not exceed $10,000 in value as determined through reference to public prices or other reasonable measures of fair market value, and does not represent more than a five percent ownership interest in any single entity; or
6. Salary, royalties or other payments that when aggregated for the Investigator and the Investigator's spouse and dependent children over the next twelve months, are not expected to exceed $10,000.

Small Business Innovation Research (SBIR) Program is the extramural research program for small business that is established by the Awarding Components of the Public Health Service and certain other Federal agencies under Pub. L. 97-219, the Small Business Innovation Development Act, as amended. For the purposes of 42 CFR Part 50 Subpart F the term SBIR Program includes the Small Business Technology Transfer (STTR) Program, which was established by Pub. L. 102-564.

PROCEDURES: Each investigator covered by this policy will annually report all "significant financial interests" held by themselves, their spouse and dependent children. Disclosures will be made by completing the Disclosure of Significant Financial Interest Form at the end of this document, and sent to the Department Head/Chair's office on an annual basis and when new significant financial interests are acquired. A disclosure form must be completed prior to the submission of an application for PHS or NSF grant of cooperative agreement.

Positive disclosures will be reviewed by the Department Head/Chair and Vice Chancellor for Research, Graduate Education and Economic Development (or designee). Ad hoc
reviewers may be consulted on a case-by-case basis. In those cases where, in consultation with a faculty member involved, the Vice Chancellor for Research, Graduate Education and Economic Development and his/her designee determines that a real or apparent conflict exists, one of the following actions will be taken: 1) Accept the sponsored project; 2) Not accept the sponsored project; 3) Accept the sponsored project subject to certain conditions, e.g.,

(i) public disclosure of significant financial interests;
(ii) monitoring of research by independent reviewers;
(iii) modification of the research plan;
(iv) disqualification from participation in all or a portion of the research funded by the PHS;
(v) divestiture of significant financial interests; or
(vi) severance of relationships that create actual or potential conflicts.

Appeal of the decision may be made to the Provost, who will consult with the Investigator and the review committee before making a final determination, within thirty days of the appeal, as to the action to be taken. In all cases, resolution of the actual or apparent conflict of interest will be achieved before the University implements a sponsored project.

Prior to the University's expenditure of any funds under the award, the University will report to the PHS Awarding Component the existence of a conflicting interest (but not the nature of the interest or other details) found by the institution and assure that the interest has been managed, reduced or eliminated in accordance with CFR 42 Part 50, Subpart F. For any interest that the University identifies as conflicting subsequent to the Institution's initial report under the award, the report will be made and the conflicting interest managed, reduced, or eliminated, at least on an interim basis, within sixty days of that identification.

The Institution agrees to make information available, upon request, to the HHS regarding all conflicting interests identified by the Institution and how those interests have been managed, reduced, or eliminated to protect the research from bias.

COMPLIANCE: Failure to comply with the above Policy will subject the Investigator to the University's Scholarly Misconduct Policy which can be read at [http://www.umassp.edu/policy/academic/misconduct.html](http://www.umassp.edu/policy/academic/misconduct.html). University employees are reminded that if the failure of an Investigator to comply with the conflict of interest policy of the University has biased the design, conduct, or reporting of the PHS-funded research, the University will promptly notify the PHS Awarding Component of the corrective action taken or to be taken. The PHS Awarding Component will consider the situation and, as necessary, take appropriate action, or refer the matter to the University for further action, which may include directions to the Institution on how to maintain appropriate objectivity in the funded project.

In any case in which the HHS determines that a PHS-funded project of clinical research whose purpose is to evaluate the safety or effectiveness of a drug, medical device, or
treatment has been designed, conducted, or reported by an Investigator with a conflicting interest that was not disclosed or managed as required by 42 CFR Part 50 Subpart F the Institution must require the Investigator(s) involved to disclose the conflicting interest in each public presentation of the results of the research.

RECORDS: The University will maintain the Disclosure Form and other records of all financial disclosures and all actions taken by the Institution with respect to each conflicting interest for at least three years from the date of submission of the final expenditures report or, where applicable, from other dates specified in 45 CFR 74.53(b) for different situations. Records will be maintained in the Office of the Vice Chancellor for Research, Graduate Education and Economic Development. All disclosures and related documentation are considered confidential, and only those persons involved in the implementation of this policy will have access to such records.

NOTIFICATION TO FEDERAL AGENCIES: As required by PHS, the University will report the existence of a conflict of interest, and its resolution, to the PHS awarding component. As required by NSF, the University will report the existence of a conflict of interest which is unable to be resolved within the University to the NSF Office of the General Counsel.
Disclosure of Significant Financial Interest for Investigators Submitting Applications to National Institutes of Health and National Science Foundation

The following disclosure is made pursuant to the requirements of the PHS rules "Objectivity in Research" (42 CFR Part 50 Subpart F) and NSF rule "The Investigator Financial Disclosure Policy". This disclosure must be updated annually, and whenever new reportable significant financial interests are acquired. University employees are reminded that, in addition to the provisions of this interim policy, activities of state employees are subject to all relevant provisions of Chapter 268A of Massachusetts General Laws, including its prohibition against any financial interest (unless such interest is less than one percent of the stock of a corporation), directly or indirectly, in a contract made by a state agency, in which the Commonwealth or the University is an interested party.

DEFINITIONS:

Significant Financial Interest - Anything of monetary value, including but not limited to salary or other payments for services (e.g., consulting fees or honoraria); equity interests (e.g., stocks, stock options or other ownership interests); and intellectual property rights (e.g., patents, copyrights and royalties from such rights), which would reasonably appear to be affected by the research to be funded. This definition specifically excludes financial interests in business enterprises or entities if the value of such interests, when aggregated for the investigator and the investigator's spouse and dependent children, does not exceed ten thousand dollars per annum in salary, fees or other continuing payments; or ten thousand dollars fair market value equity interests.

Investigator - The Principal Investigator and any other person at the University who is responsible for the design, conduct, or reporting of research educational or service activities funded, or proposed for funding, by the PHS or NSF. Typically this will include the Principal Investigator and co-investigators. For the purposes of this disclosure requirement, the term "investigator" includes the investigator's spouse and dependent children.

*Disclosure: Investigator Name: _________________________ Dept.: ____________
Remuneration: ............... Source: _______________________________

Type of Organization (e.g., pharmaceutical firm; biotech firm; engineering company; software company, etc.) ________________________________

Nature of Remuneration that is greater than $10,000:

Salary _____ Royalties _____ Licensing _____ Consulting _____
Honoraria _____ Other _____

Types of holdings whose fair market value is greater than $10,000:
Stocks/Stock Options _____

Patents/Copyrights _____

Other _____

________________________________________________________________________

Investigator's Signature
...........................................................................................................Date:

*Please note that a separate form is required for each enterprise or entity in which a significant financial interest is identified
b. Policy on Faculty Consulting and Outside Activities

Faculty members are expected to devote to the University their primary professional loyalty and to direct to the University their time and energy. As they are considered "special state employees" for purposes of the Massachusetts law governing the conduct of public officials and employees (Massachusetts General Laws Ch. 268A), however, they are permitted to engage in limited activities outside of the University during normal working hours, provided such outside activities do not interfere with their primary obligations. The University recognizes that outside activities can be of value to faculty and the University. This Policy is intended to further the mission of the University and to enrich the experiences of the faculty by facilitating appropriately limited outside activities for faculty.

I. Definitions

As used in this Policy, the following words shall have the following meanings:

A. Academic Week - The period of Monday through Friday in each week during the academic year.
B. Outside Activities - Non-academic activities undertaken by a Faculty Member in his or her area of expertise in association with individuals or entities outside the University. Such activities include for example, working as an employee or consultant, or serving as an executive, trustee or director for a company or non-profit organization. Such activities do not include, for example, short-term academic activities undertaken for professional development, such as lectures, participation on governmental or professional society advisory panels or scholarly events, or membership on editorial boards.
C. CVIP - The University Office of Commercial Ventures and Intellectual Property.
D. Faculty Member - A full-time or part-time employee of the University whose principal title is Lecturer, Instructor, Assistant Professor, Associate Professor, or Professor, or any other University employee whose principal duties consist of teaching and conducting academic research.
E. Vice Chancellor for Research - The Vice Chancellor for Research at each campus, or where no such position exists, the Provost (or their designees).

II. Policy

A. Scope of Policy
This Policy applies only to Faculty Members.
B. Outside Activities Permitted
The University ordinarily permits full-time Faculty Members to devote the equivalent of one day within the Academic Week to the performance of Outside Activities. The University ordinarily does not place a specific limit on the amount of time that part-time Faculty Members may devote to the performance of Outside Activities.
C. Restrictions
1. Conflict of Commitment. The primary commitment of any Faculty Member is to the University. Although this Policy permits Faculty Members to perform Outside Activities
for one day within the Academic Week, the time and effort devoted by any Faculty Member to Outside Activities may not interfere with his or her professional commitment to the University. Therefore, in order to monitor such conflicts of commitment, all Faculty Members must receive approval from their Department Chairs before commencing any Outside Activity.

2. Use of Students - Although involvement of students in the Outside activities of Faculty Members under certain circumstances may enrich the students' educational experience, such involvement has the potential to create a conflict of interest when a Faculty Member has a role in supervising a student's research, classes, or graduate teaching work. Therefore, involvement of a student in the Outside Activities of a faculty member who has any role with respect to the academic progress of the student may only be undertaken after disclosure to and approval of the Department Chair. The Department Chair shall promptly inform the Vice Chancellor for Research of all such approvals.

3. Use of University Resources - Faculty Members may not perform Outside Activities with significant use of University facilities and equipment, unless the Faculty Member (i) receives advance written approval of the proposed use from the Department Chair, (ii) academic uses of such facilities and equipment have priority, and (iii) the Faculty Member reimburses the University for the fair market value of such use (as actually charged by the University to other outside users or, in the absence of such documentation, as determined by the Vice Chancellor for Research). The Department Chair shall promptly inform the Vice Chancellor for Research of all such approvals. Use of library facilities, facilities available to the general public, and occasional use of office equipment and office staff will not ordinarily be considered significant use of University facilities and equipment in connection with Outside Activities. Faculty Members are prohibited from using University funds and University-administered funds in connection with Outside Activities. The Vice Chancellor for Research retains authority to overrule departmental approvals for significant use of University resources in connection with an Outside Activity.

4. Activities Involving a Conflict of Interest - In the event a Faculty Member is considering undertaking an Outside Activity that poses an actual or potential Conflict of Interest, as defined by the University Policy on Conflicts of Interest Relating to Intellectual Property and Commercial Ventures, the Faculty Member should review and comply with that Policy. In addition, no member of the faculty shall accept or retain employment which would bring him as an expert, or in any other capacity, into conflict with the interests of the University or the Commonwealth. If in the opinion of the faculty member, proposed employment might involve such conflict, he/she shall disclose the relevant facts to his/her department chair and dean.

5. Use of University Name - The name of the University shall not be used in relation to any Outside Activities except to describe the credentials of a Faculty Member and as otherwise permitted under written University policy.

D. Administrative Procedures

1. Disclosure and Approval of Outside Activities - Before the commencement of any Outside Activity subject to this Policy, the University requires a Faculty Member to obtain all necessary approvals (under Section II.C.) from his or her Department Chair. The University shall make available appropriate forms (available at http://www.umass.edu/research/ora/faccon.html). The University also requires prompt
disclosure and approval of material changes in previously disclosed Outside Activities. Each Department Chair shall periodically provide to the applicable Dean a semiannual report on the Outside Activities of Faculty Members within that department, including a description of (i) uses of University facilities and equipment for Outside Activities, together with charges for that use, and (ii) use of students in Outside Activities. The Deans shall provide these reports to the Vice Chancellor for Research and the Director of the University Office for Commercial Ventures and Intellectual Property. The Vice Chancellor for Research may forward these reports to the Conflicts Committee. The applicable Dean and the Vice Chancellor for Research shall each retain authority to overrule any departmental approvals granted under Section II.C.

2. Intellectual Property Developed in Outside Activities. The University recognizes that difficult issues may arise when Faculty Members develop intellectual property in connection with Outside Activities. At one extreme, the University absolutely prohibits Faculty Members from intentionally using Outside Activities as a means of transferring intellectual property that they developed as employees of the University. Such actions violate State law and University policy. At the other extreme, the University has no desire to make unfair claims of ownership to intellectual property developed in Outside Activities without any connection to the University. Such claims would discourage companies from establishing consulting relationships with Faculty Members. Most situations, however, will fall between these two extremes and may raise legitimate questions about University rights in intellectual property developed in connection with Outside Activities. These complex situations are addressed in the University Intellectual Property Policy. Faculty Members are strongly encouraged to consult with their Department Chairs and the Vice Chancellor for Research, or with the University Office of Commercial Ventures and Intellectual Property, prior to commencing an Outside Activity to ensure that resulting intellectual property is outside the scope of the University Intellectual Property Policy.

3. Standard Form Rider - The CVIP will make available uniform consulting agreement provisions that may be attached to all written agreements to undertake Outside Activities entered into by a Faculty Member. These uniform provisions contain, among other things, a description of the intellectual property rights claimed by the University and a clause protecting the rights of Faculty Members to publish their University research. The uniform provisions are signed by the University, the Faculty Member, and the company, and they legally supersede any contrary provisions in the consulting agreement. The uniform provisions are intended to assist our Faculty Members and to avoid potential misunderstandings and disputes with companies. The University strongly encourages use of this standard form rider.

III. Interpretation and Evaluation

The President or his or her designee will have authority to interpret this Policy. Periodically, but at least every three (3) years, the President or his or her designee will conduct an evaluation of this Policy and formulate amendments for the consideration of the Trustees of the University.

IV. Enforcement
The Vice Chancellor for Research may refer any matter to the appropriate University official for disciplinary or other appropriate action. If a matter involves a Conflict of Interest under the University Policy on Conflicts of Interest Relating to Intellectual Property and Commercial Ventures, the Vice Chancellor for Research shall refer the matter to the Conflicts Committee.

V. Appeals

A Faculty Member may request that the Vice Chancellor for Research review any decision of his or her Department Chair to withhold an approval relating to Outside Activities as described in Section II.C. Decisions by the Vice Chancellor for Research will supersede prior decisions by the Department Chair. If a Faculty Member disagrees with any decision by the Vice Chancellor for Research, the Faculty Member may request an advisory opinion from an ad hoc faculty committee composed of three members appointed by the Chancellor for that campus and three members appointed by the Faculty Senate. The Faculty Member and the Vice Chancellor for Research will each present their views to the committee. The committee will adopt an opinion by vote of a majority of its members. In the event of a deadlock, the committee may adopt two opinions. The committee will transmit its written opinion to the Faculty Member and the Vice Chancellor for Research. If the disagreement persists, the Faculty Member may appeal the matter to the President (or his or her designee). The President will consider written statements by the Faculty Member and the Vice Chancellor for Research, as well the advisory opinion rendered by the ad hoc committee. The decision of the President shall be final within the University. If the Faculty Member disagrees with this final University decision, the Faculty Member may exercise his or her individual legal rights (if any) to pursue the matter in a court of law located in the Commonwealth of Massachusetts.

VI. Other Policies

As noted above, Outside Activities may involve other University policies, such as the Intellectual Property Policy, the Policy on Conflicts of Interest Relating to Intellectual Property and Commercial Ventures, and the Policy on Compensation for Certain Additional Professional Services (to the extent not superseded by this Policy). Faculty Members should refer to these other policies as necessary.

4. Sexual Harassment

The University of Massachusetts Amherst is committed to providing faculty, staff, and students with an environment where they may pursue their careers or studies without being sexually harassed. Sexual harassment, as here defined, is a violation of Title VII of the 1964 Civil Rights Act, and Title I of the Civil Rights Act of 1991. For the purpose of this policy, it is defined as follows: Unwelcomed sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitute sexual harassment when: 1) submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment or academic work; or 2) submission to or rejection of such conduct by an individual is used as the basis for employment or academic decisions affecting such individual; or 3) such conduct has the purpose or effect
or unreasonably interfering with an individual's work performance or creating an intimidating, hostile, or offensive working or academic environment. In determining whether an alleged incident constitutes sexual harassment, those entrusted with administering this policy will look at the totality of the circumstances, such as the nature of the sexual advances and the context in which the alleged incidents occurred. The determination of a suitable penalty will be made from a finding of fact on a case-by-case basis and from any record of previous sexual harassment by the respondent. The Office of Equal Opportunity & Diversity is responsible for administering the Sexual Harassment Policy and its procedures. The Director of Equal Opportunity & Diversity, or his/her designee, will serve as Chair of the Sexual Harassment Board. The University's vice chancellors will see that all supervisors on the Amherst campus receive information and training concerning sexual harassment and the responsibilities of supervisors when complaints are received. Persons with sexual harassment complaints are encouraged to consult first with the Office of Equal Opportunity & Diversity to learn about the options and resources available to them. In some circumstances, informal resolution of a complaint (prior to filing a grievance) may be more satisfactory than directly proceeding to a formal grievance. Agencies for informal resolutions may include, but are not limited to, any one or more of the following: consultation and action at the department level; mediation through the Ombuds Office, the Mediation Project or any other appropriate agency; advice and assistant of legal counsel; advice and assistance of the Department of Public Safety. A copy of the Sexual Harassment Policy may be obtained from the Office of Equal Opportunity & Diversity, 305 Whitmore Building 545-3464.

C. Scholarship Policies

1. Named Professorships and Distinguished University Professors
   By authorization of the Board of Trustees of the University, several Named Professorships and Distinguished University Professorships have been established. Faculty on the Amherst campus who hold these distinguished professorships are so identified in the annual Undergraduate Catalog faculty listing.

2. Intellectual Property Policy

The prompt and open dissemination of the results of research and creative work among scholars and, eventually, to the public at large is essential to the University's mission of education and research. The commercial development and distribution of the results of research and creative work to benefit the inventor or creator and the economy is part of the University's mission of public service. This Policy is intended to facilitate the commercial development of intellectual property arising at the University and to provide an incentive to University inventors or creators to participate in such development while acknowledging the University's primary goal of the discovery and dissemination of knowledge.

I. Definitions
As used in this Policy, the following words shall have the following meanings:
A. Confidential Information - Information that is received by a Covered Individual from a third party under an express or implied obligation of confidence.
B. Covered Individuals - All staff, faculty members, students, adjunct professors in residence, and any other individuals associated with the University.
C. Copyrightable Work - A creative work that is protectable under the copyright laws of the United States or other countries. Copyright protection is available for most literary, musical, dramatic, and other types of creative works, including, for example, computer software, teaching materials, multimedia works, proposals, and research reports.
D. CVIP - The University Office of Commercial Ventures and Intellectual Property, which has primary responsibility for administering the development and commercialization of Intellectual Property through licensing or other arrangements.
E. Director - The Executive Director of the CVIP.
F. Evaluation Committee or Committee - One of several University committees, each with a particular area of technical expertise, that advises the CVIP and Vice Chancellor for Research in evaluating Inventions, Tangible Research Materials, and Copyrightable Works.
G. Exempted Scholarly Work - A Scholarly Work that falls within certain categories of Copyrightable Works for which academic institutions have historically waived any ownership interest in favor of the author. The University currently recognizes the following categories of Exempted Scholarly Works: textbooks, class notes, research proposals, classroom presentation and instruction, research articles, research monographs, student theses and dissertations, paintings, drawings, sculpture, musical compositions and performances, dramatic works and performances, poetry, and popular fiction and nonfiction. As modern types of works become clearly established as Scholarly Works, so that individual consideration is no longer deemed necessary, the President may expand this list of Exempted Scholarly Works beyond these historically established categories. Except for the limited circumstances described in Sections III.C.1.b. and III.C.1.c. below, Exempted Scholarly Works need not be disclosed to the University and the University automatically waives any ownership interest in such works.
I. Invention - A discovery or development that may be protectable under the patent laws of the United States, the United States Plant Variety Protection Act, or equivalent laws in other countries.
J. Outside Researcher - An individual who performs or directs research for an organization other than the University.
K. President - The President of the University or his or her designee.
L. Public Disclosure or Publicly Disclosed - Any written or oral disclosure of an Invention or Copyrightable Work to any person not under a contractual or fiduciary obligation of confidentiality to the University.
M. Scholarly Work - A Copyrightable Work that has the primary goal of disseminating academic or scholarly knowledge or is a work of artistic expression. As described in Section III.C. below, whether a Copyrightable Work is a Scholarly Work will be determined by the Director and Vice Chancellor for Research on a case-by-case basis (except that Exempted Scholarly Works are automatically considered Scholarly Works).
The University waives all ownership interests in Scholarly Works except in the two circumstances described in Sections III.B.2. and III.B.3.

N. Tangible Research Materials or Materials - Tangible biological, chemical, and physical materials or equipment. Examples include cell lines, antibodies, DNA or RNA, chemical samples, plasmids, and prototypes.

O. Vice Chancellor for Research - The Vice Chancellor for Research at each campus, or where no such person exists, the Provost (or their designees).

II. Scope

A. Persons Subject to the Policy
All Covered Individuals are subject to this Policy.

B. Types of Intellectual Property Covered by the Policy
This Policy addresses the three categories of Intellectual Property (Inventions, Copyrightable Works, and Tangible Research Materials) as well as Confidential Information. The President shall have authority to designate additional types of Intellectual Property under this Policy.

III. Policy

A. Participation Agreement
The University has adopted a Participation Agreement, attached as Exhibit A (available at http://www.umass.edu/research/intelfac.html), that confirms acceptance of this Policy by Covered Individuals and assigns to the University all rights in any Intellectual Property in which the University asserts ownership (as described below).

1. Students - Students must sign the Participation Agreement prior to employment by the University in any research-related position. Such employment would include, for example, an arrangement whereby a student is funded as a research assistant under a government research grant or an industry-sponsored research agreement with the University. Students may also be required to sign the Participation Agreement under other appropriate circumstances, as determined by the Vice Chancellor for Research (for example, as required by the terms of a research grant).

2. Individuals Other Than Students - All Covered Individuals other than students must sign the Participation Agreement. The University will confirm that a valid Participation Agreement is on file before a Covered Individual receives any University-administered funds under a research grant or agreement. The University may also refuse to process any agreement involving that Covered Individual to the extent that the agreement would grant rights in Intellectual Property to an outside party.

B. Ownership of Intellectual Property
Any Covered Individual who invents, creates, or discovers any Intellectual Property will own all rights to such Intellectual Property except as follows:

1. Use of University Resources - The University will own any Intellectual Property (other than Exempted Scholarly Works) that is made, discovered, or created by any Covered Individual who makes significant use of University resources (including University-administered funds or University-funded time, facilities, or equipment) in connection with the development of such Intellectual Property. Use of library facilities, facilities
available to the general public, and occasional use of office equipment and office staff will not ordinarily be considered "significant use" of University facilities and equipment. In addition, faculty members will not be considered to have made significant use of University resources if (i) the faculty member receives advance written approval of the proposed use from the Department Chair, (ii) academic uses of facilities and equipment have priority, (iii) the faculty member compensates the University for the fair market value of the facilities and equipment (as actually charged by the University to outside users or, in the absence of such documentation, as determined by the Vice Chancellor for Research), (iv) the faculty member is not using University-committed time because the activities are permitted Outside Activities (under the University Policy on Faculty Consulting and Outside Activities), and (v) the faculty member does not use any University-provided funds or University-administered funds in connection with the activity.

If a Covered Individual makes, creates, or discovers Intellectual Property without significant use of University resources, but the Intellectual Property closely resembles a specific research project that the Covered Individual has conducted at the University, it may appear that the Intellectual Property arose with use of University resources. Under these circumstances, the University and the Covered Individual (or a company for whom the Covered Individual consults) could later argue about ownership of the Intellectual Property because the University might reasonably believe that University resources were in fact used. Such arguments usually arise after the Intellectual Property has gained substantial commercial value. In order to avoid these potentially litigious situations, the University requires Covered Individuals to disclose to the University any Intellectual Property that closely resembles a specific research project at the University, together with an explanation that the Intellectual Property did not arise through use of University resources. The University may ask the Covered Individual for documentation supporting the claim that there was no significant use of University resources. As described below, if there was no significant use of University resources, the University will give the Covered Individual a written acknowledgment that the University has no ownership interest in that Intellectual Property.

2. University-Commissioned Works - The University will own any Intellectual Property (including Exempted Scholarly Works) that is made, discovered, or created by a Covered Individual who is specifically hired or commissioned by the University for that purpose, unless otherwise provided by written agreement between such individual and the University.

3. Intellectual Property Subject to Contractual Obligations - Ownership of any Intellectual Property (including Exempted Scholarly Works) that is made, discovered, or created in the course of research funded by a sponsor pursuant to a grant or research agreement, or which is subject to a materials transfer agreement, confidential disclosure agreement or other legal obligation affecting ownership, will be governed by the terms of such grant or agreement, as approved by the University, although the University will ordinarily claim ownership.

4. Student Works
   a. Generally - As with other Covered Individuals, students shall own any Intellectual Property that they make, discover, or create in the course of research (e.g., thesis or dissertation research) unless (i) the student received financial support from the University
in the form of wages, salary, stipend, or grant funds for the research, (ii) the student made significant use of University resources (including University-administered funds or University-funded time, facilities, or equipment) in connection with the research, or (iii) the research was funded by a sponsor pursuant to a grant or sponsored research agreement or is subject to a materials transfer agreement, confidential disclosure agreement, or other legal obligation that restricts ownership of Intellectual Property.

b. Theses and Dissertations- The texts of all student theses and dissertations, and derivative works of these works, are considered Exempted Scholarly Works; therefore, the student will own copyright to the Scholarly Work (unless Sections III.B.2. or III.B.3. apply), subject to a royalty-free license to the University to reproduce and publish the Scholarly Work. As described below, students are allowed to publish their theses and dissertations unless they have agreed in writing to restrictions that preclude or delay publication.

Under certain circumstances, as described in Section III.C.3. below, the University will relinquish its rights in Intellectual Property to the inventor or creator of that Intellectual Property at his or her request.

C. Administrative Procedures - Inventions and Copyrightable Works

A primary goal of the University is the discovery and free dissemination of knowledge for the benefit of the public. The University recognizes, however, that in certain instances the public will only benefit from knowledge that is protected under the patent or copyright laws, which provide an incentive for economic development of that knowledge. The University therefore requests that all Covered Individuals disclose Inventions and Copyrightable Works (other than Exempted Scholarly Works) promptly, in order to allow the University an opportunity to evaluate their commercial potential, and to preserve or enhance their value by filing a patent application or obtaining a copyright registration. The University has established the following procedures in order to accomplish the dual objectives of disseminating knowledge and maximizing the economic value of that knowledge.

1. Disclosure to the University- Disclosure forms should be submitted to the CVIP or the Vice Chancellor for Research. The Vice Chancellor for Research and the CVIP will exchange copies of all disclosure forms that each receives. The Vice Chancellor for Research will also make available to the campus Office of Grants and Contracts appropriate information to permit required disclosures to research sponsors (e.g., federal agencies). The CVIP will make available appropriate disclosure forms. The treatment of different categories of Intellectual Property is set forth below.

a. Intellectual Property Developed with University Resources or Closely Resembling a Specific University Research Project - All Covered Individuals are encouraged to disclose promptly all Inventions and Copyrightable Works (except Exempted Scholarly Works) that (i) are developed with significant use of University resources or (ii) closely resemble a specific research project in which that faculty member is engaged at the University (see Section III.B.1. above). Although the disclosure of such Inventions and Copyrightable Works is voluntary, if the Covered Individual intends to commercialize such Intellectual Property, disclosure is required reasonably before the Covered Individual takes any action to commercialize such Intellectual Property. Examples of commercial actions include, without limitation, seeking patent or copyright protection,
commencing discussions with potential investors or licensees, or transferring the Intellectual Property to a third party. If a Copyrightable Work is an Exempted Scholarly Work, no disclosure is required under any circumstances. In other cases in which a Covered Individual desires treatment of a Copyrightable Work as a Scholarly Work, the Covered Individual should submit to the CVIP or Vice Chancellor for Research, in addition to the disclosure form, a request for treatment of the work as a Scholarly Work and a brief explanation of why the work should be a Scholarly Work. In the case of an Invention or Copyrightable Work that the Covered Individual claims is not subject to University ownership because the Intellectual Property was developed without significant use of University resources, the Covered Individual should submit to the CVIP or Vice Chancellor for Research, in addition to the disclosure form, a request for confirmation of individual ownership together with documentary evidence which clearly establishes that fact.

b. University-Commissioned Works - In the case of Inventions and Copyrightable Works (including Exempted Scholarly Works) that a Covered Individual is specifically hired or commissioned by the University to develop (see Section III.B.2. above), disclosure of the Intellectual Property is required unless otherwise provided by written agreement between such individual and the University.

c. Intellectual Property Subject to Contractual Obligations (e.g., Sponsored Research Agreements) - In the case of Inventions and Copyrightable Works (including Exempted Scholarly Works) developed in the course of research funded by a sponsor pursuant to a grant or research agreement, or which is subject to a materials transfer agreement, confidential disclosure agreement or other legal obligation requiring disclosure, the disclosure of such Intellectual Property will be governed by the terms of such grant or agreement, as approved by the University, if such terms differ from this Policy.

2. Evaluation and Disposition of Disclosures - The Director and the Vice Chancellor for Research will review, evaluate, and make a disposition of all disclosure forms, and will promptly notify the Covered Individual of their disposition. The evaluation and disposition of a disclosure will be completed as soon as possible, but for Inventions (and computer software) ordinarily no later than ninety (90) days, and for Copyrightable Works (other than software) ordinarily no later than thirty (30) days after the CVIP or the Vice Chancellor for Research receives a complete and accurate disclosure form and any other information that the CVIP or the Vice Chancellor for Research requests in order to make an informed evaluation of an Invention or Copyrightable Work. Disclosure forms will be evaluated for one of more of the following dispositions, subject to the appeals process described in Section III.C.4. below:

a. Scholarly Work- In the case of a Copyrightable Work that is claimed as a Scholarly Work (but is not an Exempted Scholarly Work), the Director and the Vice Chancellor for Research will decide whether that work is in fact a Scholarly Work.

b. No Use of University Resources - In the case of an Invention or Copyrightable Work that the Covered Individual claims is not subject to University ownership because the Intellectual Property was developed without significant use of University resources, the Director and the Vice Chancellor for Research will decide whether there was in fact significant use of University resources.
c. Evaluation of Commercial Potential: The Evaluation Committees - In the case of an Intellectual Property that the Covered Individual discloses for possible commercialization by the University, the Director and the Vice Chancellor for Research will determine its commercial potential. To assist in this determination, the Director and the Vice Chancellor for Research may consult with patent or copyright counsel and outside experts in particular fields. In addition to these resources, the Director and the Vice Chancellor for Research may seek the advice of various Evaluation Committees with expertise in various fields of research, which Committees the President shall have authority to establish at his or her discretion. Each Committee will be composed of faculty members with relevant expertise, appointed by the Chancellors in consultation with the Director and the Vice Chancellors for Research; a representative from the CVIP; and a Committee Chair, selected by vote of the whole Committee. The Director may invite to any Committee meeting one or more individuals from outside the University with relevant industry experience to advise the Committee.

All intellectual property disclosures shall be considered confidential by the University. The University will inform all members of the Evaluation Committee and all outside experts that the information contained in the disclosures is confidential, and that breach of confidentiality is a violation of University policy that could lead to personnel or other available sanctions or actions and will obtain written acknowledgment of such obligations from these individuals. The Evaluation Committees will establish recusal procedures for members who have a conflict of interest in a particular case.

d. Intellectual Property Subject to Contractual Obligations (e.g., Sponsored Research Agreements) - In the case of Inventions or Copyrightable Works (including Exempted Scholarly Works) that arise in the course of research funded by a sponsor under a grant or research agreement, or which are subject to a materials transfer agreement, confidential disclosure agreement, or other legal obligation affecting evaluation of disclosures, the evaluation process will be governed by the terms of such grant or agreement, as approved by the University, if such terms differ from this Policy. In the unlikely event that the Director and the Vice Chancellor for Research disagree on the disposition of a disclosed Invention or Copyrightable Work, a final decision shall be made by the President.

3. Request for Relinquishment of Rights - Under certain circumstances, as described below, the University may relinquish its ownership rights in an Invention or Copyrightable Work to the inventor or creator of the Intellectual Property at his or her request.

a. Intellectual Property Developed With University Resources - The University automatically waives its rights in Exempted Scholarly Works. In all other cases, the University will ordinarily waive its ownership rights in favor of the inventor or creator of an Intellectual Property if the Covered Individual has made complete and accurate disclosure of such Intellectual Property in accordance with this Policy and the Director and Vice Chancellor for Research have determined that the Intellectual Property comes under one or more of the following categories (as described in detail in this Policy):

Copyrightable Work that is a Scholarly Work

Intellectual Property developed without significant use of University resources
Intellectual Property that the University has decided not to commercialize

b. University-Commissioned Works - The University will not ordinarily waive its ownership rights in any Intellectual Property (including Exempted Scholarly Works) that is developed by a Covered Individual who is specifically hired or commissioned by the University for that purpose, unless otherwise provided by written agreement between such individual and the University.

c. Intellectual Property Subject to Contractual Obligations - In the case of Intellectual Property (including Exempted Scholarly Works) that is developed in the course of research funded by a sponsor pursuant to a grant or research agreement, or which is subject to a materials transfer agreement, confidential disclosure agreement, or other legal obligation affecting ownership, the relinquishment of any University rights in the Intellectual Property will be governed by the terms of the relevant grant or agreement, as approved by the University, if such terms differ from this Policy. This includes research carried out by faculty members within a center of the University when a separate agreement with the University, approved by the Vice Chancellor for Research and the Director, has been executed by the center. Before a change is made in an ongoing research contract between the center and an outside entity, the Vice Chancellor for Research will consult with faculty members who participate in the contract. A Covered Individual may need a separate waiver or assignment of rights from the other party in order to acquire complete rights to the Intellectual Property.

If certain Intellectual Property is available for relinquishment by the University (as set forth above), the inventor or creator of the Intellectual Property may request in writing that the Director grant a release or assignment of rights. The Director in consultation with the Vice Chancellor for Research will promptly respond to this request. The University will retain a royalty-free, non-exclusive license to use any such Inventions or Copyrightable Works for academic research and teaching. If the University has incurred expenses to obtain legal protection for Intellectual Property (e.g., patent-related expenses), the University may condition its relinquishment of rights to that Intellectual Property through a contract with the Covered Individual to reimburse the University from commercialization revenues.

4. Appeals - If a Covered Individual disagrees with a decision of the Director and the Vice Chancellor for Research under Section III.C.2., such individual may ask for reconsideration by the appropriate Evaluation Committee. The Committee shall review the matter and make its recommendation to the Director and the Vice Chancellor for Research who shall reconsider the matter.

D. Administrative Procedures - Tangible Research Materials

While potential commercial value should not inhibit the free exchange of University-owned Tangible Research Materials for research purposes, the University nonetheless recognizes that such Materials may have significant commercial value. In addition, Tangible Research Materials received by Covered Individuals may be subject to contractual restrictions that severely limit the use and transfer of such Materials, to the detriment of University researchers. The University has therefore established the following procedures to allow the free exchange of Tangible Research Materials, while at
the same time respecting the ownership rights of the University, protecting the rights of its researchers, and limiting the liability of the University and its researchers.

1. Transfer to Outside Researcher for Basic Research - If a Covered Individual desires to transfer Materials to an Outside Researcher for use in internal basic research, and not for the development or sale of commercial products, the Covered Individual must use the appropriate University form of Materials Transfer Agreement ("MTA"), which will be provided by the CVIP together with instructions for the use of each form. The various forms of MTA will establish rights and responsibilities regarding the Materials among the University and the Outside Researcher and his or her employer and will minimize future confusion and controversy regarding the use and transfer of the Materials and ownership of Inventions or Materials based on the supplied Materials. Faculty members (but not other Covered Individuals) are authorized to sign these MTAs on behalf of the University provided that (i) the University-form MTA is not altered or revised in any manner and (ii) a signed original of the MTA is sent to the CVIP when the Materials are sent to the Outside Researcher. Alternatively, CVIP representatives are authorized to approve and sign MTAs, even with revisions. If a Covered Individual is involved in a project that requires frequent exchanges of material with an Outside Researcher, the CVIP representative, in consultation with the General Counsel's office, may develop a blanket MTA to cover all exchanges between the Covered Individual and the Outside Researcher for a specific period.

If Materials are developed by a Covered Individual in the course of sponsored research, or are otherwise subject to contractual restrictions (e.g., a materials transfer agreement or confidential disclosure agreement), the transfer of such Materials to an Outside Researcher will be governed by the terms of the relevant agreement, if such terms differ from this Policy.

These procedures also apply to students who leave the University and desire to bring with them Materials that they developed or discovered in the course of their work at the University.

2. Transfer for Commercial Use - Materials may not be transferred to any Outside Researcher for any use other than internal basic research unless the Outside Researcher has obtained a license from the University through the CVIP under the procedures set forth in this Policy. Materials with commercial uses should be disclosed to the CVIP or Vice Chancellor for Research in the same manner as Inventions and will be treated in the same manner as Inventions.

3. Receiving Materials from Outside Researchers - If a Covered Individual receives Materials from an Outside Researcher at another organization (non-profit or commercial), the other organization or researcher may impose serious use and transfer restrictions on the Materials and may claim an ownership interest in Inventions, Copyrightable Works, or Materials that arise in the course of research performed with such Materials. For this reason, only CVIP representatives are authorized to approve and sign agreements governing receipt of Materials from other organizations. Covered Individuals are encouraged to consult with the CVIP regarding the restrictions applicable to a particular Material from an Outside Researcher before planning to use that Material in their research. Covered Individuals should be aware that, in some instances, these restrictions may be so onerous (e.g., no publications, assignment of inventions) that the CVIP will require modification of the agreement before approval. The CVIP will make available a
University-form MTA for receipt of Materials, although the organization supplying the Materials will usually require use of its own MTA.

If Materials are received by a Covered Individual in the course of sponsored research, the transfer of such Materials will be governed by the terms of the applicable sponsored research agreement, if such terms differ from this Policy.

If any MTA restrictions would apply to research performed by students, the affected students must agree to such restrictions in writing.

4. Administrative Procedures - In instances where the approval and signature of a CVIP representative is required for minor changes in the University form, every attempt will be made to complete this process within three business days. If the approval process extends beyond three business days, the Covered Individual may request the intervention of the Vice Chancellor for Research, who will attempt to expedite the process. For more material changes a CVIP representative in consultation with the General Counsel’s office will complete the process as soon as practicable. The Vice Chancellor for Research will maintain a record of any such requests and their disposition.

E. Administrative Procedures - Confidential Treatment of Information

While the academic tradition of free dissemination of knowledge for the public benefit is recognized by the University to be of paramount importance, it may be necessary or desirable, under some circumstances, to restrict disclosure of Confidential Information received from a sponsor company or to delay Public Disclosure of an Invention. The University has developed the following procedures to balance these competing interests.

The University will ordinarily not agree to maintain University-generated research results as trade secrets.

1. Guidelines Regarding Public Disclosure of Inventions - Internal disclosure of an Invention to the CVIP or Vice Chancellor for Research will not interfere with the ability to patent the Invention. However, Public Disclosure of an Invention prior to filing for a patent application (even one day before) will preclude the availability of patent protection in most countries. This legal rule applies to any non-confidential written or oral disclosure that describes the Invention (e.g., at a scientific meeting, in a journal, or even in an informal discussion with colleagues outside the University). Accordingly, the University strongly encourages Covered Individuals to disclose Inventions to the CVIP as soon as possible, and to delay Public Disclosure of the Invention until the evaluation process is completed and a patent application is filed. The CVIP and Vice Chancellor for Research will attempt to minimize delays in publication, but a delay of up to ninety days is often necessary for evaluation. The CVIP and Vice Chancellor for Research will make every effort to expedite the evaluation process when a Covered Individual indicates that there is a compelling need for rapid publication.

During this interim period, an Invention may be safely disclosed outside of the University under the protection of a Confidential Disclosure Agreement ("CDA"), because disclosures made under an appropriate CDA are not considered Public Disclosures. The University therefore recommends that all Covered Individuals use the University-form CDA whenever they disclose information relating to an Invention while the Invention is under evaluation by the University, and the University strongly recommends use of the University-form CDA and consultation with the CVIP if a Covered Individual wishes to disclose an Invention to an Outside Researcher associated with a company or other for-profit organization, or directly to such an organization. The CVIP will make available
appropriate forms of CDA. Faculty members have authority to sign the University-form CDA on behalf of the University when they will disclose information (but will not receive information), provided they send a fully signed original of the CDA to the CVIP as soon as possible. Alternatively, CVIP representatives are authorized to approve and sign CDAs on behalf of the University.

Covered Individuals should be aware that Public Disclosure of an Invention prior to completion of the evaluation process and filing of a patent application will adversely affect the commercial value of the Invention and therefore may decrease the likelihood that the University will proceed with commercialization of that Invention.

In the case of an Invention or Copyrightable Work that arises in the course of sponsored research or a grant, or which is subject to a materials transfer agreement (MTA), confidential disclosure agreement, or other contractual restriction affecting Public Disclosure, any restrictions on Public Disclosure will be governed by the terms of the grant or agreement with the other party, as approved by the University. If such restrictions would prevent or delay the publication of a student thesis or dissertation, then he or she must agree to such restrictions in writing.

2. Receiving Confidential Information from Outside Researchers - If a Covered Individual receives Confidential Information from an Outside Researcher or organization (non-profit or commercial) in relation to research performed by the Covered Individual at the University, the other organization or researcher may impose serious non-disclosure and non-use obligations on the Confidential Information and may claim an ownership interest in Inventions, Copyrightable Works, or Materials that arise in the course of research performed with such Confidential Information. For this reason, only CVIP representatives are authorized to approve and sign CDAs from other researchers or organizations on behalf of the University. The CVIP will make available a University-form CDA for receipt of Confidential Information, although the organization disclosing the Confidential Information will usually require use of its own form of CDA.

When Confidential Information is received by a Covered Individual in the course of sponsored research, the treatment of such Confidential Information will be governed by the terms of the applicable sponsored research agreement, if such terms differ from this Policy.

If any CDA restrictions would apply to research performed by students, the affected students must agree to such restrictions in writing.

F. Administrative Procedures - Sponsored Research with Commercial Organizations

The Vice Chancellor for Research in consultation with the CVIP shall have responsibility for negotiating, executing, and administering funded research agreements between the University and commercial organizations, in accordance with the University policies on sponsored research. The Vice Chancellor for Research may delegate all or some of these responsibilities to the CVIP. CVIP approval is required for any terms of such agreements that affect rights to Intellectual Property (e.g., option rights, license rights, or assignment of ownership). If any restrictions in a funded research agreement (such as publication delays) would apply to research performed by students, the affected students must agree to such restrictions in writing.

G. Commercialization of University-Owned Intellectual Property

The CVIP in consultation with the Vice Chancellor for Research shall have responsibility for commercial development and administration of all University-owned Intellectual
Property. This commercial development will ordinarily occur through licensing of Inventions, Copyrightable Works, or Materials to a company. The CVIP will regularly consult with, seek the advice of, and inform the inventor or creator of the Intellectual Property throughout the commercialization process. The University recognizes that involvement of the inventor or creator at every step of the commercialization process is essential for the successful commercialization of Intellectual Property. The CVIP will use diligent efforts to commercialize the Intellectual Property. If the CVIP is successful in its commercialization efforts, the inventor or creator will share in the economic rewards, as will the department and campus.

The University acknowledges the possibility that, in some situations, a Covered Individual and the University may each have ownership of an important element of Intellectual Property. In these situations, the University and the Covered Individual may achieve the highest value only if the combined Intellectual Property is commercialized. This Policy is not intended to limit the ability of a Covered Individual to contract with the CVIP to accomplish this result, even if the terms of that contract differ from this Policy. In any event, the University and the Covered Individual may each license their respective Intellectual Property separately if they cannot agree on contract terms.

1. Distribution of Non-Equity Revenue Derived from Commercialization - Royalty income and other non-equity revenue derived from the licensing of University-owned Intellectual Property will be distributed at the end of each accounting period as follows:

a. The University will be reimbursed for any out-of-pocket expenses incurred in obtaining and maintaining patent or copyright protection for a specific item of Intellectual Property, and in evaluating and marketing such Intellectual Property.

b. The remaining net income will be distributed as follows:

- Fifteen percent (15%) to the CVIP to fund patents, CVIP operations, and research grants
- Thirty percent (30%) to the inventor or creator
- Fifteen percent (15%) to the University entity or entities that provided the resources for development of the Intellectual Property, to fund research and scholarship
- Forty percent (40%) to the campus of the inventor or creator to fund research and scholarship

In the case of multiple inventors or creators of commercialized Intellectual Property, their shares will be distributed as they unanimously agree or, in the absence of agreement, in equal portions. If multiple departments or programs are involved, their shares will be distributed in the same manner as the distributions to the inventors or creators within such departments or programs.

At the written request of a Covered Individual, the University will furnish an accounting of these expenses and payments, but not more frequently than once each year. Covered Individuals are free to receive additional non-equity compensation directly from a commercial organization (e.g., through a consulting agreement), provided that the Covered Individual complies with other applicable University policies and procedures.

2. Acceptance of Equity - The University may accept an equity interest in a corporation, provided that before the CVIP agrees to accept equity, it must receive the approval of the Vice Chancellor for Research, the Vice President for Economic Development, and the
University Treasurer. A Covered Individual must choose either of the following approaches when negotiations commence between the University and the corporation, but the choice is final once selected. If a transaction is completed before the Covered Individual makes a choice of these approaches, the approach in paragraph b shall apply.

a. Covered Individuals may elect to receive thirty percent (30%) of the equity that the University would otherwise receive in connection with the commercialization of Intellectual Property, in which case the Covered Individual agrees not to receive any other equity interest from the corporation. The Director may waive this restriction in his or her discretion. The University will not receive or hold this equity on behalf of a Covered Individual, but will instruct the corporation to issue the equity directly to the Covered Individual. Covered Individuals must sign any documents required by the corporation (e.g., stock restriction agreements) and must agree to comply with any restrictions placed on the stock by the corporation. If the corporation refuses to issue the stock directly to the Covered Individual, or if the Covered Individual does not sign the necessary documentation, the University will instruct the corporation to issue the equity directly to the University. In such event, the Covered Individual may still receive equity independent of the University.

b. Covered Individuals may elect to receive equity directly from the corporation independent of the University, in which case the Covered Individual agrees not to receive any share of equity that the University may receive in that transaction. Covered Individuals selecting this approach may negotiate with the corporation to receive equity by means of, for example, a consulting agreement or founders stock. Such arrangements may be subject to the University Policy on Conflict of Interest Relating to Intellectual Property and Commercial Ventures.

3. Distribution of Equity Revenue Derived From Commercialization - The University will not receive and hold equity until liquidation on behalf of a Covered Individual. Instead, as explained in the preceding section, a Covered Individual may receive equity directly from a company (either together with the University or independent of the University). The equity received by the University in connection with the commercialization of Intellectual Property will be held until liquidation, with the proceeds distributed as follows:

a. First, to the extent the University is not fully reimbursed for out-of-pocket expenses from non-equity revenue, the University will be reimbursed for any remaining out-of-pocket expenses incurred in obtaining and maintaining patent or copyright protection for a specific item of Intellectual Property, and in evaluating and marketing such Intellectual Property.

b. The remaining proceeds from equity liquidation will be distributed as follows:

Twenty percent (20%) to the CVIP to fund patents, CVIP operations, and research grants

Twenty percent (20%) to the University entity or entities that provided the resources for development of the Intellectual Property, to fund research and scholarship

Sixty percent (60%) to the campus of the inventor or creator to fund research and scholarship
Equity held within the University will be managed by the Treasurer. Equity may also be held on behalf of the University by the University of Massachusetts Foundation, Inc. or another outside investment advisor to minimize potential institutional conflicts of interest.

H. Enforcement
The Director, the Vice Chancellor for Research, or the President may refer any matter to the appropriate University official for disciplinary or other appropriate action.

I. Appeals
If a faculty member disagrees with any decision by the Vice Chancellor for Research or the Director, the faculty member may request an advisory opinion from an ad hoc faculty committee composed of three members appointed by the Chancellor for that campus and three members appointed by the Faculty Senate. The faculty member and the Vice Chancellor for Research will each present their views to the committee. The committee will adopt an opinion by vote of a majority of its members. In the event of a deadlock, the committee may adopt two opinions. The committee will transmit its written opinion to the faculty member, the Vice Chancellor for Research, and the Director. If the disagreement persists, the faculty member may appeal the matter to the President (or his or her designee). The President will consider written statements by the faculty member, the Vice Chancellor for Research, and the Director, as well the advisory opinion rendered by the ad hoc committee. The decision of the President shall be final within the University.

In the case of Covered Individuals other than faculty members, the President shall have authority to overrule any decision of a Vice Chancellor or the Director. The decision of the President shall be final within the University.

If a Covered Individual disagrees with the final University decision, the Covered Individual may exercise his or her individual legal rights to pursue the matter in a court of law located in the Commonwealth of Massachusetts. This acknowledgment by the University that a Faculty Member has the right to pursue a legal claim is not an admission by the University that any Faculty Member actually has any actionable legal claim. Rather, the University seeks to preserve the legal rights of a Faculty Member outside of the collective bargaining process after internal appeals are exhausted.

J. Interpretation of Policy; Exceptions
The Director shall administer this Policy in regular consultation with the Vice Chancellors for Research and the President. The President shall have authority to interpret this Policy and, upon recommendation of the Vice President for Economic Development and in consultation with the General Counsel, may grant exceptions to the Policy in appropriate cases.

K. Reports
The Vice Chancellor for Research shall file with the Faculty Senate an annual report on disclosures and materials transfer agreements, indicating the number received, time involved in processing, and disposition. The report shall present summary statistics and shall maintain the confidentiality of individual disclosures.

3. Disclosure of Research Results
All sponsored activities of the University of Massachusetts must conform to the disclosure policy established by the Board of Trustees on May 10, 1972. "It is the policy
of the University of Massachusetts to undertake only those research projects in which the purpose, scope, methods, and results can be fully and freely disclosed." On the basis of this policy, the University will not authorize the acceptance of classified or secret research.

4. Scholarly Misconduct
The university has in force "Guidelines for Procedures for Dealing with Charges of Misconduct in Research and Scholarship Activities." Since the University considers misconduct in scholarly activities to be injurious to the institution's teaching, research, and public service missions, it treats all charges of misconduct with the utmost seriousness. The "Guidelines" are available from the Office of the Vice Provost for Research and at http://www.umass.edu/provost/admin/policies/misconduct.pdf.

5. Joint Authorship
The "Policy Statement on Joint Authorship" provides guidelines for authorship and co-authorship of scholarly works by collaborators at the University. The "Policy Statement" is available at the Office of the Vice Provost for Research and at http://www.umass.edu/research/ogca/policies/jntauth.htm.

D. Campus Policies

1. Alcoholic Beverages and Controlled Substances
A. The University of Massachusetts Amherst does not condone the use of alcoholic beverages except in accordance with the campus' Alcoholic Beverages Policy. The policy is published in Undergraduate Rights and Responsibilities, issued by the Office of the Vice Chancellor for Student Affairs. All members of the University community are expected to comply with the laws of the Commonwealth and with the campus policy concerning consumption of alcoholic beverages. The minimum drinking age in Massachusetts is 21 years.

B. The handling and use of controlled substances must comply with federal and Commonwealth law. Controlled substances are not otherwise permitted on campus. In accordance with the Drug-Free Workplace Act of 1988, the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance, as defined in the act, is prohibited in the workplace, whether on or off University premises, when an employee is directly engaged in the performance of work pursuant to the provisions of a federal grant. A violation of these prohibitions and any applicable regulations under the act may result in discipline up to and including termination.

2. Policy on Environmental Tobacco Smoke
Increasing concern about the effects of environmental tobacco smoke (ETS) on the health and welfare of faculty, staff and students prompts the University to revise the September 1987 policy on use of smoking materials (Senate Document # 86-013) for use by the Amherst campus. Smoking is allowed only in:

a) Designated guest rooms of the Campus Center hotel.

b) Certain University owned and leased individual rooms and apartments, including Residential Halls in accordance with policy established by Housing Services.
3. Operating Policy for Facilities

Purpose
This policy establishes responsibility for the actual repair, maintenance, renovation, remodeling, and construction of campus buildings, grounds, related facilities, and attached equipment with the Physical Plant Division and the Facilities & Campus Planning Division, unless specifically delegated by the Associate Vice Chancellor for Facilities & Campus Services.

Overview
All on-site work involving repair, maintenance, renovation, remodeling, alterations, or construction to campus facilities must be accomplished by or coordinated through these divisions including the development of construction documents and administration of construction contracts. All contractors, once engaged, are also supervised on-site by Physical Plant or Facilities & Campus Planning staff.

Application
This policy applies, but is not limited to, the following:
1. the construction, fabrication, installation, alteration, or painting of partitions, doors, walls, ceilings, floors, shelves, windows, cabinets, air conditioning units, and any other equipment attached to campus buildings;
2. the construction, fabrication, installation, or alteration of utility service systems including electrical, gas, water, sewer, steam and air lines, and all mechanical control systems for these utilities within and outside campus buildings;
3. the routine maintenance, major maintenance, repairs, or installation of all structural, mechanical, electrical, and fire protection systems;
4. the planting and care of trees, shrubs, flowers, lawn areas, and all campus landscape elements and features, except those used for instruction or research purposes;
5. custodial services, refuse collection and disposal, recycling, and snow removal.

Rationale
Work performed by non-facilities personnel often violates campus construction standards, can create hazardous situations, and may result in the ineffective expenditure of funds. If Physical Plant or Facilities & Campus Planning are unaware of the result of such work, records will not be maintained and disruption of services may occur at a later date, or worse, a tradesperson may be physically harmed due to unrecorded alterations or installations. Work of this nature may also circumvent authorization and/or approvals required by the campus, the University, the Board of Trustees, or the state executive or legislative branches. In addition, unauthorized work can violate University agreements with insurance carriers, regulations by various state or federal agencies (including the State Division of Capital Asset Management -DCAM), union agreements, state or federal statues, local ordinances, and requirements imposed by other regulatory agencies.

E. General Policies
1. Fair Information Practices
The confidentiality of all information in your personnel file(s) ("personal data system" is the term in the statute) is protected by the Massachusetts Fair Information Practices Act (FIPA), the University regulations that the Trustees have promulgated pursuant thereto, and applicable case law. Only you or some other person designated by you may have access to personnel information about you without your permission, or as required by law. Such permission is implied for persons who have a legitimate need for such information for a specific purpose, such as the members of your departmental personnel committee when they are considering a recommendation for personnel action concerning you, plus the administrators who must review the recommendation. Those persons are required to maintain the confidentiality of all such information from anyone not directly involved in the process. You have the unconditional right of access to all items in your personnel file except for any item(s) for which you have signed a specific waiver of that right, except that the University can withhold data that is the subject of an investigation for a period of one year or until the investigation is concluded, whichever is less. You do not have to give a reason for exercising this right, and it is improper for anyone to request such a reason. You also have the right to copy any and all materials in your file if failure to permit such copying would prevent you from inspecting and reviewing your records; a small fee to cover the costs of reproduction may be charged.
Students enjoy similar rights. Without their permission or as otherwise provided by law, you may not reveal their grades or any similar data about them, not even to their parents. Violations of students' rights to privacy may result in serious disciplinary action.

2. Massachusetts Right to Know Law
The Right to Know Law, Chapter 111 F of the Massachusetts General Laws, enacted in 1983, provides new rights to faculty and staff members and community residents regarding the communication of information on toxic and hazardous substances listed on the Massachusetts substance list. The law covers all faculty and staff members, and community residents who might foreseeable be exposed to hazardous substances used in the workplace; requires Workplace Notices to be posted in a central location in the workplace informing faculty and staff members of their rights; requires the Massachusetts Department of Public Health to establish and maintain the Massachusetts Substance list (copies of which are on reserve at the campus libraries and at departments using hazardous or toxic substances) and allows coverage of additional substances on evidence of risk to health; mandates that each hazardous or toxic substance be labeled and that a Material Safety Data Sheet (MSDS, which provides information on the substance, safety instructions, and risks to health) be available upon written request; requires an annual training program for faculty and staff members who work with toxic or hazardous substances at the Amherst campus. The training session includes a 35 minute slide-tape program, developed by the Environmental Health and Safety Department, Morrill Science Center, tel. 545-2682, entitled "What You Should Know About the Right to Know Law."
The law requires training for new faculty and staff members who work with toxic or hazardous substances within 30 days of the date of hire. In order to comply with this provision in the law, Environmental Health and Safety's Training Department routinely schedules Right to Know training sessions. Arrangements should be made to attend one
of the scheduled sessions within the required 30-day period. Further questions about the Right to Know Law or the training sessions should be directed to the Environmental Health and Safety Office.

VI. The Faculty Member as Employee

A. Personnel Information

1. New Employee Information Program
   For information, please contact the Division of Human Resources at 545-0360.

2. Human Resources Information Center
   For information, please contact the Division of Human Resources at 545-0360.

3. Personal Data Questionnaire
   For information, please contact the Division of Human Resources at 545-0360.

4. University Fair Information Practices Regulations
   The Board of Trustees has adopted a set of regulations called the "University Fair Information Practices Regulations" which complements the Commonwealth of Massachusetts' Fair Information Practices Act. The purpose is to regulate the collection, maintenance and dissemination of personal data, with the objective of protecting the confidentiality and rights of University faculty and staff members. Certain information about individuals is defined as public information by virtue of these regulations and may be disseminated without restriction. Public information includes name, position title, job description, salary, office location and telephone number, and dates of employment at the University. A second group of information, defined as directory information, consists of several categories of data which can be restricted from dissemination at your request. Directory Information includes home address and telephone number, date and place of birth, education, social security number, marital status, and citizenship. You may request that some or all of this information not be disseminated. To do this, you must file a form with the Division of Human Resources. The form may be obtained at the Human Resources Information Center. The Division of Human Resources will honor your directive unless dissemination of this information is required by statute, regulation, or legitimate University purpose. In the case of a court order or subpoena which mandates access to personal data, the Division of Human Resources will make every reasonable effort to notify you in advance of compliance.

5. Personnel Files
   For information, please contact the Division of Human Resources at 545-0360.

6. Employee Identification Number
   For information, please contact the Division of Human Resources at 545-0360.

7. Employee Identification Card
For information, please contact the Division of Human Resources at 545-0360.

8. Social Security Number
For information, please contact the Division of Human Resources at 545-0360.

9. The Commonwealth's Alternative to Social Security
For information, please contact the Division of Human Resources at 545-0360.

10. FICA/Medicare Deduction
For information, please contact the Division of Human Resources at 545-0360.

11. Alternative Retirement Program
For information, please contact the Division of Human Resources at 545-0360.

B. Payroll Information

1. Academic Year Appointment Basis
For information, please contact the Division of Human Resources at 545-0360.

2. Federal Tax Withholding
For information, please contact the Division of Human Resources at 545-0360.

3. State Tax Withholding
For information, please contact the Division of Human Resources at 545-0360.

4. Tax Treaty
For information, please contact the Division of Human Resources at 545-0360.

5. Annual W-2 Wage and Tax Statement
For information, please contact the Division of Human Resources at 545-0360.

6. Employment Eligibility Verification Form (I-9)
For information, please contact the Division of Human Resources at 545-0360.

7. Payroll Check
For information, please contact the Division of Human Resources at 545-0360.

8. Automatic Payroll Deposit
For information, please contact the Division of Human Resources at 545-0360.

C. Insurances

1. Health Insurance
For information, please contact the Division of Human Resources at 545-0360.
2. Basic Life Insurance  
For information, please contact the Division of Human Resources at 545-0360.

3. Optional Life Insurance  
For information, please contact the Division of Human Resources at 545-0360.

4. Dental Benefits  
For information, please contact the Division of Human Resources at 545-0360.

5. Vision benefits  
For information, please contact the Division of Human Resources at 545-0360.

6. Long Term Disability Insurance  
For information, please contact the Division of Human Resources at 545-0360.

7. Faculty/Librarian Sick Leave Bank  
For information, please contact the Division of Human Resources at 545-0360.

8. Workers' Compensation  
For information, please contact the Division of Human Resources at 545-0360.

9. Personal Lines of Insurance  
For information, please contact the Division of Human Resources at 545-0360.

D. Leaves of Absence

1. Paid Leaves

a. Sick Leave  
For information, please contact the Division of Human Resources at 545-0360.

b. Vacation Leave  
For information, please contact the Division of Human Resources at 545-0360.

c. Paid Personal Leave  
For information, please contact the Division of Human Resources at 545-0360.

d. Holidays  
For information, please contact the Division of Human Resources at 545-0360.

e. Sabbatical Leave  
For information, please contact the Division of Human Resources at 545-0360.

f. Bereavement Leave  
For information, please contact the Division of Human Resources at 545-0360.
g. Civic Duty Leave
For information, please contact the Division of Human Resources at 545-0360.

h. Military Reserve Leave
For information, please contact the Division of Human Resources at 545-0360.

2. Unpaid Leaves
For information, please contact the Division of Human Resources at 545-0360.

a. Family and Medical Leave Act
For information, please contact the Division of Human Resources at 545-0360.

b. Military Leave
For information, please contact the Division of Human Resources at 545-0360.

c. Personal Leave
For information, please contact the Division of Human Resources at 545-0360.

E. Retirement

1. Retirement Planning

a. Commonwealth of Massachusetts Retirement System
For information, please contact the Division of Human Resources at 545-0360.

b. Optional Retirement Program (An alternative to the Commonwealth of Massachusetts Retirement Program)
For information, please contact the Division of Human Resources at 545-0360.

2. Fund(s) in which contributions will be invested.
For information, please contact the Division of Human Resources at 545-0360.

3. Voluntary Termination

a. Retirement Benefits
For information, please contact the Division of Human Resources at 545-0360.

b. Health Insurance Benefits
For information, please contact the Division of Human Resources at 545-0360.

c. Dental Benefits
For information, please contact the Division of Human Resources at 545-0360.

d. Paid Leave Accruals
For information, please contact the Division of Human Resources at 545-0360.
4. Involuntary Termination Through no Fault of Your Own

a. Retirement Benefits
For information, please contact the Division of Human Resources at 545-0360.

b. Health Insurance Benefits
For information, please contact the Division of Human Resources at 545-0360.

c. Dental Benefits
For information, please contact the Division of Human Resources at 545-0360.

d. Paid Leave Accruals
For information, please contact the Division of Human Resources at 545-0360.

e. Tuition Benefits
For information, please contact the Division of Human Resources at 545-0360.

f. Unemployment Compensation
For information, please contact the Division of Human Resources at 545-0360.

5. Emeritus Status
Emeritus Status is available only to those faculty who have permanently retired from the University. Normally, it is granted only to those with ten or more years of service to the University and who have attained the rank of Professor. Emeritus status is awarded by the Chancellor upon recommendation by the Provost.

F. Miscellaneous Benefits

1. Tuition Waiver Policy
For information, please contact the Division of Human Resources at 545-0360.

2. Tuition Remission Policy
For information, please contact the Division of Human Resources at 545-0360.

3. Dependent Care Assistance Program
For information, please contact the Division of Human Resources at 545-0360.

VII. Other Resources and Organizations
A. Cultural Resources

1. Fine Arts Center
Since its founding in 1975, the UMass Fine Arts Center has been a central force in the cultural, social and academic life of the University, the Five College campuses, and the Pioneer Valley of Western Massachusetts. The Fine Arts Center’s combination of Performing, Visual and Educational arts programs not only makes us distinctive, but it also secures a very vital and necessary position for us to meet the diverse needs of artists, scholars, faculty, students, alumni and the broader community.

The Performing Arts programs of the Fine Arts Center engage and inspire the campus and regional communities and reflect a wide range of styles and cultures in order to foster an awareness of and respect for the diversity of the world in which we live. While our audiences come from all over Western Massachusetts, Five College students comprise 40% of our audience, one of the highest percentages of student audiences in the country. The Performing Arts programs of the Fine Arts Center include:

- Asian Arts and Culture – devoted to the performing and visual arts of Asian countries.
- Center Series – an international performing arts series offering dance, jazz, chamber music, orchestras, popular events, and Broadway.
- Magic Triangle Series – a jazz series that focuses on the intimate music experience and educates students through workshops, classes and open forums.
- New WORLD Theater – a first-voice multiracial theater dedicated to theater work by artists of color.
- Residential Arts – presenting the Off-Center Series of experimental performance art and artists residencies.
- Performances Plus! – a performance series for elementary and middle school students.

The Visual Arts programs promote a standard of excellence in the contemporary visual arts and provide a forum for dialogue about art that probes aesthetic, political, and social issues. Home to a major gallery, the University Gallery, and three additional galleries, the Augusta Savage, Hampden and Central Galleries, the Fine Arts Center serves an audience of over 15,000 students, faculty, staff and the general public with a variety of exhibits and public art. In addition, the galleries provide internships and arts training experience for 50 students each year and provide venues for Bachelor’s and Master of Fine Arts exhibitions for 70 undergraduate and 20 graduate students of the Department of Art. The Visual Arts programs of the Fine Arts Center include:

- August Savage Gallery – a multiracial, multi-arts facility for visual arts and performances by people of color.
- Hampden and Central Galleries – located in residence halls, showcasing student artworks and exposing students to contemporary art in an accessible and comfortable setting.
- University Gallery – an exhibition and education resource, which houses the region’s largest collection of contemporary art works on paper.
The Education programs are designed to deepen appreciation, understanding and knowledge of the arts. The Fine Arts Center is a rich resource for the academic departments of the University as a critical site for experiential student learning in the arts. A model of inclusiveness and diversity, the Fine Arts Center employs artistic exploration, educational collaborations and creative community engagement to advance a broad awareness and appreciation of a full range of artistic experiences. We ensure that the arts are an integral part of student life by offering low-priced student tickets, workshops by visiting artists, artists-in-residence programs. The Education programs include:

Jazz in July – an intensive performance-oriented study of jazz improvisation with master musicians.
The Lively Arts – an arts appreciation course offered each semester and open to students and the general public.
UMass Arts Council – provides grant support, financial resource networking, and arts information services to student organizations and academic departments.

2. Campus Art Galleries
The University of Massachusetts houses six galleries that offer a highly selective schedule of exhibitions and programs. The exhibition choices are refreshingly diverse, and range from innovative sound installations to realistic renderings that employ traditional methods. All six galleries also offer an exciting array of complementary programming, including performing arts events, literary readings, film screenings, and artist talks.

Augusta Savage Gallery, a program of the Fine Arts Center, is a multicultural facility offering exhibits which range from the traditional to contemporary works by emerging and established artists, as well as by students. The gallery serves as a dynamic format for raising issues such as race, ethnicity, class, and cultural identity through the arts. Each year the gallery offers an outstanding series of educational performances designed to extend its mission to explore cultural diversity through artistic expression.

Central Gallery, a program of the Fine Arts Center, is an intimately scaled venue that holds the distinction of being the only major campus gallery located within a student residence hall. Central Gallery exhibits University student thesis works, as well as the work of area emerging artists.

Hampden Gallery, a program of the Fine Arts Center, is located in the Southwest Residential Area, the most populated student residence area on campus. The gallery displays works by emerging and established artists, and reserves a portion of its schedule for thesis exhibitions. The gallery is noted for its challenging and diverse visual art exhibitions that speak to contemporary issues. Experimental media and interdisciplinary exhibits are a hallmark of this space.

Herter Art Gallery, a program of the Art Department, exhibits work by established and emerging artists as well as by students and faculty of the Art Department. The gallery frequently offers artist residencies, gallery talks, workshops, and other programming in
conjunction with its exhibitions. The principal aim of the gallery is to explore and encourage experimental approaches in the presentation of contemporary visual art, particularly those approaches that reflect the gallery’s commitment to the multidisciplinary study of art and culture.

Student Union Gallery, a program of the Student Affairs Office, is the only student-run gallery on campus, and is a registered student organization. The gallery is committed to showcasing student talent, and usually sets aside a significant portion of its exhibition schedule for bachelor of fine arts (BFA) and master of fine arts (MFA) thesis shows at the end of each semester.

University Gallery, a program of the Fine Arts Center, is the largest gallery on campus, and has one of the most ambitious exhibition programs of contemporary art in the region. The gallery houses a notable permanent collection of 20th-century prints, drawings, and photographs. The collection also includes an impressive group of public sculptures, artists’ books, WPA prints, and Southwest American Indian pottery. The gallery is charged to collect, preserve, and interpret the University Art Collection and to organize and host temporary exhibitions of national and international significance. The gallery presents exhibitions that engage social, political, and aesthetic issues and reflects a range of styles and cultures in order to foster an awareness of and respect for a diversity of expressions.

3. Residential Arts Program
The Residential Arts Program provides cultural programs in unique spaces throughout the University's residence hall system. Facilities used include Hampden Theater, Hampden Gallery, and Wheeler Gallery, in addition to non-traditional spaces such as dining commons, lounges, and snack bars. The emphasis of Residential Arts Programming has been on showcasing new and experimental works while maintaining programming dedicated to arts of historical, ethnic, social, and multicultural significance. Residential Arts also has a commitment to provide students with workshops and residencies by professional artists with a wide range of experience.

B. Institutional Support and Services

1. Ombuds Office
The Ombuds Office was established to provide assistance with the resolution of University–related problems or grievances not being resolved through normal channels. Among the problems the Ombuds Office handles are academic disputes (including academic dishonesty), administrative matters, personnel issues, interpersonal disputes, and ethical concerns.

The Ombuds Office can frequently secure needed information and a reasonable outcome where delay or disagreement is a problem. A member of the Ombuds staff can also function as a neutral intermediary in disputes and can often facilitate an informal settlement where formal procedures fail. In addition, the Ombuds Office can answer
general questions about the University or provide referrals to the appropriate person or agency for further information.

Records, contacts and communications with the office are normally confidential; in unusual circumstances, rare exceptions are made if required by law. Although appointments are not required, it is best to call (545-0867) to arrange a convenient time to meet with a member of the Ombuds Office staff.

2. Office of Institutional Research (OIR)
The Office of Institutional Research (OIR) conducts a systematic and on-going analysis of academic processes and outcomes and the factors influencing them. OIR provides information to assist with the internal allocation of academic resources, to support planning processes, and to fulfill reporting requirements to various external agencies. In addition, OIR responds, on an on-going basis, to a large number of ad hoc requests for information regarding institutional characteristics submitted by individuals and agencies both on and off the Amherst campus.

OIR publications include:
The Factbook (annual). A reference document for the campus including enrollment, faculty, finances, degrees granted, and other aspects of institutional activity. Comparisons over time are presented when possible.
Admissions and Enrollment Report (each semester). A descriptive report offering both a profile of admitted students by school and college and a detailed listing of student majors and course enrollments by departments.
UMass At a Glance (annual). One page document specifying basic student faculty and staff, and finance data.
Miscellaneous factsheets (annual/semesterly). One page documents covering a range of topics.

Members of the campus community with research, evaluation, and analysis needs relevant to OIR's mission are invited to visit OIR at 237 Whitmore Administration Building or www.umass.edu/oapa or contact the office at 545-0941 or oir@oirp.umass.edu.

3. Office of Academic Planning and Assessment
The Office of Academic Planning and Assessment (OAPA) provides services to Academic Affairs and the campus in several areas:
managing the strategic planning process within Academic Affairs, and working with planning processes at the campus and system levels;
organizing institutional and comparative data to support decision making on the part of the Provost and other senior administrators; and
leading a comprehensive student assessment program, providing insight into the factors related to student success and underpinning student choices.

The Office works with faculty and academic departments in a variety of ways. Together with the Office of Institutional Research, OAPA provides information and analysis in
response to individual inquiries, and can offer assistance in locating sources of off-campus information. The Office works with departments in developing specific assessment strategies as needed (for example, to respond to requirements of disciplinary accrediting agencies). The Office also publishes a series of assessment bulletins highlighting results of campus research. Any faculty member will be added to the mailing list upon request.

4. Conference Services
Conference Services is the sole agency on the Amherst campus charged with planning, coordinating, and maximizing the use of campus facilities for conferences. Faculty are encouraged to use Conference Services for all their conference needs.

5. Campus Mail Services
Mail Services provides distribution of incoming US mail; delivery of Campus Mail between departments, students, faculty, staff, and the Five Colleges, and preparation of outgoing mail and packages, including the application of postage recharged to the mailing department. Daily mail pick-up and delivery is provided to most buildings and departments on campus. Mail Services also provides full mailing preparation services including folding, tabbing, inserting, addressing, business reply and bulk mail preparation, on a fee basis. Full coordination with Print Services is provided to ensure compliance with postal regulations and minimize costs. University departments are encouraged to contact Mail Services for consultation and services in the Goodell Building or by phone at 545-2488.

6. Campus Parking System
The University’s Amherst campus parking system provides surface permit parking, metered parking, and garage parking. On campus parking regulations are strictly enforced Monday through Friday from 7 a.m. to 5 p.m., although some parking lots are enforced 24 hours a day. All employees’ vehicles must be registered with Parking Services to park on campus. The only exceptions are parking at meters or on levels 2-6 of the Campus Garage. For more information on parking, please contact Parking Services at 413/545-0065, or visit the Parking Services web site at www.parking.admin.umass.edu/.

C. Personal Services and Resources

1. Everywoman's Center
Everywoman’s Center (EWC) is a multicultural women’s Center based at the University of Massachusetts, providing a range of services to the diverse cultural and linguistic populations of Hampshire County. All services are free and confidential.

a. Information and Support Services:
Resource/Referral Program: offers specialized information and referral with a particular focus on issues of concern to women, including childcare, employment, housing, legal services, and support groups. Maintains a lending library, resource materials, access to a computerized database, and a comfortable drop-in space.
Women of Color Leadership Network (WOCLN): offers cultural, educational and social programming, information and support services for women of color, and works to build and strengthen relationships between relevant university and community groups and organizations.

Counseling Services: offers short-term personal counseling for women, call-in and walk-in services, assessment, referrals, and support groups.

b. Rape Crisis and Violence Prevention Services:
Counselor/Advocate Program: offers 24-hour comprehensive services for victims/survivors of rape, battering, incest, sexual assault and sexual harassment, including crisis intervention, legal and medical advocacy, short-term counseling, and support groups for victim/survivors. Call the 24-hour hotline at (413) 545-0883 or toll free in Hampshire County at 1-888-337-0800. Specialized Teen Services offers services designed to meet the needs of teen survivors of sexual assault and dating violence.

Educator/Advocate Program: offers educational workshops, training, and community organizing on issues of violence against women and women’s empowerment. The Hilltown Project offers educational workshops, training, community organizing and referrals on issues of domestic violence to the six towns of west Hampshire County. The Teen Education Project is a collaboration with the Hampshire Educational Collaborative to provide workshops for HEC students and training for HEC school personnel on issues of child sexual assault, dating violence and sexual assault.

Everywoman’s Center is open year round. Services can be accessed by calling (413) 545-0883 (TTY) Monday, Tuesday, Thursday and Friday from 9:00 a.m. to 4:00 p.m. and Wednesday from noon to 4:00 p.m. EWC is located on the ground floor of Wilder Hall on Stockbridge Road, and in Nelson House on East Pleasant Street. Access EWC on the web at: www.umass.edu/ewc/

2. University Women's Network
The University Women's Network (UWN) is a network of professional, classified and faculty women on the Amherst campus. The two major aims of the group are: to share information and provide support among members through professional development, employment leads, resources, work-related referrals, informal information exchange; and to promote a more thorough understanding of the function and operation of the University. UWN holds six one-hour luncheons at the UMass Campus Center featuring guest speakers. Previous topics have included: Women in Higher Education; Successful Financial Investing; Networking; Mentoring; and Life Coaching. The goal of the organization is to provide support for all University women employees who believe they can benefit from and contribute to the network. UWN is committed to promoting racial and cultural diversity both within the organization and within the larger University community. Faculty women should consider this organization a forum in which to increase their professional development and offer support towards the advancement of women, in particular, to fellow women employees at the University.

3. University Health Services
University Health Services (UHS) is an ambulatory care center, accredited by the Joint Commission on Accreditation for Healthcare Organizations. UHS provides or arranges for comprehensive health care for students, faculty, staff, and community members through several of the health insurance plans offered to University community members. In addition, UHS provides health services to students enrolled at Hampshire and Amherst Colleges as part of contractual agreement. Located near Franklin Dining Commons in the Central Residential Area on campus, UHS is open 24 hours a day, seven days a week during the academic year for urgent and routine health problems. Services include medical, eye care, mental health, surgical and orthopedic specialty services, obstetrics/gynecology, and health education services. Physicians, nurse practitioners, physician assistants, and other health professionals specialize in college health issues, as well as pediatrics and family medicine. Physical therapy, radiology, laboratory, optical, and pharmacy services are available on site.

Urgent Care is available twenty-four hours a day, seven days a week during the academic semesters for the initial treatment of work-related injury or for a medical crisis that occurs on campus.

Immunizations for both foreign travel and to comply with domestic requirements are available through the UHS Immunization Clinic.

4. Faculty and Staff Assistance Program
The Faculty and Staff Assistance Program (FSAP) is a resource for all faculty, staff, and immediate family members. The program provides free, confidential assessment/referral and brief counseling services for a wide range of personal problems which may affect an individual's life and work. Problems may include couple and family relationships, eldercare, substance abuse, medical, grief, work, stress, and emotional concerns. All contacts with the FSAP are confidential and no information will be disclosed without written permission.

The FSAP also serves as a consultation resource for supervisors and managers when addressing an employee's work performance. FSAP counselors are available if a work unit experiences a trauma, loss, or significant change that threatens to disrupt the functioning of the group.

The FSAP co-sponsors an annual tenure preparation seminar with the Provost's Office, and provides other seminars for faculty.

For more information about the Faculty and Staff Assistance Program or to make an appointment, call 545-0350 or visit www.umass.edu/fsap. The FSAP is located at University Health Services.

5. Disability Services
The staff of Disability Services work with the entire campus community: those who have disabilities and those who do not. A documented disability falls under the following
categories: blind, visually impaired, deaf, hard-of-hearing, mobility, speech, medical
disabilities, head injuries, or multiple disabilities. Additionally, we work with faculty and
staff who have learning disabilities or Attention Deficit Disorder and Hyperactivity.
Faculty, employees, and students who work with people with disabilities are highly
encouraged to contact Disability Services to ensure that you are making the appropriate
accommodations to your classroom, office or events. For further information call 545-0892

6. Psychological Services Center
The Psychological Services Center, 123 Tobin Hall, is part of an accredited program for
the training of graduate clinical psychologists and is the primary resource for their
clinical and community experiences. The program is approved by the American
Psychological Association. Members of the Psychology Department's Clinical
Psychology Program are actively involved in the center. The center offers psychological
services to adults, children, and families without age or residence restrictions and with
fees based on ability to pay. Many forms of psychotherapy are available, including
individual, couples, family, and group therapy. Psychological and educational
assessments are also available. The center responds to direct requests for services from
prospective clients as well as to referrals from agencies and other professionals. In all
cases, strict confidentiality is maintained. Consultation and educational services are also
provided to other agencies and institutions in the community.

7. Speech, Language, and Hearing Clinical Services
Speech, language, and hearing clinical services are provided by the Communication
Disorders Department, Arnold House. Services are available to University students with
speech, language, and hearing problems which may affect their professional performance
and social adjustment. As a contribution to the needs of the community and surrounding
areas, speech therapy services are offered to children and adults with the following
disorders: severe articulation defects, delayed speech, stuttering, voice problems, cleft
palate, cerebral palsy, laryngectomy, aphasia, and language and hearing impairments.
Audiological assessment of both children and adults with impaired hearing, including
hearing aid counseling, is available, as is rehabilitation in auditory training speech (lip)
reading.

8. University Child Care
The University provides child care services on a sliding-fee basis to approximately 78
children of students, faculty, and staff. Services are provided through two child care
centers, with one single program. The centers have a parent advisory board. The Child
Care Office is located in 112 Berkshire House.

9. Commuter Services and Housing Resources Center
The Commuter Services and Housing Resources Center (CSHRC), located at 428 Student
Union, is a student-initiated and supported housing and community resource center.
Services are extensive and open to all members of the University community. * The
Rental Listing Service is the largest such service in Amherst and the towns surrounding
the campus. Descriptions of available listings are posted on-line at www.cshrc.org.
Customized renter packages may be sent to incoming faculty and staff upon request. Additionally, faculty and staff offering sabbatical and other rental property may also take advantage of our online rental application forms, customized leases and other forms necessary for renting property in Massachusetts. Additional services of interest to faculty and staff include:

- **Homes for Sale.** Faculty and staff may advertise private house sales online.
- **Education, Mediation and Advocacy.** CSHRC offers a wide variety of brochures and web-based information materials on landlord-tenant rights and responsibilities. CSHRC can also provide information, mediation, advocacy and referrals on a wide variety of housing-related issues for those who utilize its housing listing services.
- **Pioneer Valley Oil Cooperative (PVOC) and Green Watts.** Reduced-cost home heating oil and home energy conservation materials for members across much of the 3 county area; join online or stop by the office. This program is co-sponsored with the Center for Ecological Technology, a local non-profit energy organization.
- **HomeSharing Program.** Program matches householders seeking at home assistance services in lieu of rent (such as caring for elderly or disabled adults or children, or performing household chores or errands) are matched with renters seeking such housing arrangements. Applications may be completed online. For assistance with elder care call Match Coordinator Paulie Sicard (413)773-5555, Monday-Thursday mornings. All other inquiries may be directed to CSHRC.
- **Family programs.** CSHRC sponsors a variety of weekly and monthly educational, support and cultural programs for families with young children. These include a monthly Special Saturday Mornings Arts Performance Program in the Campus Center and a weekly Monday evening Dinner on Us Program that includes family style dinners followed by parenting workshops with supervised play activities for attending children. Week day mornings, Tuesday-Thursday, CSHRC operates the Amherst Family Center, a free drop-in program in Amherst Center with services, childcare and activities for parents and young children.
- **Informational and Referral Services**
- **Voter Registration.** CSHRC works with other student agencies to register voters, and coordinates efforts to establish a polling site on campus. Voter registration forms are available at the front desk.

For more information about these and other services offered by CSHRC, call 545-0865 or go to [www.cshrc.org](http://www.cshrc.org), or drop by 428 Student Union.

### 10. Training and Development Unit/Division of Human Resources

For information, please contact the Division of Human Resources at 545-0360.

### D. Other Resources

#### 1. Campus Center/Student Union

The Campus Center/Student Union Building is the "community center" of the Amherst campus. It houses services and amenities for the student body, University community, and guests. The Campus Center includes a hotel, meeting rooms for student
organizations, study lounges, automatic teller machines and check cashing facilities, barber shop, travel agency, Peter Pan bus ticket office, catering services, and a vending program. The University Store on the main concourse carries a full line of school supplies, personal computers, clothing, gifts, tradebooks, and stationery. Located in the Student Union Building are a Post Office Substation, Student Credit Union, Mini-Store, Game Room, and Art Gallery. In addition, there are key services for students which include the Commuter Services and Housing Resource Center, Crafts Shop with photo darkrooms, offices for Registered Student Organizations (RSO), and the Student Activities Office (SAO).

2. Faculty Club
The Faculty Club is housed in two colonial houses which are among the oldest structures in Amherst. The Club consists of several dining rooms open for breakfast and lunch and a fully stocked bar open during lunch and in the later afternoon. The Club has a number of private meeting rooms and two recreational rooms for bridge, pool, and ping-pong. Members may reserve rooms for meetings, seminars, and private or semi-private functions. Membership in the Club is open to faculty and professional staff, and benefits include charge accounts (billed monthly), and a fifteen percent discount on all food purchases at the Club. Members are also entitled to special parking permits which allow them to park in one of the largest parking lots near the Faculty Club during designated hours. The Club is governed by an elected group of officers and a governing board, and is managed by Auxiliary Services through a management agreement with the Club's board of directors.

3. Bus Services
The University of Massachusetts Transit Service operates a no-fare transit systems with twenty-hour-a-day service. Bus routes provide service to the eight communities within a 15-mile radius of the University, as well as to Amherst, Mount Holyoke, Smith, and Hampshire colleges, and a campus shuttle route. Bus schedules are available at the Campus Center Information Desk, at www.umass.edu/bus, or by calling UMASS Transit at 545-0056.

Transit Services also provides a lift-equipped van service for both permanently and temporarily disabled students, faculty and staff. Rides are scheduled throughout the day and evening through reservations by telephone. Contact 545-0056. Field Trip bus service is also provided by Transit Services to off campus sites within New England. Contact 545-0056 or the Transit Services web site www.umass.edu/campus_services/transit for scheduling and cost information.

4. UMass/Five College Federal Credit Union
The UMass Five College Federal Credit Union is an independent, non-profit financial cooperative owned and operated for the benefit of its members. It is a full service financial institution and is open to the faculty and staff at all five University of Massachusetts campuses, and the other schools in the Five College Community as well as other select employee groups. Branches are located in Hadley, at the Amherst campus,
and at the Worcester campus. For the latest information on services, products and rates see us on the web at umassfive.org or call 1800-852-5886.

5. Five College Radio (WFCR 88.5 FM)
WFCR is a National Public Radio (NPR) member station, and an affiliate of Public Radio International (PRI). Every week its signal, covering four states, reaches over 140,000 listeners, who set their dials to 88.5FM for a wide-range of news and cultural programs. Now in its fourth decade, WFCR broadcasts diverse award-winning programming not found on commercial radio stations including: local, national and internationally produced news, information and entertainment programs; the only active news reporting team in western Massachusetts; locally produced classical, jazz, folk and international music programs; additional public radio news and talk programs on a second broadcast frequency for listeners in the Pioneer Valley. Nearly 50 percent of WFCR's broadcast schedule is locally produced. WFCR streams its broadcast schedule through its website: wfcr.org, where listeners can also find more program and station information and informative links. WFCR also sponsors cultural trips as well as numerous regional arts and music events in the belief that live performance is a vital part of its mission to educate, inform and entertain the public. The station is licensed to the University of Massachusetts and operates with the advice and support of Amherst, Hampshire, Mount Holyoke and Smith Colleges as Five College Radio.

6. Student-Organized Radio (WMUA 91.1 FM)
This student-funded and student-organized radio station with an office in Room 102, Campus Center, tel. 545-2876, transmits a variety of programs of interest to the campus and surrounding communities. The types of music programs on WMUA include folk, gospel, rock, polish, jazz, and blues. Most major University basketball games, football games, and other sporting events are broadcast live, both home and away.

7. The Massachusetts Daily Collegian
New England's largest college daily newspaper, the Massachusetts Daily Collegian was founded in 1890 and has been published daily during the academic year since 1967. The newspaper is independent from the University, and is run entirely by students.

8. Use of Athletic Facilities
As a faculty member you may use a number of the University's athletic facilities (e.g., swimming pools, racquetball courts, weight rooms) during specified hours. A validation sticker, which is affixed to your faculty identification card, is available on a fee-per-semester basis at the Intramural Office in Boyden Building. For further information please contact the Intramural Office, tel. 545-0022. Spouses and domestic partners are eligible to use some of the athletic facilities by purchasing a pass on a fee-per-semester basis.

9. Mullins Center
The Mullins Center is a multipurpose facility. Faculty members may receive discounts for some events at the center. The Mullins Center Ice Rink has three regulation
racquetball courts available for use by University faculty, staff, and students. The Olympic-size ice rink is open year round for public skating at designated hours.

10. Group Buying Power
   a. Mass Buying Power
   The University of Massachusetts participates in the Mass Buying Power Program which enables University faculty members and staff to receive a discount on items such as automobiles, home furnishings, appliances, electronics, and travel services. For further information contact MassBuying Power, visit their web site at http://www.massbuy.com/guest.htm.

   b. MHEC
   There are also many contracts available through the Massachusetts Higher Education Consortium (MHEC) that offer contract pricing to faculty and students of member organizations. You can review the contracts at http://www.mhec.net/

11. University Procard Program:
   The University offers a purchase card (Procard) that can be utilized to purchase approved commodities and a limit selection of services. This card is a major credit card, currently Mastercard, that is University managed and guaranteed but is assigned to individuals for their use when purchasing approved commodities and a limited selection of services. This card allows purchases that fit within the parameters of the program to be obtained without the use of a purchase order. This is a great time saving measure. Cards can only be issued to current faculty and staff.
   This program is managed by the Procard Manager within the Procurement. Please call the Procurement Department at (413) 545-0361 for more information.

12. Corporate Travel Card Program
   The University offers a corporate travel card as a payment method for approved reimbursable travel expenses to employees who travel on university business. To qualify for a corporate travel card, the applicant must travel on university business at least twice a year with one overnight stay, and the applicant must be a current, permanent employee of the university. Applications from other types of employees are evaluated on a case-by-case basis and require the approval of the applicant’s Department Head as well as the Corporate Travel Card Program Administrator. The corporate travel card is an individual liability account. Applications are available from the departmental travel preparer or through the Travel Services Office at 545-0776.

E. Town of Amherst
   Founded in 1658, the Town of Amherst can be described as "rural-cosmopolitan." Situated 90 miles west of Boston, 150 miles north of New York City, and 25 miles south of Vermont and New Hampshire, Amherst residents enjoy a rich cultural life, while the traditional New England environment of nearby farms, orchards, and winding hill roads reflects a warm country setting. Amherst, with its neighboring towns and cities in the Pioneer Valley, is known nationally as an excellent center for higher education. The population of Amherst in the 2000 census was 34,874.