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**UNIVERSITY OF RHODE ISLAND
COLLEGE OF PHARMACY**

FACULTY HANDBOOK

2009

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SECTION I: INTRODUCTION

The name of this document shall be the University of Rhode Island College of Pharmacy Faculty Handbook, referred to hereafter as the COP Faculty Handbook. The Handbook shall recognize and adhere to the bylaws, procedures, and standards set forth by the University Manual and URI-AAUP Agreement (2007-2010) and is intended to be an informative resource for faculty and to supplement other existing documents, including URI Student Handbook, Graduate Student Manual, College of Pharmacy Self Study Report – 2009, and College of Pharmacy Professional Student Handbook.

Governance of the College of Pharmacy is shared by the faculty, staff, administrators, and students to the extent allowed by the College and University. *The College of Pharmacy Bylaws*, included in Section III of this Faculty Handbook, describes College structure and governance. Sections IV and V describes several policies and sources that are available in the College and University to assist faculty in the areas of teaching, scholarship, and research.

SECTION II: STATEMENTS

II.1. The College of Pharmacy (COP)

Vision Statement:

We will lead through innovative pharmacy education, research and practice advances, effective global health care, merging true entrepreneurial spirit with care and compassion.

Mission Statement:

The College of Pharmacy fosters a learning-centered, research-oriented educational environment that encourages individuals to make positive life-long contributions to global health. We prepare professional degree students to provide compassionate pharmacist-delivered patient care, and inspire our students through innovative problem-based learning, rich experiential curricula and inter-professional collaboration. We foster a community of scholars who will further the body of knowledge in pharmaceutical, biomedical, and clinical sciences. We strive to improve quality of life: locally, nationally and globally.

We value:

- Service to the local, national and global communities
- Integrity and ethical behavior
- Innovation and collaboration in research
- Professional practice and education
- Personal growth through life-long learning
- Diversity and respect for all individuals
- Cultural competence

II.2. Department of Biomedical and Pharmaceutical Sciences (BPS)

Mission

The mission of the Department of Biomedical and Pharmaceutical Sciences is to educate Doctor of Pharmacy and Bachelor of Science degree students in the pharmaceutical sciences, to train Masters and Doctoral degree students in pharmaceutical and biomedical research, and to provide service in these disciplines at the state, national and international levels.

Goals

Academics

- Educate professional degree students in Biomedical and Pharmaceutical Sciences (PharmD, BS Pharmaceutical Science, BS Nursing, BS Pharmaceutical Engineering)
- Educate and train professional and graduate students, and postdoctoral fellows to lead in the advancement of scientific discovery in the biomedical and pharmaceutical sciences toward a greater understanding of human health
- Innovate in the development and delivery of pharmaceutical education
- Provide experiential learning sites that broaden professional degree students' knowledge base
- Pursue and develop novel resources for the recruitment and support of a diverse student and faculty body

Research

- Recruit and retain dedicated, expert, and productive faculty to educate, train, and inspire all students, and to generate new knowledge for the advancement of human health
- Mentor junior faculty in the pursuit of excellence in research
- Establish and maintain state-of-the-art research facilities to improve the competitiveness of faculty research programs
- Develop a nationally competitive extramurally funded research program
- Encourage collaborative research between faculty in the biomedical, pharmaceutical and clinical sciences

Service

- Foster a strong sense of community, caring and respect between all students, faculty and staff in the Department
- Encourage all faculty and students to play an active role in local and national pharmaceutical and biomedical organizations
- Provide service to the broader scientific community at the national and international levels

II.3. Department of Pharmacy Practice (PHP)

Mission

The Department of Pharmacy Practice is committed to excellence in teaching, scholarship, and service. Through innovative teaching methods, the Department provides the skills necessary to foster critical thinking and the optimal use of medications, while promoting professionalism. The graduate program trains students to conduct and advance health systems research. The faculty

and graduate students initiate and collaborate in research focusing on the improvement of patient care and public health while incorporating current research findings into daily practice. The Department provides leadership and service to the University, the community, and healthcare professionals through the provision of patient care, educational activities, and participation in professional and governmental organizations.

Goals

Education

The Department of Pharmacy Practice is responsible for the education of pharmacy students in the acquisition, integration and application of new pharmacotherapeutic knowledge and the care of all patients. The educational mission is accomplished through teaching pharmacotherapeutics and traditional practice skills to pharmacy students in the classroom, as well as through the provision of early and advanced practice experiences, also known as the "capstone" experiences, at both established and innovative practice sites. The Department is committed to the use of innovative technology to advance the educational mission and to the development of elective tracks that provide graduates with state-of-the-art knowledge and experiences. The development of skills emphasizing professionalism and personal responsibility, life-long learning, communication, critical thinking and decision making are the primary focus of the educational programs of the department. The mentoring of pharmacy students to reach their full potential as competent and caring pharmacists, educated and ethical citizens, and future leaders respected both in their profession and community is the core tenet of the department.

The Department of Pharmacy Practice supports pharmacy residencies and fellowships to provide pharmacists with opportunities to advance their competency as practitioners, educators and scholars to the benefit of the citizens of Rhode Island and beyond.

Scholarship

The Department of Pharmacy Practice is responsible to the profession and society for generating, disseminating and applying research that advances patient care, the profession of pharmacy and the education of pharmacy students. The research mission is accomplished through scholarship that generates new knowledge in pharmacotherapy and health promotion, develops new practice models and includes the scholarship of teaching. The Department is committed to creating an environment that supports and respects diverse programs of scholarship and encourages the highest quality of research by all faculty, fellows, residents and students.

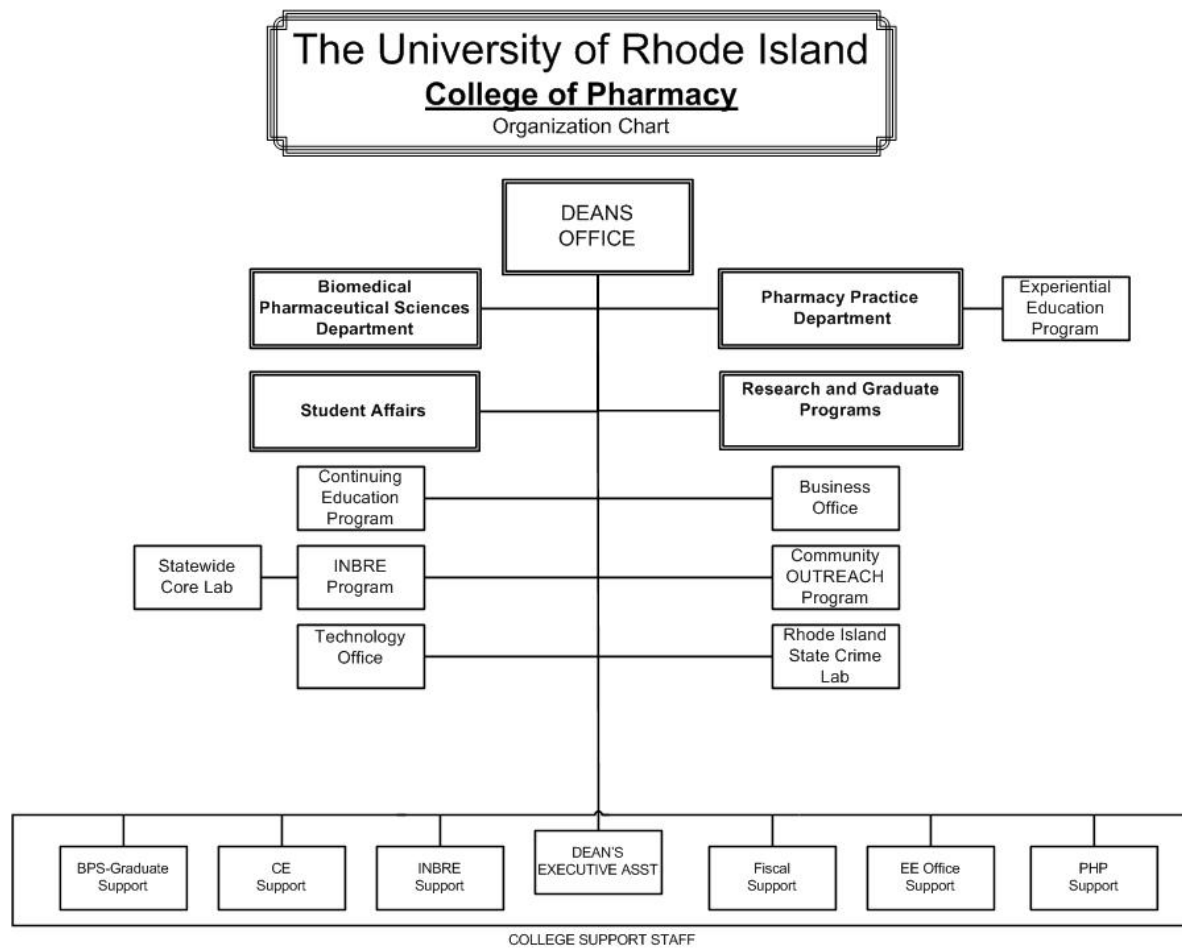
Service

The Department of Pharmacy Practice is responsible for providing leadership in the promotion of rational and effective pharmacotherapy that advances the quality of healthcare in Rhode Island, as well as regionally, nationally and globally. The Department also serves the College and University through leadership and participation in activities of the entire academic community. The service mission is accomplished through activities ranging from direct patient care, education of other health professionals, and development of innovative practice models to leadership on boards of trustees of health systems, and University and legislative committees, as well as through other professional, healthcare and governmental organizations.

SECTION III: GOVERNANCE AND BY-LAWS

The purpose of the *College of Pharmacy By-Laws* is to assist in the orderly conduct and governance of the academic (professional, undergraduate and graduate) and business affairs of the College of Pharmacy, University of Rhode Island; to facilitate the performance of faculty duties and obligations; and to protect the rights and privileges of the faculty in accordance with the policies, rules, and regulations of the University. It is the intent of these bylaws to assure the accomplishment of the common goals and objectives set by the mission and vision statements, as described in Section II. Any matters not specifically addressed by the College or the Faculty in these bylaws shall be governed by the policies of the University and the American Association of University Professors (AAUP).

III.1. Organizational Structure of the College of Pharmacy



III.2. Name

The name of the body constituted in this document will be the College of Pharmacy of the University of Rhode Island, hereinafter referred to as “the College.”

The College of Pharmacy Faculty Assembly (hereafter referred to as “the COP Faculty”), which consists of all members with continuing faculty appointment, provides a system of governance by

which the faculty and administration can fulfill their responsibilities related to the mission, curriculum, and students within existing University policies.

The College administers baccalaureate (B.S.) and Doctor of Pharmacy (Pharm.D.) degrees. The College also offers graduate degrees (M.S. and Ph.D.) in Pharmaceutical Sciences with specializations in Medicinal Chemistry/Pharmacognosy, Pharmacology/Toxicology, Pharmaceutics/Pharmacokinetics, and Pharmacoepidemiology/Pharmacoeconomics.

The administrative unit of the College consists of a Dean (the Dean of the College of Pharmacy, hereinafter referred to as “the Dean”), two Associate Deans, two Department chairs, Directors, Coordinators, professional staff and support personnel (Section II.1.). Each administrator, director, coordinator, professional staff and general support staff member has responsibilities that facilitate the operation of the College as it works to achieve its mission. The responsibilities of administrators are as follows:

- a. The Dean is the chief administrative and academic officer, according to the University Manual section 3.20., and has direct access to the university president and other university officials delegated with final responsibility for the College. The Dean provides leadership in baccalaureate, professional and graduate education, clinical practice, research and other scholarly activities, and service toward the achievement of the mission and goals of the College. The Dean’s administrative activities are supported by an Executive Assistant. If a vacancy occurs, selection of a new Dean shall proceed according to the AAUP-URI Faculty Contract Article IX.
- b. The Associate Dean for Academic and Student Affairs supports the efforts of the Dean and represents the College when the Dean is unavailable. A major responsibility of this individual is the management of the activities in the Office of Student Affairs involving recruitment and support of students as they progress through the professional curriculum. The Office of Student Affairs is responsible for evaluating the progression of students, and identifying those in academic jeopardy. The Associate Dean coordinates the activities of the Admission, Scholastic Standing, and Professionalism committees, the assignment and training of faculty advisors, and the preparation of documents for licensure and certification. The Associate Dean is also responsible for assisting the faculty as they revise and refine the professional degree curriculum to meet accreditation standards. The Associate Dean, on behalf of the Dean, may preside over faculty meetings.
- c. The Associate Dean for Research and Graduate Programs is responsible for promoting a vision for the research enterprise of the College and for supporting the efforts of the faculty in building their research programs as well as the admission and progression of graduate students in the MS and PhD programs and assigning teaching assistantships.
- d. Departmental Chairs shall have administrative responsibilities for the BPS and PHP departments of the College (the University manual 3.21.10., 7.30.10, and AAUP-URI Faculty Contract Article X) and are the essential link between the administration and department members in various roles, including faculty support and development, financial management, oversight of the promotion and tenure process, and managing day-

to-day administrative needs. The Chairs shall be appointed and reappointed for three-year term by the President with the advice of the Dean, who shall consider the collective preferences of the members of the department.

- e. Director of Experiential Education coordinates the development, implementation and evaluation of experiential learning activities for the professional degree students. These activities include site development, preceptor evaluation and training, student placements, and conflict resolution.
- f. The Director of Academic Planning and Assessment coordinates the efforts of the College in refining its strategic plan to meet the academic mission of the College. The director is responsible for drafting reports for accreditation, coordinating assessment activities in the College, and assisting the Dean in the preparation of reports for higher administration as they relate to these subjects. The Director also provides assistance in the overall strategic planning of the College.
- g. The Director of Student Affairs assists the Associate Dean and Academic Advisor in the activities associated with the Office of Student Affairs. The Director of Student Affairs serves as an academic advisor at University College, advising pre-professional students as well as students from the University seeking transfer into the College of Pharmacy. The Director also represents the College on the university's external transfer committee. Additionally the Director of Student Affairs serves as the liaison to the College Administration on the Student Leadership Council. Other activities include recruitment.
- h. The Coordinator of Continuing Professional Education provides programs for practitioners in pharmacy, nursing, and medicine in the region, as well as for our own preceptors. In addition, this office presents training programs nationally and internationally for the pharmaceutical industry with regard to federal regulations.
- i. Professional staff have relevant training, education and experience enabling them to provide specialty services to various internal and external teaching and professional activities of the College. The Professional staff includes, but is not limited to, Directors, Specialists and Coordinators, Academic Advisors, Technologists and Business Managers and other professionals who hold continuing administrative, non-general support staff positions.

III.3. The COP Faculty

The COP Faculty provides the College faculty and administration the framework for decision-making, communication, creative and cohesive planning, collegiality and responsive curricular development. The responsibilities of the COP Faculty are to:

- a) Provide stewardship for the College in fulfilling its mission.
- b) Receive and approve reports from standing and ad hoc committees.
- c) Establish and evaluate all curricular matters.
- d) Approve new and revised courses.

- e) Relate with other units of the University as necessary and required on matters of mutual concern and collaboration.
- f) Recommend qualified students for degrees.
- g) Promote the scholarly research and service efforts of the faculty, staff, and students.
- h) Facilitate the professional development of faculty, staff, and students, where appropriate.
- i) Be supportive of information sharing that helps to accomplish the missions and goals of the College.
- j) Carry out teaching and mentoring responsibilities as required by the University Manual.
- k) Provide faculty perspective regarding the allocation of College funds.
- l) Adopt regulations governing its own procedures.

III.4. Membership

Voting members shall include all faculty and professional staff with continuing appointments in the College. The term "faculty" is defined by the University Manual, section 7.10.10. The term "Continuing appointments" refer to those individuals who are full-time employees with an ongoing position, as defined by the AAUP-URI Agreement. The term "professional staff" is defined in Section III.1. of this Handbook. Voting on issues that require University approval (University Manual, 4.50.13) is restricted to faculty. Attendance of the voting members at meetings is required unless excused.

Members of the College who are not included in the preceding paragraph are deemed non-voting members. Non-voting members may attend meetings and are encouraged to engage in discussion on matters that do not require University approval (4.50.13).

A list of voting members will be compiled by the Dean before the beginning of fall semester annually and submitted to the COP Faculty for review.

III.5. Meetings and Procedures

- 1) The Dean shall be the presiding officer of the COP Faculty, and in the absence of the Dean, the Associate Dean for Academic Affairs shall preside.
- 2) The Executive Assistant to the Dean shall keep accurate records of all meetings of the COP Faculty and shall provide a copy of completed Minutes to all the faculty and staff in the College.
- 3) The COP Faculty shall meet monthly during spring and fall semesters on a date and at a time and place designated in advance by the Dean. Faculty will be informed of the semester's scheduled faculty meeting at least two weeks in advance of the start of the semester. Special meetings may be called by the Dean or by written request by a majority of the COP Faculty.
- 4) At the discretion of the College administration, faculty retreats will be scheduled especially for the purpose of ongoing strategic planning for the College. The theme of such retreat may include, but is not limited to; Teaching; Research; Service; Assessment; etc. These meetings will generally occur when classes are not in session. Sufficient notice will be given at the beginning of the semester such that faculty will be available.

- 5) The Dean's office shall provide notice to the COP Faculty at least seven days in advance of any meeting. This notice shall contain the meeting agenda set forth by the Dean and other relevant information as may be desirable for advance perusal by the COP Faculty. Any Faculty member may recommend items for addition to the agenda.
- 6) One -half the voting membership of the COP Faculty shall constitute a quorum.
- 7) The business at each regular meeting shall be:
 - a) Call to Order
 - b) Approval of Minutes of Last Meeting
 - c) Reports of Committees
 - d) Old Business
 - e) New Business
 - f) Announcements
 - g) Open Forum
 - h) Adjournment
- 8) Voting shall be by voice or by ballot, as decided by the presiding officer. Passage of motions requires the majority vote of a constituted quorum of the COP Faculty.
- 9) Procedures shall conform to the latest edition of *Robert's Rules of Order*.
- 10) Motions for change or repeal of any bylaws shall be presented in writing to all members at least seven days in advance of a regular meeting of the COP Faculty. The proposed amendment shall require a quorum of at least two-thirds of the voting members.

III.6. Standing and *ad hoc* Committees

Standing committees of the College shall be established by the Dean on advice of the Faculty. Additionally, *ad hoc* committees may be established by the Dean on the recommendation of the COP Faculty during the academic year for purposes specified in the motions creating them.

The committees will be comprised of faculty members, directors/coordinators, students, preceptors, and/or alumni as deemed appropriate, and are appointed for three year terms by the Dean on a staggered basis to ensure continuity. The committees shall initiate recommendations and receive matters referred to them by the COP Faculty or the Dean for study and recommendation. The Committees shall report to the COP Faculty when necessary or when directed to do so by the Dean.

- 1) The Scholastic Standing Committee serves in an advisory capacity to the COP Faculty regarding academic policies and procedures of the College. It functions according to University Manual standards (8.24.10). The committee is responsible for reviewing student academic performance each term to act on retention deficiencies at both the College and University level, for considering requests for readmission to the College following academic dismissal, and for considering cases regarding grade appeals. This

committee has the final decision at the college level for grade resolutions. Membership includes representatives from the Faculty and the Associate Dean for Academic and Student Affairs.

- 2) The Admissions Committee evaluates students currently at the University, recent graduates from URI, and external candidates, for admission into the first professional year to fill the total numbers of allocated seats. Membership includes representatives from the Faculty, alumni, and the Director of Student Affairs and Associate Dean for Academic and Student Affairs.
- 3) The Executive Committee advises the Dean on all matters affecting the College including budget, faculty, program and resource allocations, and other administrative matters as they may arise. The Committee consists of the Dean, who shall serve as Chair, Associate Deans, and Department Chairs. The Committee meets monthly or as called for by the Dean.
- 4) The Curriculum Committee is advisory to the Faculty Council and is responsible for the curricular matters for the professional and graduate programs. The functions of the Committee shall be to initiate and act upon curriculum matters and develop specific recommendations for approval to the COP Faculty Council concerning curriculum, course content revisions, course designations, new courses, course prerequisites, requirements for pre-professional curricula, and changes and requirements for degrees. This Committee shall also be concerned with matters relating to the evaluation and improvement of teaching. Membership is comprised of representatives from the Faculty and students.
- 5) The Experiential Education Committee is responsible for the coordination and administration of policies and procedures for the experiential programs of the College. The Committee develops programs to foster solid relationships with external preceptors and criteria for new experiential sites, and also evaluates the quality of existing sites to meet new guidelines for experiential education. Membership includes representatives from the Faculty and students as well as preceptors. This committee is chaired by the Director of Experiential Education.
- 6) The Academic Assessment Committee evaluates in an ongoing manner the curriculum in meeting the established educational learning outcomes. The committee uses a variety of assessment instruments to measure progress in this area. This Committee is chaired by the Director of Academic Planning and Assessment. Membership is comprised of representatives from the Faculty, including the Chair of the Curriculum Committee.
- 7) The Policy Council works with the Dean to address broader aspects of issues affecting the College and participates in strategic planning and other College initiatives. Members include the Dean, the Associate Deans, Department Chairs, Directors, Business Manager, and the Information Technology Director. The Committee meets on alternate schedule to the Executive Committee.

- 8) The Facility Committee is involved in the day-to day problems which arise in the current building regarding space allocations, health and safety issues, office space, physical accommodation of new faculty members, building maintenance and renovations. Membership is comprised of representatives from the Faculty and staff.
- 9) The Professionalism Committee develops the benchmarks for the professional development of the students and is responsible for monitoring the progression of students in their professional development program. The committee will develop standards for professionalism throughout the college. The committee will provide remedial and disciplinary guidelines for individual students not meeting professional standards. Membership includes representatives from the Faculty, professional staff, and a student(s).
- 11) The Research Committee provides guidance and advice on issues related to the effective operation of our research enterprise in the College. The committee is a liaison to other researchers in the College and University. The Committee develops and monitors the College's research strategic plan, assists in the creation of research policies and procedures, assists the Dean in the development of related initiatives that benefit our research efforts, provides input on research priorities, assists the department chairs in new faculty mentoring activities, promotes and advertise student research opportunities, serves as communication conduits to faculty in their research disciplines, develops measures of research program success, and participates in College research seminars. The Committee is chaired by the Associate Dean for Research and Graduate Programs and is comprised of representatives from the COP Faculty.
- 12) The Graduate Program Committee develops and monitors the College's strategic plan as it pertains to graduate education, assists in the creation of graduate program policies and procedures, assists the Dean in development related initiatives that benefit our graduate students, provides leadership in evaluating graduate program admission requirements and program completion requirements, and assists in graduate student recruitment and new student orientation. The Committee is chaired by the Associate Dean for Research and Graduate Programs and is comprised of a representative of each track of the graduate program and graduate students.
- 13) The Full Professors Committee consists of the full, tenure track professors in the College and is an advisory Committee to the Dean for faculty tenure and promotion issues. The Committee meets at least once a year, usually in January. The committee is responsible for reviewing the credentials of faculty requesting tenure and/or promotion consideration. The committee provides recommendations on these matters to the Dean. The Committee is chaired by the Associate Dean and Research and Graduate Programs.
- 14) The Building Committee consists of COP Faculty and staff, University administrators and planners, and architect and construction consultants, and is vested with the responsibility for providing programmatic and end-user guidance during the design and construction of the new pharmacy building. [*This is ad hoc Committee. Terminates after commissioning of new building*]

SECTION IV. FACULTY POLICIES AND GUIDELINES

IV.1.a. Workload

Faculty members contribute to the College's mission in a variety of ways, and specific work role requirements will be determined in consultation with the department chairperson and with guidance from faculty mentors. General expectations and rights are defined in the faculty contract and in University by-laws maintained by the faculty senate. New faculty members are strongly encouraged to review these resources.

Typical workload expectations include a minimum of 18-credit hours per academic year, which may vary according to college needs. This is generally achieved through teaching in didactic courses and/or experiential education, and graduate student mentoring. Recognized release time activities including administrative roles (e.g. department chair), funded-release time from extramural research funding, and potentially including other activities as determined in consultation with the department chair. Faculty are expected to succeed in the area of scholarship and to contribute in service activities, irrespective of teaching workload.

IV.1.b. Meetings and College Service

Faculty are required to attend all faculty and department meetings, and are encouraged to participate on committees at the Department, College and University levels in fulfillment of service expectations established upon hire. The College also expects faculty to be active in participating in professional organizations both within the state and nationally.

IV.1.c. Vacation and Sick Time

According to the AAUP contract, calendar year faculty are permitted 22 vacation days per year. Academic year faculty are not permitted to take vacation time during the academic year. All faculty are permitted 15 days per year of sick leave.

IV.1.d. Course Syllabi

Requirements for course syllabi are described in the University Manual, which includes requirements for student attendance and excused absences; examinations during the semester and final examinations; responsibilities regarding plagiarism; and grading criteria.

Faculty are expected to be available to students for advising and supporting students' success in didactic, laboratory and experiential coursework. Course syllabi should specify the faculty member's preferred mode of communication, availability for meetings, and if the faculty member chooses to hold office hours, their time and location.

Minimum requirements for course syllabi include:

- 1) Course code
- 2) Course title
- 3) Semester/academic year
- 4) Prerequisites, place in curriculum
- 5) Faculty names, office (number and location), email address, phone number
- 6) Class/rotation hours, location
- 7) Course overview
- 8) Objectives

- 9) Class outline and assignments
- 10) Texts/readings
- 11) Evaluation and grading mechanisms
- 12) University Manual statement on academic integrity and disabilities

Any changes during the semester regarding these criteria require written notification to students. Copies of each course syllabus must be filed in the department's master file in the administrative area during the first week of classes.

IV.2. Annual Performance Review

The annual review process is defined as the process by which all faculties' work and progress is formally reviewed. The overall process is outlined by the AAUP contract Article XV. Assistant Professors are reviewed annually. Associate Professors are reviewed every two years. Full Professors are reviewed every four years.

The review process begins with setting the parameters of the review at the department faculty meeting early in September. Much of the process is guided by the union contract but College and Departmental processes may vary slightly. Typically the faculty member under review will prepare an accounting of his/her performance in the areas of teaching, research and service during the period since hire or last review. Such documentations must be completed and available for review by the second Monday in October. The content and layout of materials should be consistent with the format used for the promotion process.

The documents for review should consist of three sections. The first section should include a narrative and a complete listing of teaching responsibilities during the review period including the number of hours taught per course listing and the number of students in each section. It should also include a measure of teaching effectiveness such as evaluation of teaching from students and a faculty mentor. The second component of the review documents include scholarly activity which is represented by research and scholarship. Research is typically defined as research activities. However, in some cases, other forms of scholarship should be included. This section includes a narrative of scholarly activities over the review period, a listing of all articles published during the review period, published abstracts and completed presentations, as well as all grant proposals submitted, and those awarded. The final section includes description of service activities. These include service to the university and college such as committee work and activities that further the mission of the college. It also includes service contributions at the national and international levels, such as involvement in professional organizations, participation in grant reviewing (study sections), editorial activities of journals, and related activities. Service activities associated with clinical practice sites are also to be described here. Finally, service and outreach activities that are performed for the community, as a representative of the University, should be included.

Appendix material for the annual review should include best examples of the quality of work performed. While it may be pertinent for the promotion process to include various appended materials, judgment should be used to limit document volume in order to facilitate the review process.

Every effort should be made to record all important research and teaching activities for the purpose of having completeness at the time of promotion review. Mid to late October is the deadline for submission of all annual review materials.

After submission, the documents are left in the departmental office for review by departmental faculty. In a typical annual review, faculty members submit a review form that has been developed by the department, or faculty members may submit a letter of review to the departmental chair. Full Professors are strongly encouraged to provide such letters to the department chairperson. While peer review is a contractual requirement faculty may formally abstain from the review process with written notice to the department chairperson. Departmental reviews are to be completed before the second Monday in November. The department chair then evaluates the annual review documents, faculty review forms and/or review letters, and composes a letter summarizing his faculty members' progress as well as the opinions of other faculty members. The department chairperson's letter shall also include her/his personal recommendation regarding promotion and/or tenure. As stipulated in the faculty contract, the review is an open process, and all letters and review forms are made available to the faculty member being reviewed. However, copying of individual faculty member's letters of review or review forms has been discouraged. The candidate being reviewed must receive the department chairperson's letter no later than five business days prior to December 1st. The faculty member under review may prepare a written statement to attach to the department chairperson's letter. All materials are sent to the Dean of the College for review by December 1st. The Dean then reviews all materials and writes his/her letter of review.

IV.3. Guidelines for Promotion and Tenure

The overall process for promotion and tenure is described in the URI-AAUP Contract Article XVI-XVII and XVIII-XX, respectively, as well as in the University Manual. Criteria of promotion and tenure shall be based upon a faculty member's accomplishments in teaching, research and service, in light of the mission of the department, college, and university, and the assignments of the individual faculty member. The Annual Review process described in Section IV.2 provides the basis for the basis of promotion and tenure. The following guidelines have been formulated and passed by the BPS and PHP departments in order to help faculty to determine the minimum standards and to judge their own eligibility for promotion and tenure.

IV.3.a. Guidelines for Promotion from Assistant to Associate Professor in the Department of Biomedical and Pharmaceutical Sciences (BPS) (February 13, 2009)

The following are proposed minimal standards to be used as guidelines for peer review of applications for promotion to Associate Professor with tenure in the Department of Biomedical and Pharmaceutical Sciences (BPS) at the University of Rhode Island. It is proposed that, to be approved, the applicant must meet or exceed all of the minimum standards described below in the three major categories of professional expectations: research, teaching, and service. As stipulated in section 7.22.10 of the University Manual, emphasis will be placed on performance in the research and teaching categories.

The main purpose for creating specific standards of eligibility is to benefit the candidate by providing, at hire, a clear roadmap toward ultimate tenure and promotion. It is anticipated that the new standards will also benefit the peer reviewers as well as the department chair, providing a clear set of criteria upon which to base their evaluations. Every effort was made to design the criteria such that they are reasonable, fair, as quantitative as possible, and representative of minimal academic standards for promotion of biomedical and pharmaceutical scientists at peer institutions nationwide. The BPS faculty acknowledges that expertise, areas of interest, and overall accomplishments will vary between individual applicants for promotion, and that the entire package should be considered during peer review. However, they also recognize that *clear, uniform minimum standards of performance in research, teaching, and service should apply to all candidates without exception*. All of the following minimum standards would be operational as described, regardless of the number of credited years of service in the tenure track at the University of Rhode Island and other applicable institutions as specified in the letter of hire. Candidates will be eligible to apply for tenure or tenure and promotion to associate professor after accumulating 5 years of full-time service (see section 19.2 of the University Contract). It is recommended that a standing "Promotion and Tenure Committee" be formed in the department of Biomedical and Pharmaceutical Sciences. The committee will include 3-4 tenured departmental faculty at the rank of Associate or Full Professor to be appointed by the department chair. The committee will be charged with the following:

- 1) In each year of their annual report, beginning with their second year, all tenure-track Assistant Professors will meet with the committee in order to monitor their progress and to provide constructive suggestions for ultimately meeting the criteria for promotion. After each meeting, the committee will submit a summary report of their findings to the chair (section 7.21.13 of the University Manual).
- 2) At the time of their application for tenure or tenure and promotion, and prior to peer review, the committee will evaluate the dossier for completion, compliance, and accuracy, and ensure that all minimum standards have been met.
- 3) In the application year and in consultation with the candidate, the committee will recommend to the chair one or more outside reviewers who are recognized experts in the applicant's field of research.
- 4) After peer review but prior to the department chair's decision, the committee will provide a written recommendation to the chair based on the committee's overall assessment of the candidate's performance and considering the results of the departmental peer review.

The recommendation of this committee will be a component, not a replacement, of the review process by all department members. Specific guidelines in the three major categories of professional expectations are:

Research and scholarly activity

A. Minimum Standard 1: Publications

The following standards apply to publications produced by the candidate during his or her years of eligibility, normally the time served at URI in the rank of Assistant Professor. To be included for consideration, the sum total of all publications listed by the candidate in his or her application for peer review must satisfy all of the following criteria:

1. Each eligible publication must be a *peer-reviewed research paper*.
2. On all publications listed by the candidate to meet the minimum standard as described in 4) below, the applicant must be the corresponding author in journals that allow only one corresponding author, or one of the corresponding authors in journals that allow two or more. All publications exceeding this minimum on which the candidate is not corresponding author will of course be evidence of productive collaborations, and thus will be considered favorably during peer review.
3. Each publication must have been *published - or accepted for publication and in press - since the date of hire. URI must be designated as the applicant's institution of record on all eligible publications*. Work published or carried out prior to arrival at URI can be considered under special circumstances, but only if the conditions are specified and explained clearly in the letter of hire.
4. To meet the minimum publication standard during the period of eligibility, the candidate must be the corresponding author on all publications in one of two categories: 1) 5 or more total research publications; or 2) a total number of publications sufficient to yield a collective score of **16** or higher. The score in the latter category will be calculated as the sum of the products of the number of publications in each journal multiplied by that journal's impact factor as reported by the latest Journal Citation Report, as illustrated by the table below:

Journal Impact factor X Number of Publications ≥ 16

Any publication in any journal listed by the Journal Citation Report or analogous services can be included. For purposes of illustration, a partial list of journals that might be used by departmental faculty, with their impact factors (2006), is presented below.

| <u>Journal</u> | <u>Impact Factor</u> |
|--|----------------------|
| AAPS PharmSci | 2.3 |
| Am J Physiol (Heart, Endo/Metab, Cell) | 4.0 (3.7 – 4.3) |
| Cell | 24.0 |
| Clin Pcol Ther | 8.1 |
| EMBO J | 10.0 |
| JACS | 7.7 |
| JBC | 5.8 |
| J Cell Biol | 10.1 |
| JPET | 3.9 |
| Nature | 26.7 |
| J Pharmaceutical Sciences | 2.2 |

Examples: 2 publications in Pharm. Sci. and 2 in JPET; 4 in AJP; 1 in J Cell Biol and 1 in PNAS; 1 in Nature, Cell, or Science; etc.

Publications *not considered to be eligible* for purposes of this instrument include, but are not restricted to:

1. Work done exclusively while a postdoctoral fellow or equivalent prior to the date of hire.
2. Manuscripts submitted but in review and not yet accepted. Upon acceptance, they can be added during peer review.
3. Abstracts, posters from meetings, or extended abstracts as part of meeting proceedings, regardless of whether they are considered by the candidate to have been reviewed.
4. Any non-peer-reviewed research report (e.g. publications of contract research as part of symposia).
5. Letters to the editor or replies to editorial comments.
6. Review articles, with the following exceptions:
 - a. One review article can be applied to meet the minimum. It must be an invited review on which the candidate is the sole, primary, or corresponding author, and the article must be peer reviewed. The review article can contribute no more than 3.0 of the 16.0 minimum aggregate score, regardless of the impact factor of the journal in which it is published

Items 7 – 11, additional review articles in item 12, and any related material may be considered as supplementary information during the peer-review process, but cannot be used to satisfy minimum standards for publication for the purposes of this document.

B. Minimum Standard 2: Research funding

All candidates are expected to demonstrate achievement of independence in research and scholarly activity during the interval between the date of hire and the year of their application for promotion and tenure. For purposes of this instrument, an important requirement of independence is the application for, and successful acquisition of, extramural funding to support the research component of their professional responsibilities while at URI. Thus, in most cases, startup dates should be subsequent to the date of hire. Exceptions can be negotiated prior to or at the time of hire. “Extramural” in this context is defined as referring to competitive sources of funding outside of the institution. To be included for consideration, all reported research activity must be documented demonstrations of the acquisition of competitive extramural funding for **an uninterrupted period of at least 2 years** and fall into one or more of the following criteria:

- 1) Principal investigator or principal investigator status* on individual grants or contracts obtained from federal funding sources such as NIH or NSF.
- 2) Principal investigator or major contributor* to program project grants or related competitive research-based grants in which the applicant is a core participant.
- 3) Principal investigator or principal investigator status* on grants from national or regional sources such as local affiliates of the American Heart Association, the American Cancer Society, or related agencies.

- 4) Principal investigator or primary recipient of contracts or related arrangements obtained from private foundations or companies.
* “Principal investigator status”, “major contributor”, and related designations are intended to apply only to investigators who are involved in collaborative grant proposals and who contribute *substantially* toward writing the proposal, managing the budget, and contributing to the scientific goals of the project. The nomenclature (e.g. one of two or more “principal investigators”, “co-principal investigator”, “co-investigator”, etc.) may vary from one funding agency to another and thus the specific title is of secondary importance. The *prime consideration* is the *magnitude of the contribution* to the project. Whether the contribution is to be considered “substantial” in this context will be determined by the standing Promotion and Tenure Review Committee in consultation with the candidate. If, on any grant, the contribution of the candidate is not deemed to be “substantial”, then the grant in question cannot be included among those that meet the minimal criteria for promotion and tenure for the purposes of this document. Sources of funding not considered to be eligible for purposes of this instrument include, but are not restricted to:
 - 5) Any support obtained from, or provided by, the institution itself, including startup funding, faculty development grants, small grants from the Research Office, Council for Research, or the Graduate School;
 - 6) Funds obtained from participation in noncompetitive faculty development or infrastructure development grants such as INBRE, EPSCoR, or ADVANCE;
 - 7) Startup funds obtained from program project grants and related sources; or
 - 8) Teaching assistantships or research support staff provided by the candidate’s department, college, or institution.
 - 9) Any extramural funding obtained at other institutions and transferred subsequent to the initial appointment at URI.

Items 5 – 9 and related material may be considered during the peer-review process, but cannot be used to satisfy minimum requirements for funding for the purposes of this document. Special considerations, in the form of deadline extensions, may be considered by the Promotion and Tenure Review Committee. An example of a valid reason for a request for an extension would be a pending grant application under review at the time of application that, in the judgment of the Tenure and Promotion Review Committee, has a reasonable chance of success.

- 1) Teaching and Education

- A. *Minimum quantitative requirements*

An important assumption underlying these standards of evaluation is that *documented experience and expertise in teaching and education is necessary to qualify for consideration for tenure and promotion to the rank of Associate Professor in the Department of Biomedical and Pharmaceutical Sciences*. It is recognized that teaching is an important professional obligation for all candidates. Each applicant will be expected to demonstrate that he or she has fulfilled all teaching responsibilities as determined and assigned by his or her department chair. It is also recognized that newly hired faculty in the rank of assistant professor are generally exempted from full teaching responsibilities during their first professional year, in order to encourage the establishment of a research program. Accordingly, the standards described here will begin with

the second year in rank, and be applicable to all *tenure track* faculty over a minimum of three years at URI prior to the submission of the application, *regardless of professional status or years on the tenure track*, unless otherwise specified in the letter of hire.

The minimum quantity of teaching *as one component of the applicant's comprehensive professional workload* shall be an average of at least **6.0 course credits (CC) per year, of which at least 2 credits per year must be accrued in didactic (lecture) courses in the professional and undergraduate curriculum (including service courses) in or administered by the College of Pharmacy**. The remainder can include participation in laboratory and other experiential courses, IAL or other tutorial courses, and graduate courses (didactic, laboratory, or special problems). Thus, by the year of decision, the candidate must have taught a minimum of 6 credits per year, at least 2 of which fall under the category of undergraduate or professional courses. Any research-related teaching (e.g. graduate seminar-type courses) will not count toward the 6, but will be an important component of the dossier during full faculty peer review.

In the Department of Biomedical and Pharmaceutical Sciences, courses are often taught by more than one professor, each with fractional credit. Illustrative examples of credit calculations that would apply to this document are given below:

Example 1. A three-credit professional pharmacy lecture course is offered in one of the fall semesters. The total number of contact hours for that course is 3 X the number of contact weeks in that semester adjusted for examination days. In a 13-contact-week semester, the total might be 39 contact hours. If the applicant taught seven one-hour lectures in that course, then the course credit for that semester would be $3 \times 7/39 = \mathbf{0.54}$.

Example 2. A one-credit laboratory course with four sections is offered in the same semester. The total number of contact hours is 1 credit X 4 sections X 3 hours per week X 13 weeks = 156 contact hours. If the applicant taught all sections for two weeks, the course credit for that course would be $1 \times 4 \times 3 \times 2 = 24$. Thus the course credit for that course would be $24/156 = \mathbf{0.15}$. The total of 6.0 credits per year is an *absolute minimum* requirement, representing 33% of the standard full workload as defined by the university (appendix). Thus, it is *not* subject to reduction by any provision of release time from research grants or contracts. In addition, any courses taught for extra compensation will not be considered for purposes of this document. Any additional course credits beyond the minimum of 6.0, including those associated with the training of graduate students, can of course apply to the candidate's total professional workload and should be considered during the peer review process.

B. Minimum qualitative requirements

At the University of Rhode Island, the main, if not exclusive, index of teaching performance is the IDEA Student Evaluations (Formerly Student Evaluation of Teaching, SET). University policy specifies that each faculty member should be evaluated by the SET for each course taught in any semester, with certain exceptions as specified in the University contract. The faculty member is evaluated in several categories, each with scores between 0 (worst) and 5 (best). The overall score can be calculated as the average score of all categories.

For the purposes of this document, the candidate must have achieved overall average scores of at least **3.5**, in all applicable courses as described above in section A, over the total period of eligibility.

Any additional expository material relating to the applicant's teaching performance, such as student or faculty endorsements, alternative assessment instruments, and so forth, may be considered during the peer review process. These materials may supplement, but not replace, the minimum standards described in section A above.

2) Service

Service refers to any activity that is supportive of Department, College, or University programs or makes a positive and significant contribution to the URI community. These activities should not be directly related to the candidate's teaching responsibilities or scholarly activities. Service activities can include serving on departmental, college, and university committees (including student thesis defense committees) or organizational contributions to university functions, workshops, seminar presentations, panels, and conferences. Participation in extracurricular activities with students at URI or contributions to activities that foster a sense of community at URI will also be considered as service contributions.

The candidate is expected to have contributed to at least two such service activities every year. However, service activities are difficult to quantify. Thus, at the time of each annual review of the candidate, the standing Tenure and Promotion Review Committee will, in consultation with the department chair, determine whether the candidate's service contributions are appropriate and represent satisfactory progress. If unsatisfactory, the committee will provide the candidate with specific suggestions for making improvements in this area.

IV.3.b. Guidelines for Promotion from Associate to Full Professor in the Department of Biomedical and Pharmaceutical Sciences (BPS) (to be added)

IV.3.c. Guidelines for Promotion of Full Time Tenure-Track Faculty in the Department of Pharmacy Practice (PHP) (July 2009)

1) Function

The following are proposed standards to be used as guidelines for peer review of applications for promotion with or without tenure in the Department of Pharmacy Practice (PHP) at the University of Rhode Island. It is proposed that, to be approved, the applicant must meet or exceed all of the minimum standards described below in the three major categories of professional expectations: scholarship, teaching, and service. As stipulated in section 7.22.10 of the University Manual (appendix), emphasis will be placed on performance in the research/scholarship and teaching categories.(1)

2) Purpose

The main purpose for creating specific standards of eligibility is to benefit the candidate by providing, at hire, a clear roadmap toward ultimate tenure and promotion. It is anticipated that the new standards will also benefit the peer reviewers as well as the department chair, providing a clear set of criteria upon which to base their evaluations. Every effort was made to design the criteria such that they are reasonable, fair, as quantitative as possible, and representative of minimal academic standards for promotion of Pharmacy Practice faculty at peer institutions nationwide. The PHP faculty acknowledge that expertise, areas of interest, and overall accomplishments will vary between individual applicants for promotion, and that the entire package should be considered during peer review. However, they also recognize that *clear, uniform minimum standards of performance in research/scholarship, teaching, and service should apply to all candidates without exception*. All of the following minimum standards would be operational as described, regardless of the number of credited years of service in the tenure track at the University of Rhode Island and other applicable institutions as specified in the letter of hire. Candidates will be eligible to apply for tenure or tenure and promotion to associate professor after accumulating 5 years of full-time service (see section 19.2 of the University Contract, appendix). (1)

Each area of Teaching, Scholarship and Service is divided into the following areas:

- A. Standard
- B. Examples
- C. Documentation/Evidence
- D. Quantity

3) Committee members

Norma Owens Pharm.D., FCCP; Jayne Pawasauskas Pharm.D.; Brian Quillium, RPh, Ph.D.; Kerry LaPlante Pharm.D.; Jessica Goren Pharm.D., BCPS; Andrea G. Dooley, Pharm.D. CDOE

4) Timeline For Updates

These guidelines will be discussed for revision every five years, or when a significant changes occurs within the department or college.

5) Introduction

Faculty appointed to a tenure track position are expected to engage in teaching, research/scholarship, and service activities at a level of excellence appropriate to a major research university. Factors for promotions in rank will be based on quality and quantity of performance in all three of these areas, as described below.

A tenure track faculty member should be competent in all three areas involved in a tenure-track position (teaching, service and research/scholarship) and excellence should be achieved in two of these categories.

Using the AACCP guidelines as a template, all college-based faculty must be expected to be scholars. Excellence in scholarship should be the hallmark of every college of pharmacy. The guidelines by which the scholarship of teaching and service activities of the faculty must be clearly defined and individuals must be held accountable for the quality, of education, service and research/scholarship that they produce. Faculty should document the process and outcomes of their work (especially in the written form), so that it may be evaluated by their peers. Advancement and dissemination of knowledge is critical. According to the AACCP guidelines, there are four areas of scholarship: Discovery, Integration, Application, Teaching.

Discovery: knowledge for knowledge's sake cannot be the goal. Pharmacy faculty will be held accountable for producing research/scholarship that has application to patients. Evaluation of original research must focus on quality and the impact that it makes in the field.

Integration: "critically assess a field of research and place its meaning into perspective as it relates to one's research or to the research of others". Peer-reviewed review articles are examples. This way, it can be rigorously evaluated as any other type of scholarship.

Application: The ability to apply theory to practice. For application to be scholarly, the faculty member must be able to have developed a well-defined written plan that clearly highlights the understanding and knowledge the faculty member has for the field. The faculty member must be able to demonstrate that the application made an impact and that it was of high quality;. The activity must be able to be evaluated by those who receive the faculty member's expertise and by peers.

Teaching: "Teaching is not scholarly if it simply transmits knowledge". In order to be scholarly it must transform and extend knowledge, and at the same time, cause the teacher to learn and be creative. Students must be taught to be critical thinkers. The faculty member must be able to articulate controversies, differences of opinion and alternative explanations.

TEACHING

1) Standards.

There are several forms of teaching that a Teacher/Scholar performs: didactic lectures, clerkship or laboratory instruction, in-services to health-care professionals, trainees, continuing education, patient care instruction, student advising and graduate and post-graduate instruction. All of these venues encompass activities that either directly or indirectly facilitate learning of knowledge, skills, and attitudes.

In addition to providing direct a teaching experience, there are teaching activities can include: lecturing; precepting students in experiential courses; course coordination; creating handouts, syllabi, exams, and assignments; creating courses, rotations, or plans of study; planning the learning objectives, content, and format; providing assistance and counseling to students; and evaluating student performance.(2)

Examples. The following specific activities qualify as teaching for purposes of promotion and/or tenure:

1. Didactic instruction with regularly scheduled numbered courses; new or special topics courses;
2. use of electronic media to deliver instructional materials;
3. guest lectures;
4. distance learning courses;
5. independent directed study;
6. leading seminars;
7. organizing and leading journal clubs for health care professionals;
8. precepting clinical teaching;
9. devising or facilitating problem-based learning;
10. and continuing professional education.

Faculty member participation in commitments outside of the formal classroom setting, whether or not related to a formal degree requirement, also may be considered in the realm of teaching. Such activities may include serving as: major advisor or mentor for graduate or professional students, postdoctoral fellows, and/or residents; chair or member of a student's project, thesis, or dissertation committee; and supervisor of a student or postdoctoral fellow on a research project or laboratory rotation.

It is recognized that it may not be possible, feasible, or desirable to distinguish levels of achievement in teaching and learning activities between candidates for promotion to associate professor and full professor.

2) Documentation of Evidence.

Evaluations of quality are based upon teaching materials and direct peer observation of teaching; evaluations of all students; attendance at meetings and workshops to improve teaching (this is most important for those faculty whose evaluations were poor to begin with) Documentation of this would be useful, i.e., attendance of teacher's seminar at a national meeting (i.e., AACCP), going to the fall URI teaching fellows courses; presentations on teaching skill enhancement to faculty, graduate students, fellows and residents; publications of articles on teaching methods. Other materials could include: teaching awards, participation in visiting or exchange teachers' programs, evaluations of presentations from Continuing Practitioner Education.

- a. **Types of Teaching: Important, but not scholarly in and or itself**
- i. Entire course provided
 - ii. Coordinator for team-taught course
 - iii. Number of clerkship rotations
 - iv. Individual lectures in formal didactic courses
 - v. Graduate student or fellow supervision
 - vi. Resident supervision
 - vii. Students supervised in special projects
 - viii. Supervision of research associates, visiting scholars, or formal training of other faculty or pharmacists in practice
 - ix. In-services or presentations to pharmacists or other health professionals

Self-evaluation: Self-evaluation should be based on long-term and annual goals. One needs to objectively document and demonstrate the provision of a scholarly teaching method. Develop proposals to teach didactic coursework or clerkships, specific methods for evaluation, and the plans to modify based upon the results of the evaluation of teaching effectiveness. Once the course or clerkship is completed, the faculty member should prepare a progress report and critique for future changes and innovations. Maintain these written documents in a portfolio. Portfolio should include course descriptions and objectives, lecture notes, readings, assignments, examinations and the University student evaluations tool which assesses teaching both quantitative and qualitatively (formally SETs).

b. **University's teaching assessment tool** (formally SETs): as well as evaluation forms from clerkship rotations. In addition, the faculty member should provide their own assessment of their teaching characteristics.

c. **Student evaluation:** We currently rely upon SET evaluations for lectures. Although SETs are not applicable to clerkship rotations, clerkship evaluation forms should be completed by all students. If there is more than one preceptor during a student's rotation, an evaluation for each should be completed. These evaluations address characteristics of communication skills, stimulation of thinking, interaction with students and course management.

University policy specifies that each faculty member should be evaluated by the SET for each course taught in any semester, with certain exceptions as specified in the University contract. The faculty member is evaluated in several categories, each with scores between 0 (worst) and 5 (best). The overall score can be calculated as the average score of all categories. Some other schools want to see average score of at least 4.0 out of 5.0 from the student evaluation tool (formally, SETs) in order to evaluate quality of teaching. Any additional expository material relating to the applicant's teaching performance, such as student or faculty endorsements, alternative assessment instruments, and so forth, may be considered during the peer review process. These materials may supplement, but not replace, the minimum standards described in section above

d. **Innovations:** Faculty should also be able to document innovations in teaching; it should be well planned to objectively assess how the innovation improved student learning and problem

solving. In addition, publications on new instructional techniques and methods and new courses/coursework developed are also important

3) Quantity (encouraged to meet 3-4 out of the following 6 areas:

a) Graduate Education (Ph.D. and Masters degree Committee service)

Promotion to Associate: 2-6 students

Promotion to Full: 4-6 students (includes Assistant and Associate level work)

b) Major Professor - Graduate School (Ph.D. and Masters degree student)

Promotion to Associate: 1-3 students

Promotion to Full: 4-6 students (includes Assistant and Associate level work)

c) Experiential Instruction (Pharm.D./Resident/Fellow)

Promotion to Associate: 20 rotations precepted

Promotion to Full: 40 rotations precepted (includes Assistant & Associate level work)

d) Classroom Lectures (College/University)

Promotion to Associate: 2-4 lectures per year

Promotion to Full: 2-4 lectures per year

e) Course Coordinator

Promotion to Associate: 2-3 course-years

Promotion to Full: 3-5 course-years

f) Physical Assessment Skills Instructor/IAL Instructor/URI 101

Promotion to Associate: 0-2 course-years

Promotion to Full: 0-2 course-years

g) Directed Study/Research Student (i.e. INBRE, EPSCoR summer students)

Promotion to Associate: 0-4 course-years

Promotion to Full: 0-4 course-years

SCHOLARSHIP

PUBLICATIONS

1) Standard.

Although accomplishments are frequently part of a continuum, significant scholarly progress during appointment as an Assistant Professor or Associate Professor is expected and greater value is given to these works.

However, completion of work that commenced prior to initiating a faculty position (e.g. data was collected prior to faculty position and analyses and manuscript submission and publication occur after faculty position starts) is considered a significant contribution to the promotion and tenure process.

The impact of the work in the field should be a determinant of value. Internal and external experts in the field should comment on selected publications and the importance of these works in their particular field. Instead of a global letter of support, the outside expert should be directed to specifically comment upon the value of these publications. Publications should be categorized into books, book chapters, peer-reviewed articles, non peer-reviewed articles, reports, newsletter items, abstracts, reviews, papers read at professional meetings, etc.)

Examples. While quantity of publications may serve as one outcome of scholarship; it is also recognized that some types of research/scholarship (i.e., clinical trials) are much more time consuming than others. Therefore, the numbers stated are general guidelines only. It is noted that there will be a progression from First/Second author to Senior (last) and Corresponding author throughout ones career.

Types of publications, with relative ranking of importance within each category:

- a) Books: Primary, Secondary author, = Editor, Section Editor
- b) Book Chapters: Primary, Secondary author
- c) Peer-reviewed Articles:
 - Research: Primary, Secondary, Senior (last) or Corresponding author
 - Review article: Primary, Secondary, Senior (last) or Corresponding author
 - Case report (series): Primary, Secondary, Senior (last) or Corresponding author
 - Single case report: Primary, Secondary, Senior (last) or Corresponding author
 - Editorial, book review, letter to the editor
- d) Papers (abstracts) presented:
 - International Meeting: First author, Secondary author, Senior (last) author
 - National meeting: First author, Secondary author, Senior (last) author
 - State/Local meeting: First author, Secondary author, Senior (last) author
 - Regular journal columns: First author, Secondary author, Senior (last) author
 - Non-peer-reviewed Monographs and Articles: First author, Secondary author, Senior (last) author
- e) AV programs,

2) Documentation/Evidence

Faculty members should provide up to 5 research papers in their promotion packet, and clearly specify their role by a brief summary. The faculty member should also include a self-evaluation of how their publication history has contributed to their research progress to date. It is noted that serving as first author demonstrates faculty members writing aptitude, whereas senior and corresponding author demonstrates the faculty member organization and leadership of the research.

3) Quantity

The expectation is that a substantial number of these publications will be scholarship-oriented and will reflect the candidate's emerging record and thematic research program. Preference is given to peer-reviewed publications and publications in which the faculty member is primary author, co-primary author or senior/ corresponding author.

a) Numbers for Full include those as Assistant and Associate (minimums, in general):

Assistant to Associate: 5-9

Associate to Full: ≥ 15

b) Publications in preparation and submitted, but not accepted (minimums, in general):

Associate or Full: 1-3 (shows evidence of ongoing activity)

Associate and Full: not required but favorable

Others: (AV programs, regular journal columns, articles in non-refereed journals, and letters to editor and book reviews)

GRANTS AND CONTRACTS

1) Standard

The highest value should be given to those proposals that are developed by the faculty member as principal investigator and undergo rigorous peer review as well as those that generate scholarship, including publications. The funded amount should be given secondary consideration.

The following criteria are used to determine value (not listed in order of importance):

1. Approval
2. Amount
3. Grant or funding agency
4. Scientific merit or clinical impact of proposal
5. Degree of participation in a joint proposal
6. Grant and contract proposals in preparation

Examples: Types of Funding, (with ranking of relative importance).

Protocol developed by applicant (Primary Investigator = Co-Primary Investigator > Collaborator > Consultant):

1. Government (NIH, AHRQ, NSF, etc.)
2. Nonprofit, peer reviewed (American Heart Association, American Cancer Association, etc)
3. Industry or non-peer-reviewed (Investigator initiated research)
4. Internal (University or Practice Site; peer reviewed)
5. Internal (University or Practice Site; non-peer reviewed)
6. Protocol developed by funding source

2) Documentation

Documentation of faculty member's role on the grant should be noted (Primary Investigator, collaborator, etc). Also, feedback provided to the faculty member by the grant reviewing organization should be included in the faculty member's portfolio for both funded and non-funded grants. Letters notifying faculty member of action taken on applications for grants and contracts should be included in the faculty member's portfolio.

3) Quantity

Grants/Contracts/Extramural Funding (minimums, in general)

Assistant to Associate: 3-5 funding applications (funded work is strongly preferred)

Associate to Full*: 5-7 funding applications with at least 2 being funded.

*Numbers for Full include those as Assistant and Associate

PROFESSIONAL PRESENTATIONS

1) Standard.

Although encouraged for professional development, *meetings attendance is not considered evidence of scholarship*. Highest value will be given to presentations given at national or international meetings as a result of a peer-reviewed selection process. However, non-reviewed presentations are also considered to be of importance.

Examples.

Platform Presentations/Posters at Scientific/Professional Meetings

Weighted: International = National > Regional > State > Local

Peer Reviewed > Non-peer reviewed

Original Work = Plenary Session Review

2) Documentation

Faculty members should include within their portfolio examples of presentations and posters that have been presented at international, national and regional scientific meetings. These can include reproductions of slides, copies of posters, etc. For each item included, it should be noted with the date, time and location of the presentation

3) Quantity

Numbers for Full include those as Assistant and Associate (minimums, in general)

Assistant to Associate: 3-6

Associate to Full: 10-15

INVITED LECTURES / SCIENTIFIC SESSION MODERATORS/ CE PROGRAMS

1) Standard

Presentations to university groups, professional organizations, industrial organizations or gatherings which impart scientific knowledge in a scientific and/or professional area of expertise (not students or lay groups)

Examples:

a. **Invited presentations:**

Weighted: Invited scientific presentation > Invited non-scientific presentation >

CE program > Scientific session moderator

2) Documentation: Within their portfolio, faculty members should provide a comprehensive list of all invited presentations given during their appointment at the University. This list should give a brief description of the topic, the nature of the presentation (i.e. scientific session, CE program, etc) and the audience. Examples of presentations (i.e. copies of presentation should also be included).

3) Quantity

Numbers for Full include those as Assistant and Associate (minimums, in general):

Associate: 3-5

Full: ≥ 6

OTHER AREAS OF SCHOLARSHIP

Patents, scientific honors and awards, panel participation, workshop leadership and relevant consulting in the faculty members area of scientific or professional expertise although not required would be viewed favorably.

PROFESSIONAL SERVICE

1) Standard.

Service refers to any activity that is supportive of Department, College, or University programs or makes a positive and significant contribution to the URI community (including practice site and invited consultation). These activities should not be directly related to the candidate's teaching responsibilities or scholarly activities. Service activities can include serving on departmental, college, and university committees (including student thesis defense committees) or organizational contributions to university functions, workshops, seminar presentations, panels, and conferences. Participation in extracurricular activities with students at URI or contributions to activities that foster a sense of community at URI will also be considered as service contributions.

The candidate is expected to have contributed to at least two such service activities every year. However, service activities are difficult to quantify. Thus, at the time of each annual review of the candidate, the standing Tenure and Promotion Review Committee will, in consultation with the department chair, determine whether the candidate's service contributions are appropriate and represent satisfactory progress. If unsatisfactory, the committee will provide the candidate with specific suggestions for making improvements in this area.

Membership on committees and advisory panels may not constitute activity or contribution. The faculty member should provide the names of individuals who can describe their level of contribution.

2) Documentation of service in sections should be made using self-evaluation, names and addresses of those familiar with service activities, solicited letters of support, summaries of clinical service projects in which the faculty member has participated, participant evaluations if available, from presentations, other supporting documents.

SERVICE TO HEALTH CARE PROFESSIONS

Examples. Types of Service, with relative ranking in each category:

1. Elected office:
 - a. National, president
 - b. National, other office
 - c. State, president

- d. State, other office
- 2. Professional societies and associations (nominations, appointments):
 - a. National committee, chair >member
 - b. State/Regional committee, chair > member
 - c. Represent school at national meeting
 - d. Represent school at state or local meeting
- 3. Editor / Referee for publications or associations:
 - a. Editor
 - b. Editorial board
 - c. Referee for journal paper
 - d. Grant review
- 4. Awards and honors for scholarly activities
- 5. Continuing Education Programs

SERVICE TO PUBLIC/COMMUNITY

Examples: Pharmacy related community service projects, invited presentations to the lay public, other community involvement

For the two categories, (minimum, in general):

Numbers for Full include those as Assistant and Associate

Associate: 1-3 total

Full: 3-5 total

Honors and awards for professional and/or clinical service should be documented.

CLINICAL PRACTICE SITE/SERVICE

1) Standard

"As colleges of pharmacy embrace pharmaceutical care as the focal point of pharmaceutical education, faculty members must be held accountable for its implementation in their practices"

Evaluation would include but is not limited to: evidence of establishment of new/innovative types of pharmacy services; evidence that the practice has had a demonstrable effect on health care outcome; evidence that the practice has influenced the nature of other types of health care delivery (i.e., prescribing, administration) towards more optimal delivery of health care; evidence that the practitioner is an indispensable member of the practice group; credentialing or certification (i.e., BCPS, CDOE); faculty development activities. Also important would be the development of service contracts and reimbursement for services provided.

Examples.

1) In-services provided to other health care professionals.

The expectation is that faculty will progress from in-services delivered within the practice site, to local presentations outside the practice site, and finally to national and international

presentations to health care professionals. A record of national or international presentations is expected for promotion to full professor.

- 2) Institutional or practice-based committees:
Associate: not required but favorable
Full: Participation in at least one committee required

EVALUATION OF COLLEGE/UNIVERSITY SERVICE

- 1) Standard.
The faculty member is expected to participate in the usual activities of standing and ad hoc committees, task forces or university committees.

Examples. Numbers for Full include those as Assistant and Associate

- a) Committee/Task force Memberships: (minimums for each category, in general)
Associate: 3-5 committee years
Full: 5-7 committee years
 - b) Committee Chairmanships: (minimums for each category, in general)
Associate: not required
Full: 1-3
- 2) The faculty member may also be on other committees that are considered favorable. These activities, among others, could include:
 - i. Advisor to students and student organizations
 - ii. Special assignments for Dean or department head
 - iii. Serving as mentor to junior faculty
 - iv. Residency / Fellowship director and/or preceptor

TIME-TABLE FOR FACULTY EVALUATION AND PORTFOLIO DEVELOPMENT

In the application year and in consultation with the candidate, recommend to the chair one or more outside reviewers who are recognized experts in the applicant's field of research. After peer review but prior to the department chair's decision, provide a written recommendation to the chair based on the committee's overall assessment of the candidate's performance and considering the results of the departmental peer review. (1)

Before faculty are judged, the rule book has to be determined. Some suggestions:

1. Upon hiring, specific goals and objectives should be agreed upon, and these should be used in the evaluation process. Long term and annual plans should be prepared by the faculty member with guidance and input from department chairs and deans. Faculty performance should then be evaluated annually against these mutually agreeable plans.
2. Faculty should be allowed to modify their focus at different stages in their career.

There are stated guidelines for annual review in the faculty AAUP handbook. Assistant Professors should have a formal written review on an annual basis which includes dossier

development and peer-review of that document. Associate Professors should have a similar formal, written review every two years, and Full Professors should have a similar formal review every 4 years-- the following suggestions for a timetable are not intended to replace the specified review process, but rather to supplement and enhance its quality.

TIMETABLE:

- Year 1: Faculty member discusses criteria for advancement with Department Chair and a multi-year plan is developed.
- Year 2: (URI REVIEW REQUIRED) Discussion of progress, modifications, and plan
for year 3 and review of information required for dossier
- Year 3.5: (URI REVIEW REQUIRED) Preliminary promotion (and tenure) dossier is assembled by the faculty member and submitted to the Chair. The Chair's comments will be used to develop the annual plan for year 4. An optional outside evaluation is encouraged.
- Year 4: (URI REVIEW REQUIRED) Annual plans are developed and progress is discussed.
- Year 5: (URI REVIEW REQUIRED) Final plan for year 6 developed.
- Year 6: (URI REVIEW REQUIRED) Promotion and tenure dossier is assembled and submitted ((using URI procedures.))

The faculty member should consider dossier/portfolio development as an ongoing process. It should not be delayed until the year prior to tenure/promotion decision.

Letters of Solicitation:

In the College of Pharmacy at URI, the policy has been that the faculty member and Chair each suggest some names of appropriate individuals.

At least 3 scholars or professional specialists (3-4 is best). Names and addresses of professional colleagues (referees) and peers, both on and off campus, who can assess the quality and significance of the faculty member's work in his/her research, scholarly or creative discipline should be provided. Persons should not be only former mentors or current/past collaborators but a cross-section of experts in the field. Faculty members may also request which potential referees not be selected, along with a reason for the request. In general, the opinions and judgements of external source individuals will receive greater consideration. Outside reviewers will comment on originality, quality and importance of the work. The names of at least 3 other individuals should be made available to the Department Chair.

Solicitation letters should be unbiased and should request an in-depth review of the candidate's performance (teaching, public service, national stature) rather than an overall impression. Actual articles and materials will be sent to the reviewer, not just the curriculum vitae. An explanation as to why the reviewer was chosen should be attached to the solicited letter. The summary should also state whether the evaluator's name was suggested by the candidate or the Department.

Early Review:

In the case of an individual requesting early review for promotion and/or tenure, the above recommendations would be unaltered. A complete dossier is required.

Appendix

7.22.10 Criteria for Promotion (Teaching, Library, Research and Extension Faculties). Promotion shall be based on the extent of value to the University. The prime mission of a university is the discovery and dissemination of knowledge; teaching and research are therefore to be regarded as the most important criteria for promotion, with University-related professional service also considered, in lesser measure. Since faculty positions vary in designated responsibility, these criteria may be weighted differently among departments and among individual faculty members in determining value to the University. It shall be the responsibility of the department chairperson and dean to determine periodically the relative importance of the criteria which shall apply and to report this to the individual faculty members.

IV.3.d. Guidelines for Promotion of non-tenure Faculty in the Department of Pharmacy Practice (PHP)(to be added)

IV.4. Guideline for Adjunct faculty Appointment (January 2009)

An adjunct appointment at the University of Rhode Island is an honor. It is recognition of an individual's commitment to the teaching, research and service mission of the College. An adjunct appointment is offered to individuals who have made or will make significant contributions in advancing the College's and Department's mission and national reputation.

IV.4.a. Recruitment

All full-time faculty and professional staff in the College of Pharmacy are encouraged to nominate individuals for adjunct appointments on the basis of their contributions to the teaching, research and service mission of the department. In addition, the Dean and Associate Dean of the College may recommend individuals for adjunct appointment if appropriate to the College mission as outlined. In all cases, appropriate procedures should be followed for both initial appointments and subsequent reappointments as described in the following paragraphs. Decisions for adjunct appointments shall be made based on qualifications of the candidate.

IV.4.b. Adjunct Faculty Series

Adjunct faculty appointments may be made to either the Clinical or Academic track.

Appointments to the Clinical track generally will include individuals recognized primarily for their clinical or other practice-based instruction in advanced practice experiences and for their exemplary professional practice.

Adjunct appointments to the Academic track generally will include those individuals whose contributions involve either collaborative scholarship efforts with full-time department faculty or teaching efforts.

For both tracks, an adjunct appointment does not presume that the person receiving the appointment will have his/her major responsibilities at the College of Pharmacy. Those receiving adjunct appointments may have degrees in disciplines other than pharmacy or pharmaceutical sciences. As indicated in the *University Manual*, appointment to adjunct status does not confer rights reserved for full-time faculty.

IV.4.c. Initial Appointments

When an individual is nominated for an adjunct appointment, his/her curriculum vitae or resume, in addition to a cover letter should be forwarded to the chair of the department (PHP, or BPS).

The cover letter should state clearly and specifically the individual's current and future contributions to the Department's teaching, research and service mission. The nominator is encouraged to recommend the initial level of appointment that will be approved by the Department Chair.

Appointments will be reviewed and approved by the Department at routine faculty meetings. Approved nominations will then be forwarded to the Dean and Executive Committee for further consideration and approval. These are then forwarded to the Provost's Office for confirmation. Appointment letters will be generated from the Department Chair.

IV.4.d. Rank of Initial Appointment

The rank of the initial adjunct appointment will be based on the individual's credentials as evidenced by their curriculum vitae or resume, taking into account publications and or service record. The following guidelines will be recognized:

| | |
|--|---|
| <i>Adjunct [Clinical] Instructor:</i> | a Bachelor's degree. |
| <i>Adjunct [Clinical] Assistant Professor:</i> | a Bachelor's degree with residency/fellowship training or 5-year equivalent experience OR Masters/earned doctorate (e.g., Pharm.D., Ph.D., M.D.) |
| <i>Adjunct [Clinical] Associate Professor:</i> | an earned doctorate (e.g., Pharm.D., Ph.D., M.D.) with minimum of 7 years of experience past their terminal degree and/or national recognition for excellence in teaching, research, or professional service. |
| <i>Adjunct [Clinical] Professor:</i> | an earned doctorate (e.g., Pharm.D., Ph.D., M.D.) with minimum of 12 years of experience past their terminal degree and/or national or international recognition for excellence in teaching, research, or professional service. |

IV.4.e. Reappointment Process

An adjunct appointment may be made on the basis of a candidate's potential contributions however it is renewed only when the individual has demonstrated consistent and tangible support for the Department's mission. Appointments are renewable on a two year basis. Reappointments of all adjuncts will be reviewed every two years in January. Prior to reappointment, the candidate will be notified by the Department Administrative Assistant via phone and/or email. Current curriculum vitae that highlight his/her involvement in the URI College of Pharmacy must be forwarded to the Department Chair which merits receipt of reappointment prior to review. Full-time faculty of the Department will vote to confirm or deny the proposed reappointments with or without promotion. An appointment that is not renewed ceases effective the last day of the appointment term. All adjunct appointments are "at will". The College reserves the right to terminate any external appointment prior to the end of its defined term.

IV.4.f. Promotion Process

Persons holding adjunct appointments may be promoted through the ranks as their accomplishments and standing in the community develop. An individual may request to be reviewed for promotion. He/she must make a written request to the Department Chair to be considered for promotion and submit a dossier including current curriculum vitae, materials that highlight contributions and accomplishments, and names of potential external referees. The guidelines for promotion will follow guidelines established in the following:

Adjunct [Clinical] Associate Professor

To be eligible for promotion to the rank of Adjunct [Clinical] Associate Professor, the candidate must satisfy the following requirements:

- 1) Documentation of defined teaching, service and/or research role with the Department
- 2) For preceptors, the candidate must have served as a preceptor for a minimum of 15 students or an equivalent contribution to the College of Pharmacy
- 3) Student and/or resident teaching evaluations are consistently above average or excellent

- 4) The candidate must have completed a minimum of seven years of experience past their professional or terminal degree.
- 5) The candidate must have held the rank of Assistant Professor for a minimum of four years OR if candidate has transferred a conferred higher academic appointment from another institution, then he/she may be promoted after initial adjunct year under the condition he/she has maintained a comparable level of contribution for the Department and College of Pharmacy
- 6) The candidate must have received recognition of outstanding achievement in the institution, community, state and/or nation. This must include one of the following:
 - a. Community and/or institutional recognition of excellent professional or clinical performance.
 - b. Significant involvement in the community, the state, and/or national organizations.
 - c. Significant scholarly activity such as publications, presentations, and/or participation in clinical activities.
- 7) The promotion is reviewed and approved by the Department Chair, the Executive Committee and the Dean of the College of Pharmacy.

Adjunct [Clinical] Professor

To be eligible for promotion to the rank of Adjunct [Clinical] Professor, the candidate must satisfy the following requirements:

- 1) Documentation of a defined teaching, service, and/or research role within the Department.
- 2) The candidate must have served as a preceptor for a minimum of 35 students or an equivalent contribution to the College of Pharmacy
- 3) Student and/or resident teaching evaluations are consistently above average or excellent.
- 4) The candidate must have completed a minimum of twelve years of experience past their professional or terminal degree.
- 5) The candidate must have held the rank of Associate Professor for a minimum of four years OR if candidate has transferred a conferred higher academic appointment from another institution, then he/she may be promoted after initial adjunct year under the condition he/she has maintained a comparable level of contribution for the Department and College of Pharmacy
- 6) The candidate must have received recognition of outstanding achievement in the institution, community, state and/or nation. This must include one of the following:
- 7) The promotion is reviewed and approved by the Department Chair, the Executive Committee, Dean of the College of Pharmacy, and Provost of the University.

IV.4.g. Additional Qualifications for Clinical Adjunct Faculty

The following qualifications must be met in order to confer an adjunct appointment to clinical faculty:

- 1) must be licensed healthcare professional and maintain good standing with their state board
- 2) at least one year of experience as a healthcare professional in their respective practice setting OR for a pharmacist practicing in general medicine, ambulatory care or specialty area, he/she must have PharmD degree with residency training or 1 year of professional training, experience, and competence commensurate with their position

- 3) completion of initial preceptor orientation
- 4) participation annually in preceptor development
- 5) achievement of appropriate teaching outcomes within practice experience setting
- 6) participation in continuing professional development activities within their practice area
- 7) recognition of governing standards of Accreditation Council of Pharmacy Education and the University of Rhode Island
- 8) commitment to assume preceptorship annually or equivalent documented contribution

IV.4.h. Privileges and Benefits

Adjunct faculty appointments are conferred on those individuals who wish to contribute their time, expertise and effort to support high quality and innovative learning experiences. These contributions are highly valued by the College. Indeed, the successes achieved by the College are in many ways critically dependent on the ongoing commitment of dedicated external faculty. Appreciation and recognition to these individuals is demonstrated in the following ways:

- 1) The conferring of an appropriate academic appointment and title following the procedures outlined in this policy and authorization to indicate appointment rank and affiliation with the college in professional communications.
- 2) Access to reappointment and promotion opportunities as outlined in this policy.
- 3) Listing of the individual's name, academic qualifications, rank, practice setting and principal employer as member of external faculty within the University's catalog and the College of Pharmacy's webpage.
- 4) A letter from the Dean, Department Chair or other College of Pharmacy academic administrator confirming the appointment with an expression of congratulation and appreciation.
- 5) Mailings of notices and invitations for seminars, department meetings, College of Pharmacy functions, preceptor development programs, newsletters, etc.
- 6) Eligibility for involvement in the College of Pharmacy (i.e., participation in committees, representation at departmental meetings, etc.).
- 7) URI College of Pharmacy, continuing education discounts.
- 8) URI College of Pharmacy, drug information services.
- 9) URI library and campus facilities access.
- 10) URI Bookstore discounts.
- 11) Faculty research assistance for clinical projects.
- 12) Poster printing service at the reduced faculty rate through the Rhode Island INBRE program. For more information about poster printing requirements: <http://www.uri.edu/inbre/corelab/equipment/hp5550.shtml>.
- 13) Eligibility for the annual "Preceptor of the Year" award for IPPE or APPE preceptorship
- 14) Reward and recognition for extended service (i.e., 5, 10, 15, 20, or 25 years)

The College of Pharmacy may negotiate formal affiliation agreements or memoranda of understanding with some institutions, agencies, or health systems that have made significant commitments to support the activities of the College. These agreements may extend additional benefits to the institution or agency or their staff beyond those covered in this policy.

IV.5. Faculty Mentoring (June 2000)

It is the College's policy to provide effective mentoring for faculty, particularly new faculty. It is critical for the department to provide support for new faculty in providing guidance for the professional development of junior faculty in teaching, service, scholarship, and other important facets of a faculty member's work. For tenure track faculty it is important to have mentors that assist the junior faculty in setting up research programs, and obtaining outside funding for that program. It is the College's policy to assign a research mentor within the first month that the new faculty arrives. The department chair assigns the mentor.

IV.5.a. Advantages of a Formal Mentoring Program

- 1) Facilitate socialization of new faculty to the profession.
- 2) Encourage open, effective communication.
- 3) Promote the establishment of a clear direction for new faculty particularly with respect to scholarly activity.
- 4) Provide a senior level "sounding board" and facilitator.
- 5) Encourage potential collaboration for scholarly activity, service and teaching.

IV.5.b. Mentors

- 1) All faculty with at least three years of experience at the University will be encouraged to be mentors.
- 2) Faculty mentors and junior faculty will work together at least until junior faculty member completes five years at the University.
- 3) Non-tenure track senior faculty should mentor non-tenure track junior faculty (and tenure track mentoring tenure track) unless precluded by department demographics or other factors.
- 4) Tenure track mentors must be cognizant of non-tenure track expectations (through meeting with junior faculty, Department Chair, faculty contract and promotion and tenure guidelines).
- 5) Faculty mentors must recognize the importance of encouraging the development of a program of scholarship by the junior faculty member to be a critical component of mentoring.
- 6) The role and responsibilities of the mentor will not supercede, or in any way conflict with, those of the course coordinators for team taught courses or with the Director of Clerkship Education.
- 7) The role and responsibilities of the mentor will not supercede, or in any way conflict with, those of the Department Chair especially with regard to the fulfillment of contract obligations, University policy and procedures including the promotion review process.
- 8) It is important that the mentor will be an expert in the faculty members' research field. If the faculty member is assigned a mentor through a special grant program, such as INBRE, or a University program, the research mentor will take precedence.
- 9) The Chair will provide incentives indicating that mentoring is a priority. These include departmental recognition and providing support for the mentors and mentees to meet over lunch.
- 10) Mentors are expected to participate with the department chair in setting professional goals for mentees, as pertaining to teaching workload, and planned research and service activities.

- 11) The University's Advance Office (<http://www.uri.edu/advance/>) will help provide formal mentor and mentee training as well as formal methodologies for monitoring the success of the mentoring program.

IV.5.c. Guidelines for Mentoring

- 1) Classroom discussion sections. Provide feedback on:
 - a) Organization, control of section, faculty-class interaction;
 - b) Teaching style (ability to stress important points, summarize);
 - c) Giving feedback (appropriate, clear, informative); and
 - d) Time management (arrives/begins promptly, stays on schedule).
- 2) Didactic teaching. Provide feedback on:
 - a) Lecture organization and clarity, nervousness, faculty-class interaction;
 - b) Balance of traditional lecture and active learning;
 - c) Quality of study guides;
 - d) Quality/clarity of content questions;
 - e) Quality/clarity of exam/quiz questions.
- 3) Clerkship teaching.
 - a) Encourage junior faculty member to self-assess using clerkship evaluation form.
 - b) Provide feedback on teaching style in this setting.
- 4) Clinical service.
 - a) Encourage discussion of balance of site and department expectations..
 - b) Compare and contrast clinical roles of faculty members.
 - c) Discuss methods of documenting pharmacy practice activity.
- 5) Scholarship.
 - a) Offer to assist in the creation of time lines for existing projects.
 - b) Offer to review manuscripts, abstracts, and presentations under development.
 - c) Offer collaboration if possible and feasible.
 - d) Inform about internal (creative teaching/research incentive) and external grant opportunities/deadlines.
- 6) Portfolio.
 - a) Encourage documentation of all teaching and service innovations.
 - b) Encourage maintenance of up-to-date curriculum vitae.
- 7) Conflicts and Issues. All conflicts and issues will be resolved by the Department Chair
- 8) Timetable. Junior faculty and their mentors will meet at least twice per year.
- 9) The University's ADVANCE Office (<http://www.uri.edu/advance/>) will help provide formal mentor and mentee training as well as formal methodologies for monitoring the success of the mentoring program.

IV.6. Postdoctoral Fellows (February 23, 2009)

Postdoctoral Fellows are critical components of all research institutions. It is their work in the laboratory that leads to publications in peer-reviewed journals and, most importantly, to the awarding of external research grants. Postdoctoral fellowships are considered to be temporary research training positions.

Definition of a postdoctoral appointment

The purpose of a postdoctoral appointment is to provide the holder of a PhD or equivalent doctorate with additional research and scholarly training for an academic or research career. Thus, the role of postdoctoral appointees is clearly differentiated from full-time technical employees.

Postdoctoral appointments are characterized by the following conditions:

- the appointee was recently (within last eight years) awarded a Ph.D. or equivalent doctorate (e.g. Sc.D., M.D.)
- the appointment is temporary
- the appointment involves substantially full-time research or scholarship
- the appointment is viewed as preparatory for a full-time academic and/or research career
- the appointee works under the supervision of a faculty member (mentor)
- the appointee has the freedom and is expected to publish the results of his/her research or scholarship during the period of the appointment

Hiring Process

Currently, the University gives the investigator a waiver of normal search procedures so that postdoctoral fellows can be hired in a timely manner. Such flexibility is justified because postdoctoral appointments are temporary (usually 1 year commitments that are renewable every year) and for educational training purposes.

The University is currently examining the role and function of the Affirmative Action Office (AAO). The AAO is expected to take on the issue of postdoctoral hiring *in close consultation with faculty* in the future. Until then, faculty will be allowed to follow the existing process which involves a waiver of the requirement for advertising and formal interviews.

Letter of appointment

After the hiring procedures have been satisfied, a firm offer of appointment may be made. That offer should be made in writing prior to the commencement of duties, and should be signed by the individual within the University who is currently authorized to make such an offer. The program secretary in the College of Pharmacy Office of Research and Graduate Programs will be available to assist in the preparation of this document. The letter should include:

- the duties and responsibilities of the trainee
- the period of the appointment (with starting and ending dates)

- the stipend level and the period of time for which funding is guaranteed
- a statement that support beyond this period is contingent upon the availability of research project funds
- any special requirement that must be met before the appointment can be made (e.g. requirement of health insurance and visa status)

If there is an expectation by the mentor that the trainee will be responsible for attaining his/her own funding at some later date, and that expectation should be clearly spelled out in the offer letter.

Proof of Doctoral Degree

A postdoctoral appointment requires that the researcher have an advanced degree, PhD, MD or the equivalent. In order to be eligible for a postdoctoral appointment at URI College of Pharmacy, international researchers must hold an advanced degree that is equivalent to those provided by US institutions. It is the responsibility of the postdoc to provide transcripts that certify that s(he) has received her/his degree, and it is the responsibility of the mentor to make sure that the documentation is satisfactory.

If the trainee has completed all requirements toward the advanced degree, but has not received his/her degree, he/she must provide the documents certifying that the thesis has been approved in its final form, including all necessary signatures, and indicate the date that the degree will be conferred. Only appointees receiving their degrees from domestic institutions are eligible for this exception.

In no case will a postdoctoral appointment be made unless the trainee's thesis has been formally approved by the degree granting institution. This same rule applies to trainees receiving a Ph.D. from URI.

Renewal, extension, termination of appointment

Decisions and agreements between the mentor and the postdoc leading to the renewal or extension of a postdoc appointment beyond the term defined in the initial offer letter should be made in a timely manner well in advance of the date of re-appointment. In the absence of that agreement, postdocs should assume that their appointment will terminate on the termination date described in their appointment letter.

The decision by a postdoc to terminate his/her appointment before his/her appointment expires should be communicated to the mentor as soon as possible. In deciding on a date of resignation, the postdoc and the mentor should decide on a date that is least disruptive to the mentor's program in the area of the postdoc's research.

Violation of the conditions of appointment may lead to termination of appointment prior to the date of termination agreed to at the time of appointment.

Stipend level

Postdoctoral trainees should be provided a stipend level that reflects both their prior postdoctoral experience and what is usual and customary in the field. Nevertheless, the University has established a range of compensation that must be adhered to.

Benefits

The University provides benefits to all postdoctoral fellows. Information about these benefits are available through the Office of Economic Development and the Human Resources Office.

Orientation materials

Orientation materials will be provided by the Human Resources Office at the beginning of the postdoc's appointment. These will include materials that introduce the postdoc to the campus. Before an appointment is activated, the prospective postdoc must sign an agreement to abide by all University policies including policies on conflict of interest, confidentiality, consulting, and patents, software and copyright.

Obligations of the postdoctoral fellow

Appointment as a postdoc carries with it an obligation to the mentor, the laboratory in which the is working, the Department with which he/she is associated, the University, and the agency that supports her/him. These obligations include:

- the conscientious discharge of research responsibilities
- conformance to ethical standards in research
- compliance with good laboratory practice
- maintenance of a laboratory notebooks and/or other records of research activity
- adherence to University standards regarding use of isotopes, chemicals, infectious agents, animals, human subjects, etc.
- open and timely discussion with the mentor regarding all facets of the postdoc's research activities,
- prompt disclosure to the mentor regarding the possession and desire to distribute materials, reagents, software, copyrightable and potentially-patentable discoveries derived from the postdoc's research
- collegial conduct towards members of the research laboratory and others
- compliance with all applicable University policies and applicable terms of any sponsored agreement which provides support for the postdoc

Research data, records, products and intellectual property

The postdoc should be aware that all data, software, and research records, and the like generated in course of research at URI remain the property of the University, and their disposition must be carried out in accordance with University policy. As a condition of appointment, all postdocs

must sign a participation agreement concerning patent and software policy and ownership of intellectual property.

Mentor's responsibility

Accepting a postdoctoral appointee into a mentor's laboratory carries with it obligations to the appointee. These include:

- provision and maintenance of a research environment that is conducive to postdoc's research and scholarly training
- mentoring in all areas professional development, such as grant writing, development of written and oral communicative skills, manuscript preparation and teaching skills, where applicable
- career counseling and assistance in job placement, including timely submission of letters of reference

Mentors should provide annual feedback, preferably in writing, to the postdoc on his/her performance.

Application for Grants

A postdoc may not serve as the principal investigator for a federally-funded grant, but may, upon approval of the faculty mentor, the department chair, the dean's office and the vice provost for research serve as a co-principal investigator (co-PI). However, in approving co-PI status, it is the responsibility of the Chair and the Dean to ensure that the postdoc is cognizant of all obligations and responsibilities that is encumbered by co-PI status. There must be clear evidence that the postdoc has the experience and expertise to function as co-PI with incumbent responsibilities to direct the proposed research program, direct the budgeted personnel, manage the budget, and ensure that the research is carried in compliance with all applicable University rules and regulations as well as those of the sponsoring agency. Normally, individuals who qualify for Co-PI status would be postdocs who are well advanced in their postdoctoral training.

Professional Society

The College of Pharmacy sponsors the College of Pharmacy Professional Research Society [COPPRS]. Membership in this organization is comprised of College graduate students, postdocs and visiting researchers. All postdoctoral fellows are encouraged to become active members.

Administrative Support

Assistance with personnel and salary paperwork will be provided to the postdoctoral fellow and sponsoring faculty member by the Research and Graduate Program Office secretary.

IV.7. Research Program Policies and Procedures

Indirect Costs of Research as of 11/1/07

The Negotiated Agreement between the University and the Department of Human Services has established the indirect cost rates shown below. These rates should be applied to all federal grant proposals as well as those to companies, organizations and agencies per University Policy. These policies can be accessed at www.uri.edu/research/tro/indirect.htm.

| <u>Type</u> | <u>Location</u> | <u>FY 2008</u> | <u>FY2009-10</u> |
|----------------------------|-----------------|----------------|------------------|
| Organized Research | On Campus | 48% | 49% |
| Sponsored Training | On Campus | 50% | 50% |
| Other Sponsored Activities | On Campus | 41% | 41% |
| Organized Research | Off Campus | 26% | 26% |
| Sponsored Training | Off Campus | 26% | 26% |
| Other Sponsored Activities | Off Campus | 26% | 26% |

Indirect costs recouped through this process are shared between the University and the College for the purpose of strengthening the institution's research enterprise. Indirect funds which accrue to the College are shared as follows:

| | |
|------------------------|-----|
| Dean's Office | 50% |
| Department (chair) | 25% |
| Principal Investigator | 25% |

Release Time

It is expected that College of Pharmacy faculty and researchers will budget for release time in all research/service proposals where their time, or the time of any other University employee, is significantly dedicated to the fulfillment of the proposal's scholarly activities and requirements. Funds generated in this manner will be used primarily to release the researcher from some of their University duties, particularly their teaching responsibilities.

The use of generated release time monies will be to deliver the curriculum that the faculty member was released from (12.5% of base salary per course), support the research activities of the principal investigator and support the mission of the college. In some limited instances (e.g., new faculty), Department chairs, with the approval of the Dean, have the discretion to provide a faculty member with up to one course equivalent (3 credits) of unfunded release time for the pursuit of documented scholarly activities. One credit will be allocated for each \$50,000 in grant funding for the semester, to a maximum of 3 credits.

Any release time funds remaining after courses are delivered and support for the researcher is provided will be distributed as follows:

| | |
|------------------------|-----|
| Dean's Office | 15% |
| Department (chair) | 10% |
| Principal Investigator | 75% |

Example

A researcher obtains two grants of \$100,000 each.

The first grant does not have a provision for release time. The department chair, with approval of the Dean, provides the researcher with “credit” for 1 course equivalent for the duration of the research grant, with the expectation that the project will lead to additional research funding and release time.

The second grant provides \$12,500 release time for the faculty member. The department chair hires a per course instructor for \$5000 to cover one of the faculty member's course assignments. The remaining funds are allocated to the Dean's Office (\$1125), the Department (\$750) and the Principal Investigator (\$5625). Examples of expenditures that the PI or Department might make include funding for graduate student assistance (GRA), a lab technician or a post-doc.

IV.8. Graduate Program Policies and Procedures (February 23, 2009)

IV.8.a. General Requirements

It is required that all graduate students in the College of Pharmacy

- 1) maintain the highest ethical standards in the conduct of their academic studies and research endeavors
- 2) make themselves fully aware of and comply with all Graduate School and College requirements.

IV.8.b. Admission to the Graduate Program

- 1) The secretary assigned to the graduate program is the initial point of contact for prospective applicants, graduate program inquiries and completed applications. He/she is also responsible for processing all paperwork associated with the program. He/she logs applications into a centralized database and makes a determination as to which of the four graduate program tracks the application pertains.
- 2) The program secretary regularly updates the database; produces status reports; and distributes these reports to the 4 graduate program track advisors, the department chair and Associate Dean of Research and Graduate Programs.
- 3) The program track advisors are responsible for soliciting input regarding applicant suitability and for making a determination as to acceptance of the application.

- 4) The deadline for application from Non-US students, and for financial aid consideration, is February 1. Track advisors will make acceptance decisions by March 15th for all applications. This might entail a meeting of interested track faculty during February.
- 5) Faculty are encouraged to review applications before or immediately after the February 1st application deadline. This information is available in the Graduate Program office. Admission decisions on this pool of applicants will not be made until after February 1 to give faculty ample opportunity for review of applicant qualifications.
- 6) The track advisors will keep the program secretary apprised of all decisions so that he/she can process the appropriate paperwork to assure a speedy notification of the applicant.
- 7) Applicants from the United States have until July 15th to submit their completed applications for admission for the Fall semester.

- 8) A goal of the admission process is to maintain flexibility in order to attract highly qualified graduate students. Faculty are encouraged to actively recruit promising graduate students who have an interest in their area of reasearch. Faculty who have identified an applicant with superior qualifications can request early acceptance for this applicant. This request should be addressed to the track advisor who will make an early acceptance decision based upon applicant's qualifications and availability of track resources to accommodate the needs of the prospective student.

- 9) It will be the responsibility of the track advisors to determine the number of acceptances for each semester. This decision will be made with faculty input based upon faculty teaching workloads, research endeavors and faculty preferences. This information should be determined before November 1 for the subsequent academic year.

IV.8.c. The Graduate Program Committee

- 1) The College of Pharmacy Graduate Program Committee is comprised of a representative of each track of the graduate program, the Associate Dean for Research and Graduate Programs, the Graduate Program secretary and one or more graduate student representatives.
- 2) The committee:
 - Develops and monitors the College's strategic plan as it pertains to graduate education
 - Assists in the creation of graduate program policies and procedures
 - Is a liaison to other faculty in the college, university, nation and state
 - Assists the Dean in development related initiatives that benefit our graduate students
 - Develops and monitors measures of graduate program success
 - Identifies barriers to effective graduate student education and assists in remedying these issues
 - Provides leadership in evaluating graduate program admission requirements and program completion requirements
 - Assists in graduate student recruitment and new student orientation
- 3) The Committee meets at least once a semester or as needed

IV.8.d. Graduate Program Track Coordinators

- 1) The College of Pharmacy Graduate Program confers two degrees; the Doctor of Philosophy (Ph.D.) and Master of Science (M.S.) in Pharmaceutical Sciences. Students may concentrate in one of four study areas (tracks). The affairs of each of the tracks are directed by a faculty member in that track (Track Coordinator).
- 2) The duties of the Track Coordinator are as follows:
 - Assist potential applicants with the application process when necessary
 - Serve as initial contact and advisor to newly enrolled students
 - Facilitate the timely transfer of newly enrolled students to their major professors
 - Lead the review of the track academic requirements by other members of the track
 - Represent track faculty on the Graduate Program Committee
 - Provide input into graduate program Policies and Procedures
 - Assist in the marketing of graduate programs to prospective applicants

IV.8.e. Financial Support

- 1) The College of Pharmacy has a limited number of Teaching Assistantships, which are awarded yearly. In addition, students may be supported by their Major Professor. The extent of that support is to be determined by the Major Professor in accordance with Graduate School requirements.
- 2) Unless there are truly exceptional circumstances (e.g. a prolonged period of serious ill health) financial support will not be given for full time students:
 - after the second year for an M.S. program
 - after the fourth year for a Ph.D. program

Students on academic probation after their 1st year of study will not be eligible for College funded teaching assistantships.

- 3) Summer graduate student support cannot be provided by the College. The possibility of such support is the responsibility of the Major Professor. Summer fellowship support may not be available for all graduate students.
- 4) Financial support is provided on a year by year basis. The College cannot guarantee support for a student's full period of graduate study. Continued support is dependent on availability of funds, suitable student progress toward their degree and satisfactory performance by the graduate student in their Teaching Assistantship duties.

IV.8.f. The awarding of Teaching Assistantships

- 1) The primary goal in the awarding of Teaching Assistantships in the College of Pharmacy is to appoint suitably-qualified graduate students to assist in our College's teaching

program. The Teaching Assistantships also provide financial assistance to the graduate student and assistance to faculty in furthering their research endeavors.

- 2) It is the responsibility of the Associate Dean for Research and Graduate Programs to award teaching assistantships to graduate students, with input from the department chairs. Assignment of duties, and monitoring of the quality of Teaching Assistant work efforts, will be the responsibility of the Chair of the Biomedical and Pharmaceutical Sciences department. The Graduate Program Committee will provide advice as needed.
- 3) Since there are generally more tenure track faculty than teaching assistantships, faculty will not be assigned more than 1.0 FTE assistantships for students for whom they serve as major professors. Assistantship appointments will be rotated among eligible tenure-track faculty.
- 4) The following factors will be examined when making assistantship appointment decisions:
 - Commitments for teaching assistants made to incoming faculty (start up agreements).
 - Ability of a faculty member to support a teaching assistant's research projects.
 - Potential for partial funding of a teaching assistantship with faculty research grant funds.
 - Commitments to the pharmacy practice and technology labs for teaching assistants who are U.S. licensed pharmacists, or who have specialized training in medical pathophysiology.
- 5) Teaching Assistants are expected to be proficient in the English language and meet all University requirements regarding communication in English.
- 6) Teaching Assistants must be available for their assignments during the entire time period for which they are being paid as set by the Graduate School.
- 7) Failure of a Teaching Assistant to diligently follow through on their duties, or failure to sign their biweekly timecards in a timely manner, will be grounds to have that assistantship revoked.

IV.8.g. Selection of the Major Professor and Committee

- 1) The Track Coordinator, or their designee, will serve as advisor for incoming graduate students until selection of a Major Professor. Each student is expected to select a Major Professor and submit a program of study (POS) by the end of the first semester of registration.
- 2) Unless the graduate student was informed during the admission process to the graduate program of a restriction of the faculty available in the College to act as Major Professor or was recruited and will be supported by a faculty member, the incoming graduate student shall visit with all faculty in the appropriate graduate program track before selecting a Major Professor. Faculty may recruit graduate students for a particular area of academic specialization.
- 3) The selection of a Major Professor is a two way selection process depending on the interests of both student and faculty. A professor may, because of other commitments, decline appointment.

- 4) The Major Professor, when selected, shall inform the Chairperson of the Department, or his/her designee, in writing, of their willingness to serve and shall, subject to Graduate School regulations, appoint a Graduate Committee.
- 5) The Major Professor shall supervise research, monitor course work, counsel, encourage and stimulate the student. However, responsibility for conformity to all departmental and graduate school regulations is the responsibility of the student.
- 6) Certain graduate committees require an “outside” member. This is interpreted to mean an individual from the University who is not a member of the College of Pharmacy faculty.

IV.8. h. Master of Science (M.S.) Degree

- 1) It is expected that M.S. students will complete all the requirements for the M.S. degree in 2 years.
- 2) The College offers four tracks for M.S. students:
 - Medicinal Chemistry and Pharmacognosy
 - Pharmaceutics and Pharmacokinetics
 - Pharmacoepidemiology and Pharmacoeconomics
 - Pharmacology and Toxicology

Details of the requirements for each track are provided in the current issue of the Graduate School Bulletin.

- 3) A comprehensive examination is not required for students enrolled in the Master of Science program.

IV.8.i. Doctor of Philosophy (Ph.D.) Degree

- 1) The College offers four tracks for Ph.D. students:
 - Medicinal Chemistry and Pharmacognosy
 - Pharmaceutics and Pharmacokinetics
 - Pharmacoepidemiology and Pharmacoeconomics
 - Pharmacology and Toxicology
- 2) Details of the requirements for each track are provided in the current issue of the Graduate School Bulletin. Students may be admitted to the Ph.D. program by three possible mechanisms:
 - directly on admission to the URI graduate program (e.g. persons who already have a B.S. or M.S. degree (or equivalent) from a recognized University, such degree deemed to be equivalent to a URI M.S. degree in a related area of study.

- upon completion of all the requirements of the Master of Science in Pharmaceutical Sciences.
- satisfactory performance by a M.S. student on the Ph.D. Qualifying Examination.

IV.8.j. Research

Both the M.S. and Ph.D. degrees require completion of one appropriate research project and a written thesis. The thesis will be submitted in accordance with Graduate School requirements. Each student shall successfully defend the thesis in an oral examination before a thesis defense committee, as described in the Graduate Manual.

IV.8.k. Transfer Between Graduate Program Tracks

Students requesting transfer from one program into another area of study within the College of Pharmacy Graduate Program should inform the Associate Dean for Research and Graduate Programs, in writing, of the request. Acceptance will be contingent upon approval of the Track faculty after review of the full application (similar to the process for new students seeking admission).

IV.8.l. Safety

- 1) All students are expected to be mature, responsible individuals who will comply with all GLP, GMP and other appropriate safety and environmental regulations.
- 2) Students working in laboratories at night or weekends shall use a buddy system i.e., there shall always be at least one person closely available who can call for help shall an emergency arise.
- 3) Safety is the number one priority in the College; all other objectives are secondary.
- 4) Students must be certified annually by the Department of Safety and Risk Management to work in the laboratories.

V. Business and Other University Policies and Guideline

To see policies/guidelines and a list of the offices and services available at the University of Rhode Island, select the appropriate offices listed in the main university website (<http://www.uri.edu/>).

V.1. Library and Drug Information Resources

Faculty and staff have access to a wide variety of informational resources through the University's library system (www.uri.edu/library) and through Drug Information Services (www.uri.edu/pharmacy/drug_info). Medication specific information databases include: Clinical Pharmacology, Lexi-Comp, Micromedex, Natural Medicines Comprehensive Database, and Natural Standard. Literature search databases available include (but are not limited to): PubMed, EMBASE, International Pharmaceutical Abstracts, Cochrane Library, and the Web of Science. For journals not held either in text or electronically by the University, interlibrary loan is available.

Drug Information Services can also research questions about medications and dietary supplements for faculty and staff upon request.

V.2. Business Policies and Related Resources

<http://www.uri.edu/pharmacy/businessoffice/index.shtml>

V.3. Travel Policies

TAR/TEV:

TAR's submitted are subject to the approval of the Dean. All Funds (400, 401, 500 & 900) **require the Dean's Approval**. A copy of the TAR should be submitted to the COP Business Office for budget approval no less than 10 business days prior to the date of travel. The Business and Dean's Offices request that you allow 24 hours for processing TAR's and TEV's. An amendment or cancellation of a TAR should be submitted as soon as the traveler is notified. TEV's should be submitted to the department within one week after the traveler's return. The traveler is responsible for submitting all original receipts. The department will have 3 days to submit the TEV to the Business Office. (www.uri.edu/controller/travel) The Department will notify the PI/Traveler upon returning from the trip to submit a TEV and to reconcile the complete TEV to PeopleSoft and request accounting to unencumbered remaining Funds.

Mileage:

Travelers will be reimbursed for business use of personal vehicles at the federal government mileage rate in effect at the time of travel. Rates are updated on URI [Controller's website](#).* In addition to mileage reimbursement, tolls, ferries, and parking expenses incurred while on business travel are reimbursable. Original receipts are required. Submit mileage reimbursement within 60 days of the month in which the travel occurred. Effective July 1, 2008, request for reimbursement will not be paid if the request is not received **by the controller's office** within the 90-day window. *Mileage rate at: www.uri.edu/controller/travel

V.4. Grant Policies

V.4.a. Dean's Pledge

When a proposal is funded, the administrative work for final processing of the grant in the funding agency and the URI research office may take a few months. To facilitate the research for the already funded proposal and to minimized delay in research performance, the faculty can request a Dean's Pledge by providing a letter indicating the funded proposal from the funding agency, a budget, and a completed Dean's Pledge form to the department's business office and the Dean. The Dean's pledge should only be for three months of the budget (i.e., 25% of the Budget). After approval, the Division of Research and Economic Development will provide the faculty an account number to be used until the administrative procedure for the funded proposal is completed. The Division will charge the grant all the expenditures during the Dean's Pledge period at this stage.

V.4.b. Pre- and Post-award administration (list links to resources for grant submission, award acceptance, generation of RANs, close-out, etc.)

Pre-Award/Proposal Submission and Preparation

<http://www.uri.edu/research/tro/forms.html>

Post-Award/Grants & Accounting

http://www.uri.edu/controller/grant_contract.html

Pharmacy Business Office (with links to the above as well as internal procedures for purchases and travel).

<http://www.uri.edu/pharmacy/businessoffice/>

V.4.c. Grant and Contract Preparation

Faculty members must submit grant applications to the College Business Office to be logged in prior to submission through the Research Office. Internal approval for proposal transmittal must be obtained from the College of Pharmacy Business Office, the Department Chair and the Dean through their signatures on the URI Internal Proposal Transmittal and Budget Forms.

(<http://www.uri.edu/research/tro/tform08.pdf>). Adequate notice must be given to the Business Office to review and log in proposals before sign-off by the Dean and Department Chair.

Procedures for Awarded Grants and Contracts

Grant & Contract Preparation

Faculty members must submit grant applications to the College Business Office to be logged in prior to submission through the Research Office. Internal approval for proposal transmittal must be obtained from the College of Pharmacy Business Office, the Department Chair and the Dean through their signatures on the URI Internal Proposal Transmittal Form.

(<http://www.uri.edu/research/tro/tform08.pdf>). Adequate notice must be given to the Business Office to review and log in proposals before sign-off by the Dean and Department Chair.

Procedures for Awarded Grants and Contracts

Upon receipt of the award, Grant and Contract Accounting will assist the principal investigator(s) in the administration of their grants, contracts and other sponsored agreements. Gifts and grants

{Type II} to the University shall be processed and received by the University's Development Office. Upon receipt of a gift or grant {Type II} from a donor, the Development Office will record the donation and send a letter of a gift acknowledgement to the donor. If administrative fees are provided by the foundation or private source with Type II grants, then these funds will be deposited into a University account. For further clarification of this policy see the matrix at the end of this section of the Faculty Handbook (Administration of Contracts, Grants and Gifts). In cases where it is not clear or there is any doubt whether a proposal and/or external award is a gift, grant or contract, it shall be the responsibility of the faculty or staff member and his/her Dean/Vice President to contact and discuss the proposal and/or award with the Vice Provost for Graduate Studies, Research and Outreach. The Vice Provost for Graduate Studies, Research and Outreach, in turn, will review the proposal and/or award with the Associate Vice President for Development and the Controller.

Regardless of whether the external funds are a gift, grant, or contract, any project using human subjects, animal subjects, or radioactive material must be in compliance with all applicable University, State and Federal regulations. Further, regardless of whether the external funds are a gift, grant or contract, any intellectual property arising from the use of these funds shall be subject to the University Intellectual Property policy as detailed in the University Manual (http://www.uri.edu/facsen/MANUAL_08.html).

Where the faculty, staff or administrator obtains direct funding for a fellowship award (e.g., Fulbright, Nobel etc.), the researcher is advised to notify the Vice Provost for Graduate Studies, Research and Outreach upon receipt of the fellowship award.

Grant & Contract Accounting

Grant and Contract Accounting is responsible for the post-award oversight of all grants and contracts received by the University. This includes assisting principal investigators, creating and tracking awards in the PeopleSoft system, monitoring of expenses with regard to allowability, availability and appropriateness. They are also responsible for fund 500 signature authorization, billing, cash collection, financial reports, reconciliations, financial audits related to sponsored projects and monthly/yearly closing.

The College of Pharmacy Business Office will also assist faculty members with monitoring and tracking of expenses, and notification regarding changes in University purchasing policies. All faculty with active grants will receive upon request statements from the Business Office to facilitate expense management, and regular notification of changes to policies related to travel expenses, mileage reimbursement, and other purchasing policies. For an overview of purchasing guidelines, please see the URI purchasing website: <http://www.uri.edu/purchasing>. For other questions, please see the University grant accounting website for [manuals](#), [forms & information](#), [helpful links](#), [federal regulations](#), [federal agencies](#) and policies (http://www.uri.edu/controller/grant_contract.html).

Administration of Contracts, Grants and Gifts

2/14/2000

| Type of Award | 1 Sponsored Projects Contracts | 2 Type I Grant, Sponsored Research Projects | 3 Membership in Research Center | 4 Type II Grant, general support of research program | 5 Restricted Gifts | 6 Unrestricted Gifts |
|---|---|---|--|--|---|--|
| A Where are the funds deposited and administered? | Research Office | Public or private | Development Office/ URI Foundation | Private | Development Office/ URI Foundation | Private |
| B Are the funds from a public or private source? | Public or private | Public or private | Private | Private | Private | Private |
| C Does the award carry indirect cost or overhead or administrative fees? | Negotiated Government Indirect Cost Rates or Statutory Amount. | Statutory Amount. | If there are administrative fees, they are to be deposited in a University account. | Private | No Overhead. | Private |
| D What organization or entity owns inventions, copyrights, trade marks, or trade secrets created under the award? | Intellectual property owned by Board of Governors; may grant exclusive or non-exclusive rights to sponsor. See Intellectual Property Policy. | Intellectual property owned by Board of Governors; may grant exclusive or non-exclusive rights to sponsor. See Intellectual Property Policy. | Intellectual property owned by Board of Governors. Any intellectual property is disclosed to all members; interested members can apply for a license. See Intellectual Property Policy. | Ownership specified by Intellectual Property Policy. Donor has no rights to data or intellectual property. See Intellectual Property Policy. | No Overhead. | Private |
| E Are deliverables expected by the donor? | Demands deliverable such as a product or a service. | Deliverable such as test data or a report. | There are some benefits such as attendance at technical meetings, early disclosure of intellectual property created. | May require fiscal or program report for accountability purposes. | No | Yes |
| F Work must be in compliance with human and animal subject guidelines, etc. | Yes | Yes | Yes | Yes | Yes | Yes |
| G What is the agreement regarding work to be accomplished? | Price for deliverables defined in best effort work statement with beginning and end dates. | Best effort research as defined in the work statement. | Researcher determines direction of research in collaboration with members. | Researcher is free to determine direction of research. | If for research, monies to be used to support general research effort. | No agreement. Monies can be used for any valid purpose. |
| H Is any portion of the award a gift? | No | No | Yes | Yes | Yes | Yes |
| I What is the tax implication? | No tax implication for federal, state or government funds. If private could be IRS deduction for R&D. | | IRS donation or IRS deduction. | | IRS donation. | |
| J What is the OMB Circular A- 21 classification? | Organized | | Departmental | Departmental | | Departmental |

V.5. Outside Consultation (Article XXII, the Collective Bargaining Agreement)

<http://www.uri.edu/research/tro/compliance/conflict/URI%20Outside%20Consultation.pdf>

Outside professional activities for financial gain are allowed when not pursued to the extent that they conflict with the discharge of professional responsibilities and duties required by the Collective Bargaining Agreement. Faculty members may engage in professionally relevant outside consulting provided: 1) that the faculty member advises the department chairperson in writing in advance of the consulting; 2) that the Dean or the Provost may require the faculty member to cease such outside consulting if it conflicts with the normal duties of the faculty member; 3) that any and all use of the University's personnel, facilities, services, and equipment in conjunction with a faculty member's outside consulting be approved by the Vice Provost for Research in writing in advance of such use; and 4) that arrangements for the use of University personnel, facilities, services, and equipment shall provide for reimbursement of costs and overhead to the University at such sums as determined by the Dean in consultation with the chairperson, unless specifically authorized by the Vice Provost for Research; 5) the funds reimbursed to the University shall be administered by the Vice Provost for Research and shall be available for use for faculty professional development. Faculty should provide once a year a copy of their outside consulting arrangements to the Department chair and the Dean's office.

V.6. Conflict of Interests and Nepotism

http://www.uri.edu/facsen/APPENDIX_Gconts.html (University Manual Appendix G #83-5)

Conflicts of interest and nepotism in the activities of all employees of the University are prohibited. This is in addition to any other laws, regulations or policies which may apply to the same subject matter. Special exceptions are considered in those instances where an institution or agency can demonstrate that the University will suffer a genuine hardship in the pursuit of its purposes by reason of the application of the provisions of this section.