Chairs and Associate Deans Leadership Workshop I  
August 22, 2018  
Larner Classroom, MedEd 100  
8:00 AM – 12:30 PM

8:00 AM  Continental breakfast

8:15 AM  Welcome and Introductions  
Jim Vigoreaux, Associate Provost for Faculty Affairs  
David Rosowsky, Provost and Senior Vice-President

8:30 AM  Conversations and Case Studies  
- Faculty Recognition  
- Faculty Recruitment  
- Faculty Mentoring  
All Participants

10:15 AM  Break

10:30 AM  Primer on New UA Contract and Supervisory Responsibilities  
Mary Brodsky, Director, Labor Relations and Employment Services  
Meghan Boucher, Professional, Labor Relations and Employment Services  
John Collins, Deputy General Counsel

11:15 AM  Legal Issues for Chairs  
John Collins, Deputy General Counsel

11:30 AM  Your Role in Compliance Oversight  
Tessa Lucey, Director of Compliance Service

11:45 AM  Advice from Your Neighbor Chairs  
All participants

12:15 PM  Academic Unit Diagnostic Tool  
Jim Vigoreaux

12:20 PM  Concluding Remarks  
Jim Vigoreaux

12:30 PM  Adjourn
Active shooter and workplace safety narrative

I introduce the video by highlighting that active shooters in our nation have targeted a multitude of locations: high schools, colleges, elementary schools, shopping malls, parking lots, movie theaters and places of worship to name just a few.

I emphasize that this video training is good "life" training, not just for the workplace at UVM.

After having the staff watch "Run, Hide Fight", I follow up with outlining all of the systems that UVM has in place to enhance campus safety.

I identify the advantages of having a 24/7 campus police force for faster response time and intimate knowledge of campus buildings and keys/CATcards for access anywhere. The 160+ emergency blue lights throughout the campus (and an explanation of HOW they work) and 911 on a campus landline will route directly to UVM Police with an exact call location.

I remind my audience of the CATalert system and encourage them to put their cellphone numbers into the system if they prefer receiving text messages from CATalert.

I make sure my audience is aware of the CARE team that focuses on students in crisis/struggling as well as the Personal Safety and Response Team (PSRT) to focus on faculty and/or staff exhibiting concerning behavior. These teams with members from HR, Police Services, Dean of Students, Counseling and Psychiatry, Risk Management, Health and Well Being are communicating with each other on a regular basis to make sure resources are being directed at community members that are struggling.

I hand out the HR card that provides information on submitting anonymous CARE reports, reaching at to EAP (the Wellness Corporation).

I also hand out the workplace safety planning outline to encourage my audience to reconnect with what is happening around them and to actively pay attention and CHOOSE where they park, where they walk, OBSERVE what is happening in the here and now.

As part of the discussion, I encourage staff to take the time to survey their own work environment. I recommend that they identify spaces that can be locked, locations of fire extinguishers and fire alarm pull boxes. I recommend that staff know where landlines are located, if there are blinds on windows that can be closed, escape route options, hiding places, what would stop bullet penetration and what would not (sheet rock walls vs stone walls or being below ground level).

I recommend that staff find all the back doors and alternate exits to discuss routes to run....do they know the lay of the land? Do they have a destination/strategy if they exit the building?

The final focus is to have the staff members look around their work environment to identify objects that could be used as weapons in self defense. I remind them of the fire extinguishers, the metal items on their desk (3 ring hole punch, metal lamp, metal stapler, upright fan) any items that could be thrown or swung at an assailant's head.
I remind staff that it can be very challenging to navigate staircases or unfamiliar hallways if moving quickly or if darkness (power failure) or smoke interferes with vision. I encourage my audience to navigate all exit options periodically so that they build a familiarity with the buildings they frequent.

Prior to concluding this workshop, I inform faculty/staff that they can invite me in to their work spaces to help them create strategies for a variety of emergency events.

This is a summary of the topics covered in this training.

Officer Sue Roberts (546)

ABBREVIATED VERSION

I showed the FBI: Run Hide Fight video for providing a basic foundation for how individuals can/should respond if they happen to be in the location when someone is actively engaged in killing/harming the public.

We also reviewed the UVM safety systems: CATalert/ emergency blue lights/911 on a campus landline and on a cellular device/ escape routes & strategies/ selecting locations & spaces to hide in/ options for barricading & securing doors & windows/ how to defend yourself using materials at hand.

The attendance roster is attached.

Officer Sue Roberts (546)
VIOLENCE IN THE WORKPLACE

Workplace violence often begins with inappropriate behavior or signs that, when detected and reported, may help prevent its occurrence. The following information may be helpful in detecting or anticipating workplace violence and help to create a safer, healthier workplace for everyone.

If violence occurs or there is an immediate threat of violence:
1. Leave the area immediately if possible. If this is not possible, try to lock yourself in a secure area.
2. If possible, dial 911 or 802-656-3473. Give University Police as many details as possible.

Examples of Workplace violence: **Threats, direct or implied**

- Physical conduct such as pushing, shoving, or striking that harms or has the potential to harm people or property.
- Conduct that harasses, disrupts or interferes with another individual’s performance.
- Conduct that creates an intimidating, offensive or hostile environment.

Potential Warning Signs:

- Verbal, nonverbal or written threats
- Fascination with weapons or violence
- New or increased stress at home or at work
- Expressions of hopelessness or anxiety
- Insubordinate behavior
- Dramatic change in work performance
- Destruction of property
- Drug or alcohol abuse
- Externalization of blame

Risk Factors that Contribute to Workplace Violence

- Termination of employment
- Disciplinary actions
- Ongoing conflicts between employees
- Domestic or family violence
- Debilitating and/or life threatening illness in the family
- Financial problems

Workplace Violence Prevention

- Be aware of what’s going on around you at all times.
- Awareness is a proven method for increased personal safety.
- Tell your supervisor when you notice unusual or suspicious behavior.
- Attend a violence prevention seminar that includes training in conflict resolution and positive ways of dealing with hostile individuals. These are offered by the University Counseling Center (656-3340).
- Refer employees exhibiting inappropriate behavior to the University's Employee Assistance Program (New Wellness and Employee Assistance Program 1-802-864-EAP0)
- Do not hesitate to call UVM Police Services for help 802-656-3473.

911 dialed on a UVM landline goes directly to UVM Police.
911 dialed on a cellular device is received at the closest available 911 call center. Be VERY clear about your specific location and remain on the line to answer essential questions.

REMEMBER: A SAFE WORKPLACE IS EVERYONE’S RESPONSIBILITY.

To Report Behavior That Is Concerning:
http://www.uvm.edu/deanofstudents/student_advocacy/care_form
Workspace Safety Planning Considerations

1. People who work in the space are the most knowledgeable about their space
2. Safety begins with awareness
3. Safety is about reasoned risk management; decreasing probability
4. Identify safety coordinator(s) for your office
   a. Identify meeting location if you have to evacuate
   b. Identify a call location to leave an “I’m okay” message away from the office

PERSONAL SAFETY:
5. Start big and work in:
   a. Parking
   b. Path of travel
   c. Time
   d. What are you carrying in your hands
   e. Exits / places of safety/ situational awareness
6. Inside the building:
   a. Path of travel
   b. Lighting
   c. Who is there? (know folks who work in the building, meet and greet)
   d. Exits / places of safety / situational awareness
   e. Trust your intuition
7. Inside your department / office:
   a. Entrance / egress
   b. Locks on the inside doors
   c. Proxemics / Barriers
   d. Objects that can protect/endanger you
   e. Situational awareness while working
      i. Can you see someone entering your space
      ii. Do you have a way to exit when someone is in your space
      iii. Communication with co-workers – safety in numbers
8. Communication:
   a. Program Police Services into cell phones
   b. Have an outside number for staff to call to check in
   c. Designate a meeting place to evacuate to
9. Evacuation vs. Lockdown
   a. Plan to take purse briefcase (Whatever holds Id, credit cards etc..), keys, every time
10. Practice and talk with each other about the plan

You have to feel safe both physically and emotionally to be productive. Creating the sense of stability and comfort is a balance of awareness and probability.

Police Services will help facilitate safety planning, call or e-mail: 802-656-3473 pssuper@list.uvm.edu or Community Engagement and Outreach Coordinator: Officer Sue Roberts: sue.roberts@uvm.edu at 802-656-8009
Pre-programming your local (the town where you live) police agency’s DIRECT phone number into your cellphone can be very advantageous. Adding the UVM Police direct phone line (802-656-3473) to your contact list is also recommended as you are often on campus more hours than you are at home!

NORTHERN VERMONT/CHITTENDEN COUNTY POLICE AGENCY PHONE NUMBERS

911 = EMERGENCY

Barre City Police 802-476-6613
Barre Town Police 802-479-0508
Burlington Police 802-658-2704  (Dial 8)
Colchester Police 802-264-5555
Essex Police 802-878-8331
Milton Police 802-893-6171
St. Albans Police 802-524-2166
Shelburne Police 802-985-8051
South Burlington Police 802-846-4111
UVM Police 802-656-3473  (Dial 911 on a campus phone)
Williston Police 802-878-6611
Winooski Police 802-655-0221

Updated April 2017

UVM POLICE SERVICES VIDEOS

http://www.uvm.edu/~police/?Page=services/safety_prevention.php&S
M=services/nav.html

VIDEO:  FBI RUN HIDE FIGHT (2 links to the same video)
https://www.youtube.com/watch?v=5VcSwejU2D0

https://www.bing.com/videos/search?q=fbi+run+hide+fight+video&view=det
ail&mid=B741F5B78F8E84FF6838B741F5B78F8E84FF6838&FORM=VIRE1

It's all fun and games until the cops show up!
PROMOTING PERSONAL SAFETY AMONG UVM STUDENTS

If you are concerned about a UVM community member or are concerned about a specific event, contact the Dean of Students Office (802-656-3380).

If you would like to remain anonymous, you can report your concerns using the Concerning And /or Risky Event (CARE) form:

https://www.uvm.edu/deanofstudents/student_advocacy/care_form

PROMOTING PERSONAL SAFETY AMONG UVM FACULTY and STAFF

Overview of the Personal Safety Response Team

The University of Vermont's Personal Safety Response Team acts to ensure the safety and wellbeing of the UVM community. The multi-disciplinary team shares information concerning personal safety issues involving UVM employees and coordinates efforts between departments.

http://www.uvm.edu/hrs/?Page=info/general/understandingpsrt.html&SM=info/infomenu.html
Addressing Classroom Disruption

Defining Disruptive Behavior
Disruptive student behavior is detrimental to the academic community because it interferes with the learning process, inhibits the ability of instructors to teach effectively, diverts university energy and resources away from the educational mission, and may indicate a significant level of personal problems or distress on the part of the disrupter.

Direct threats from a student should not be tolerated.
(i.e. "You are going to be sorry you did that!", "I know where you live", or "Just wait-1'll get you!"
Call Police Services immediately!

Disruptive behavior exists on a continuum and can assume many forms.

Disruptive Behavior IS:
- The student in your class who is persistently tardy or leaves early
- The student who talks incessantly while you are delivering a lecture
- The student who loudly and frequently interrupts the flow of class with questions or interjections
- The student who becomes belligerent when you confront his or her inappropriate behavior in class

Disruptive Behavior is NOT:
- Cultural differences
- Disagreements or differences of opinion
- Situational frustration
- Dealing with stress and emotion
- Needing extra time or attention for a special reason

Preventing Disruptive Behavior
1) Set clear expectations about classroom behavior and include these expectations in the syllabus.
2) Review these expectations in class
3) Model professional behavior. Respond to inappropriate remarks in a professional and mature manner. Put-downs or witty comebacks can potentially escalate a situation.
• If a student has threatened you or someone else—Call Police Services Immediately (911 or 802-656-3473)

• Emotional Issues/Anger Management—Please refer to the Counseling & Psychiatry (CAPS) Center (802-656-3340)
  o CAPS staff is available to consult with anyone who is concerned about a UVM student. To access a counselor, please call our front desk at 656-3340. These consultations are available in-person or by telephone. When possible, you will be able to speak with a counselor immediately. If all counselors are busy, you will be asked to schedule a phone consultation for later in the day.
  o If it is after normal business hours and your need is URGENT, you may reach the on-call counselor by calling the CAPS office at 802-656-3340.
  o https://www.uvm.edu/health/contact

• If you are concerned about a student and are not sure what the appropriate resource is, notify the following offices:
  o Your College Dean’s Office
  o Dean of Students Office (802-656-3380)
    ▪ The Dean of Students Office’s number one priority is to support a healthy and safe community. Occasionally, members of our community find themselves or others in need of additional help and support. If you are concerned about a UVM community member or are concerned about a specific event, contact the Dean of Students Office (802-656-3380). Or, if you would like to remain anonymous, you can report your concerns using the Concerning And / or Risky Event (CARE) Form
    ▪ CARE Form: https://www.uvm.edu/deanofstudents/student_advocacy/care_form

INTERVENTION STEP #1

Ask the student to immediately and respectfully end the behavior by:

1. Ask the student to stay after class so that you can discuss why the behavior is inappropriate or disruptive

   (OR)

2. Take a break during class and ask the student to end the behavior

NOTE: All of these verbal conversations should be followed up via an email to the student which summarizes the conversation
INTERVENTION STEP #2
(Behavior Continues)

1. Let the student know that he/she needs to meet with you and the Academic Dean as soon as possible about his/her continued behavior in order for them to return to class

2. You and the Academic Dean should follow-up in writing to the student via email outlining the behavior and future expectations for class participation

   NOTE: Faculty member should keep a log describing disruptive behavior and documenting the meetings and conversations that have occurred with the student. These documents should be kept on file.

INTERVENTION STEP #3

1. If the student has not changed his/her behavior, the case should be referred to the Center for Student Conduct (802-656-4360 or sconduct@uvm.edu)

2. Submit all related documentation and incidents describing disruptive behavior to the Center for Student Conduct.
GUIDELINES FOR MEETING WITH A DISRUPTIVE STUDENT

It is appropriate to meet privately with a disruptive student following a confrontation or removal from a classroom. As an educator, you may wish to request a meeting with a student who has displayed unacceptable behavior even when a confrontation has not resulted. Avoid meeting the student in an isolated location outside of normal "staffing" hours. In either case, the meeting is an opportunity for the student to understand the inappropriateness of his or her behavior and to develop strategies for continuing successfully in the class.

During the meeting:

1) Remain calm. This may be difficult if the student is agitated or confrontational, but your calm and reasoned response will best control the meeting.

2) Do not take behavior or remarks personally, even though they may be directed at you. Disruptive behavior usually results from other life problems or a general academic frustration.

3) Be specific about the inappropriate behavior the student has exhibited. Describe the behavior, don’t focus on the person. Explain why the behavior is a problem.

4) Ask questions and summarize what you hear the student saying. Respectful concern may enable you, the educator, to help the student be successful both in your class and in his or her general university experience.

5) Focus on areas of agreement between you and the student. Conclude by summarizing any resolution and articulating expectations for the future.

Consultation/Support Resources Include:

- Police Services-(911 or 6-3473)
- Your College Dean's Office
- Counseling Center-(6-3340)
- Center for Student Conduct (6-4360)
- Dean of Students Office (6-3380)
The Dean of Students Office's number one priority is to support a healthy and safe community. Occasionally, members of our community find themselves or others in need of additional help and support. If you are concerned about a UVM community member or are concerned about a specific event, contact the Dean of Students Office (802-656-3380). Or, if you would like to remain anonymous, you can report your concerns using the Concerning And /or Risky Event (CARE) form:

https://www.uvm.edu/deanofstudents/student_advocacy/care_form

If there is a potential for danger to self or others, Campus Police (802-656-3473 (if on campus) or 911) should be called immediately.

**Center for Health & Wellbeing at UVM**

**Counseling And Psychiatry Services (CAPS)**

CAPS staff is available to consult with anyone who is concerned about a UVM student. To access a counselor, please call our front desk at 656-3340. These consultations are available in-person or by telephone. When possible, you will be able to speak with a counselor immediately. If all counselors are busy, you will be asked to schedule a phone consultation for later in the day.

If it is after normal business hours and your need is URGENT, you may reach the on-call counselor by calling the CAPS office at 802-656-3340.
Available Faculty Awards

Endowed/Named Chairs and Professorships: Traditionally, faculty chairs and professorships are established as a means to honor and support the work of faculty pursuing scholarly activity in a particular field. An endowment also may be established to offer departments, colleges, programs, and institutes an additional source of unrestricted funds to support the activities of that unit by establishing an endowed chair for the administrator of that unit (i.e., an endowed deanship or an endowed department chair), and for the recruitment of new faculty. Endowed administrative chairs are awarded ex officio to the incumbent in an administrative post, and are not retained by the incumbent if s/he leaves their administrative post. The deadline for nominations is open. For more information, please visit: http://www.uvm.edu/~provost/Endowed%20Chair%20Appointment%20Guidelines%202018-rev2.pdf

University Distinguished Professor Program: The University Distinguished Professor Award is the highest academic honor that the University of Vermont can bestow upon a member of the faculty. Holders of this title are recognized as not only having achieved international eminence within their respective fields of study but for the truly transformative nature of their contributions to the advancement of knowledge. Only ten individuals may hold an active appointment as University Distinguished Professor at any one time. The deadline for nominations is March 1. For more information, please visit: http://www.uvm.edu/provost/udp/

President’s Distinguished University Citizenship and Service Award: Presented annually, this award recognizes members of the University of Vermont faculty who have established a consistent and over time outstanding record of service to the University community. The award is designed to acknowledge exceptional service by an individual who is recognized as a true university citizen for contributions to institutional building at the University. The deadline for nominations is January 28. For more information, please visit: http://www.uvm.edu/president/facultyaward/

President’s Distinguished Lecturer and Senior Lecturer Award: This yearly award honors and recognizes the distinguished accomplishments in teaching, scholarship and service of faculty who hold the rank of Senior Lecturer and Lecturer. The deadline for nominations is February 11. For more information, please visit http://www.uvm.edu/president/lectureraward/

Kroepsch-Maurice Excellence in Teaching: This yearly award recognizes faculty for excellent instruction. The deadline for nominations is May 3. For more information, please visit http://www.uvm.edu/ctl/?Page=km/km2018.php

George V. Kidder Award: This award honors one full-time University of Vermont faculty member for excellence in teaching and extraordinary contributions to the enrichment of campus life. This prestigious award has been presented annually since 1974. The deadline for nominations is December 14. For more information, please visit http://www.alumni.uvm.edu/s/1690/alumni/index.aspx?sid=1690&gid=2&pgid=503

University Scholars Program: The University Scholars program recognizes distinguished UVM faculty members for sustained excellence in research, creative and scholarly activities. The Scholars are selected by a faculty panel based upon nominations submitted by UVM colleagues. Four University Scholar Awards will be available: two to individuals in the Social Sciences, Humanities and Creative Arts, and two to individuals in the Basic and Applied Sciences (including Biological, Medical and Physical Sciences). The deadline for nominations is February 1. For more information, please visit: https://www.uvm.edu/graduate/university_scholars

The UVM Outstanding Faculty Advising Award: The Outstanding Faculty Advising Award recognizes a faculty member at the University of Vermont who has achieved excellence in undergraduate academic advising. This Award is a collaboration between the Provost’s Office, the Student Affairs Committee of the Faculty Senate, the Student Government Association and the UVM Advising Center. Any full-time UVM faculty member engaged in undergraduate advising is eligible for the award. The deadline for nominations is November 27. For more information, please visit: https://www.uvm.edu/academicsuccess/academic-advising-award
FACULTY RECOGNITION

It has been several years since anyone in my department (school) has received a university faculty award. My department (school) has phenomenal faculty, several of which are as accomplished, if not more, than those folks from X and Y departments that have received awards. Why doesn’t UVM recognize the high quality of my department and our excellent teacher-scholars?

List three reasons why your department faculty may not be receiving university awards.

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List three strategies or interventions to increase the number of awards for your department faculty

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To Recommend or Not to Recommend?

Your department has just completed a national search for a tenure track position in a discipline for which, based on your judgement, there is broad representation nationally and an abundance of candidates. After a two month advertising period the search only draws 12 candidates and none from federal protected classes.* However, one of the candidates, and the search committee’s only recommended choice, has outstanding credentials, glowing letters of recommendation, and is a recognized national leader in the discipline. The search committee argues the candidate “walks on water” and is a “perfect fit” for the department. Moreover, the candidate desperately wants to be near his aging parents and they just bought their retirement dream home across the lake. The search committee chair is aware that the candidate is considering other offers and is urging you and the dean to move fast on the approval process. You are concerned that the search did not attract a broader and deeper pool of candidates.

(i) How would you balance the need to move expeditiously with doing your due diligence?
(ii) What factors would you consider in balancing the expectations of your department and those of the university?**
(iii) What would you recommend to the dean – support the hiring of the “perfect fit” candidate or call back the search? Provide the rationale for your recommendation.

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* The University of Vermont is an Equal Opportunity/Affirmative Action Employer. Applications from women, veterans, individuals with disabilities and people from diverse racial, ethnic, and cultural backgrounds are encouraged.

** The University is especially interested in candidates who can contribute to the diversity and excellence of the academic community through their research, teaching, and/or service. Applicants are requested to include in their cover letter information about how they will further this goal.
FTUA Contract Training for Academic Administrators: What You Need to Know

Mary Brodsky, Director of Labor Relations and Employment Services
Megan Boucher, LER Professional
Summer 2018
Represented Faculty
Full-time Contract (in place through 6/30/20)

► Article 1 - Recognition

► **New to CBA**: Formalized exclusions of vice chairpersons in CNHS, GGP director of Global Initiatives, Director of the Gund Institute on Environment, Director of EPSCOR, CNHS Program Director for Physical Therapy, Director and Associate Director of Extension

► **New to CBA**: Excluded individuals who go on sabbatical leave shall continue to be excluded from the bargaining unit during the sabbatical if it is clear they will be returning to an excluded position

► If you have questions regarding BU eligibility based on duties, contact Labor and Employee Relations (LER).
Appointments and Evaluation of Faculty
Article 14 - FT Contract Changes
Appointment Terms and Lengths

- Lecturers and Senior Lecturers will be notified of final FTE no later than May 1. (14.1)

- No retroactive FTE changes, but compensation and other adjustments including retirement contributions will cover period from when the faculty applied effort toward the grant. (14.1)

- Lecturer and Senior Lecturer Appointment Terms (14.10.b)
  - After 4 years of consecutive service, lecturer reappointments will be for 2 or 3 years.
  - Eligible for promotion in 5th year;
    - If successful, remainder of appointment will be as Senior Lecturer
    - Reappointment will be a 3, 4, or 5 year term
  - Senior Lecturers will initially receive a 3 or 4 year appointment; Second reappointment will be 4 or 5 years
Appointments and Evaluation of Faculty
Article 14 - FT Contract Changes
Appointment Terms and Lengths

- Research Faculty (14.10.f)
  - If grant is guaranteed for 2 or 3 years, the PI, regardless of rank, shall receive a contract of the same length
- Bridge Funding
  - In all cases where a new grant has been awarded with a definite start date, bridge funding shall be automatically approved if the hiatus period is one month or less
  - The FTE will be the FTE of the expired grant or the FTE of the new grant, whichever is smaller.
  - May apply for bridge funding with 3 or more consecutive years of service
- *May* extend Clinical, Extension, and Library Professors one more year than under the previous CBA (14.10.e,g,h)
Appointments and Evaluation of Faculty
Article 14 - FT Contract Changes
Evaluations - NTT Faculty

- Deleted Pink, Blue, and Green sheet labels (14.10)
  - Formal names: Reappointment Review, Formal Peer Review, Promotion Review

- No Formal Peer Review required if faculty member is resigning or retiring. (14.10.a.ii)

- After the second Formal Peer Review, the reviews shall be required every 6 years unless requested by the faculty member earlier. (14.10.a.ii)
Faculty Workload and Responsibilities
Article 16 - FT and PT Contracts

- Department Chairpersons are responsible for the scheduling and assignment of all faculty under their direction, subject to the approval of the Dean.

- Annual Workload
  - Documented in writing with Workload Form (FT faculty), Appt Letter (PT faculty)
  - Required consultation with FT faculty member
  - Must include allocation of percentage of effort, specific courses and estimated enrollment numbers (FT faculty)
  - May be modified as necessary provided changes are discussed with faculty member and the changes are not arbitrary or capricious
  - Workload forms maintained in the Academic Record File
Faculty Workload and Responsibilities
Article 16 FT Contract Changes

- **Annual Workload (16.1)**
  - Changes to workload must be communicated to 12 month faculty by July 1 and all other faculty by June 1 or the workload will be considered approved by the Dean.

- **Contacting faculty “off contract” (New 16.3.e.)**
  - Limited scope of reasons: upcoming Fall semester, student grade appeals or investigations, complete functions assigned under 16.3.a.
    - No additional compensation for responding to these issues
  - Requests that need response under this provision will be clearly identified in the email
  - No additional assignment of work
  - No academic advising responsibilities
  - If a faculty member is unavailable for more than 2 weeks, they will inform the chair of the next availability
Faculty Workload and Responsibilities
Article 16 FT Contract Changes

- NTT Faculty Workloads - Course Reductions (16.4.b)
  - If NTT faculty teaches 8 courses for 2 consecutive academic years, in the 3rd year they will be assigned no more than 7 courses
    - No substitute work assignment
    - No reduction in FTE
    - No increase in class capacities
  - Course releases do NOT count toward “teaching” 8 courses
  - Based on needs, can delay course reduction until the following year.
    - The deferred year counts toward the next course reduction.
  - **Academic Year 17-18 will be the first year for counting consecutive year**
    - Parties will discuss implementation, so that no more than 1/3 of faculty in a department will receive a reduction in any given year.
    - Course reductions will not begin until AY 2019-20
Salary

Article 18 and 19 - FT Contract Changes

- Salary Increases
  - FY18: 1.5% ATB; 1% Performance (pay retroactive to Jan 1, 2018)
  - FY19: 2% ATB; 1% Performance
  - FY20: 2% ATB; 1% Performance
- Across the board amounts split between percentage and flat dollar amount
- Research faculty
  - Up to a maximum of 9% each FY
- Promotion Increases (retro to July 1, 2017)
  - Lecturer to Senior Lecturer: 9% of base salary or $5500, whichever is greater
  - Instructor to Assistant Professor: $2500
  - Assistant to Associate Professor: 9.25% of base salary
  - Associate to Full Professor: 11% of base salary
- Per Credit Supplemental/Additional Compensation increased to $2100 PCR
Benefits

Article 20 - FT Contract Changes

- Dependent eligibility
  - Eligible for dental and life insurance up to age 26

- High Option Dental Plan (effective 8/1/18)
  - Higher limits on orthodontia and calendar year maximum
    - Orthodontia increased to $1500 per person
    - Calendar year maximum increased to $2000 per person
  - High option dental plan premiums have increased

- Application for summer 403b contributions are no longer be necessary
  - Contributions will be automatically applied
  - Faculty must be otherwise eligible for 403b contributions
FT Faculty must apply for professional development funds with their Chair, who will make the final decision on the application for such funds.

- Requests must be in writing
- Departments must have established written guidelines for the criteria and procedures for the distribution of such funds
- FY 19 $1675; FY20 $1775
- Deans have discretion to authorize additional funding for professional development.
Sabbaticals and Professional Development Leave
Article 22 - FT Contract

- The Chair’s recommendation is critical to the assessment of the sabbatical proposal: must judge whether the proposal meets the “high quality” criteria

- Sabbatical eligibility
  - Leaves of absence are excluded from calculating required years of service
  - Years of service may include any faculty service at the University
  - Years of service may include faculty service at another institution if specified at the time of appointment or later, with the approval of the Provost

- Sabbatical application process and timeline (22.1.j)
  - Applications due to the Department Chairperson no later than Sept 1
  - Consult school or college timetables for deadline to Dean

- Professional Development Leaves
  - Applications due to the Dean with the Chair’s recommendation no later than Oct 1
Other Changes:

- Article 5 - Anti-Discrimination
- Article 6 - Academic Freedom and Responsibility
- Article 9 - Right to Information
- Article 13 - Discipline and Sanctions
Practical Advice for Supervisors

• Be consistent.
• Have the hard conversations. Ignoring problems will not make them go away.
• Talk to your colleagues.
• Rely on your UVM’s support network (i.e., LER, your business manager, EAP).
• Follow-up in writing. Keep your documentation.
• Ask questions.
• Make considered decisions.
• Remember to “fail forward.”
Effective Feedback

- Clear and Concise
- Regular and Timely
  - Consider RPT timeline for probationary TT faculty, reappointment schedule for NTT faculty, and support for Tenured Professors
- Use to Reward and Recognize Strengths and Excellent Performance
- Use to Modify Behavior/Conduct/Performance

Tips for Meeting:
- Write out and practice what you want to say
- Allow adequate time for the employee’s comments
- Focus on performance/conduct - not personalities
- Seek cooperation, not confrontation
- Try to end meeting on a positive note
Chairperson Duties and Responsibilities

- Consulting with the faculty regarding the development and implementation of guidelines for faculty assignments and the standards for decisions about changes in faculty status;

- Scheduling courses for and otherwise making assignments to faculty;

- Assessing the effectiveness of Departmental instruction and student advising;

- Making recommendations to the Dean, following consultation with Department faculty as may be required by Department guidelines;

- Fostering research and scholarship by Department faculty, and assisting in appropriate administration of the research;

- Mentoring faculty and conducting annual performance review of faculty and reviews relating to changes in faculty status;
Chairperson Duties and Responsibilities

- Initiating corrective action relative to faculty performance or conduct;

- Preparing a budget for the unit and managing the budget after its adoption;

- Scheduling meetings to conduct Department business, periodically on his/her own initiative or at the request of any two members of the Department, and otherwise consulting with Department faculty as may be necessary or desirable to the effective administration of the Department;

- Being familiar with University, College/School, and Department policies or contract requirements as necessary effectively to carry out the responsibilities of a Chairperson.
UNIVERSITY OF VERMONT AND STATE AGRICULTURAL COLLEGE

FACULTY SENATE

ACADEMIC FREEDOM

Statement on Academic Freedom

The Faculty Senate adopted the following statement on academic freedom on September 23, 1954 and was approved by the Board of Trustees on October 16, 1954 and revised and adopted by the Faculty Senate on November 20, 2008 and approved by the Board of Trustees on February 7, 2009:

Academic Freedom and Responsibility

We, the faculty of The University of Vermont and State Agricultural College, in the spirit and tradition of free universities throughout the world, are agreed upon the following statement of principles on academic freedom and responsibility. We believe that incorporation of these principles into the organization of The University of Vermont and State Agricultural College will re-emphasize the importance of academic freedom to the basic health of the University, and also serve as a statement of policy on the rights and responsibilities of faculty members at this institution. It has been our intent to state these principles in terms broad enough so that they may be valid not only in these critical times when academic freedom and personal liberty are in jeopardy both at home and abroad, but also in the future insofar as the future can be foreseen.

The Necessity of Academic Freedom in Higher Education

The main purpose of a university has always been, must always be, to stimulate the thinking and the creative powers of its students and its faculty. As an institution it deals in ideas, not only old and accepted ones but new ones that may be full of explosive power. If they are explosive, they are bound to be disconcerting, even painful, to some on the campus and to many beyond its borders.

Inevitably they will be called dangerous by the timid and short-sighted, but to those who really believe in the fruitfulness of human thought, the real danger would appear only if the flow of such ideas should cease. For then indeed sterility would have taken over our campus. Our faculty would no longer deserve the name of intellectuals and our students, regardless of degrees attained, could no longer claim to be educated. They would leave
our campus accustomed only to the commonplace, satisfied with the mediocre, ignorant or afraid of ideas which catch fire.

Academic freedom is therefore not solely a right or privilege of the faculty but is the fulfillment of the obligation on the part of the university to provide an atmosphere in which intellectual growth may take place.

**Academic Freedom and Special Responsibilities of Faculty Members**

We subscribe to the 1940 Statement of Principles on Academic Freedom of the American Association of University Professors which provides:

a. Faculty are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the university.

b. Faculty are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject.

c. Faculty are citizens, members of a learned profession, and officers of the university. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence, they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the university.

In addition, there are recognized qualifications which must be attained and maintained before the privilege of being a member of the academic profession can be considered a permanent one: satisfactory performance as a teacher, scholarship, and high moral standards.

**Responsibility of the Institution to the Faculty**

The University must defend tenaciously the right of its members to think and express their thoughts freely and to make those choices within the law guaranteed to every citizen. This includes the right of dissent since any democratic institution ceases to merit the name democratic when this fundamental right is denied. Never is this duty more imperative than in those unhappy times when the public opinion of the community would restrain or curtail the free play of ideas. The universities, whose roots extend back into the centuries, have a tradition and duty to maintain an independence of judgment in the face of public opinion.
**Academic Freedom and Tenure**

Tenure is an indispensable pre-condition for academic freedom. It is, in fact, a guarantee that the institution subscribes to the principle of academic freedom, and that its members may not be dismissed without adequate cause. Termination of tenure should occur only in cases of *bona fide* financial exigency in the University or when it has been demonstrated that the teacher lacks professional or moral fitness or competence as a teacher.

In the interpretation and the application of these principles we shall expect the University authorities to be quick to protect its heritage of academic freedom, in doubtful cases remembering that an excess of freedom is always less dangerous than an excess of constraint.”
HYPOTHETICAL

You have recently received complaints from three different students via e-mail about a faculty member for whom you have supervisory responsibility. The first student claims that the faculty member is using profanity and inappropriate language while teaching and it makes the student feel uncomfortable. The second complaint is more descriptive and claims that the faculty member is using swear words and sexually explicit jokes while teaching. This student has indicated a desire to transfer to a class with a different instructor. The third student also complains of the teacher using profanity and sexually related words while teaching. The third student says that he/she feels unsafe and believes this constitutes sexual harassment by the faculty member. The third student also indicates that if something is not done immediately to change the faculty member’s behavior in the classroom, the student will file a sexual harassment complaint with the University’s Title IX coordinator in the AAEO office.

A parent of a student in this class has left a phone message and wants to talk to you.

You also receive several e-mails in support of the faculty member. Many students have indicated how much they enjoy the class and that this faculty member is their favorite teacher at the University. The faculty member has heard of the student complaints through the grape vine and has sent you an e-mail claiming that the statements are protected by academic freedom, are demonstrably germane to the teaching of the course and directly related to the assigned course materials.

The faculty member at issue is a tenured faculty member who has been with the University for over twenty years. There are no complaints or reprimands in the faculty member’s personnel file. The faculty member is well liked by peers, has excellent performance reviews and has received strong reviews as a teacher from peers and students in the past. You are now thrilled that you had decided to accept this Chair/Dean appointment!
Compliance Program Refresher

*The What, Why, and How*

**Presented By:**

*Tessa Lucey, Director of Compliance Services*

**August 22, 2018**
Agenda

• What is a Compliance Program?
• Why do we need a Compliance Program?
• What does it mean at UVM?
• How does it work? (Case Study)
• Why did this one work?
• How could this impact me?
What is a compliance program?

Seven Elements of an EFFECTIVE Compliance Program

1. Written standards
2. High level oversight
3. Screening for unethical individuals
4. Education & training
5. Reporting, monitoring & auditing
6. Enforcement & discipline
7. Response & prevention
Why do we need a compliance program?

Sheer volume of regulations. Enforcement increase, resources decrease.

Fosters a culture of compliance.
Why do we need a compliance program?

• Helps us focus on how to achieve compliance.
  • little c compliance and Big C Compliance

• Helps us prioritize.
  • Incidents vs. Systemic
Why do we need a compliance program?

- **Examples**

<table>
<thead>
<tr>
<th>Little c</th>
<th>BIG C</th>
<th>Incident</th>
<th>Systemic</th>
</tr>
</thead>
<tbody>
<tr>
<td>FERPA – access management.</td>
<td>Don’t share login credentials (user name &amp; passwords).</td>
<td>One time, forgot to log out and computer is accessible to others.</td>
<td>Never log out, disable login requirements, or provide login credentials to a coworker.</td>
</tr>
<tr>
<td>OSHA – handling of hazardous materials.</td>
<td>Card access only enabled when hazardous material training is completed.</td>
<td>Door malfunctions allowing entry without swiping.</td>
<td>Always propping open the door with a trash can or otherwise bypassing the requirement.</td>
</tr>
<tr>
<td>Motor Vehicle Insurance</td>
<td>Drivers must have driver safety training before getting keys to a vehicle.</td>
<td>John A. Smith completed training. John B. Smith got keys.</td>
<td>Never checking training database and handing out keys to whoever whenever.</td>
</tr>
</tbody>
</table>
What does it mean at UVM?

• Works in conjunction with our values.
• We aspire to be a community that values:
  • Respect
  • Integrity
  • Innovation
  • Openness
  • Justice
  • Responsibility
How Does It Work?

The Journey of a HelpLine Report
How does it work?

The Journey of a HelpLine Report

The Journey of a HelpLine Report
Case Study

• Anonymous report made via the online reporting system.

• Allegation:
  • Possible violation to the Payment to Students Policy.
Case Study

- Report received.
- No conflicts.
- Auto-Email Notification to University Tier.

HelpLine System

University Tier
Case Study

- University Tier consults – needs more information.
- Preliminary investigation via interviews.
- Confirms payments were made.
- University Tier reconvenes – enough evidence to further investigate.
Case Study

Responding Official

- Referral to Responding Official: Audit Services.
- Audit Services begins investigation.
- Reviews policy and consults as needed with other key stakeholders in the process.
- Further investigation warranted.
- If not, case closed.
Case Study

- Audit Services interviews the Chair, the Business Manager, the Dean and other stakeholders.
- The Chair needed more information.
- Chair interviews others* and reviews documentation/reports.
- Chair communicated findings to Audit Services.

*Take care to only involve those necessary in order to perform a thorough investigation.
Case Study

Audit Services reviewed documentation provided by the Chair.

- Determination made that policy was intentionally violated.
- Not an isolated incident.
Case Study

- Audit Services provided findings to the Tier.
- University Tier reviewed the summary and determined that there was a need for a plan to mitigate future violations.
- Audit Services refers back to Chair for response to Tier’s request.
Case Study

- Chair provides summary of corrective action.
- Reports back to Audit.
Case Study

- University Tier reconvened.
- Reviewed additional management actions and determined that the allegations were resolved.
- University Tier recommends closure of report.
Case Study

- Director of Compliance Services updates System and closed report.

Director of Compliance Services

Reporter
Why This One Worked...

• It was reported and resolved quickly. It was not ignored hoping that it would go away.
  • 80% raised their concerns internally... before reporting their information of wrongdoing to the Commission.*
  • The great majority of reports are made in good faith and if addressed properly, reduces the likelihood of unintended consequences.

How This May Impact You...

- If you’re contacted about a report:
  - **MAINTAIN CONFIDENTIALITY!!**
  - “Need to know”… be sensitive to retaliation.
    - [http://www.uvm.edu/policies/general_html/whistleblower.pdf](http://www.uvm.edu/policies/general_html/whistleblower.pdf)
  - By the time it comes to you, likelihood something happened.
  - Review existing policies. [http://www.uvm.edu/policies/](http://www.uvm.edu/policies/)
  - Request and review documentation, interview those who may have knowledge or expertise.
  - Be available, open and transparent. This one worked because Internal Audit, Compliance and leadership within the college worked together.
Conclusion

• The Seven Elements work together.
• What contributes to a good outcome:
  • Reporting as soon as possible.
  • Getting help when needed.
  • Recognizing that mistakes happen and we’re all in this together.
  • Being honest, open, transparent, available.
  • Taking appropriate corrective action when needed.

For more information on how the HelpLine works, visit our FAQ: https://www.uvm.edu/compliance/help_line_faq
Questions? Concerns?

Ways to reach us:

Compliance@uvm.edu

or

656-3086 Compliance Office (Main Number)

656-0847 Tessa Lucey Direct
Advice from a Former Your Neighbor Chair

✓
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### Vibrant Units (0 to 5)

| **Respectful dealings among colleagues, department** |
| **Openness, transparency, shared governance** |
| **Culture of excellence and quality; strong candidates** |
| **Support and mentoring for faculty and students alike** |
| **Open discussion of ideas and research; high productivity** |
| **Distributed service responsibilities, aligned with faculty strengths** |
| **High level of communication—willingness to listen, compromise; problems addressed, not submerged** |
| **Curricular innovations, adaptations to meet changing student, campus, needs** |
| **Leadership has high expectations, uses policies, makes decisions, builds community** |
| **Collective vision of goals and priorities.** |

### Warning Signs (0 to 3)

| **Complaints disproportionate to other units, campus** |
| **Email and/or social media wars, harassment, silos, conflict aversion** |
| **Weak or ineffective hiring, requests for transfers, departures** |
| **Weak P&T practices; many terminal associate professors** |
| **Declining scholarly indicators (productivity, PhDs, PhD placement, time to degree...)** |
| **Financial disarray** |
| **Ad hoc practices; forum-shopping; seeking desired answers from different officers; hiding problems** |
| **Enrollment declines, lack of curricular innovation** |
| **Bimodal evaluations; generational discord; externalizing problems** |
| **Limited sense of priorities** |

### Challenged Units (0 to 5)

| **Serious misconduct: discrimination; sexual; financial; criminal, etc. (arrests, lawsuits...)** |
| **Culture that suppresses or hides problems; punishes reporting; faculty schisms, battles, flareups** |
| **Repeated inability to hire, retain quality faculty, staff** |
| **Toxic atmosphere, especially for junior faculty, students** |
| **Scholarly standing below university’s; uneven in unit** |
| **Departmental business at a standstill; in gridlock** |
| **Lack of transparency, hidden agendas; faculty involve students in disputes** |
| **Curricular stagnation, lack of student interest in offerings; outdated curriculum** |
| **Weak or autocratic leadership; different messages to different audiences; meddling by previous leader of unit** |
| **Many individual priorities without shared purpose** |

**TOTAL ____**

**TOTAL ____ (subtract)**

**TOTAL ____ (subtract)**