

**School of Public Health and Health Sciences**

**Faculty Handbook**

**2020-2021**

## TABLE of CONTENTS

### I. School History and Organization

1. About the School of Public Health and Health Sciences \_\_\_\_\_ 7
  - History of the University of Massachusetts Amherst
  - History of the School of Public Health and Health Sciences
  - School Mission and Vision Statement
  - School of Public Health and Health Sciences at a Glance
  
2. University Administration \_\_\_\_\_ 9
  - President
  - Chancellor
  - Provost and Senior Vice Chancellor for Academic Affairs
  - Vice Chancellor for Research and Engagement
  - Vice Chancellor for Student Affairs and Campus Life
  - Vice Chancellor for Administration and Finance
  - Vice Chancellor for Development and Alumni Relations
  - Vice Chancellor for University Relations
  - Vice Chancellor for Information Services and Strategy
  - Associate Chancellor for Diversity, Equity and Inclusion
  - Vice Chancellor for Human Resources
  
3. School Administration \_\_\_\_\_ 11
  - Dean
  - Associate Dean for Administration and Finance
  - Associate Dean for Research
  - Associate Dean for Undergraduate Academic Affairs
  - Associate Dean for Graduate and Professional Studies
  - Assistant Dean for Student Affairs
  - Director of Development
  - Director of External Relations
  - Office of Public Health Practice and Outreach
  - Director of Diversity Advancement
  - Director of Human Resources
  - Director of Finance
  - Executive Council
  - Advisory Board
  - Community Advisory Board
  
4. Departments \_\_\_\_\_ 13
  - Communication Disorders
  - Kinesiology

# SPHHS Faculty Handbook

---

Nutrition  
Biostatistics/Epidemiology  
Health Promotion & Policy  
Environmental Health Sciences  
Online Programs  
MPH – Public Health Practice  
MPH – Nutrition  
MPH – Blended Program in Worcester  
Centers, Institutes and Programs

## II. Faculty Governance

1. University Faculty Governance\_\_\_\_\_16  
    Faculty Senate  
    Massachusetts Society of Professors
2. School of Public Health and Health Sciences Faculty Governance\_\_\_\_\_17  
    Standing Committees of the School of Public Health and Health Sciences  
    Strategic Planning and Evaluation  
    School and Department Personnel Committees  
    Curriculum Committee  
    Committee on Research  
    By-Laws Committee  
    Diversity Committee  
    Council on Education for Public Health Committee

## III. The Faculty Member as Teacher and Advisor

1. Faculty Responsibilities in Teaching and Advising\_\_\_\_\_19  
    Counseling and Advising Students  
    Teaching Courses  
    Course Requirements, Term Papers, and Examinations
2. University Support for Teaching and Advising\_\_\_\_\_21  
    Center for Teaching & Learning  
    Undergraduate Advising and Academic Support  
    Counseling and Assessment Services  
    Learning Support Services  
    Classroom Technology
3. School of Public Health and Health Sciences Support for Teaching and Advising  
    for Majors within the School of Public Health and Health Sciences\_\_\_\_\_23
4. Multi-Disciplinary Activities\_\_\_\_\_26  
    Commonwealth Honors College

# SPHHS Faculty Handbook

---

International Programs Office

5. Teaching and Advising Awards and Recognition \_\_\_\_\_ 27  
    University Distinguished Teaching Awards  
    College Outstanding Teacher Awards  
    Outstanding Advisor of the Year

## **IV. The Faculty Member as Scholar and Researcher**

1. Support for Research and Scholarly Work \_\_\_\_\_ 27  
    Library System  
    Office of Information Technologies  
    Office of Faculty Development
2. Support for Scholarship and Research Through the Office of the Vice Chancellor for  
Research and Engagement \_\_\_\_\_ 28  
    Internal Grant Program  
    University Support for Grants and Contracts  
    Research Administration and Compliance  
    Institutional Review Boards  
    Core Facilities
3. Support for Scholarship and Research Through the School of Public Health  
and Health Sciences \_\_\_\_\_ 30  
    Internal Grants  
    Research Administration Office  
    Business Center  
    IT Services and Support
4. Community Engagement \_\_\_\_\_ 32

## **V. Guidelines for the Faculty Member**

1. General Information \_\_\_\_\_ 33  
    Code of Ethics for Faculty  
    Faculty Workload
2. The Review of Faculty \_\_\_\_\_ 35  
    Annual Faculty Report  
    Pre-tenure Review
3. Tenure//Promotion Review Process \_\_\_\_\_ 37  
    Tenure and Promotion Process  
    Documentation of Faculty Progress

# SPHHS Faculty Handbook

---

Departmental Personnel Committee  
School Personnel Committee  
The Chair's Responsibilities  
The Dean's Responsibilities  
The Provost's Responsibilities

## **VI. General Information for Faculty**

1. Human Resources	43
2. Institutional Support and Services	44
3. Personal Services and Resources	44

## **Appendices**

I. School of Public Health and Health Sciences' By-Laws 2013	47
II. Department By-Laws	47
III. Academic Personnel Policy of the University of Massachusetts (Doc. T76 - 081) ("Red Book")	47
IV. Board of Trustees Statement of University Governance (Doc. T73-098)	64

# SPHHS Faculty Handbook

---

## **PREFACE**

This handbook, updated from the 2015-2016 faculty handbook, outlines the general policies and procedures for the School of Public Health and Health Sciences (SPHHS), along with key university resources to promote success of students, faculty and staff. The School continues to grow in student, faculty and staff size and services. Along with this growth comes exciting new expertise, initiatives, and programs to achieve our vision of addressing the complex challenges to our public's health and wellbeing, today and in the future. We hope that this document is useful to facilitate this important work.

Nancy Cohen  
Interim Dean, School of Public Health and Health  
Sciences  
January - July 2019

## I. School History and Organization

### 1. About the School of Public Health and Health Sciences

#### **History of the University of Massachusetts Amherst**

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.

#### **History of the School of Public Health and Health Sciences**

The Department of Public Health was first created in 1938 at the University of Massachusetts Amherst (then known as Massachusetts State College). It joined the School of Public Health in 1973. In 1978, it was accredited by the Council on Education for Public Health (CEPH), the 16<sup>th</sup> school of public health to be accredited by CEPH nationally. CEPH-accredited schools of public health in New England include Boston University, Harvard University, the University of Massachusetts Amherst, and Yale University. The health science departments (Communication Disorders, Kinesiology, and Nutrition) merged with the School of Public Health in 1993 to form the School of Public Health and Health Sciences (SPHHS). All departments in the SPHHS share a commitment with their fellow departments to optimize human health and well-being.

Within the School of Public Health and Health Sciences, 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. It also recognizes its responsibilities to the Commonwealth of Massachusetts and its citizens.

#### **School Mission and Vision Statement**

##### **Mission Statement**

The mission of the University of Massachusetts Amherst School of Public Health and Health Sciences is as follows:

# SPHHS Faculty Handbook

---

**Mission:** Education and Scholarship for a Healthier World

**Vision:** To Serve, Inspire and Improve Quality of Life and Health Equity for the Commonwealth and Beyond

**Values:**

Values are currently under revision.

**School of Public Health and Health Sciences at a Glance**

The School of Public Health and Health Sciences is made up of six departments: 1) Biostatistics & Epidemiology; 2) Communications Disorders; 3) Environmental Health Sciences; 4) Health Promotion & Policy; 5) Kinesiology; and 6) Nutrition.

SPHHS has doubled in size in the past decade, with over 2000 undergraduate majors and over 500 graduate students in on-campus and online programs.

The School offers a wide array of degree programs:

- Bachelor of Science (BS) degrees in Communication Disorders, Kinesiology, Nutrition, and Public Health Sciences.
- Master of Public Health (MPH) degree with concentrations in Biostatistics, Community Health Education, Environmental Health Sciences, Epidemiology, and Health Policy and Management.
- 4+1 Bachelor and Master degree programs in Biostatistics, Epidemiology, Community Health Education, Health Policy Management, Nutrition, or Environmental Health Science.
- The SPHHS also offers two fully online MPH degree programs in Public Health Practice and in Nutrition, and fully online MS degrees and MPH/DI degrees in Nutrition.
- Master of Arts (MA) degree in Speech-Language Pathology.
- Master of Science (MS) degrees in Biostatistics, Community Health Education, Environmental Health Sciences, Epidemiology, Health Policy and Management Kinesiology, and Nutrition.
- Doctor of Philosophy (PhD) degrees in Communication Disorders and Kinesiology, and in Public Health with concentrations in Biostatistics, Community Health Education, Environmental Health Sciences, Epidemiology, Health Policy and Management, and Nutrition.
- Doctor of Audiology (AuD) degree.
- Graduate Certificate in Global Health.

Research is a significant component of the efforts of the faculty in SPHHS. Preliminary data show that, in Fiscal Year 2020, the School received 81 new awards, totaling \$21,074,661, a growth of

129% over the last decade. A total of 111 new proposals were submitted in Fiscal Year 2020, with the average budget of \$108,004,967. We are currently third in the amount of research dollars being brought into the University.

## **University Administration**

The University of Massachusetts Amherst is the flagship campus and one of five campuses of the University of Massachusetts system. The School of Public Health and Health Sciences is one of nine schools and colleges within the University of Massachusetts Amherst.

### **President of the University of Massachusetts - Marty Meehan**

The Office of the President of the University of Massachusetts provides overall leadership to the five campuses of the University system pursuant to the direction of the Board of Trustees.

<https://www.umassp.edu/>

### **Chancellor of the University of Massachusetts Amherst - Kumble R. Subbaswamy**

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.

<http://www.umass.edu/chancellor/http://www.umass.edu/chancellor/>

### **Provost and Senior Vice Chancellor for Academic Affairs – John McCarthy**

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. <https://www.umass.edu/provost/node/2>

### **Deputy Chancellor – Steve Goodwin**

The Deputy Chancellor works closely with the Chancellor, promoting his vision and priorities, and initiating efforts to improve the quality of the campus and maintain the upward trajectory of the University. <http://www.umass.edu/chancellor/campus-leaders/steve-goodwin>

### **Vice Chancellor for Research and Engagement - Michael Malone**

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 Chancellor is responsible for the initiation, review, and implementation of all policies and procedures relating to research.

<http://www.umass.edu/chancellor/campus-leaders/michael-malone>

### **Interim Vice Chancellor for Student Affairs and Campus Life—Brandi Hephner LaBanc**

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.

# SPHHS Faculty Handbook

---

<https://www.umass.edu/chancellor/campus-leaders/brandi-hephner-labanc>

**Vice Chancellor for Administration and Finance**—Andrew Mangels

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.

<http://www.umass.edu/chancellor/campus-leaders/andrew-mangels>

**Vice Chancellor for Advancement** - Mark Fuller

The mission of University Advancement is to create a dynamic environment, which increasingly expands private investment in the University of Massachusetts Amherst.

**Vice Chancellor for University Relations** - John Kennedy

The broad portfolio of University Relations includes marketing and communications, media relations, government relations, community relations, event planning, economic development and regional partnerships, and WFCR – the region’s premier public radio station. University Relations harnesses the resources and expertise of these distinct entities in a coordinated and strategic way to ensure that the powerful message of the University of Massachusetts reaches all of our varied audiences, both internal and external.

**Vice Chancellor for Information Services and Strategy and Chief Information Officer**-  
Christopher Misra

Information technologies at the flagship research campus of the Commonwealth support our core mission of teaching, learning, research, and engagement by using technology to reach new heights of excellence.

**Vice Chancellor for Diversity, Equity and Inclusion** – Nefertiti Walker

UMass Amherst has a long-standing commitment to social progress and social justice. We value diversity and equity and strive for inclusive excellence in our classrooms, research labs, dorms, and beyond. All campus community members seek to uphold the values of diversity, equity, and inclusion.

<https://www.umass.edu/chancellor/campus-leaders/nefertiti-walker>

**Vice Chancellor and Chief Human Resources Office** – Bill Brady

<https://www.umass.edu/humres/welcome>

The Office of Human Resources (OHR) strives to create an environment where faculty and staff do their best work. Our university is powered by thousands of dedicated faculty and staff who are inspired and motivated by our mission as a world class research institution positively impacting both the commonwealth and the broader society.

## 2. School Administration

The School of Public Health and Health Sciences' administrative offices are located in Arnold House at 715 North Pleasant Street. The SPHHS is the only state-supported CEPH-accredited school of public health in New England.

<http://www.umass.edu/sphhs/>

The School of Public Health and Health Sciences Complete Administrative Staff listing can be found at <https://www.umass.edu/sphhs/staff>

**Dean of the School** –Anna Maria Siega-Riz  
Executive Assistant to the Dean – Carey Simos

Associate Dean for Administration and Finance – Christopher Greenfield

**Associate Dean for Research** –Susan Hankinson  
Research Administration Office – Tessa Stuart, Nyudlia Araeva, Emily Chandler, Rebecca Feinberg, Chris Stanavage  
Research Office Clerk –Karen Lovely

**Associate Dean for Graduate and Professional Studies** – Katherine Reeves  
Director of Online MPH-PHP – Dan Gerber

**Associate Dean for Undergraduate Academic Affairs** – Laura Vandenberg

**Executive Director Professional Programs** – Lori Peterson  
Academic Director for Continuing Education Programs – Melissa Woglom

**Assistant Dean of Student Affairs – Megan Griffin**  
Student Success Advisors –Torin Moore, Tracy Eason  
Associate Director for Career Planning - Mary Ellen Liseno  
Assistant Director for Internships and Employer Engagement – Aimee Gilbert Loinez  
Assistant Director for Career Planning – Joanna Miles

**Director of Development** – David Catrambone  
Assistant to the Director of Development – Allison Ahearn

**Director of External Relations** – Patrick Freeman

# SPHHS Faculty Handbook

---

Assistant Director of External Relations–Amanda Zwirn

**Director of Diversity Advancement** – Nate Whitmal

**Director, Office of Public Health Practice and Outreach-** Risa Silverman

**Director, Information and Technology** – Joseph Pasquini  
Technical Assistants Nam Phan and Lucas Krupinski

**Senior Data Analyst** - Heather Gross

**Director of Human Resources** - TBA

**Director of Finance** – TBA

Business Center – Sara Clark, Hannah Clemente, Betsy Thornton

**Dean’s Executive Council** – The Dean’s Executive Council is chaired by the Dean and consists of the SPHHS leadership and others invited by the Dean to attend. Current members include Associate Deans, Department Chairs of Biostatistics & Epidemiology, Communication Disorders, Environmental Health Sciences, Health Promotion & Policy, Kinesiology, and Nutrition and Director of Diversity and Inclusion. The Council is advisory to the Dean, and meets monthly to discuss matters that relate to the SPHHS, and share information and ideas.

**Dean’s Staff Council-** This committee is chaired by the Dean and consists of SPHHS key staff stakeholders including the Assistant Dean of Student Affairs, Director of Development, Director of External Relations, Executive Director of Professional Programs, Director of the Office for Public Health Practice and Outreach, Senior Data Analyst, and Manager of IT. The Council is advisory to the Dean providing guidance on infrastructure recommendations and services to the SPHHS community at large, and meets monthly. Both the Dean’s Executive and Staff Councils will meet quarterly as the SPHHS leadership to advise on strategic planning and implementation activities of the School which support achieving the academic, research and services goals of the School.

**Dean’s Advisory Board-** The mission of the SPHHS Dean’s Advisory Board is to provide the opportunity for supportive alumni, community members, and friends to utilize their influence and resources to promote the future success of the School. Advisory Board members advocate for the School and assist the Dean in securing the resources necessary to enhance undergraduate and graduate programs, faculty and administrative support, and excellent research within the departments. It is the priority of the Advisory Board to advance the School as a whole in addition to its individual departments. The Advisory Board meets twice per year, once on- campus and once off- campus, to discuss issues of importance to the School. Members are primarily external to the SPHHS.

**<https://www.umass.edu/sphhs/alumni-community/sphhs-dean’s-advisory-board-0>**

<https://www.umass.edu/sphhs/alumni-community/community-advisory-board>

**Dean's Student Advisory Board-** The purpose of the board is to provide opportunities for student engagement in SPHHS leadership activities through sharing experiences of students within the school related to curriculum, climate, and professional development, insights and ideas for improvement in areas they find lacking, what works and what the school needs more of. Make recommendations to the Dean and as appropriate organize student activities to collect feedback and to enhance SPHHS mission and goals.

### 3. Departments

The School of Public Health and Health Sciences is comprised of six departments: Biostatistics & Epidemiology, Communications Disorders, Environmental Health Sciences, Health Promotion & Policy, Kinesiology, and Nutrition.

#### **Communication Disorders**

The field of Communication Sciences and Disorders is involved in the study of the normative processes underlying speech, language, and hearing abilities, as well as the effects of disorders and/or differences in any of these areas on communication function. Professionals in the field of speech-language pathology and audiology are responsible for the evaluation and treatment of individuals with communicative disorders. They work with children and adults in education and health care systems, including public schools, early intervention centers, hospitals, rehabilitation centers, and private practice offices. The department offers a wide range of academic programs, including Bachelor's, Master's, and Doctoral degree options. The interim-chair of the Department is Professor Sarah Possiant. A faculty and staff listing can be found at

<http://www.umass.edu/sphhs/communication-disorders>

#### **Kinesiology**

The Department of Kinesiology offers an interdisciplinary approach to the study of human movement, investigating the mechanical, neurological, biochemical, physiological, and behavior components of human movement. Health and wellbeing outcomes of exercise and physical activity are considered for a variety of populations. The department offers programs resulting in Bachelor of Science, Master of Science and Doctor of Philosophy degrees. The Chair of the Department is Professor Jane Kent. A faculty and staff listing can be found at:

<http://www.umass.edu/sphhs/kinesiology>

#### **Nutrition**

## SPHHS Faculty Handbook

---

The Department of Nutrition at the University of Massachusetts Amherst is among the most comprehensive nutrition departments in New England, offering training at the bachelor's, master's, and doctoral level, along with dietetic internship (DI) experiences and off-campus outreach and education. The Department of Nutrition also includes Nutrition Extension faculty, a program supported as part of the Land Grant status of the Institution. The department's undergraduate program is accredited with the Academy of Nutrition and Dietetics, ensuring that students achieve national standards of competency. Graduate offerings include the 4+1 Accelerated MS in Nutrition, MS in Nutrition, the PhD in Public Health, Nutrition option, and fully online MPH and MS degrees in Nutrition. The department also offers an online MPH/DI option. The Department Chair is Associate Professor Elena Carbone. A faculty and staff listing can be found at:

<http://www.umass.edu/sphhs/nutrition>

### **Biostatistics & Epidemiology**

Biostatistics and Epidemiology are complementary disciplines both academically and professionally. These related fields are based on the mathematical, natural, and social sciences. In the Department of Biostatistics & Epidemiology, state of the art M.P.H, M.S. and Ph.D. degree programs are offered. The Epidemiology faculty work closely with the Biostatistics faculty, and are involved in multiple avenues of research, including community-based research, women's health issues, physical activity, nutrition, and biomarkers. The Department Chair is Professor Lisa Chasan-Taber. Information on the Biostatistics program and a faculty and staff listing can be found at the following web site: <http://www.umass.edu/sphhs/biostatistics>

Information on the Epidemiology program and a faculty and staff listing can be found at the following web site:

<https://www.umass.edu/sphhs/epidemiology>

### **Health Promotion & Policy**

The Department of Health Promotion and Policy offers academic programs in Community Health Education and Health Policy and Management that are related academically and professionally. Both fields are based on the social and behavioral sciences. The Department Chair is Professor Elizabeth Bertone-Johnson. A faculty and staff listing can be found for the Department of Health Promotion & Policy at the following web site: <https://www.umass.edu/sphhs/hpp>

### **Environmental Health Sciences**

The Department of Environmental Health Sciences combines the public health sciences of biostatistics, environmental health and epidemiology with natural sciences, mathematics and engineering to provide a quantitative basis to measure and mitigate the effects of environmental stressors on human health. The Interim Department Chair is Professor Angela de Oliveira. A faculty and staff listing can be found for the Department of Environmental Health Sciences at the following web site: <https://www.umass.edu/sphhs/environmental-health-sciences>

### **Online Programs**

# SPHHS Faculty Handbook

---

The School of Public Health and Health Sciences offers two fully online Master of Public Health (MPH) degree programs and one blended Satellite MPH program in association with the University of Massachusetts Medical School in Worcester, Massachusetts. These programs are designed for working health care, public health, and nutrition professionals. All programs are part-time, flexible, and allow professionals to complete an MPH degree on their own time without the need to leave their current positions. The Executive Director of all on-line programs in the School is Lori Peterson more information about the programs can be found at:

<https://www.umass.edu/sphhs/graduate-programs/online-and-cpe-programs>

## **MPH-Public Health Practice**

This program is one of the first fully online MPH programs in the country and was established in 2001. The program is a generalized degree, where students complete coursework in all five areas of concentration in public health. Students are required to apply what they learn in the field through the completion of a practicum experience and all students complete the degree with a capstone. The Director of the on-line MPH and Public Health Practice Program is Daniel Gerber.

<https://www.umass.edu/sphhs-online/>

## **MPH-Nutrition**

The Master of Public Health in Nutrition was established in 2008, the first fully online degree of its kind. The program incorporates the five core areas of public health with a concentration in nutrition. Students work in interdisciplinary teams and incorporate critical thinking and experiential learning in their course work and receive advanced training in public health nutrition and health program management. <https://www.umass.edu/sphhs-online/programs/mph-nutrition>

## **MS – Nutrition**

The MS-Nutrition online degree is designed for dietetic/nutrition professionals looking to enhance their skill set or increase their knowledge. This program is non-thesis, part-time, and fully-online.

<https://www.umass.edu/sphhs-online/programs/ms-nutrition-online>

## **MPH-Blended Program in Worcester**

The MPH-blended program offered in Worcester is designed to work around the demanding lives of medical and public health professionals. The program is blended, offering both on-campus evening courses and online web-based courses. The program offers four different areas of concentration: the general public health practice concentration, epidemiology, health policy and management, and an option specifically tailored for current medical students. The majority of courses are provided on-line. <https://www.umass.edu/sphhs-online/programs/mph-worcester-program>

## **Centers, Institutes and Programs**

# SPHHS Faculty Handbook

---

The School of Public Health and Health Sciences provides leadership in several centers and institutes that foster trans-disciplinary research, teaching and service that spans the basic and applied sciences and public health, clinical practice and community applications. Centers reside within school and colleges, and report to the Dean. Institutes cross schools and colleges and report to the Vice Chancellor of Research and Engagement. The SPHHS hosts the following groups:

- The Institute for Global Health (IGH)
- The Northeast Regional Environmental Public Health Center (NREPHC)
- The Center for Community Health Equity Research (CCHER)

In addition, individual departments within the SPHHS host the following centers, institutes, and programs:

- The Center for Language, Speech, and Hearing (CommDis Dept)
- Massachusetts Nutrient Data Bank (Nutrition Dept)
- UMass Extension Nutrition Education Program (NEP) (Nutrition Dept)
- The Biostatistics Consulting Center at the University of Massachusetts Amherst (BioEpi Dept)

## II. Faculty Governance

### 1. University Faculty Governance

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.

#### **Faculty Senate**

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 bargained by the University administration and the Massachusetts Society of Professors, a union affiliate of the Massachusetts Teachers Association.

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. <https://www.umass.edu/senate>

## **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 represents 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 most aspects of their employment covered by the MSP contract. Faculty have the right to be represented in meetings that may result in discipline. <https://umassmsp.org/>

## **2. School of Public Health and Health Sciences Faculty Governance**

The Faculty Assembly of SPHHS provides oversight on academic matters related to the School and provides recommendations to the Dean. The Faculty Assembly, and thus voting members, is made up of all faculty in the School holding a faculty title (tenure track, non-tenure track, research, clinical, or extension track) and having at least a half-time appointment (0.5 FTE) for the full academic year.

The Faculty Assembly shall assume primary responsibility, as defined in Trustee Document T73-098, for academic matters and issues of faculty status in the School. This document, as amended on 2/3/1993, states in I. B. Primary Responsibilities in Governance, 2. "Academic Matters: by virtue of its professional preparation and its central concern with learning and teaching the faculty will exercise primary responsibility in such academic matters as curriculum, subject matter and methods of instruction, research, admissions, libraries, and other aspects of University life which directly relate to the educational process." It further states in I.B. 3. "Faculty Status: The faculty will have primary responsibility for matters of faculty status, such as appointments, reappointments, promotions, tenure, and salary adjustments. "It also states in I.B.1: "Whenever the phrase "primary responsibility" appears in this statement, it shall mean the capacity to initiate recommendations, after appropriate consultation, in accordance with the procedures specified in section II. D below."

# SPHHS Faculty Handbook

---

The Faculty Assembly develops and evaluates policy recommendations in these areas primarily through its standing and special committees. The faculty as a whole meets at least once each academic semester and has the charge of advising the Dean on academic and administrative matters brought forward by either the Dean or the Faculty Assembly. The Faculty Assembly is governed by the By-Laws of SPHHS (see Appendix 1) and Board of Trustees documents (see Appendix II and III). It should be noted that all decisions of the faculty assembly are recommendations.

Currently, each department has created by-laws that incorporates faculty governance aspects that are in line with MSP bargaining agreement and the University Faculty Senate Policies including the Trustees Document (RED BOOK).

## **Standing Committees of the School of Public Health and Health Sciences**

The School of Public Health and Health Sciences has several standing committees with the ability to create *ad hoc* committees. The following descriptions refer to the standing committees.

### **a) School and Department Personnel Committees**

These committees are integral to the faculty evaluation process and will be discussed later in this handbook (see p. 32-34).

### **b) Curriculum Committee**

The Curriculum Committee shall review all graduate and undergraduate courses and concentrations or tracks and shall study and evaluate graduate and undergraduate curricula with respect to their relationship to the Mission and Goals of the School. The Curriculum Committee is formed by one representative of Biostatistics & Epidemiology, Communications Disorders, Environmental Health Sciences, Health Promotion & Policy, Kinesiology, and Nutrition. A committee chair is elected in the first meeting of the academic year. This Committee will assume duties as outlined in Article VIII of the School's By Laws (see Appendix I).

### **c) Committee on Research**

The Committee on Research will facilitate the advancement of research-based goals for the SPHHS. The Committee on Research shall consist of six faculty members, one from each of Departments of Biostatistics & Epidemiology, Communications Disorders, Environmental Health Sciences, Health Promotion & Policy, Kinesiology, and Nutrition. Two graduate students shall be appointed by the Dean, one from Public Health and one from Health Sciences. The Associate Dean for Research shall be an ex officio and non-voting member. This Committee will assume duties as outlined in Article XI of the School's By Laws (see Appendix I).

### **d) Ad Hoc By-Laws Committee – (*School By-Laws currently under revision*)**

This *Ad Hoc* By-laws Committee will serve as a resource to the members of the Faculty Assembly on matters pertaining to the By-laws. The *Ad hoc* By-Laws Committee shall consist of six faculty members; one from each of the departments of Biostatistics & Epidemiology, Communications

Disorders, Environmental Health Sciences, Health Promotion & Policy, Kinesiology, and Nutrition as recommended by the Chairs based upon elections within each Department, and appointed by the Dean. An Associate Dean, appointed by the Dean, will be an ex officio and non-voting member of the committee. The committee shall, as requested by the Dean, the Faculty, or on its own initiative, study problems concerning the By-Laws, interpret By-Laws, and draft possible amendments to the By-Laws. Such revisions shall be submitted to the membership according to the procedures outlined in these By-Laws (see Article XII of the School's By Laws, Appendix I).

### **III. The Faculty Member as Teacher and Advisor**

As teachers, professors seek to encourage the free pursuit of learning. They should adhere to the best scholarly standards of the discipline. They should demonstrate respect for the student as an individual and adhere to the role as intellectual guide and counselor. They should make every reasonable effort to ensure honest academic conduct and to ensure that the evaluation of students reflects their true merit. They should respect the confidential nature of the relationship between professor and student.

Every academic year, 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.

#### **1. Faculty Responsibilities in Teaching and Advising**

##### **Counseling and Advising Students**

Graduate Students: In addition to teaching, research, and service, faculty members are 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 are usually determined by the academic department chair.

##### Undergraduate Students:

Undergraduates are advised by their assigned professional program advisor. Undergraduate program directors also assist with advising in addition to their other responsibilities.

##### **Teaching Courses**

Faculty teach a wide variety of courses, according to specific disciplinary needs. Among the different types of courses offered in SPHHS are lectures, laboratories, discussion sessions, internships, independent studies, honors thesis, colloquia, etc. Teaching is a primary mission of the faculty. Specific teaching loads are set at the departmental level subject to the approval of the dean.

## SPHHS Faculty Handbook

---

Course assignment is the responsibility of the department's chair, subject to the approval of the dean.

All new courses must be approved by the Faculty Senate. Experimental courses require approval by the department chair, school curriculum committee and dean, faculty senate secretary, provost and registrar. Permanent courses also require review by the department curriculum committee and senate councils.

Further information on the process for course development can be found here: <https://www.umass.edu/provost/resources/all-resources/program-and-curricular-matters/curricular-and-course-development>.

### **Course Websites**

Moodle is the university's learning management system for on campus classes. If you wish to use Moodle for your course, you need to request a Moodle course each semester through SPIRE. When the course's Moodle page is set up, you have the option to reuse a previous course (either your own or a colleague's, with their permission). Information on getting started in Moodle can be found here: <https://www.umass.edu/it/moodle>

### **Course Requirements, Term Papers and Examinations**

The syllabus for each course must include the following elements: course objectives, expectations/requirements, attendance policies, grading criteria including how the final grade is calculated, examination schedule and make-up policies, academic honesty policies, disability/accessibility policies, and contact information for the instructor. The UMass Center for Teaching and Learning has resources for developing your syllabus following university guidelines: <https://www.umass.edu/ctl/course-planning-consultation-including-syllabus>

Additionally, syllabi within SPHHS must include a statement of commitment to diversity:

Valuing, Recognizing, and Encouraging Diversity: Promoting and valuing diversity in the classroom enriches learning and broadens everyone's perspectives. Inclusion and tolerance can lead to respect for others and their opinions and is critical to maximizing the learning that we expect in this course. Our own closely held ideas and personal comfort zones may be challenge. The results, however, create a sense of community and promote excellence in the learning environment. Diversity includes consideration of (1) the variety of life experiences others have had, and (2) factors related to "diversity of presence," including, age, economic circumstances, ethnic identification, disability, gender, geographic origin, race, religion, sexual orientation, social position. This class will follow principles of inclusion, respect, tolerance, and acceptance that support the values of diversity.

Syllabi for courses in accredited programs should also include a listing of any competencies and/or learning objectives met in the class.

# SPHHS Faculty Handbook

---

All course requirements, including textbooks, papers, and examinations, should be clearly indicated to students usually via a syllabus 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 not 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. 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.

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.

## **2. University Support for Teaching and Advising**

### **Center for Teaching & Learning (CTL)**

The Center for Teaching & Learning 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 Center for Teaching & Learning's activities are wide-ranging: consultations with individual faculty and departments; award programs; teaching assistant training; annual campus-wide events; mentoring and fellowship programs; resource development and dissemination; faculty workshops; and funded grants.

<https://www.umass.edu/faculty-development/begin/new-faculty-campus-resources/center-teaching-and-learning>

Teaching Awards: The Provost's Office and the CTL manage the selection process for the annual Distinguished Teaching Award for faculty and TAs. The Associate Dean for Undergraduate Academic Affairs and Associate Dean for Graduate and Professional Studies works with the SPHHS Curriculum Committee to manage the selection process for School Outstanding Teaching Awards (Residential and Online) and Outstanding Graduate TA award. The CTL 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.

## SPHHS Faculty Handbook

---

Professional development in teaching is further supported by several fellowship and grant programs. They include Lilly Teaching Fellows Program; mutual mentoring funding; Flex grants; TIDE Ambassadors (Teaching for Inclusiveness, Diversity and Equity); and Faculty Grants for Teaching. <https://www.umass.edu/ctl/>

### **Instructional Design, Engagement, and Support (I.D.E.A.S)**

I.D.E.A.S provides assistance to instructors on a variety of instructional technology tools (including Blackboard and Moodle). They provide webinars and workshops to introduce technologies and technology enhanced pedagogies for teaching and research. One-on-one consultations are also available.

<https://www.umass.edu/online/ideas>

### **Classroom Technology at UMass Amherst**

IT offers many supports for using technology in the classroom, including computer classrooms, multimedia equipment, assistive technologies, lecture capture recording hardware and software, videoconferencing facilities, and audience response systems.

<https://www.umass.edu/it/classroom-technologies>

### **Student Support**

The University offers many resources for students. Below are a few of the highlighted resources.

#### **Maroon Folder**

The University developed a guide, [the Maroon Folder](#), to help faculty and staff recognize and help students experiencing a crisis. It provides tips on how to respond to students as well as offices to contact for additional support. The last page lists offices on campus for emergencies and counseling.

[https://www.umass.edu/umatter/sites/default/files/Maroon\\_folder2018.pdf](https://www.umass.edu/umatter/sites/default/files/Maroon_folder2018.pdf)

#### **Dean of Students Office (DOSO)**

[DOSO](#) helps to support a student who is experiencing hardship, crisis, or trauma. If you have a student who you are worried about or if there is a conduct issue, please [submit a report to DOSO](#). A Case Manager in the Dean of Students Office will reach out to the student. For more information on when it is appropriate to submit a referral, please visit their [website](#). DOSO also provides clear guidelines for classroom civility and procedures related to disruptive classroom behavior.

DOSO: [https://www.umass.edu/dean\\_students/](https://www.umass.edu/dean_students/)

Classroom Civility: [https://www.umass.edu/dean\\_students/campus-policies/classroom](https://www.umass.edu/dean_students/campus-policies/classroom)

**Center for Counseling and Psychological Health (CCPH)** CCPH is located at Middlesex House (telephone: 413-545-2337) and provides a broad spectrum of clinical and skills-related services to

all students at the University. Services include psychological counseling and therapy, diagnostic assessment, suicide prevention, behavioral management, and stress management. [www.umass.edu/counseling](http://www.umass.edu/counseling)

## **Single Stop Resources**

UMass lists many of their resources on the Single Stop Resource page: <https://www.umass.edu/studentlife/single-stop>

## **Learning Resource Center**

Learning Resource Center (LRC) serves as the central academic support unit for undergraduate students. The academic support programs are for all residential undergraduate students, not just those who are struggling academically. Peer Tutors, Supplemental Instruction (SI) Leaders, and ExSEL Leaders are model students trained to assist their peers in achieving academic success. Learning Resource Center (LRC) is located on the tenth floor of the W. E. B. Du Bois Library. Students should visit the LRC website for details about the programs.

<https://www.umass.edu/lrc/>

## **Student Success**

### **3. School Support for Teaching and Advising**

#### **Advising for Majors within the School of Public Health and Health Sciences**

Each department within the School of Public Health and Health Sciences employs advisors. These advisors help individual students develop academic programs within their respective majors. The contacts for each major/program are:

#### **Communication Disorders**

- Undergraduate Program Director - Gwyneth Rost ([grost@umass.edu](mailto:grost@umass.edu))
- Undergraduate Advisor - TBD
- Graduate Program Director - Jill Hoover ([jrhoover@umass.edu](mailto:jrhoover@umass.edu))
- Honors Program Director - Mary Andrianopoulos ([mva@comdis.umass.edu](mailto:mva@comdis.umass.edu))

#### **Kinesiology**

- Undergraduate Program Director - Thomas G. St. Laurent ([tstlaurent@kin.umass.edu](mailto:tstlaurent@kin.umass.edu))
- Undergraduate Advisor - Leeanne Leclerc ([leclerc@umass.edu](mailto:leclerc@umass.edu))
- Graduate Program Director - Sofiya Alhassan ([alhassan@kin.umass.edu](mailto:alhassan@kin.umass.edu))
- Honors Program Director - Richard Van Emmerik ([rvanemmerik@kin.umass.edu](mailto:rvanemmerik@kin.umass.edu))

# SPHHS Faculty Handbook

---

## **Nutrition**

- Undergraduate Program Director - Claire Norton (cpnorton@nutrition.umass.edu)
- Undergraduate Advisor - Nicole Goldstein (nicolegoldst@nutrition.umass.edu)
- Graduate Program Director - Zhenhua Liu (zliu@nutrition.umass.edu )
- Honors Program Director - Lisa Troy (lisatroy@nutrition.umass.edu)

## **Public Health Science**

- Undergraduate Program Director - Gloria DiFulvio (gloria@schoolph.umass.edu)
- Undergraduate Advisor - Brigid Williams (bwilliams@umass.edu)
- Graduate Program Director - Paula Stamps (stamps@schoolph.umass.edu)  
(Bio/Epi, HPP), Alexander (Sasha) Suvorov (EHS)  
(asuvorov@schoolph.umass.edu)
- Honors Program Director - Elizabeth Bertone-Johnson  
(ebertone@schoolph.umass.edu)

## **Center for Student Success**

- Student Success and Exploratory Track Advisors
  - Torin Moore (tymoore@umass.edu)
  - Tracy Eason (taeason@umass.edu)
- Assistant Dean for Student Affairs - Megan Griffin (megriffi@umass.edu)

## **Office of Career Planning**

- Director of Career Planning - Mary Ellen Liseno
- Assistant Director of Career Planning - Joanna Miles
- Assistant Director for Internships and Employer Engagement – Aimee Gilbert Loinaz

## **Online Programs**

- Public Health Practice-Lori Peterson (phonline@schoolph.umass.edu)
- MPH in Nutrition -Heather Wemhoener (hmorin@umass.edu)

Each of the undergraduate programs/majors enlists students in the respective programs as ‘peer’ advisors.

## **SPHHS Academic Dean’s Office and the Office of Student Affairs**

The SPHHS Academic Dean's Office and the Office for Student Affairs offers centralized resources for students in the School. We are dedicated to helping SPHHS students achieve their highest potential through thoughtful academic advising and career planning.

### Office of Student Affairs

# SPHHS Faculty Handbook

---

The Office of Student Affairs offers programs related to academic success, health and wellness, student engagement, and career exploration. The Center for Student Success and Office of Career Planning are under the Office of Student Affairs.

## Center for Student Success

Student Success Advisors support students majoring in Communication Disorders, Kinesiology, Nutrition, and Public Health Sciences who may be experiencing personal or academic difficulties. They also counsel SPHHS-Exploratory Track students on transitioning to college and choosing majors. The Center:

- Provides support to students, program directors, advisors, and instructors in each of the School's disciplines
- Provides assistance to SPHHS undergraduates experiencing extenuating circumstances and academic difficulty
  - Reviews academic requests (e.g., late course withdrawals, third repeat petitions, late course petitions, withdrawals from the University)
- Advises and facilitates exploration of majors for SPHHS Exploratory Track students
- Facilitates exploration of alternative majors if students are struggling to complete major requirements
- Coaches and supports students who are not making satisfactory progress through their major or are referred through the Academic Alert Initiative

Instructors can also contact CSS if there are concerns about a student's academic performance and well-being. Additional details about the Center's services can be found on the [SPHHS website](https://www.umass.edu/sphhs/current-students/academic-dean%E2%80%99s-office-sphhs-center-student-success). <https://www.umass.edu/sphhs/current-students/academic-dean%E2%80%99s-office-sphhs-center-student-success>

## SPHHS Office of Career Planning

The Office for Career Planning is eager to partner with faculty to meet the career development needs of SPHHS students. They are always available to collaborate in the classroom with presentations on a variety of career related topics, including professional writing (resume and cover letter), internship exploration and preparation, career panels, networking, and more. Their trained Career Ambassadors can provide individualized professional writing feedback for each student in your class. They have resume and cover letter rubrics at the ready, as well as supporting materials to share. Please reach out to their office. Additionally, you can visit our faculty focused webpage for a more complete list of ways to partner with our office: <https://www.umass.edu/sphhs/careers/faculty-and-staff>

## 4. Multi-Disciplinary Activities

### Commonwealth Honors College

In 1999, the Massachusetts Board of Higher Education selected the University of Massachusetts Amherst campus as the location of Commonwealth College, renamed the Commonwealth 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 Honors College is a campus-wide program; students from all majors in every college are eligible to join the Honors College. Features of the Commonwealth Honors College include:

- The curriculum of the Honors College constitutes at least 20% of a student's degree program.
- The Honors College requires an honors thesis or honors capstone project
- Students affiliated with the Honors College are eligible to apply for funds to support independent research and thesis projects
- The college emphasizes active learning and participatory education by offering opportunities for students to participate in regional and national conferences, Honors Semesters, international programs, community service, internships, undergraduate research, and other types of experiential education
- The Honors College offers substantial honors residential opportunities  
<https://www.honors.umass.edu/student-handbook>

### International Programs Office

The International Programs Office is located at 70 Butterfield Terrace on the University of Massachusetts Amherst Campus. This office handles all international travel for University of Massachusetts students attending classes overseas or students from international institutions attending classes at the University of Massachusetts. If students have questions about visas, please have them reach out to IPO directly. [www.umass.edu/ipo/](http://www.umass.edu/ipo/).

The International Programs student handbook can be found at:

<https://www.umass.edu/ipo/iss/international-student-handbook-0>

**Study abroad:** If students are interested in studying abroad, they are encouraged to work with their academic advisor early in their academic career to identify which courses they can take abroad. There are over 70-campus sponsored programs on every continent but Antarctica. There are currently two undergraduate study abroad programs that are specifically designed for SPHHS students, offered through the Public Health Sciences undergraduate program. In the spring semester, students and faculty are invited to participate in a study abroad program in Havana,

Cuba. Starting in 2021, a second study abroad program will be hosted in Croatia. Faculty apply to participate as instructors in these programs to offer intensive (3 week) courses.

### **5. Teaching and Advising Awards and Recognition**

#### **University Distinguished Teaching Awards**

The purpose of the Distinguished Teaching Award (DTA) program, a feature of the UMass Amherst campus for forty years, is to honor exemplary teaching at the highest institutional level. Both faculty and graduate students, nominated by students or alumni, are eligible for this highly competitive award. DTA winners receive a monetary prize and are recognized at both the Undergraduate and Graduate Commencements.

#### **College Outstanding Teacher Awards**

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 select outstanding faculty members for recognition. In addition to the College Outstanding Teacher Award, SPHHS also offers the College Outstanding Online Teacher Award to recognize excellence in online education and the Outstanding Graduate Teaching Award.

#### **Outstanding Advisor of the Year**

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.

## **IV. The Faculty Member as Scholar and Researcher**

### **1. Support for Research and Scholarly Work**

#### **Library System**

The Libraries at the University of Massachusetts Amherst are a key partner in teaching, learning, and research. Supporting freedom of inquiry, the Libraries foster a diverse and inclusive environment in which to engage with ideas and acquire the critical skills necessary for life-long learning. By combining the latest information technology with excellent public service, the staff guides and maintains a rich information environment, facilitates access to it, and creates a hub of

# SPHHS Faculty Handbook

---

campus and community scholarly activity. There are two major libraries on the University of Massachusetts Amherst Campus:

1) W.E.B. Du Bois Library - 154 Hicks Way

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.

2) Science and Engineering Library- Lederle Graduate Research Center, Lowrise

## **Office of Information Technologies (OIT)**

OIT provides a number of computer services at the University of Massachusetts Amherst including accounts, email, instructional technologies, network connectivity, classroom technologies and online storage and collaboration as well as Spire and Learning Management Systems such as Moodle. This office also has a Support Center for faculty and students. OIT helps faculty and students obtain free and low-cost software and provides support for a wide range of software.

<https://www.umass.edu/it/>

## **Office of Faculty Development (OFD)**

The OFD offers a range of workshops and events designed to help faculty members thrive throughout their academic careers. Programs include New Faculty Orientation and the First Year/First Friday series, “I’m a PI, Now What?” series, New Chairs/Heads Academy, LEAD+ (ongoing programming for Chairs/Heads), LEAF (Leadership Essentials for All Faculty), scholarly writing retreats, and events dedicated to various groups of faculty members (e.g., new Associate Professors, faculty members who run labs). <https://www.umass.edu/faculty-development/>

## **2. Support for Scholarship and Research Through the Office of the Vice Chancellor for Research and Engagement**

### **Internal Grants Program**

The Internal Grants Program of the University of Massachusetts Amherst provides funds 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. Programs include the Faculty Research Grants, Samuel F. Conti Fellowship, the Healey Endowment Grant, the Public Service Endowment Grant, and the Armstrong Fund for Science. Additional funding is available through the MSP union, and from special programs including fellowships through the Center for Research on Families (CRF), Institute for Social Sciences Research (ISSR), and Institute for Applied Life Sciences (IALS).

<https://www.umass.edu/research/proposals/find-funding/internal-funding-opportunities>

### **University Support for Grant and Contracts**

## SPHHS Faculty Handbook

---

The university offers support for pursuing and administering grants, contracts, and related commercial ventures through the Office of the Vice Chancellor for Research and Engagement, as noted below.

### **Research Administration & Compliance**

The Office of Pre-Award Services (OPAS) reviews and submits all proposals to funding agencies for externally sponsored programs in research, instruction, and other public service programs as authorized in the university's Trustee Policy T94-034. OPAS supports and advances the university's mission by providing leadership and expertise in the area of pre-award research administration. Once the grant is awarded, the Office of Post-Award Management (OPAM) supports the administration of the project, ensuring compliance with relevant regulations, reviewing and negotiating award terms, and executing awards and sub-awards on behalf of the university. Research Compliance oversees all compliance requirements related to research under one coordinated unit; areas of oversight include animal use and care, human subject protection, biological and chemical safety, export control, responsible conduct of research, conflict of interest, research misconduct and data security and facility access.

<https://www.umass.edu/research/about>

### **University Institutional Review Boards**

The University has established a series of committees to ensure the proper handling of hazardous materials and to guide faculty through other regulatory processes. 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.

<http://ehs.umass.edu/environmental-and-hazardous-materials-management-services>

There is also a review board to oversee Human Subjects' research. 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.

<https://www.umass.edu/research/compliance/human-subjects-irb>

An additional review board oversees 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. The Institutional Animal Care and Use Committee (IACUC) includes faculty, staff, and external members. <https://www.umass.edu/research/compliance/animal-subjects>

### **Core Facilities**

To facilitate research success, the university offers many facilities as shared services. The Institute for Applied Life Sciences (IALS) offers clinical investigation resources, including bone

densitometry, room calorimetry, sleep monitoring, biosensor evaluations in a built home environment including kitchen and living space, and whole-body imaging. Cell culture facilities, animal imaging, and transgenic and gene targeting services are also available through IALS. Details about core facilities, and price structures for the use of IALS facilities, are available online. <http://www.umass.edu/ials/core-facilities>

High performance computing facilities are also available through the Massachusetts Green High Performance Computing Center.

<http://www.mghpcc.org/>

### **3. Support for Scholarship and Research Through the School of Public Health and Health Sciences**

#### **Internal Grants**

The Dean of the School of Public Health and Health Sciences supports several grants for faculty, staff and students. A call for applications is made annually. These grants include:

a) **Dean's Professional Development Award**

Faculty and professional staff in the School of Public Health and Health Sciences may apply to the Dean's Professional Development Opportunity Program for funding to attend a professional development seminar, course or program. Professional development involves the acquisition of knowledge or the development of skills related to programs that enhance teaching and education, research and scholarly activity, academic leadership and management, and professional staff leadership and management. The intent of the funds is to provide support so that faculty or staff members can acquire important skills and strategies that allow them to increase their productivity in their roles as teachers, educators, leaders, researchers, and administrators and managers. These funds (maximum of \$3000) can be used for tuition or program registration, and associated travel. Funds will not be provided to faculty to attend a scientific meeting or to present results of research.

b) **Dean's Research Enhancement Grant**

Faculty in the School of Public Health and Health Sciences may apply to the Dean's office for funding to enhance an existing or new research program. These funds (up to \$5,000-\$10,000 per faculty member, depending on availability of funding) are made available to support the faculty member's research program and can include funds for equipment, student research assistants or technical grant writing needs.

#### **School of Public Health and Health Sciences' Research Administration Office**

The Research Administration Office (RAO) for the School of Public Health and Health Sciences is located in the second floor of Arnold House. This office assists with pre-award and post-award

## SPHHS Faculty Handbook

---

functions and work as one unit in the grant process and is jointly overseen by the Associate Dean for Research and the Associate Dean for Administration and Finance. Each SPHHS faculty member is assigned a RAO research specialist who will serve as the faculty's primary point of contact for both pre-award and post-award research administration needs.

In the pre-award area, the SPHHS Research Administration Office helps in preparing the grant or contract for submission. All externally funded proposals as well as Letters of Intent (LOI) must be vetted first through RAO and then the University's Office of Pre-Award Services (OPAS). RAO Research Specialists will help faculty with application guidelines, confirm that faculty are eligible to apply, work with faculty to create an appropriate budget and verifies that the forms are completed properly. If faculty are applying for grant or contract funding for a project, they must start with a pre-award consultation requested through the webform below preferably 6 to 8 weeks in advance of the sponsor due date.

In the post-award area, the SPHHS Research Administration Office handles all requests once the proposal has been forwarded to the granting agency, including once the grant is funded. All internally and externally funded proposals are set up through the University accounting system. The Principal Investigators (PI) receive a project grant number and a speed type with which they can order materials and pay for personnel. The RAO staff will meet with the PI regularly, according to need, to review award spending and to discuss both academic year salary recovery (AYSR; used to fund teaching and research buyouts) and summer compensation from their research grants. Faculty should also request a meeting with their RAO Research Specialist if they need to re-budget an award. RAO staff also assist in submitting annual reports and award close-outs.

For further information and to request RAO pre-award or post-award services, please use the webform:

<https://www.umass.edu/sphhs/form/research-administration-office-webform>

### SPHHS Research Scholar Events

The SPHHS also offers a seminar series to support faculty in growing and conducting their research at the school. Topics vary but have recently included: "Tips for writing a persuasive grant", "How to work best with Grant Program Officers", "Mentoring your students to productivity and success", "Early career roadmapping" and "The ins and outs of managing your grant". These events are advertised on the SPHHS RAO Website: <https://www.umass.edu/sphhs/faculty-staff/research-administration-office-personnel/research-administration-office-events>

### **School of Public Health and Health Sciences Business Center**

The staff in the SPHHS Business Center (BCTR) is responsible for processing a variety of expenditure, budget, and revenue transactions in the School for Public Health and Health Sciences

# SPHHS Faculty Handbook

---

and are responsible for ensuring the completion of personnel paperwork. For further information and FAQs, please see <https://www.umass.edu/sphhs/faculty-staff/sphhs-business-center>.

## **SPHHS IT Services and Support**

Computing support for SPHHS faculty, staff and students is available through the SPHHS IT Services. The SPHHS maintains a server, which provides secure hard disk space for research projects. Data stored on the server can be shared with research collaborators, and is backed up daily, with tapes stored off-site. The IT unit also maintains IT equipment available for shared use, including Windows laptops and portable digital projectors. The SPHHS IT unit also facilitates site licenses and hosts a computer lab available for faculty, staff and student use.

## **5. Community Engagement**

The School of Public Health and Health Sciences has many active projects within the region, and new faculty members are invited to participate and/or identify new potential projects. The Office for Public Health Practice and Outreach (OPHPO), located in Arnold 244, engages students in practice opportunities, outreach and workforce development. OPHPO facilitates the Western MA Health Equity Network along with trainings and other events to support engagement of SPHHS faculty, staff, and students with area communities. The OPHPO also organizes and co-sponsors the Western Mass Health Equity Summit held annually. The summit brings practitioners and community leaders together to take steps to advance health equity in the region by working, learning, and taking action together. Faculty interested in community engagement should set up a meeting with the coordinator of the Office for Public Health Practice and Outreach, in order to understand the scope of current projects locally, regionally and in the Commonwealth. <https://www.umass.edu/sphhs/office-public-health-practice-and-outreach>

The Center for Community Health Equity Research (CCHER) brings together researchers from diverse disciplines with community partners to investigate health disparities and promote health equity. CCHER aims to improve the recruitment and retention of students from under-represented groups in health-related professions and to develop and implement novel interventions to improve health and build community resilience. <https://www.umass.edu/health-equity/>

SPHHS faculty and staff also conduct research, teaching, and services in communities through center and institutes, including the Institute for Global Health, UMass Extension Nutrition Education Program, and Center for Language, Speech and Hearing.

<https://www.umass.edu/sphhs/research/research-centers-institutes-and-programs>

## V. Guidelines for the Faculty Member

### 1. General Information

#### Code of Professional Ethics for Faculty

The University of Massachusetts Amherst has a code of professional Ethics for faculty. The code is contained in the University of Massachusetts Amherst Faculty Guide and applies to all faculty at the University. It is suggested that faculty read this code carefully.

- I. Professors 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,

## SPHHS Faculty Handbook

---

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 right and encourages mutual respect.

### **Faculty Workload**

The workload of each faculty and staff person is constructed according to the nature and specifics of the individual appointment. The department workload outline is set up to distinguish faculty on the tenure track from other appointments. The annual evaluation system is constructed according to departmental workload expectations and University promotion and tenure criteria.

Within the School of Public Health and Health Sciences, the standard class teaching load for tenure track faculty appointed 100% in the department is the equivalent 3 courses in most departments and 4 courses in Com Dis per 9 month academic year. (we are working towards a standardized load across all depts in the school) This load is seen as a 50% teaching assignment for the year. This load is based on the assumption that the courses taught are 3 and 4 credit classes. The 1 and 2 credit courses are viewed as being a 10% and 20% teaching load for a given semester, respectively. Exceptions to this load distribution may be made for administrative or special department assignments, grant buyouts, dispensation for new or junior faculty, and for other reasons determined by the Department Chair, subject to review by the Dean. The maximum course buyout for faculty on 100% appointments in the department is two or three courses per year depending on the department given that all faculty are expected to teach at least 1 course per year. Tenure track faculty are expected to advise undergraduate and graduate students in independent research, theses and dissertations and this is considered in addition to the class teaching workload.

Thus, the balance of the workload for tenure track faculty in SPHHS is typically viewed as 50% class teaching, 40% research and 10% service, where in effect the research time includes independent student advising. (This is under revision) Faculty with joint appointments in other units will have their class teaching responsibility reduced in relation to their percentage appointment in the department. Course releases are typically not provided for committee responsibilities or for coordinating lecture series. Faculty not engaged in research or scholarship may have their class teaching load increased beyond that specified by the standard workload.

The primary responsibility of non-tenure track faculty is teaching. Many non-tenure track faculty teach in the undergraduate program but they can also teach at the graduate level and online. A normal full-time teaching load for an instructor with 100% teaching responsibilities including service is 3-4 courses per semester. Lecturers on a 100%-time appointment have service responsibilities and should have a commensurate reduction in teaching load, with a maximum 3-4 assignment. Exceptions to this workload arrangement may be negotiated with the department, subject to review by the Dean.

## **2. The Review of Faculty**

The University has established formal policies and procedures for review processes and 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 Appendix 1). These policies are consistent with AAUP standards for annual review, 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 and the Office of Faculty Development provide supplemental guidance to the faculty as well. All faculty members are encouraged to inform themselves about faculty personnel policies.

### **Annual Faculty Report and Evaluation**

All faculty members are responsible for completing annually the web-based Annual Faculty Report (AFR) that highlights activities and achievements in teaching, research and scholarly activity, and service and outreach for the previous calendar year. The AFR is an evaluative document. The call for completion of the AFR is announced by the School/College, and is evaluated in the latter part of the year. The deadline for completion of the AFR and submission is usually in October.

<https://www.umass.edu/provost/node/258>

The annual evaluation of faculty and staff will be based directly on the balance of the individual's designated workload. The initial annual evaluation of the faculty will be made by Department Personnel Committee. The evaluation will be consistent with University promotion and tenure criteria. Committee recommendations will be forwarded to the Department Chair, who adds his or her evaluation. The Department Chair will prepare a written assessment of each faculty member's teaching, research, and service activities and will meet with each faculty member to discuss the assessment and goals for the coming year. Following the review process, the Department Chair submits the written assessments and makes recommendations to the Dean for individual performance categories. The Dean may add his or her evaluation to the AFR before submitting to the Provost. The individual faculty member has a right to respond in writing to any evaluation added to his or her AFR, and that response must be appended to the AFR.

# SPHHS Faculty Handbook

---

## **Pre-tenure Review**

In the third year of service, faculty will undergo a pre-tenure review. This review consists of an assessment of progress in many of the same aspects of a faculty member's promotion and tenure review, and suggestions for areas of improvement if needed. This review is indicative of the possible success or failure of the faculty member in the full promotion and tenure review, and if not successful, will result in termination of the faculty member's appointment.

## **Periodic Multi-Year Review**

The periodic multi-year review of all faculty is distinct from the annual and major personnel action reviews. This review serves two purposes: 1) this review expands the narrow time window of the annual reviews into an overview of a faculty member's performance that will both inform evaluations and rewards and aid academic planning; 2) these periodic overviews make possible timely consultation, intervention, and assistance that will stimulate and encourage professional development in directions that will benefit both the faculty member and the institution. The multi-year review will also effectively account for faculty members' professional activity.

PMYR is to be conducted every seven years for all faculty members after receiving tenure. The purpose of Periodic Multi-Year Review (PMYR) is to assist tenured faculty in their continuing professional development. A faculty member who has been awarded tenure and promotion has demonstrated excellent performance and represents a large investment on the part of the University. Tenure is awarded with the assumption that the faculty member will continue to develop professionally and demonstrate a continued high level of performance. PMYR evaluates performance over a number of years and assures that the talents of faculty members and their contributions to the University are maximized throughout their careers.

The review will include a brief statement, typically between 1000-2000 words and not to exceed 2500 words, submitted by the faculty member that summarizes and assesses their principal activities during the period since the last PMYR or promotion review and their goals and approach to achieving such goals in the areas of teaching, research and service in the coming years. In addition, the faculty member will submit their current curriculum vitae. The Department Chair will supply all evaluations of the faculty member's teaching performance carried out during the previous six years, and the annual faculty evaluation reports (AFRs) for the prior six years and the current year, including any supplemental materials that normally accompany AFRs.

The DPC and the Department Chair will review the individual's AFRs, curriculum vitae, teaching evaluations, and the submitted statement. After review of the materials, the DPC and the Chair will each recommend that the statement submitted by the faculty member be either: 1) accepted, with further comments or suggestions optional; or 2) revised. A recommendation to accept the submitted statement will be made when the faculty member's past performance and future goals, as documented in the materials submitted, indicates that no changes in the faculty member's work or plans are seen as required in order to continue the professional progress of the faculty member. A

recommendation to revise the submitted statement is made when the individual's past performance and future goals, as documented in the materials submitted, is indicated in order to promote the faculty member's continued effective contribution and professional progress. In making either recommendation, the DPC and the Chair will also recommend whether or not to provide the resources for professional development requested in the faculty member's statement, whether it is an accepted or revised statement.

For more information on the PMYR process, refer to the following link:  
<http://www.umass.edu/provost/sites/default/files/uploads/PMYRpolicy-1.pdf>

### **3. The Tenure/Promotion Review Process**

There are two evaluation processes that 'tenure track' faculty undergo during their careers at the University of Massachusetts. The first is tenure. Tenure as defined in Appendix II is "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 as defined in Appendix II is "the academic year during which a faculty member is considered for an appointment with tenure." The second process, promotion, may be linked with the tenure process. Promotion involves moving from Assistant Professor to Associate Professor and from Associate Professor to Full Professor. In most cases, the tenure process is linked to promotion from Assistant Professor to Associate Professor.

The tenure and promotion (Assistant to Associate Professor) and promotion (Associate to Full Professor) processes are outlined in detail in the "Academic Personnel Policy of the University of Massachusetts" (see Appendix II) commonly referred to as the "Red Book". In short, the process is a multi-stage evaluation in order by the: 1) Department Personnel Committee (DPC); 2) Department Chair; 3) School Personnel Committee (SPC); 4) Dean; 5) Provost; 6) Chancellor; 7) Board of Trustees; and the President of the University. (In cases of promotion only, the Provost has the authority to make the final decision, and the case does not advance to the Board or President.) Each level is advisory to the next level until the final decision is reached. Faculty should be familiar with this process and are encouraged to ask questions to Chairs and the Dean for clarification. Ultimately, the President has the authority to appoint members of the faculty to tenure/promotion or promotion to Distinguished Professor or to a named professorship with the concurrence of the Board of Trustees.

The promotion/tenure evaluation is initiated by the Department Chair who informs the faculty members of their tenure decision year. The Chair then asks the faculty members to nominate several external reviewers who will evaluate their progress. The Chair will also nominate several external reviewers. Generally, the Chair will finalize a list of external reviewers from those nominated by the faculty member and the DPC. The Chair will then request evaluation letters from these external reviewers. There is a timeline for the review process that is distributed to departments annually.

# SPHHS Faculty Handbook

---

## **Documentation of Faculty Progress**

Faculty considered for promotion and tenure will prepare documentation of their efforts in the form of a dossier referred to as the Basic File. The Basic File includes the following major categories of performance:

- 1) The Curriculum Vitae
- 2) Personal Statement Regarding Research, Teaching and Service
- 3) The Scholarship of Teaching and Learning
- 4) The Scholarship of Research and Creative Accomplishments
- 5) Scholarship of Service to the University, Society, and the Profession.

## **Departmental Personnel Committee**

The Department Personnel Committee (DPC) consists of 4 faculty members of the individual departments of SPHHS. Each department forms a Department Personnel Committee (DPC) that is advisory to the Provost on personnel issues such as promotion and tenure. The DPC is formed in different ways either as a committee of selected faculty members or as a committee of the whole, according to the bylaws of the department. When constituted, the DPC elects a Chair of the committee. The DPC oversees most personnel actions in the department and advises the Department Chair on Personnel Issues. Guidance on which faculty are permitted to vote on this committee is described in each department's bylaws. Charges of the committee are:

- 1) To independently review teaching, research, creative accomplishments, scholarship and service relative to a faculty member's appointment;
- 2) To act in an advisory role to the Provost and the faculty on issues related to the tenure and promotion processes.

The primary role of the committee is to provide the initial evaluation for promotion and tenure using criteria appropriate to the faculty member's responsibilities. It should be emphasized that the committee must conduct its activities consistent with the requirements of the Collective Bargaining Agreement and in a manner that guarantees an individual's right to privacy.

The faculty member under review will receive a copy of the evaluation letter prepared by the DPC and may respond to the evaluation by writing a letter that then becomes part of the Basic File.

## **School Personnel Committee**

The School Personnel Committee (SPC) functions as described in the Board of Trustees document and the collective bargaining contract. It operates according to personnel policies as identified by and in accord with University equal opportunity regulations (see Article IX of the School By-Laws, Appendix I). The School Personnel Committee is formed by one representative of each department of Biostatistics & Epidemiology, Communications Disorders, Health Promotion & Policy, Environmental Health Sciences, Kinesiology and Nutrition for a total of six members. On the initial meeting of the academic year, the SPC elects a Chair who organizes meetings regarding personnel issues for the School. The promotion file including letters from the DPC and Department Chair are

# SPHHS Faculty Handbook

---

reviewed and a recommendation is forwarded to the Dean. The charge of this committee is similar to that of the DPC:

- 1) To independently review teaching, research, creative accomplishments, scholarship and service relative to a faculty member's appointment;
- 2) To act in an advisory role to the Provost on issues related to the tenure and promotion processes.

The primary role of the committee is the same as that of the DPC.

The faculty member under review will receive a copy of the evaluation letter prepared by the SPC and may respond to the evaluation by writing a letter that then becomes part of the Basic File.

## **Criteria Evaluated in the Faculty Review Process**

The following information outlines the kinds of activity accomplishments deemed important in the promotion/tenure or promotion to Full Professor review process. Each department has provided a culture document that describes some of these accomplishments more specifically for the its discipline. The kinds of activity are not completely different between the two review processes although the promotion to Full Professor offers higher standards in these activities. The list is not complete and questions concerning additional activities to be included should be directed to the Department Chair or designated senior faculty assigned to assist the candidate. The evaluations shall be applied in light of the differences in mission and work assignments at their particular location.

### **The Scholarship of Teaching and Learning**

- A variety of evaluation data, both formative and summative, from a variety of sources that reflect teaching performance based on class observations and involvement in classes
- An individual's involvement in activities that are focused toward improvement of his/her teaching
- All courses taught during the academic year by semester and enrollments
- Advising undergraduate and graduate students
- Performance of students in subsequent courses, tangible results and benefits derived by clientele
- Any other pertinent information you feel should be included regarding teaching ability and effectiveness
- Supervision of graduate and undergraduate dissertations, theses, projects. Type of degrees and years granted.
- Membership on graduate degree candidates' committees.

### **The Scholarship of Research and Creative Accomplishments**

- Publications--List in standardized bibliographic form. The contribution of the candidate should be clearly indicated.

# SPHHS Faculty Handbook

---

1. Articles published in refereed journals
  2. Books or part(s) of books
  3. Articles published in non-refereed journals
  4. Articles published in in-house documents
  5. Research reports to sponsors
  6. Papers accepted for publication (include page numbers)
  7. Manuscripts in progress
- Research projects, grants, contracts
    1. Date, title, agency
    2. Completed or in progress
    3. Funded or proposed amount
    4. Percent effort supported by grant/contract and role (e.g. PI, co-investigator)
  - Creative accomplishments (dance compositions, instructional films, stage performances, etc.)
  - Academic studies and advanced degrees (List all programs completed or participated in which enhance teaching/coaching and therapeutic intervention abilities.)
  - Participation in seminars and workshops (Include sponsor and short description of activity.)
  - Papers presented at professional and technical meetings (Include meeting, paper titles, date, and invited or personally submitted.)
  - Speaking engagements, consulting activities, services to governmental, professional, and industrial associations, educational institutions, etc.
  - Honors and awards of scholarship or professional activity
  - Membership and active participation in professional and learned societies (include offices held, committee work and other responsibilities.)
  - Editorial responsibilities or review of books or articles
  - New courses developed
  - Description of new methods of teaching established courses

## **Teaching Innovations**

- Course revisions (including curriculum integration, writing intensive, etc.)
- Extension education courses developed or conducted
- Textbooks or manuals authored
- Any other pertinent information regarding research, creative accomplishment, and scholarship

## **Service and the Scholarship of Service to the University, Society, and the Profession**

- Service to the University
  1. Record of committee work at campus, college, department and University levels

## SPHHS Faculty Handbook

---

2. Participation in University or Campus governance bodies and related activities
  3. Administrative support work (College, Department, or Program representative)
  4. Record of contributions to the University's programs to enhance equal opportunity and cultural diversity
- Outreach Services as a representative of the University
    1. Participation in community affairs as a representative of the University
    2. Service to governmental agencies--local, state, or federal
    3. Service to business and industry
    4. Service to public or private organizations
  - Service to the Profession
    1. Active participation in professional and learned societies (e.g., offices held, committee work, and other responsibilities).
    2. Any other pertinent information you feel should be included regarding service to the profession.

### **Criteria for Advancement in Promotion and Tenure**

The Department and School have a wide range of knowledge sub-domains and disciplinary approaches to the study of Public Health and Health Sciences. The criteria for advancement in promotion and tenure will be consistent with the general university guidelines (see Appendix I), the individual contract expectations in regard to workload contributions in teaching, research and service, and the norms established for each knowledge sub domain at a major research institution. Those norms strongly influence faculty evaluating their colleagues for promotion and tenure, but no specific criteria may be codified without being negotiated with the faculty union. Faculty who expect to advance in tenure and rank must demonstrate commendable levels of performance in all components of his/her positioning the three major categories of:

1. Teaching ability and effectiveness;
2. Research, creative accomplishments and scholarship;
3. Service to the University, society, and the profession.

**Teaching ability and effectiveness** will be judged in relation to direct and indirect teaching at both the undergraduate and graduate levels. Direct teaching involves responsibility for particular courses within the department academic programs whereas indirect teaching involves advising and mentoring of students. Commendable levels of performance in direct teaching will include the demonstration of being an effective teacher as judged by student evaluation. Effectiveness in teaching is judged by the performance level and the positive change in performance level achieved by students in the class setting. Additional norms include effectiveness of communication, appropriateness of techniques used for communication, and the cutting-edge contemporary nature of the content of the course taught.

The **research, creative accomplishment and scholarship** norms for advancement will vary with the chosen knowledge sub domain of the faculty person. Research norms will be employed with

## SPHHS Faculty Handbook

---

faculty emphasizing a science or humanities focus. It is expected that faculty will develop, and demonstrate within the level of the respective track, a systematic cutting-edge line of research, creative accomplishment, and/or scholarship.

**Service** and outreach contributions will be evaluated based upon activities within and outside of the university. In-house service will normally be reflected in committee work at the department, college, and university levels. Service is judged on the effective contribution to administrative and procedural functions of the institution. Service outside the university will normally involve consulting to government, industry, and state and local agencies that relate to the individual's chosen line of research, scholarship, or creative accomplishment. Contributions here are evaluated in relation to the significance of the advising and the degree of sustained consultation.

From Section 4.6 of the "Red Book" (see Appendix I):

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 appointment 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.
- c) 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.

From Section 4.9 of the "Red Book" (see Appendix I):

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.

### **The Chair's Responsibilities in the Tenure Process**

In the evaluation process, the Department Chair's responsibilities include evaluating the dossier of the faculty member seeking promotion or tenure and promotion. The Chair considers the recommendation of the DPC in writing an evaluation letter that is submitted for review by the School Personnel Committee. The faculty member under review will receive a copy of the

evaluation letter prepared by the Chair and may respond to the evaluation by writing a letter that then becomes part of their Basic File.

### **The Dean's Responsibilities in the Tenure Process**

The role of the Dean in the evaluation process includes evaluating the dossier of the faculty member seeking promotion or tenure and promotion, the evaluation of the Department Chair/Head and the evaluation of the SPC. The Dean considers the recommendation of the Chair/Head, the DPC and the SPC in writing an evaluation letter that is forwarded with the dossier to the Provost's office for consideration. The faculty member under review will receive a copy of the evaluation letter prepared by the Dean and may respond to the evaluation by writing a letter that then becomes part of the Basic File.

### **The Provost's Responsibilities in the Tenure Process**

Once the Basic File has undergone reviews by the DPC, Chair, SPC and the Dean, it is then forwarded to the Provost's Office for review. The Provost considers all previous reviews during evaluation of the Basic File. In tenure cases, the Provost writes a letter to the Board of Trustees recommending tenure; if the Provost does not recommend tenure, the case does not advance to the Board. In promotion cases not involving tenure (except promotion to Distinguished Professor or to a named professorship), the Provost writes a letter to the candidate to inform him or her of the final decision.

### **The Role of the President and the Board of Trustees**

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.

## **VI. General Information for Faculty**

### **1. Human Resources**

For information concerning benefits, employment, labor relations, payroll and personnel issues, etc., faculty should refer to the Human Resources Division at the University of Massachusetts Amherst. <http://www.umass.edu/humres/>

## 2. Institutional Support and Services

### **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. The Ombuds Office assists faculty, students, and staff to prevent, identify, manage, and resolve campus-related conflicts and concerns such as personnel or academic issues, and to increase conflict competence by providing workshops for the campus community about conflict and communication skills. <https://www.umass.edu/ombuds>

### **University Analytics and Institutional Research (UAIR)**

University Analytics and Institutional Research (UAIR), formerly the Office of Institutional Research (OIR), provides information and analysis that supports the decision-making process, complies with reporting requirements of external agencies, and responds to ad hoc requests for information. Many of the official statistics about the campus, and Academic Affairs in particular, are reported by UAIR, with departmental profiles and student success and outcome data available for university use in planning. <https://www.umass.edu/oir/>

### **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. Reports, surveys and data on student outcomes are available at: <https://www.umass.edu/oapa/>

### **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.

<https://www.umass.edu/transportation/parking>

## 3. Personal Services and Resources

### **Center for Women and Community**

The Center for Women and Community is a multicultural women’s Center based at the University of Massachusetts Amherst, providing a range of services to the diverse cultural and linguistic

## SPHHS Faculty Handbook

---

populations of Hampshire County. All services are free and confidential. <https://www.umass.edu/cwc/>

### **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. <https://www.umass.edu/uwn/>

### **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. <http://www.umass.edu/uhs/>

### **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. The FSAP is located at University Health Services. <https://www.umass.edu/humres/faculty-and-staff-assistance-program>

### **Disability Services**

The mission of Disability Services at UMass Amherst is to be committed to full access for all persons at the University of Massachusetts Amherst and embrace the philosophy of social justice. The office promotes the empowerment of people with disabilities and their full integration into campus life and the community. Direct services are provided for all types of disability. Disability Services also provides information and referral on issues of accessibility, coordinates guest accommodations and provides training and staff development to the University community. <https://www.umass.edu/disability/about-disability-services>

### **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, and the center welcomes all clients, including UMass Amherst students, faculty, staff, and area residents. <https://www.umass.edu/psc/>

### **Center for Early Education and Care (CEEC)**

## SPHHS Faculty Handbook

---

The University provides childcare services on a sliding-fee basis to over 90 children of students, faculty, and staff. Services are provided through two childcare centers, with one single program. The centers serve children ages 15 months through five years in full—day and flexible scheduling options. The centers have a parent advisory board. The Childcare Office is located in 112 Berkshire House. <https://www.umass.edu/ceec/>

## Appendices

### **Appendix I – School of Public Health and Health Sciences Faculty Assembly By-Laws**

*Note: SPHHS Faculty Assembly By-Laws currently under revision*

### **Appendix II – SPHHS Department By-Laws**

<https://www.umass.edu/provost/resources/all-resources/academic-personnel/policy-and-labor-contracts/academic-department>

### **Appendix III - Academic Personnel Policy of the University of Massachusetts (Doc. T76 - 081) ("Red Book")**

<https://www.umass.edu/provost/taxonomy/term/150>

#### **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

# SPHHS Faculty Handbook

---

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.

# SPHHS Faculty Handbook

---

"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

# SPHHS Faculty Handbook

---

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

## SPHHS Faculty Handbook

---

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
- d) 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.
- e) 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.

## SPHHS Faculty Handbook

---

- 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:

# SPHHS Faculty Handbook

---

- 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:

## SPHHS Faculty Handbook

---

- 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.
- c) 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 permanent position.

## SPHHS Faculty Handbook

---

- 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.

# SPHHS Faculty Handbook

---

- 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 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.

## SPHHS Faculty Handbook

---

### 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 a 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.

## SPHHS Faculty Handbook

---

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 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;

## SPHHS Faculty Handbook

---

- 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.

## SPHHS Faculty Handbook

---

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

## SPHHS Faculty Handbook

---

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:

- a) Not later than March 1 of the first academic year of service, if the appointment expires at the end of that year; or, if an initial one-year appointment terminates during an academic year, at least three months in advance of its termination.
- b) Not later than December 15 of the second academic year of service, if the appointment expires at the end of that year; or, if an initial two-year appointment terminates during an academic year, at least six months in advance of its termination.
- c) Not later than August 15 prior to the year of the last academic appointment, after more than two academic years of service; or, if an appointment terminates during an academic year, at least twelve months in advance of its termination.

### 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

## SPHHS Faculty Handbook

---

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.

### **Appendix IV - BOARD OF TRUSTEES STATEMENT OF UNIVERSITY GOVERNANCE, UMASS AMHERST, UMASS BOSTON, UMASS WORCESTER (Doc. T73-098)**

-306.1-

Doc. T73-098

Passed by the BoT 4/4/73

Amended 4/2/75

Amended 6/1/88

Amended 2/3/93

BOARD OF TRUSTEES STATEMENT OF UNIVERSITY GOVERNANCE  
UMASS AMHERST, UMASS BOSTON, UMASS WORCESTER

#### **I. TRUSTEE POLICY ON UNIVERSITY GOVERNANCE**

##### **A. ENDORSEMENT OF AAUP STATEMENTS ON GOVERNANCE**

1. The Board of Trustees has all authority, responsibility, rights, privileges, powers and duties of organization and government of the University of Massachusetts as provided in Chapter 75 of the General Laws of the Commonwealth. Nothing in the following statement shall be taken as contravening that authority or any applicable federal or state law or regulation; anything contravening such authority, law or regulation is void.

2. Nevertheless, as an established university discharges its obligations and responsibilities to society by the advancement and dissemination of knowledge, the variety and complexity of its tasks require and ensure the interdependence of the governing board, the administration, the faculty, and the students, as well as other groups. The Board of Trustees has long recognized this interdependence, both among campuses within the system and among the various components within a campus, and now formally adopts the principle of joint effort in governing the University.

3. Joint effort in University governance will take a variety of forms depending on the issue and the situation. The administrative officers or the Board may in some instances propose recommendations for the consideration of the faculty and/or students before taking final action.

The faculty and/or students may in other instances propose recommendations subject only to the endorsement of the administration and the Board. In all instances, however, the principle of joint effort requires that components within the University remain sensitive to the interests of other components.

4. The Board of Trustees therefore endorses in principle the 1966 Statement on Government of Colleges and Universities adopted by the American Association of University Professors, the American Council of Education, and the Association of Governing Boards of Universities and Colleges and the 1970 statement on Student Participation in College and University Government formulated by the three aforementioned organizations, insofar as both are consistent with this Trustees' Statement on University Governance. In endorsing these two statements, the Board, while retaining its ultimate legal authority in governing the University, recognizes that the faculty, the students, and other groups within the University have the right, the responsibility, and the privilege

of advising on policies affecting the University. The Board will ensure these rights, responsibilities, and privileges through the various governing bodies--both representative bodies such as senates and assemblies, and administrative bodies such as departments, school, and colleges--established by its bylaws and other actions.

-306.2-

### B. PRIMARY RESPONSIBILITIES IN GOVERNANCE

1. The Board of Trustees recognizes that while it must exercise general authority over the University, certain components of the University, such as the President's Office, the campus administrations, and the representative and administrative governing bodies of the faculty and the students have, by virtue of interest, training, and experience, a special concern and competence in certain areas. Subject to precedents established by components on each campus and/or the restraints and procedures specified in their constitutions, these components shall have primary responsibility in their areas of special competence and concern. Whenever the phrase "primary responsibility" appears in this statement, it shall mean the capacity to initiate recommendations, after appropriate consultation, in accordance with the procedures specified in section II. D below. Such recommendations will be overruled only by written reasons stated in detail. While it in no way is intended to contravene the authority and participation of the Board of Trustees in governance, the following is a general statement of primary responsibility in the major areas of University life.

2. **ACADEMIC MATTERS:** By virtue of its professional preparation and its central concern with learning and teaching the faculty will exercise primary responsibility in such academic matters as curriculum, subject matter and methods of instruction, research, admissions, libraries, and other aspects of University life which directly relate to the educational process. Students share this concern and they will be assured the opportunity of participating in developing academic policies and in evaluating degrees, programs, and courses.

3. **FACULTY STATUS:** The faculty will have primary responsibility for matters of faculty status, such as appointments, reappointments, promotions, tenure, and salary adjustments. Students will also be assured the opportunity of participating in the evaluation of a faculty member's effectiveness.

4. **STUDENT AFFAIRS:** Students will have primary responsibility for services and activities which are designed primarily to serve students or those which are financed primarily by students, managing student political affairs and organizational matters, and setting standards for student behavior, conduct, and discipline.

5. **PLANNING, DEVELOPMENT AND BUDGET:** The President is responsible for exerting educational leadership in the planning and development of the University, both before the Board of Trustees and on the various campuses. He/she shall coordinate the planning and development on the separate campuses, keep current a University master plan, and ensure that all appropriate components of the University have the opportunity to make recommendations before planning and development decisions are rendered. The President is also responsible for coordinating, preparing, and presenting to the Board of Trustees the University's annual budget request.

He/she shall represent the budget request approved by the Board to the Governor and the General Court. The Chancellors are responsible for coordinating, preparing, and presenting to the

## SPHHS Faculty Handbook

---

President budget requests from the campuses. The President is responsible for continually improving the budget process and developing a calendar, which allows adequate time for consultation and study by all interested components of the University.

-306.3-

### II. RESPONSIBILITIES, DUTIES, FUNCTIONS, AND PROCEDURES OF THE BOARD OF TRUSTEES, THE PRESIDENT, THE CAMPUS ADMINISTRATORS, AND THE CAMPUS GOVERNING BODIES IN UNIVERSITY GOVERNANCE

Consistent with Chapter 15A and pursuant to Chapter 75 of the General Laws of the Commonwealth, the Board of Trustees may establish general policies governing the University.

The authority of the Board shall include, but is not limited to, the following specific powers:

#### A. BOARD OF TRUSTEES

1. The Trustees will consider, upon the recommendation of the appropriate faculty and student governing bodies and/or other appropriate groups, the academic plans, personnel policies, and admissions policies of each campus and of the University as a whole; plans for the establishment of new campuses, schools, institutes, and colleges, and plans for the closing of already established units and programs.

2. The Trustees will consider, upon the recommendation of the appropriate governing body(s), the establishment of degrees.

3. The Trustees will consider the budget requests of the University and the capital outlay budget requests and major amendments thereto. In addition, they will consider new student housing and other loan construction programs, accept gifts, and approve service agreements, rental agreements, and leases. Further, they will consider policies governing the solicitation of grants and research contracts.

4. The Trustees will appoint the President, the Chancellors, the Treasurer, and the Secretary of the University, set their salaries, and periodically evaluate their performance. When appointing the President, the Board will seek nominations from a broadly representative search committee appointed by the Board. The Board will determine the charge to and composition of the search committee after seeking the recommendations of the appropriate campus governing body(s) and, when appropriate, other components of the University. The Board will appoint faculty and student representatives to the search committee upon nomination by the appropriate governing body(s). When appointing a Chancellor, the Board will seek nominations from a broadly representative search committee appointed by the Chair of the Trustees in consultation with the President. The Chair will determine the charge to and composition of the search committee after seeking the recommendations of the appropriate campus governing body(s) and, when appropriate, other components of the University. The Board will appoint faculty and student representatives to the search committee upon nomination by the appropriate governing body(s).

The President will recommend two or more candidates to the Board.

5. The Trustees will consider long-range development and design plans for each campus in relation to long-range academic plans and any major amendments to these plans. They will approve consulting architects, landscape architects, executive architects, and the designs for major

## SPHHS Faculty Handbook

---

campuses, consistent with the authority vested in the Department of Capital Planning and Operations.

-306.4-

6. The Trustees will consider all policies concerning the University's relationship with local, state, and federal governments and all policies concerning public information. In this regard, the Board will consider policies concerning the University relationship with other segments of higher education.

7. The Trustees will make the final selection of all honorary degree recipients and will name all buildings and facilities.

### B. PRESIDENT OF THE UNIVERSITY

1 The President is the principal academic and executive officer of the University. He/she will exercise executive authority over the campuses comprising the University subject to the direction of the Board of Trustees. He/she will serve as chief spokesman and interpreter of the University and represent it to the general public and its representatives.

2. The President will be responsible for presenting policy recommendations to the Board of Trustees and ensuring that the campuses develop ways of implementing Trustees' policy.

He/She will develop, coordinate, and keep current a master plan of the University. He/She will be responsible for the coordination and preparation of the annual budget request and its presentation to the Board of Trustees and to the Governor and the General Court. He/she will also be responsible for the allocation of the appropriated budget and all other funds.

3. The President will appoint, promote and grant salary adjustments to personnel in the President's Office. He/She will supervise the operations of the officers and staff in the President's Office.

4. The President will appoint the Vice Presidents with the concurrence of the Board of Trustees.

5. The President will appoint members of the faculty to tenure with the concurrence of the Board of Trustees.

6. The President will coordinate the work of all campuses of the University and promote the general welfare of the university as a whole in its several parts. He/she will ensure as much campus autonomy as possible commensurate with achieving the central purposes of the University or fulfilling his/her duties as specified herein. The President will establish and maintain an effective communications system with the University that allows for the prompt identification of needs and problems and their analysis. In particular, the President, in concert with the Chancellors, will ensure that all appropriate components of the University have the opportunity to make recommendations prior to the establishment of policy.

7. The President may refer for investigation and report any matter of institutional concern to administrative staff, governing bodies, faculty, or students. The channel for official communications between the President and the various campus groups in such matter will be through the Chancellor.

-306.5-

### C. CAMPUS CHANCELLOR

1. The Chancellor is the chief academic and executive officer of the campus. He/she will exercise executive authority over the campus subject to the direction of the President. He/she will be

## SPHHS Faculty Handbook

---

responsible to the President for administering the various schools, colleges, divisions, departments, and other units on the campus.

2. In the formulation of policy the Chancellor will represent his/her campus to the President and the Board of Trustees, and upon the adoption of policy he/she will ensure its implementation on campus. He/she will develop, coordinate, and present to the President immediate and long-range plans for the campus. The Chancellor will also coordinate, prepare, and present to the President the annual budget request of the campus and oversee campus expenditures.

3. The Chancellor will appoint the Vice Chancellors, the Provosts, and the Deans of the campus upon delegation by the President, set their salaries, and periodically evaluate their performance.

When appointing a Vice Chancellor with line responsibilities, a Provost, or a Dean, the Chancellor will seek nominations from a broadly representative search committee. The Chancellor and the appropriate governing body(s), representative and/or administrative, will mutually agree upon the composition and the charge of the search committee. The Chancellor will appoint faculty and student representatives to the search committee upon nomination by the appropriate governing body(s).

4. The Chancellor will appoint, promote, and grant salary adjustments to professional and non-professional personnel on campus.

5. The Chancellor will coordinate the work of the various units of the campus and promote the general welfare of the campus as a whole and in its several parts. He/she will ensure as much autonomy as possible to the various units of the campus commensurate with achieving the central purposes of the campus and the University as a whole or fulfilling his/her duties as specified herein. He/she will assist the President in maintaining an effective communications system within the campus that allows for the prompt identification of needs and problems and their analysis. In particular, the Chancellor will assist the President in ensuring that all appropriate components of the campus have the opportunity to make recommendations prior to the establishment of policy.

6. The Chancellor may refer for investigation and report any matter of institutional concern to administrative staff, governing bodies, faculty and students.

### D. CAMPUS GOVERNING BODIES

1. Faculty and students may be organized into governing bodies, such as senates and assemblies, departments, schools, and colleges. The constitutions of the major governing bodies must be approved by the Board of Trustees.

2. When appropriate, governing bodies shall have the privilege of recommending policies and procedures affecting the campus and the University as a whole, including, among others matters, academic matters, matters of faculty status, and student affairs. Also when appropriate, governing bodies will have the privilege of contributing to long-range planning, the preparation of the annual budget request, and the allocation of available resources.

-306.6-

3. The Chancellor, the President, and the Board of Trustees may approve recommendations from the campus representative governing bodies at any time. Subject to precedents established by components of each campus and/or the restraints and procedures specified in their constitutions, and in accordance with the preceding statements of primary responsibility (Section I. B of this

statement), recommendations adopted by the campus representative governing bodies will be come policy unless (1) disapproved or sent back for reconsideration by the Chancellor within twenty working days of receipt of notification from the governing body; (2) disapproved, sent back for reconsideration, or deferred by the President within twenty working days of receipt of notification of the Chancellor's approval or within twenty working days following the expiration of the twenty working-day period for the Chancellor's consideration; (3) disapproved by the President during a special thirty-working-deferral period (if the President chooses to defer his/her decision he/she will notify the governing body; the deferral period will begin at the end of the President's initial twenty-working-day period of consideration); (4) disapproved by the Board of Trustees within these specified time limitations. The governing bodies will notify the Chancellor, the President, and the Board of Trustees of their actions as soon as possible after their adoption. Any matter not acted upon within seventy-working-days of receipt of notification by the Chancellor of an action by a governing body will be taken as approved by the Board of Trustees. When a recommendation is disapproved, the governing body will receive written reasons in detail for the adverse decision.

### III. IMPLEMENTATION

Provision for implementing the foregoing policies and procedures of University governance shall be subject to the approval of the Board of Trustees

### IV. APPROVAL AND EVALUATION

The Board of Trustees reserves the right to alter, amend or revoke the foregoing Statement on University Governance, in part or whole, at any time. The Board of Trustees will review the foregoing policies and procedures every five years.