

**National College
of
Natural Medicine**



FACULTY HANDBOOK

PREFACE

This Faculty Handbook is intended to provide information on matters of importance to you as a member of the faculty at NCNM. This Handbook supplements the Employee Handbook with additional information, policies, and guidelines applicable to the faculty at NCNM. The Employee Handbook applies to all faculty members. The Employee and Faculty Handbooks are intended as guides to help you understand the policies and expectations of this organization. NCNM reserves the right to, in its sole discretion, interpret, delete, modify, change or discontinue any policy, procedure, or benefit described in this Handbook or elsewhere.

While it is the College's practice to provide advance notice of any deletion, change, modification or discontinuation of any policy, such changes may be made at any time with or without advance notice.

In case of conflict, the Employee Handbook controls over this Faculty Handbook and all previous handbooks, policies, benefit statements, oral statements or representations regarding the subjects covered in these handbooks and the terms and conditions of employment with NCNM.

The Faculty Handbook is not intended to be comprehensive or to address all possible situations. Rather, it is intended to be a general guideline of the policies and procedures applicable to faculty. These policies and procedures are based on the belief that common sense, good judgment, and consideration for the rights of others are paramount to our ability to serve our faculty, students, community, and ourselves.

Some subjects, such as benefit plan information, are only briefly summarized in the handbooks and are covered in detail in official policy documents and plan summaries. These documents, such as insurance policies and plan summaries, are controlling. Contact the Human Resources office for specific information on NCNM benefits.

Finally, please remember that the Faculty Handbook is not intended to create a promise or representation of continued employment for any length of time, nor does it guarantee any fixed terms and/or conditions of employment. **THIS FACULTY HANDBOOK IS NOT INTENDED TO AND DOES NOT CREATE A CONTRACT OF EMPLOYMENT.** It is your responsibility to familiarize yourself with the contents of this Faculty Handbook. Please contact the Human Resources office if you have any questions concerning the applicability of a policy or practice to a given situation.

This revised version of the handbook was approved by unanimous vote of the CAAA on June 16, 2011.

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PURPOSE AND ORGANIZATION

COLLEGE MISSION

It is the mission of the National College of Natural Medicine to educate and train physicians and practitioners in the art and science of natural medicine.

NON-DISCRIMINATION

NCNM strives to maintain an environment where human dignity prevails. Employees and members of all other constituencies of the College are extended fair and equal employment opportunities without regard to age, gender, race, color, national or ethnic origin, religion, disability, military status, veteran or current, marital status, sexual orientation, or any other protected class under local, state or federal law.

EQUAL OPPORTUNITY

NCNM, in compliance with local, state and federal laws and regulations, does not discriminate on the basis of age, gender, race, color, national or ethnic origin, religion, disability, military status, veteran or current, marital status, sexual orientation, or any other protected class under local, state or federal law; in any of its policies, procedures, or practices. This nondiscrimination policy covers admission and access to, and treatment and employment in, College programs and activities, including but not limited to academic admissions, financial aid, educational services, and employment at the College.

ACCREDITATION

National College of Natural Medicine is accredited by the Northwest Commission on Colleges and Universities (NWCCU). The Northwest Association is one of the seven regional accrediting bodies in the United States recognized by the US Department of Education.

The Doctor of Naturopathic Medicine degree at NCNM is accredited by the Council on Naturopathic Medical Education (CNME), a specialized accrediting agency for the naturopathic profession. The Master of Science in Oriental Medicine degree and the Master of Acupuncture is accredited by the Accreditation Commission for Acupuncture and Oriental Medicine (ACAOM), a specialized accrediting agency for the approval of programs preparing acupuncture and Oriental medicine practitioners. The Master of Science in Natural Medicine Research and the Post-Graduate Certificate in Botanical Medicine are accredited by the Northwest Commission on Colleges and Universities.

STRUCTURE

BOARD OF DIRECTORS

National College of Natural Medicine is incorporated as a non-profit Oregon corporation with no members and a self-perpetuating Board of Directors which governs the College.

The Board of Directors oversees the organization, maintenance, and development of the institution. As well, it hires the president, who heads the college administration and to whom the Board has delegated all aspects of the College's day-to-day operations including management of finances.

Faculty, staff, and students are represented on the Board of Directors in a non-voting capacity. Details of Board operations may be found in its by-laws.

ADMINISTRATION

Directly reporting to the provost are the deans of the Schools of Naturopathic and Classical Chinese Medicine, the dean of the Helfgott Research Institute, the library director, the dean of students, and the director of institutional research and compliance. The Council on Academic and Administrative Affairs is led by the provost and the chief financial officer and is composed of their direct reports and representatives from the Faculty Senate, the Student Government Association, and Staff Council. The Council is an advisory body, providing a forum for the discussion of all issues pertinent to administrative and academic affairs.

ACADEMIC DEPARTMENTS

There are two schools within the College, each led by a dean and supported by one or more associate deans:

Classical Chinese Medicine

Naturopathic Medicine

In addition, there is a research institute and department, led by a dean and offering a masters program in CAM research.

EDUCATIONAL POLICIES AND PROCEDURES

Educational policies are set by the provost. The dean and faculty support offices support and enforce these policies ensuring smooth operation of classes and educational consistency.

CLASS AND CLINICAL ROTATIONS ATTENDANCE

National College of Natural Medicine expects prompt and regular attendance at classes and clinical rotations. Any faculty member may require students to attend up to 100% of scheduled classes as a condition for passing a course. In addition to academic consequences, habitual tardiness or absence should be reported to the dean of students for disciplinary action under the Student Conduct Code. Each course syllabus should clearly outline the faculty attendance expectations. Students who do not attend the first day of class or clinic shift of a clinical rotation without an excused absence may be dropped from that course.

No more than two shift absences are allowed for a clinic rotation. A student who misses more than two shifts in a quarter will receive a failing grade and will be required to repeat the shift. Veterans with VA education benefits and students who are attending school with guaranteed student loans must have their attendance verified by a faculty member regardless of individual attendance policies. Attendance forms are given to faculty by the registrar at the beginning of the term. Taking attendance is the responsibility of the faculty member.

CLASS TIME CHANGES AND CANCELLATION

If a class must be canceled, the faculty member must contact their dean and the faculty support office. If the meeting time or place must be changed, the faculty member must contact the faculty support office by the morning of the particular class day that is being changed. If a morning class must be canceled, also post the change on Moodle if possible.

If a faculty member is unable to attend a clinic shift due to an illness or other problems, the faculty member must notify the Clinic Services Manager with sufficient advance notice to ensure that a substitute is found.

PROMPTNESS

Classes and clinic shifts must start and end on time. Classes and clinic shifts begin on the hour or half hour. Classes end at 20 or 50 minutes after the hour, depending on their length. For example, a one hour class that begins at 8:00 will end at 8:50. A one and a half hour class that begins at 8:00 will end at 9:20. Breaks may be taken, as convenient, for classes that last longer than one hour; two hour classes should have a 10 minute break approximately halfway through the two hour period. There are no breaks during a clinic shift.

TEXTBOOKS

Faculty are required to post textbook information in SONIS prior to registration for the next term. The bookstore will then pull its information from SONIS and place its orders accordingly. If faculty do not get the required textbook information posted to SONIS ahead of time, then they will need to contact the bookstore about their textbook needs. Failure to provide the bookstore with this information may result in required texts not being available when the students start classes.

TEACHING SUPPLIES

Requisitions must be filled out in advance when a faculty member requires supplies for a class. The faculty support office will supply the faculty member with a requisition form, which needs to be completely filled out and approved by the dean. The faculty support office will complete a purchase order, get it approved, and order the required supplies. Faculty members are reminded that some supplies require longer than two weeks to receive and should be ordered as early as possible to ensure timely arrival.

Faculty members are encouraged not to pay for supplies out of pocket as reimbursement may not be provided where there has not been prior approval from the dean's office. Unusual expenses must be approved by the dean of the program before they are incurred. There is a limited amount of money available for faculty to purchase textbooks in their course topics. These funds must be applied for by contacting the dean of the program in advance of purchase. Faculty are encouraged to seek promotional copies through publishers.

AUDIO-VISUAL EQUIPMENT

AV teaching equipment available at the College is handled by the audio-visual coordinator (AVC). Reservations for equipment not permanently assigned to a classroom should be made in advance through the AVC, or when the AVC is not available, online at www.ncnm.edu through the library webpage. Equipment is reserved on a first-come, first-served basis. *Under NO circumstances can equipment be moved from room to room without the permission of the AVC.* Requests for videotaping

a class or lecture should be made at least one week in advance with the AVC. If there is a need for other teaching aids, the faculty should check with the faculty support office.

LOCKED CLASSROOMS

Some classrooms in the academic building are designated as “locked classrooms”; this means that the classroom is kept locked at all times unless a class is in session. If a faculty member requires a key to a locked classroom, they need to fill out a key request form, which is signed by the dean of the program.

Locked classrooms are designated by a sign on the door of the classroom and also just inside the room. Currently, all lab classrooms are locked classrooms and include rooms 101, 206, 207, 220, 224, 226, 302, 308, and 320.

Note: It is the faculty member’s responsibility to be sure that all students have left the room and all doors to the classroom are locked before leaving the room.

GUEST LECTURERS

If it enhances the class, faculty members are encouraged to obtain guest lecturers who are willing to donate their time to the College. If the guest lecturer is unable to speak pro bono, a token honorarium may be available for one guest per term per class. When a faculty member wishes to request an honorarium for a guest lecturer, they must fill out a requisition providing the faculty member’s name, date(s) and hours, and the guest lecturer’s name and mailing address. This form must be signed by the faculty member and submitted to the dean for approval before a check request can be issued. The honorarium pay range, determined by the dean, is based on budgetary allowances. It is important that the dean and faculty support office know prior to the beginning of the term, when possible, the names, dates, and topics of guest lecturers so that applications can be made for Continuing Education credit, as well as arrangements made for taping the lecture. Normally, the College will pay for one guest lecturer per term for a given class, but if there is need for more guest speakers, faculty members should contact the dean to discuss their need.

COURSE INFORMATION FORMS

Course Information forms (course syllabi) must be available to students two weeks in advance of each term. Standard syllabi forms are sent in new faculty orientation packets and are available in the faculty support office or by email. They include the course name and number, faculty member’s name, academic term and year, faculty office hours, course objectives, texts (both required and recommended), attendance policy, and an outline by week or by topic. The criteria by which students will be evaluated also must be clearly stated. Faculty may require attendance in their classes of up to 100% of the contact hours. **A copy of all course notes must be filed in the faculty support office.** All syllabi must be available on the electronic reserve web site or Moodle two weeks prior to the beginning of the quarter. The library will provide instructions for and assistance with putting syllabi and course notes on the web site. The IT Department can assist with Moodle and either the library staff or faculty support can assist with eReserves.

COURSE MATERIALS

Course materials must be posted two weeks prior to the beginning of the quarter. Course materials include class notes and articles the teacher has prepared for the course. Faculty members must post course notes either on electronic reserves or Moodle. Faculty can obtain information on the electronic reserves or Moodle through the faculty support office or the library.

Any course material that cannot be placed on electronic reserves or Moodle must be printed through Clean Copy.

CLASS ROSTER

Faculty may print a class roster by accessing SONIS. Please see the Registrar or Faculty support for instructions.

CLASS SCHEDULE

The registrar develops each term schedule during the prior term and it is finalized by week 3. Faculty members are asked to complete a form for the registrar to keep on file stating their availability. It is the faculty member's responsibility to notify the registrar if or when their availability changes.

The registrar will notify contracted faculty members of their scheduled class times. Problems with the schedule should be discussed directly with the registrar. The schedule is always tight due to room space considerations, and requirements for maintaining a five-year program along with a four-year program sometimes necessitates revisions. Faculty members are asked to be as flexible as possible given their commitments, and to cooperate with the registrar's office in its ongoing efforts to develop and maintain a stable schedule for classes.

Faculty members are notified by email for the upcoming term's schedule. It is the faculty member's responsibility to check the schedules when they come out to ensure that they will be available at the scheduled times.

Student assignments on clinic shifts are disseminated to the faculty two weeks prior to the term commencing. Faculty are required to notify the registrar if a student does not show up to clinic rotation on the first week of the new quarter, as attendance during the first week is mandatory, unless there is permission from the dean of the program for that student to be absent. Faculty may print a class roster from SONIS. Faculty should report students who do not attend classes to the registrar within the first two weeks of the quarter.

GRADE SHEETS

Faculty are responsible for entering final grades in SONIS. Grades are due one week after the end of each term. Clinic rotation evaluations forms are placed in the clinical faculty mailboxes by midterms to allow for faculty to perform midterm evaluations of clinic performance. Clinic evaluations are due to the registrar office no later than one week after the end of each term.

CHILDREN ON CAMPUS

Children are a cherished part of our community; however, many areas of NCNM are not safe or appropriate for children. Children can be disruptive to the work environment when wandering in and out of offices, playing and running in the hallways and classrooms, and asking for attention in

various ways. They can also pose a financial risk to NCNM in the event that they are injured and NCNM is found liable.

NCNM facilities cannot accommodate children over 12 months of age due to insurance restrictions and safety of the students and employees. Daycare is not available on campus. Parents are required to make suitable arrangements for off-site childcare. Children are not allowed in classes or in clinics during shifts.

REMOTE CLASSROOM

Remote classrooms with audio/video live feeds are available for nursing mothers and others, only with the permission of the dean of students. Please note, not all classes are available for remote viewing due to their nature and specific instructor requirements. Babies in arms are permitted in remote rooms, but parents must find off-site childcare once babies begin crawling or are older than 12 months of age. Due to academic concerns regarding class participation and video education, students are permitted to use the remote classroom for a maximum of two terms during their degree (or dual degree) program at NCNM.

CHEMICALLY SENSITIVE STUDENTS

If students with chemical sensitivities are not able to spend significant time in certain classrooms due to adverse physical reactions, they may petition for permission to attend class via a remote classroom when available. The student applies, via the office of Student Services, and must have the permission of the dean and appropriate members of the faculty. This is not an option for laboratory or discussion classes.

BIOHAZARDOUS WASTE

Other than sharps (needles, broken glass, lancets, scalpel blades, etc.), all biohazardous waste is to be placed in clearly marked biohazard bags and disposed of in biohazard collection boxes located in the NCNM Clinic storage area and all laboratory classes. Sharps are to be placed in labeled approved sharps containers only, located in all clinic examination rooms, the clinical laboratory, and all laboratory classrooms. Sharps containers and biohazardous materials from community clinics must be brought safely back and placed in the collection boxes in the NCNM Clinic storage area.

HAZARDOUS WASTE

Hazardous chemicals will be stored and disposed of according to the Chemical Hygiene Plan. For specific protocols and additional safety information, faculty members are asked to consult with the safety officer and refer to the Employee Handbook under the Safety section for additional information.

INCIDENT REPORTS

Should a student, employee, patient or faculty member be involved in an incident in the clinics or the classroom involving exposure to biohazards, sharps or other injury, the faculty member is responsible for ensuring that the Incident Report form is filled out, and for contacting the safety officer or campus security by phone at the time of the incident. An Incident Report packet should be used to document the injury, any referrals for blood work, and any blood work drawn on a possible patient

source of infection. **This must be done immediately.** Incident Report packets can be found in all clinics and in the faculty support offices in the Academic Building. *Please refer to the “Employee Handbook” under the “Safety” section.*

If a faculty member is concerned about student behavior that may seem disruptive, dangerous or distressed, a report should be made to the Crisis Assessment and Response (CARE) Team for assessment. Members of the CARE Team include, but are not limited to, the Chief Security Office, program deans and the dean of students.

ACADEMIC POLICIES

REGISTRATION

The office of the Registrar will notify students regarding registration details. All continuing students register for the upcoming academic year’s summer and fall classes and clinic rotations by the end of spring quarter. Students may attend only the specific course sections and clinic rotations for which they are registered. Non-adherence to this policy will result in no credit for the course. Students may not register for courses, labs, or clinic rotations that occur at overlapping times. Credit will be earned for only one course during any given segment of time. All changes in courses and sections must be made through the office of the Registrar. Students who wish to register for less than the fulltime curriculum must receive written approval from the program dean or associate dean of academic progress and the registrar. No student may register for or begin classes after the end of the second week of any quarter.

ELIGIBILITY TO REGISTER

Non-matriculated students may register to audit courses with the approval of the registrar and the program dean. Approval is based upon space availability and meeting of prerequisite requirements. Graduates of accredited ND, MSOM, or MAc (AOM) programs may apply for entry into certificate programs offered at NCNM, provided they meet the specific requirements. Practitioners seeking continuing education units (CEUs) should contact the Advancement office.

TRANSFER CREDIT

Applicants wishing to transfer to any of NCNM’s programs must meet the following requirements:

1. An applicant who applies for transfer credit must meet the current admissions requirements at NCNM on the date the student applies for admission, including the verification of good academic standing. All transfer students must meet the prerequisites as stated in the catalog.
2. Credits being considered for transfer must be graduate level and completed at a U.S. Department of Education recognized and regionally accredited institution. Transfer credit will only be approved for courses from a professional degree program or a graduate program closely related to the health sciences. **See below for specific program requirements.*
3. Only credits recorded on an official transcript of the issuing institution with an equivalent grade of 2.00 or better on a 4.0 scale will be considered for transfer. If an application is

received before coursework at another institution has been completed, transfer credit will be considered to be conditional until satisfactory completion of the outstanding coursework.

4. Credits accepted for transfer must be determined by NCNM to be substantially equivalent to the courses offered by NCNM. This determination is to be made by the program dean or her/his designee. All requests for transfer credit are considered on a course by course basis, and a catalog or course description will be required. Challenge examinations may be required to determine whether coursework is comparable.
5. Credits accepted for the transfer of coursework must have been awarded within seven years of the date of admission to NCNM, except that NCNM may, at its discretion, accept older credits if the entering student holds a graduate degree in an academic discipline closely related to the health sciences, and has been working in the field.
6. The ND, MSOM, and MAc programs will take a minimum of three years education at NCNM, even with maximum transfer credit awarded, due to differences between programs.
7. NCNM cannot give transfer credit for life experience.
8. Applications for transfer credit must be accompanied by a letter from the applicant's previous program dean stating that the applicant is in good academic and behavioral standing at the time of application.
9. Credits will be evaluated for transfer before an offer of admission is made. The applicant will receive a copy of the transfer credit evaluation with a list of courses that must be taken at NCNM and a tentative class schedule for their first term, if they are admitted. Students will sign a letter agreeing to the final list of approved transfer credits.

Below are transfer policies specific to the School of Naturopathic Medicine and the School of Classical Chinese Medicine, beyond those in the general transfer policy section above.

***Transfer Credit Specific to the ND Program**

- Transfer credit will be considered for applicants to the ND program who are eligible to sit for the first professional medical licensing examination in the United States.
- Transfer credit will be allowed only for first year ND courses. NCNM does not accept transfers from other naturopathic institutions past the end of the first year. Credit for clinical experiences or clinical education at another school is not transferable.
- NCNM has a requirement that all ND students complete thirteen (13) elective credits in addition to the required core curriculum, in order to encourage students to take additional coursework in areas of special interest and round out their education at NCNM. Transfer students may be allowed transfer credit for some of their non-core coursework if completed in a doctoral program at a regionally accredited institution. This determination will be made by the ND program dean or her/his designee.

***Transfer Credit Specific to the MSOM or MAc Programs**

- Due to the classical orientation of the MSOM and MAc programs, only a limited number of credits from programs with a traditional orientation are transferable. Only AOM coursework completed at a school approved by the Accreditation Commission for Acupuncture and Oriental Medicine will be accepted for MSOM and MAc transfer.

EXAMINATIONS POLICIES

Examinations and other evaluations are given at the discretion of the faculty member during the assigned class time. Description of the examination policies for individual classes should be included in the course syllabus distributed to the students at the beginning of each term for each class. Weekly quizzes, midterms, and finals may all be given in a particular class.

Final exams are given at scheduled class times. Only lab finals and practical finals for classes that are full term may be scheduled prior to finals week during week 11.

FAILURE TO FOLLOW EXAMINATION PROCEDURES

It is assumed that NCNM students are honest. However, failure to follow examination policies on an exam should be reported by the faculty member to the program dean and the dean of students shall result in failing that test and the student shall be subject to the sanctions set forth in the Student Conduct Code in the Student Handbook.

EXAMINATION SCHEDULE CHANGE

Students are required to complete all examinations on schedule. In cases of severe illness, bereavement or family emergency, please see the policy on Petitioning for Excused Absences in the Student Handbook. Please see the Financial Policies section regarding fees. A student may postpone final exams for health reasons no more than twice in their academic career. Need for a third examination deferral requires approval of the dean of students. Deferred exams must be taken within **three days of the approved excused absence** and must be scheduled through the specific academic department. After one week from the approved excused absence date, make-up exams are no longer available.

Faculty members must approve all examinations that are taken at other times than the actual scheduled exam time, unless the student has an approved excused absence. Faculty are allowed to let an unexcused student make up an exam at their own discretion. An unexcused absence from an examination or major graded exercise will be considered a failure. Excused absences allow a student to make up an exam without additional fees.

CHALLENGE EXAMINATIONS

NCNM policy allows an individual to challenge by examination the content of a required course. The faculty member responsible for the course being challenged prepares the exam after ensuring with the dean of the program that the previously taken course material may be adequate to challenge the course. This option is available to students who have appropriate prior coursework as outlined in the transfer credit policies available from the office of Admissions. Challenge exams may be given when

there is a difference in hours between a transfer course and the college's course and/or a question of equivalency of material covered.

Challenge examinations must be taken prior to the offering of the course that is being challenged, with the exam taken, graded, and the grade submitted to the registrar no less than two weeks prior to the start of the quarter in which the course is offered. To be considered for a challenge exam, the student must:

- Complete transfer credit review during the admissions process to identify which courses may be eligible for challenge. Students who are applying for transfer credit reviews must sign the "NCNM Transfer of Credit Agreement" form upon admission to the college. Transfer credits will not be considered after matriculation.
- Complete a challenge exam form obtained from the registrar
- Have the challenge exam application approved by the faculty member and dean of the program in which the course is offered
- Pay the challenge exam fee

The challenge exam fee is 50% of the course tuition in addition to a \$60 exam fee. See the Financial Policies section for information on fees.

CREDITS

One credit represents 12 classroom lecture hours per term, 24 lab hours, or 24 clinic hours.

AUDITING

Students may audit a course, space allowing, if they have met the prerequisites, have obtained the instructor's and the dean of the program's consent, and have registered for the course. The course will appear on the student's official transcript as an audit. The student will not be evaluated or receive credit. Classes taken as an audit must be declared by the end of the second week of the quarter. Audited courses are not eligible for challenge exams. See the Financial Policies section for information on fees.

GRADING AND PROMOTION

NCNM maintains high standards of scholarship and at the same time recognizes its responsibility to provide each student the best opportunity to complete the program successfully. At the beginning of each course, the instructor is required to define clearly for the members of that class the objectives of the course, and the standards and methods by which student achievement will be measured. At the end of each course, each student's performance is reported to the registrar, using the following grading system:

- H (HONORS) superior performance
- P (PASS) satisfactory performance
- FR (FAIL REMEDIATE) marginal performance (temporary grade and unavailable for clinic rotations)
- RP (REMEDIED PASS)
- F (FAILURE) unsatisfactory performance (permanent grade)
- F* (FAILED REMEDIATION EXAM)

- I (INCOMPLETE) course requirements not yet completed due only to serious illness or bereavement (temporary grade)
- W (WITHDRAWAL) student withdrew from course
- WF (WITHDRAWAL, FAILING) student withdrew from course while failing
- AU (AUDIT)
- CMP (COMPLETED)
- IP (IN PROGRESS)

Grade of “FR”

FR (fail remediate) is a temporary grade. Students who fail a course may receive an FR grade rather than an F (fail) if, in the judgment of the instructor, it is likely that the student could pass the course by successfully taking a remediation exam. In order to have the FR grade as an option, faculty must include it in their syllabus. The FR grade is given at faculty discretion and should only be given to students who are very close to passing (within 1-10 points on a 100 point scale).

Students who receive two or more FR grades (regardless of whether they have been changed to RP) will be placed on academic probation and must sign an academic contract. Students earning three or more FR grades (regardless of whether they have been changed to RP) will be required to appear before Academic Review and Appeals Committee (ARAC) and may be dismissed.

An FR grade that has not been remediated by the end of the second week of the following term (for a spring term course by the end of the third week of summer term) will automatically be changed to an F. Some courses do not lend themselves to this approach, and it is at the discretion of the instructor whether they use this grade. “FR” may only be converted to a “RP” or a “F*,” not an “H.”

Grade of “RP”

Students who pass the remediation exam will earn a permanent grade of RP(remediated pass).

Grade of “F*”

Students who fail will receive a permanent grade of F* (failed remediation exam). For further explanation of a failing grade, please see below.

Grade of “F”

When a student receives a failing grade in a required course (including clinical rotation), she/he must repeat the course the next time it is offered, usually the next year. The student is prohibited from continuing in any courses for which the failed course is a prerequisite. The student will repeat the course at the current per-credit rate. Any naturopathic student failing a clinical rotation will be required to register for and attend skills-building.

Grade of “I”

A grade of “I” or incomplete is given when a student has satisfactorily completed a minimum of 80% of the course and is unable to complete the course during the term the course is offered. Incomplete grades should only be issued in the case of illness, bereavement, or circumstances beyond the students’ control. Incomplete grades should be given only if the student has an approved absence excuse issued by Student Services. A student receiving an “I” grade is responsible for completing the course requirements as specified by the instructor and for seeing that the registrar receives proper notification of the grade change. A grade of incomplete that is not converted to a passing grade by

the deadline specified in Section 5.2 of the Student Handbook will automatically become a grade of “F.”

Under extenuating circumstances, an instructor may extend the deadline for an incomplete grade by notifying the registrar in writing of the extension and a date by which the grade must be resolved; an extension may be no longer than one year, after which time it will convert to a fail grade. If the grade of “I” is due to ongoing illness and cannot be made up by the deadline, the student will be required to take a medical leave of absence for the quarter and will be allowed to complete the course material upon return from medical leave. Students who apply for a leave of absence and have not completed 80% of course work will receive a grade of “W” for the class, and will need to repeat it upon return from leave. A withdrawal will affect the student’s ability to continue in certain course sequences in subsequent quarters. Any student who is failing the course after week 8 is not eligible to request an incomplete and will receive a grade of “WF.”

Grade of “CMP”

This grade is used for courses in which the student is required to attend, but no evaluation is given, such as Community Education in which the student is required to complete a certain number of hours, or Skills Enhancement in which the student is required to attend and receive tutoring in a specific area.

COLLEGE ADVISING

Upon entering NCNM each student is assigned an advisor by the associate dean of academic progress. Faculty advisors include all full time faculty and a select group of administrative faculty members. College advisors are ongoing contacts for the assigned student throughout the duration of the student’s enrollment. College advisors facilitate a connection to the institution, ensure that students understand general academic policies and procedures, serve as a student advocate, and assist in general student support. Advisors help students by referring them to appropriate staff and other resources. They will also be a point of contact for other faculty to register any concerns and, when needed, serve as a starting point for a college response.

Advisors are required to meet with their first-year advisees early in the academic year and then on an as-needed basis. Advisors have a file of resources to help guide the student appropriately. Academic advising is managed by the associate dean of academic progress.

ACADEMIC ADVISING

The associate dean for academic programs administers academic advising for all students. Guidance is available to assist in creating a personal timetable for students on an extended program, as well as for academic and professional progress. Students who are not making satisfactory academic progress must meet with the associate dean for academic progress. Students who are pursuing any program other than the standard four-year ND, four-year MSOM, four-year MAc or six-year dual track must meet with and receive approval from their program dean or associate dean and the registrar to ensure all requirements are met.

Faculty advisors are notified in writing when a student they have been advising has been placed on academic probation or has a sanction imposed on them for non-academic behavior. The faculty advisor is expected to contact the student concerning the issues to ensure that the student is accessing the assistance available to them.

The associate dean for academic progress is responsible for advising on:

- Academic probation and academic contracts
- Changing tracks (four to five year, e.g.)
- Leaves of absence (regular or medical) or withdrawal from the institution
- Questions regarding the dual track
- Requests for permission to take exams early or late (in extraordinary circumstances only)
- Independent studies
- Grade appeals
- Petition for excused absences

SATISFACTORY ACADEMIC PROGRESS

Students must maintain satisfactory academic progress toward a degree in order to continue in the program. Moreover, federal regulations require that financial aid applicants and recipients maintain satisfactory academic progress toward their degrees. Satisfactory academic progress is defined as follows:

- Students must achieve a “pass” or “honors” grade in all required courses.
- Students must pass a minimum of 33 credits in an academic year, including all required courses for fulltime ND, MSOM, MAc or dual track.
- Students must complete all coursework and meet graduation requirements within six years of matriculation into the MSOM or MAc program, or within seven years into the ND or dual track.
- Students must pass all clinic exam requirements, including Graduate Proficiency Assessments (GPAs) in the ND program; Clinic Entrance and Exit Exams in the MSOM and MAc program.

ACADEMIC PROBATION

Students failing required courses will be placed on academic probation. When placed on probation, all students must meet with the associate dean of academic progress to sign an Academic Contract within one week. This agreement will delineate a timetable for repeating failed courses, identify other needed resources and requires that the student not fail any other required courses during the probationary period. Students may not register or receive financial aid until a current Academic Contract is on file in the Registrar’s office. Students who fail to complete an Academic Contract will be withdrawn from any courses in which they are currently enrolled. Students are advised to meet with their college advisors to discuss and create an academic action which includes strategies for successful completion of their program.

Students are removed from academic probation once any courses or clinic rotations are repeated and passed and the terms of the Academic Contract are met.

UNSATISFACTORY ACADEMIC PROGRESS

Students who do not make satisfactory academic progress may be referred to the Academic Appeals and Review Committee (ARAC). This committee reviews student progress both in required courses and in the clinic. ARAC makes recommendations to the program dean for final determination. The student provides all supporting documentation they wish to have reviewed by the committee two days prior to their meeting with the committee.

Essential elements reviewed include but are not limited to:

- Failure of a course or clinic rotation.
- Failure to complete an Academic Contract in a timely manner.
- Failure to comply with the terms of an Academic Contract
- Violations of professional conduct.

The committee will review the situation, meet with the student and take action. Possible actions include:

- Revised conditions of the academic contract.
- Suspension from NCNM or from a specific program for up to a year.
- Dismissal from NCNM or from a specific program.

Dismissals from the College may occur in the following cases:

- Failure to satisfy an academic contract.
- Failure of two clinic rotations in an academic year.
- Failure of three required classes in a given quarter.
- Failure of two sequential classes.
- Failure of same class twice.
- Violations of professional conduct.
- Failure to meet the technical standards.
- Receiving three or more RPs in an academic career.

The ARAC may recommend, but is not limited to, one of the following to the program dean regarding the student's change of status:

- a) Suspension from a single college program, or from all college programs for up to one year; or
- b) Termination of education at NCNM; or
- c) Probationary status requiring counseling or support for the conduct in question; or
- d) Development of a revised Academic Contract outlining a timeline for converting the failing grades to passing grades that may include restrictions on new coursework undertaken by the student until the failing grades are changed. This will allow financial aid eligibility to be maintained.

APPEAL OF ACADEMIC DISMISSAL

A student who is suspended or dismissed will have three (3) business days from the date of the dismissal notification to submit an intention to appeal to the provost in writing. Afterwards, the student has seven (7) business days to submit the written appeal to the provost. The provost will respond with a final decision within five (5) working days, based on assessment of the information presented by the dean and the committee and his/her investigation of procedure. Such an appeal must contain the basis for the appeal limited to one or more of the following issues:

- Failure of the dean of the program or the Academic Appeals and Review Committee to follow the procedures set forth in the policy on Unsatisfactory Academic Progress
- Dismissal is too severe a sanction for the academic issues
- Information relevant to the decision that was not available or not considered by the Academic Appeals and Review Committee

The provost may elect to uphold the decision of the dean, reverse the decision, request a different resolution, or refer the case back to the Academic Appeals and Review Committee in light of new information that was previously not available to or considered by the Academic Review and Appeals Committee.

HONOR COUNCIL

The Honor Council is a standing committee, composed of three faculty members, with representation from both programs, a student representative and a staff member. The committee meets monthly to review written complaints and performance reports that reflect a failure of a student to maintain behavioral standards according to the Honor Code. Behavior standards include but are not limited to honesty, respect, interpersonal skills, deportment and demeanor, learning skills, professional behavior and communication skills. The committee reviews all reports which may be submitted by faculty, staff or other students. The Honor Council, depending on the nature and severity of the report, may request the dean of students to do a Code of Conduct investigation. The committee does not accept anonymous reports.

After reviewing all information, including on occasion a request for a student to meet with the committee to discuss reported problems, the committee makes recommendations to the dean of students. An accumulation of non-academic performance reports in a student's file may interfere with the student's progress through the program if it is deemed that the behavior interferes with the progress as a developing physician. If the Honor Council determines that the frequency of reports or the seriousness of a report demonstrates a problem, they may recommend to the dean of students that the student be placed on disciplinary probation. Thereafter, any reports forwarded to the Honor Council may serve as a basis for the committee to recommend dismissal. Meetings of the Honor Council are not legal proceedings. No attorneys may be present at any meeting of the committee.

The committee may recommend to the dean of students one of the following considerations after reviewing a student file:

- The student is progressing appropriately. No further action is required.
- A letter of warning outlines policy with a reminder adherence.
- The student has areas of deficiency and remedial work may be required. This may include, but is not limited to, counseling, tutoring, repeated course work or restricted enrollment in certain courses. A letter of warning may be given.
- The student does not currently demonstrate the appropriate behaviors, attitudes, skills or knowledge required for the program and is placed on probation for behavioral reasons. A student placed on probation for behavioral reasons may be required to perform remedial work which may alter the course of study. In this case any additional reports forwarded to the committee showing concern may result in dismissal from the program.
- It is recommended that the student be dismissed.

Reports and letters outlining decisions made by the Honor Council and/or dean of students are maintained in the student's files in the program dean's office and in the office of Student Services. Honor Code reports do not affect a student's academic record. Copies of reports and letters will be shredded after five years in compliance with retention policy.

APPEAL OF HONOR COUNCIL DISMISSAL

A student suspended or dismissed will have three (3) business days from the date of the dismissal notification to submit an intention to appeal to the provost in writing. The student then has seven (7) business days to submit the written appeal to the provost. The provost may refer the appeal to the Student Appeal Committee. The provost will respond with a final decision within five (5) working days, based on assessment of the information presented by the dean and the committee and his/her investigation of procedure. Such an appeal must contain the basis for the appeal limited to one or more of the following issues:

- Failure of the dean of students or Honor Council to follow the procedures set forth in the Student Handbook;
- Dismissal is too severe a sanction for the academic issues;
- Lack of substantial evidence in the student's record to support the finding.

The provost may elect to uphold the decision of the dean, reverse the decision, request a different resolution, or refer the case back to the Honor Council in light of new information that was previously unavailable. Please refer to section 14.5 for referrals to the Student Appeal Committee.

ADMISSION FOR NATUROPATHIC CLINICAL TRAINING

In order to begin clinical training at the third-year level, students must meet the following requirements:

1) Satisfactory completion (passing grades) of the following courses and sequences:

- Anatomy sequence
- Cellular Systems sequence
- Organ Systems sequence
- Clinical/Physical Diagnosis sequence
- Pathology sequence
- Physical Diagnosis Lab sequence
- Lab Diagnosis sequence
- Medical Histology
- Microbiology/Public Health
- Basic Science Clinical Correlations Sequence
- Clinical Case Presentation Sequence

2) Successful passing of Clinic Entrance Exam (GPA-1)

3) Student cannot be on Academic Probation

MSOM CLINICAL INTERNSHIP PREREQUISITES

Students may begin their internship only after they have successfully completed the following prerequisites:

- All coursework from the first three years of the four-year MSOM program (first five years of the six-year dual degree program).
- 248 hours of clinical observation.
- Passing the clinic entrance exam and approval by supervisors. This exam is designed to assess student abilities as to appropriate communication skills, diagnostic, and treatment skills.

- Internship authorization by the Oregon Board of Medical Examiners (OBME). The clinic administration will facilitate this process during the term prior to their first internship assignment.
- Passing the Council of Colleges of Acupuncture and Oriental Medicine Clean Needle Technique (CCAOM CNT) course and providing a copy of the certification to the dean of clinical operations.
- Must not be on Academic Probation.

GRADUATION REQUIREMENTS

Candidates for graduation must:

- Satisfy all courses in the prescribed curriculum
- Satisfy clinic requirements
- Satisfy all financial obligations to NCNM
- If a transfer student, complete at least three years of professional training enrolled as a student at NCNM.
- If a second professional degree student, complete at least two years of professional training enrolled as a student at NCNM.
- ND students commencing their studies after July 1, 2005, must complete a minimum of 13 credits of electives.

(A prerequisite now not co-requisite.) Only students who have completed all their academic coursework, MSOM/MAC thesis, ND case papers, and clinic hours by the scheduled commencement ceremonies may participate in the ceremony and in taking the oath. Students who have not completed all requirements may participate in the following year's ceremony. In rare cases, a student who has completed all their coursework except for a small number of clinical hours may be allowed to walk in graduation ceremonies. Petition to participate in commencement ceremonies must be made to the program dean by the end of week one of spring term preceding graduation; the petition must outline the clinical work that they have not completed and give evidence that they will be able to complete this outstanding work by the end of the following summer quarter. Failure to complete the outstanding hours during the summer will result in the student being required to pay a fee to complete this work in the fall quarter. A diploma will not be issued to these students until they have completed all required work, and they will not be allowed to take licensing examinations until they have completed all required work.

VOLUNTARY LEAVE OF ABSENCE

Students considering a leave of absence must schedule an appointment with the dean of students. A student may apply for a leave of absence of up to one year, which entitles the student to re-enter NCNM provided there is space in her/his class during the next calendar year. Students taking less than a full year off may not be allowed to continue with a full class load due to sequential courses and missing prerequisites and may be required to enter a new educational track approved by their program dean and registrar. The program deans and/or associate dean for academic progress can guide students through their new schedule, along with input from the Registrar's office.

The registrar must be advised of a student's intention to return to NCNM at least 30 days before the beginning of the quarter in which she/he plans to register. If a student does not return within one year, she/he will be considered administratively withdrawn from NCNM and required to submit a new application for admissions. A leave of absence normally will be granted to any student who is in good standing (i.e., has no outstanding grades of Incomplete, Fail Remediate or Failure for required

courses and is not on academic or disciplinary probation) and who has satisfied all financial obligations to NCNM. The registrar will instruct students to fill out and submit a Returning Student Notification form to the following offices: Registrar, Financial Aid, Business Administration and Student Services with the form being returned to the Registrar's office when completed.

MEDICAL LEAVE OF ABSENCE

Students considering a medical leave of absence must schedule an appointment with the dean of students. In the case of a medical leave of absence, which may be granted to a student on academic probation, appropriate documentation is required from the attending physician. The physician must indicate the necessity of granting the leave. Students who are on medical leave of absence cannot participate in any academic activities, including remediating incomplete grades or exams, and/or participating in clinical rotation shifts including field observation. A student who wishes to return from a medical leave of absence must provide to the dean of students adequate documentation from the attending physician demonstrating the student's fitness for returning to the program. After documentation has been reviewed and accepted by the dean of students, the registrar will be advised of the student's intention to return to NCNM. The advisement of a student's intention to return must be given within 30 days of intended return, and before the beginning of the quarter in which she/he plans to register. The registrar will instruct the student to fill out and submit a Returning Student Notification form to the following offices: Registrar, Financial Aid, Business Administration, program dean and Student Services; the form should be returned to the registrar's office when it is completed.

If a student on leave does not return within one year, she/he will be considered administratively withdrawn from NCNM and will be required to submit a new application for admission. Any incomplete grades will be converted to a failing grade. The student will need to satisfy admission requirements in effect at the time of reapplication, but may request that the application fee be waived.

WITHDRAWAL FROM SCHOOL

Students considering withdrawing must schedule an appointment with the dean of students. Students withdrawing at any time during the school year must complete an exit interview with the financial aid office and a Status Change form. Failure to register for any quarter is considered a withdrawal and the student will need to submit a new application and application fee for admissions to re-enter.

FEDERAL LOAN EXIT INTERVIEWS

Federal regulations require that any student who has received a federal loan while attending NCNM and who leaves for any reason, including official leaves of absence, must participate in a loan exit interview. Loan exit interviews are conducted by the Financial Aid office.

INDEPENDENT STUDY

A required course may be completed as an independent study only in exceptional circumstances. Scheduling conflicts may occur for transfer, second professional degree students admitted with advanced standing, or for students who have had their normal program progress interrupted (e.g., medical leave of absence). This option does not apply to students following standard program plans. Independent studies can be arranged for required courses by contacting the program dean and appropriate faculty. See the section on Financial Policies for fee information.

CONDUCT AND PROFESSIONAL STANDARDS

NCNM expects all students to maintain professional standards of conduct and appearance. These standards are found in the academic and nonacademic policies and procedures section of the Student Handbook, and in the Clinic Handbook and Honor Code. The Naturopathic Oath, the Classical Chinese Medicine Oath, state laws and regulations, and documents of professional organizations such as the American Association of Naturopathic Physicians (AANP) and the American Association of Acupuncture and Oriental Medicine (AAAOM) provide further insight concerning professional standards of conduct. The Student Conduct Code in the Student Handbook specifies procedures for investigating violations of college policies and the sanctions that may be imposed.

STUDENT RECORDS

The registrar maintains permanent records of each student enrolled at NCNM. A student's record contains an application file, personal information necessary for the business of NCNM, grade reports, and records of any official action by NCNM concerning that student. The Business office, Financial Aid office, Student Services office, and Academic office may also maintain student files as required by their respective functions. These records may be examined by the individual student upon written request. NCNM adheres to the intent of the Family Educational Rights and Privacy Act of 1974 (the Buckley Amendment) and to that end will observe the following guidelines:

- College officers may review student records.
- NCNM holds the following information as directory information, which may be disclosed in response to legitimate requests: name, address, telephone number, email address, dates of attendance, enrollment status (full-time, part-time, leave of absence), academic program, graduation date and awards received.
- Personal information about students will not be shared with third parties on or off campus, except as directed in writing by the student, the courts, or governmental authorities.
- A student who believes information contained in official records is inaccurate, misleading, or a violation of privacy may request that the records be amended.
- A student has the right to file complaints with the appropriate agencies concerning alleged failures by NCNM to comply with applicable laws and rules and/or their implementing regulations.
- In the event of a disagreement between student and administration as to the disposition of an issue, the student has the right to have placed in her/his academic file a statement reflecting her/his position. Each student is responsible for furnishing, completely and accurately all information required by NCNM so that it may perform its proper function as an educational institution. If a student's circumstances change (e.g., name, address, financial situation, etc.), she/he is responsible for seeing that appropriate college officials are informed of the changed circumstance as soon as possible. No part of a student's file, except directory information as noted above, will be released to any person outside of NCNM without written consent of the student, except as required by law. Records for students attending NCNM under the provisions of the Veterans Administration will be accessible to certain authorized state and federal personnel without prior consent in accordance with 45 CFR, part 99.31 and part 99.35.

The Buckley Amendment does not apply to employment situations, nor does it apply to candidates for matriculation to NCNM. However, Human Resources and the office of

Admissions adhere strictly to guidelines of professional conduct. All student admission applicant and employee applicant records are the property of NCNM and will not be released or returned except as outlined above.

CHANGE OF PROGRAM TRACK

Students are admitted on a specific educational track (see catalog for listing of available tracks). Students are required to take courses only as specified in each educational track. After matriculation students may request to change tracks to any of the standard educational tracks by submitting a Track Change Form to the Registrar's Office. Once approved students must then follow their new educational track. Students may deviate from the standard educational tracks for the following reasons: chronic illness, bereavement, or academic accommodations and considerations. Deviation requests must be accompanied by the appropriate documentation before approval can be given.

All change-of-track requests must be completed by week 8 of the quarter prior to the quarter in which the change takes effect. No change-of-track fee will be assessed for the initial change; however, any subsequent changes will be assessed a change-of-track fee of \$500.

ADDING/DROPPING COURSES

Academic Courses

Students may register online for elective courses or change sections up to 2 weeks prior to the beginning of each term, after which time an Add/Drop form must be submitted to the registrar's office with the appropriate signatures. Students may not deviate from the established curriculum unless they have submitted and received approval via a "Deviate from Standard Policy" form. Courses may be dropped weeks 3-6 with proper signatures. The grade for courses dropped weeks 3-6 will be recorded as "W" (withdrawal passing) or "WF" (withdrawal failing). Students may not drop after week 6. Non-attendance in any course will earn a grade of "F." Weekend courses may be added or dropped up to the day before they begin based on the same criteria as above. Weekend courses that are dropped before they begin will receive a 100% tuition refund. **Lab and retreat fees are non-refundable once the term begins.** In addition, students who are on federal financial aid and whose reduced course loads change their status from full- to part-time must meet with the director of Financial Aid.

All core curriculum courses require a dean's signature to qualify as an approved dropped course.

Week one of term – Students may add/drop/change sections/change to audit and receive a 100 percent refund.

Week two of term – Students may add/drop/change sections/change to audit and receive a 100 percent refund. Students withdrawing from school completely will receive a 90 percent refund and a grade of "W" reflected on their transcript.

Week three–six of term – Instructor signature required and instructor must indicate drop/pass or drop/fail; refund of 80 percent, 70 percent, 60 percent or 50 percent, respectively.

After week six students may no longer drop a course. If a student withdraws from school, no refund is allowed and a grade of "W" will be recorded on their transcript.

All courses starting after week one of the term will follow the same add/drop policy as outlined above, including weekend courses.

Clinic Rotations

To add or drop a clinic rotation, students must have an Add/Drop form approved by the assistant registrar. Students have a three to five day period after the first clinic schedule has been posted to make any additional changes in their clinic rotation schedule (add or drop) without being charged. This period is known as the “schedule adjustment” period. The actual deadline date is indicated on all schedules posted on campus prior to the beginning of the term. A \$50 add/drop fee will be charged for any shift changes after the deadline date, which is approximately one week after the “schedule adjustment” period has ended. Students who request any changes in their clinic rotations after the deadline must fill out the “General Appeal to Deviate from Current Policy or Requirements” form and submit it to the assistant registrar. A decision will be made, and then the student will be notified by the assistant registrar of the outcome. Students are responsible for attending their current clinic rotations until decisions are finalized. All fees concerning clinic rotations will apply.

FULL-TIME/HALF-TIME STUDENT STATUS

Full-time student status requires enrollment of no fewer than 11 credits per quarter. Students who are on financial aid, who reduce their course loads from full-time to part-time status, must meet with the director of financial aid. Half-time student status requires enrollment of at least 5.5 credits and no more than 11 credits per quarter. A dual-track student must maintain a minimum of 6 ND credits per quarter in order to maintain satisfactory academic status.

FACULTY POLICIES AND PROCEDURES

FACULTY STATUS

There are four types of faculty status at NCNM: full-time instructional faculty, part-time or adjunct instructional faculty, administrative faculty, and emeritus faculty.

Full-time instructional faculty: These are employees whose major assignment is to teach courses listed in the college catalog. Their responsibilities, working conditions, and benefits are stipulated in a biannual contract, and they are paid according to the appropriate faculty salary schedule. They are assigned an appropriate rank upon being hired, and have the option of applying for promotion in rank through the portfolio system outlined elsewhere. Full-time instructional faculty status is characterized by a contract that carries 39 or more credits/units per academic year.

Part-time instructional faculty: These are employees who teach specific courses for which they are academically qualified, but who normally bear none of the other responsibilities of full-time instructional faculty such as advising, committee work, and college governance. They are paid on a per-credit basis according to the remuneration rate that is stipulated in a contract or letter of intent. Part-time instructional faculty are welcome at faculty meetings, but are typically not required to attend them. They are not eligible for rank.

Administrative faculty: These are employees whose major assignment involves administrative duties rather than teaching duties. The typical administrative faculty person is likely to do some teaching or coaching or faculty leadership work in addition to their primary administrative work. Administrative faculty are essentially staff personnel with rank and faculty status. They are paid like other staff positions, and may have the same benefits as other staff; but they do not sign contracts.

They are also eligible for promotion via the portfolio system, but a promotion in rank does not obligate the college to increase the administrative faculty person's salary as it does for full-time instructional faculty. Administrative faculty salaries are based upon the staff grading system, and academic rank is not a criterion in that system.

Emeritus faculty: These are retired faculty who have been recognized with emeritus faculty status as a high honor of achievement. See the next section below for further information about this faculty status.

The president, provost, programmatic deans and chairs, dean of research, residency program director, and library director have administrative faculty status by virtue of their positions. Other individuals can be designated as administrative faculty if their position warrants it by virtue of their participation in teaching or other typical faculty responsibilities. The provost is the final arbiter of who shall have administrative faculty status, and may seek counsel from the faculty development committee in that regard.

Administrative faculty are assigned rank when they have completed the portfolio system that NCNM uses to promote faculty. Documentation regarding the portfolio system is available on the website.

EMERITUS FACULTY APPOINTMENT POLICY AND PROCEDURE

Policy:

In recognition that the research and professional activities of outstanding faculty continue beyond retirement, it is the policy of NCNM to honor qualified retired faculty with emeritus status. The provision of emeritus status confers a high honor of achievement upon worthy recipients; it encourages selected faculty to continue with their research and/or professional activities; and, finally, it helps to maintain a formal connection between retired faculty and the college, to their mutual benefit.

NCNM faculty members who meet the following criteria are eligible for emeritus faculty status:

1. Retired from NCNM with a minimum of 10 years of service as a full-time faculty member.
2. Vitae of outstanding achievement in research and/or service to the profession.

Procedure:

1. Program dean submits a nomination letter to the faculty development committee prior to retirement of the nominee. The letter should include a brief explanation of the nominee's qualifications for emeritus status, plus a brief outline of major accomplishments at NCNM. A copy of the nominee's CV should be included with the nomination letter.
2. The faculty development committee interviews the nominee, and makes a recommendation to the Provost within 30 days of receiving the nomination letter.
3. The Provost makes a final decision regarding the nomination for emeritus status, and informs the nominee in writing within 10 days of receipt of the recommendation from the faculty development committee.

Emeritus entitlements and benefits:

1. Emeritus status is to be effective for the life of the retired faculty member.

2. Emeritus faculty shall receive an NCNM identification card indicating emeritus status, an NCNM email account and business cards (if needed), and shall be listed with faculty in catalogs and directories.
3. Emeritus faculty shall have the same library privileges as other faculty. This includes, but is not limited to, remote access to library databases.
4. Emeritus faculty may petition for the use of office space and/or campus resources to the Provost's office. Requests of this type may be difficult to accommodate, depending upon space and resource constraints of the college.
5. Emeritus faculty may apply for campus parking permits as is the case for current faculty members.
6. Emeritus faculty may propose and receive grants, contracts, or projects on the same basis as other faculty, in accordance with regular college procedures.
7. Emeritus faculty may participate in college public ceremonies, such as commencement and convocation exercises, as is the case for current faculty members.
8. Emeritus faculty may teach on a part-time basis at NCNM, may serve as guest lecturers, and may participate on thesis committees.

ELIGIBILITY FOR FACULTY APPOINTMENT

Physicians and acupuncturists appointed to academic teaching positions at NCNM are required to be eligible for licensure in the state of Oregon at the time of their appointment. All clinical faculty members are required to be licensed in Oregon at the time of appointment. Loss or revocation of a license must be reported to the provost and dean of the program immediately as it may affect employment.

Non-physician faculty members are required to produce evidence of their degree along with their *curriculum vitae* at the time they interview. Basic science courses generally require a PhD as a minimum requirement for a teaching position. A master's degree in conjunction with extensive teaching experience at the post-baccalaureate level may be considered.

SEARCH AND APPOINTMENT PROCEDURES

Whenever possible, available faculty positions for naturopathic physicians and/or Chinese medicine practitioners are advertised within the broader natural healthcare community. Positions requiring other terminal degrees such as PhD are advertised publicly. An ad hoc hiring committee headed by the Human Resources office helps with interviewing and makes recommendations to the dean and provost.

Final selection and appointment of faculty positions is made by the provost following recommendation by the dean and the ad hoc hiring committee.

DEFINITION OF TEACHING LOAD

The current policy states that 39 work units are required for a full-time load. One hour of lecture is one unit, two hours of lab is one unit, two hours of a lecture/lab designated course is 1.5 units, and a four hour clinic rotation is three units.

OUTSIDE EMPLOYMENT / CONSULTING / PRIVATE PRACTICE

For full-time faculty, outside employment must be approved by the dean of the program, and must not interfere with the faculty member's ability to meet contracted commitments at the College. There are no restrictions concerning outside employment for adjunct faculty aside from being available during the times they have contracted with the College. The following statement is written and stated on all faculty contracts:

Faculty may at his/her discretion engage in other professional practice, whether for his/her own account, or for another employer, provided that:

- Such other practice does not interfere with the faculty member's ability to fully perform his/her duties here in a timely and professional manner, including coverage and the provision of professional services at the NCNM Clinic and other sites pursuant to faculty scheduling.
- The College reasonably determines, after consultation with the faculty member, that such other professional practice does not significantly compete with the College at the clinic locations. Generally private practices will not be approved within a one mile radius of the college clinic. In the event a private practice of the faculty member is approved as set out in the Private Practice Approval Form, the parties agree that such private practice, at the locations described on the Private Practice Approval Form, shall not be deemed to be in competition with the College.
- The faculty member does not seek directly or indirectly to transfer any patient or refer any patient from the College or the NCNM Clinic or the community clinics to such other practice nor request anyone else to do so.

Please refer to the Professional Ethics and Conflict of Interest subsection under the Faculty Rights and Responsibilities section of this Handbook.

STUDENT ADVISING / OFFICE HOURS

Full-time faculty members are required to maintain a minimum of **four office hours per week** for the purpose of academic advising and student conferencing. These hours must be reported to the faculty support staff for the faculty before each new term begins. Adjunct faculty members are required to maintain office hours for the purpose of being available to answer student questions about material in the faculty member's course(s). A minimum of one hour per week is required for instructors teaching one to five classroom hours per week; and a minimum of two hours per week for instructors teaching six or more classroom hours per week. These hours are posted outside the faculty offices by the faculty support staff at the beginning of each new term.

Academic Advising is explained in the previous section under Academic Policies. Faculty advisors can offer guidance about options for program completion, stresses of course load, and a student's academic and professional progress. Any exception to the standard program must be approved by the dean. Complex academic concerns that may arise for students, especially those not on the standard program, will be referred to the dean.

FACULTY MEETINGS

All faculty members are required to attend regularly scheduled faculty and clinical faculty meetings. Policies and procedures affecting students and faculty will be discussed. If a faculty member is unable to attend, she or he is responsible for notifying the faculty support office and/or the dean, and

for reading the minutes of the meeting disseminated by email after the meeting. All faculty are responsible for all material discussed in academic and clinical faculty meetings.

FACULTY AGREEMENTS (CONTRACTS) AND ADDENDUMS

Faculty contracts and/or addendums are administrated and retained within the Human Resources office. Contract worksheets are reviewed by faculty with the dean of the program prior to the creation of the faculty contracts and/or addendums. All contracts and/or addendums must be signed in the Human Resources office and a signed copy is given to the faculty member. Copies of current or old contracts and/or addendums may be obtained from the Human Resources office.

CLINICAL FACULTY DUTIES AND RESPONSIBILITIES

- Abide by vacation /sick policies- give appropriate written notice
- Submit your summer and holiday schedules no later than the deadlines given
- Keep all personal information current with HR and clinic administration (update address, contact info etc)
- Provide marketing department and clinic updated biographic information
- Submit renewed licenses (ND, LAc, CPR) on time
- Be on time to shift
- Complete all clinical duties on time (student evaluations, exit/entrance exams, check offs etc)
- Follow and be well versed in basic front desk procedures (pricing, making appointments, insurance policies, billing, type of payment options, sliding scale, discounts)
- Complete all service summaries appropriately
- Be familiar with all the services offered at NCNM teaching clinics (hydrotherapy, physical medicine, acupuncture, herbal medicine, etc)
- Follow and be well versed in Medicinary procedures
- Follow and be well versed in Lab procedures
- Abide by NCNM dress code and wear NCNM name tag
- Uphold appropriate standards of professionalism
- Comply with clinic operations procedures (biohazard, linens, equipment etc)
- Attend annual OSHA training
- Comply with all HIPAA regulations
- Park in designated areas only
- Clean up treatment and clinic conference rooms at the end of every shift
- Help maintain a peaceful environment by keeping noise down on shift
- Exercise appropriate patient care (answer all questions, return calls in a timely manner, do not leave before all your pts have checked out, assist with rescheduling)
- If a shift is not busy, use the time for education, not personal work
- Maintain timeliness of appointments during shift
- Ensure all pts are checked out by designated time at the end each day
- Complete non-academic behavior forms for important student incidents
- Complete attendance record for students each day
- Conduct appropriate student evaluations
- Complete grading of students for clinic shifts
- Check voicemail & email daily and clinic mailbox whenever on shift, respond to all correspondence in a timely manner

- Follow procedures for recommending students for remediation
- Understand and follow the process for referrals for NCNM Clinic and community clinic patients to and within NCNM Clinic and to other providers
- Use community resources appropriately and professionally
- Follow guidelines for student Case Papers

FACULTY EVALUATION

1. Academic evaluation by students
 - a. Completed each quarter
 - b. Format developed by program faculty to evaluate:
 - i. Quality of paperwork
 1. Syllabus
 2. Handouts
 - ii. Quality of teacher/student interaction
 1. Formal teaching
 2. Informal interactions
 - iii. Relevance of course content
 - iv. Quality of assessment instruments and processes
2. Clinical evaluation by students
 - a. Completed quarterly
 - b. Format developed by clinic faculty
 - i. Doctor/patient communication
 - ii. Clinical services provided
 1. Diagnosis
 2. Treatment
 3. Education
 - iii. Patient management and retention
3. Self-evaluation – portfolio development
 - a. Completed when applying for rank position
 - b. Format developed by Faculty Senate to evaluate:
 - i. Teaching
 1. Classroom & lab
 2. Clinic
 3. Patient management and retention
 4. Academic advising & mentoring
 5. Service as a role model to students and colleagues
 6. Mentoring of new faculty
 7. Advancement as an educator
 - ii. Research and other creative work such as:
 1. Contribution to the professional literature
 2. Contribution to the advancement of professional practice
 3. Contribution professional education
 4. Advancement in scholarship and creative abilities
 - iii. Professional competence and activity
 1. Achievement and leadership in the field
 2. Demonstrated progressiveness in the development or utilization of

- d. The program dean meets with the faculty member to discuss evaluation, arrive at a mutual understanding with regard to any areas of disagreement and agree upon goals for the coming year. At minimum, the goals agreed to must address any identified weaknesses.
- e. The dean prepares a brief report to the provost summarizing the evaluation, enumerating agreed-upon goals and containing a recommendation relative to contract renewal.

TENURE

The College does not offer tenure-track appointments.

FACULTY RANK

Policies and procedures relating to faculty rank and promotion are posted on the college's website at: <http://www.ncnm.edu/images/faculty/Criteria%20for%20Rank.pdf>.

FACULTY COMPENSATION SCHEDULE

Faculty compensation includes consideration of rank and classification when determining a faculty member as full-time or adjunct faculty. Rank is determined by the provost following recommendation by the Faculty Development Committee.

Please refer to the Employee Handbook under the sections of “Compensation” and “Employee Benefits and Leave Policies” for the following:

- PAY PERIODS and PAYDAYS
- TIMEKEEPING REQUIREMENTS
- PAYROLL DEDUCTIONS
- MILEAGE REIMBURSEMENT
- MAJOR MEDICAL and DENTAL BENEFITS
- LIFE INSURANCE
- RETIREMENT
- VACATION TIME
- HOLIDAYS
- CLINIC DISCOUNTS
- CREDIT UNION
- EMPLOYEE ASSISTANCE PROGRAM
- OTHER BENEFITS

Full-time faculty receive vacation benefits based on length of service as a full-time employee. Adjunct faculty do not receive vacation benefits. Vacation requests must be submitted for approval to the dean of the program in writing on a Faculty Leave Request Form 30 days prior to the expected leave. The dean's office maintains records of the vacation time available to each faculty member and sends a copy of the approved request to the faculty member. Records are maintained in the dean's office where they are accessible to faculty and forwarded to the Human Resources office at the end of the academic year. As per college policy, if faculty apply for more time off than they are entitled, such leave, if approved, will be unpaid leave.

TUITION REMISSION

Faculty members may not teach in a degree program in which they are enrolled. If the faculty member is enrolled in another degree program at the College, the following policies apply: Employees of NCNM, who are at least regular, half-time (20 hours per week) employees may take up to three (3) credits per quarter in an NCNM class. There is no charge for auditing a class; the fee for credit is 10% of the normal rate. Prerequisites must be satisfied prior to enrollment, and class space must be available. If the class is offered during work hours, arrangements must be approved by the employee's supervisor for scheduling to be away from work and for making up work. No academic credit will be granted unless the faculty member is formally enrolled in a degree program at the College. Prerequisites must be satisfied prior to enrollment for credit. Contact the Registrar's office for details.

CONTINUING EDUCATION

Lectures from ND or MSOM Curriculum courses that are offered for CE credit (the Continuing Education Lecture Series) are offered at a cost of \$20 per clock hour. Additional lab or materials fees may be required. All tuition fees for these lectures are waived for NCNM faculty and active preceptors. (An active preceptor is a practitioner mentoring an NCNM student in either the current or previous term.)

Other Continuing Education events, which are not part of a lecture series, if solely sponsored by NCNM, are also offered free of charge to NCNM faculty. The CE Administrator establishes the costs for Continuing Education events which are not solely sponsored by NCNM on an event-by-event basis for faculty and students. Terms regarding fees and discounts, if any, are stated clearly in the published material advertising the event. Additional information regarding continuing education is covered under the Faculty Development section below or you may contact the Continuing Education Department.

LIABILITY INSURANCE

The College provides medical malpractice liability insurance for all supervising physicians in the college clinic and community clinics. This coverage extends only to patients seen while the faculty member is supervising in the student clinics or seeing patients on physicians' shifts in the NCNM Clinic. It does not extend to any patients seen by the faculty member outside the College in a private practice setting.

All clinical faculty and clinical professionals must carry professional liability insurance for her or his outside (non-NCNM) private practices while employed at NCNM. This is a condition of initial and continued employment at NCNM.

FACULTY GRIEVANCE POLICY

Approved by: President Schleich on December 5, 2005; revised on October 5, 2008

A. Policy Overview

A1. It is the policy of the National College of Natural Medicine (NCNM) to protect the rights of the College and faculty and encourage fair, efficient, and equitable solutions for problems arising out of the employment relationship.

A2. The purpose of this policy is to provide a method to address unresolved grievances of faculty and to provide a mechanism for their resolution and closure.

A3. Final decisions regarding initial or continuing employment and appointment or promotion to academic rank are made by the provost on the recommendation of the Committee on Academic Appointment and Promotion and/or the dean. Compensation grievances are not covered by this policy, except as to questions of discrimination or procedural error.

A4. No person shall be penalized, disciplined, or prejudiced for filing a grievance, aiding another faculty member in filing a grievance, or participating in the grievance procedure, but all faculty members are expected to comply with their duties and responsibilities to the College during the grievance procedure.

B. Grievance Process and Procedures

B1. A formal grievance should be filed only after an attempt has been made to resolve the apparent dispute through verbal communication. The faculty member should request a meeting with his/her supervisor and clearly present their concerns, the reasons for their concerns, and their suggestions for resolution. The supervisor should approach this meeting with an open mind and make every effort to address the concerns raised. His/her response and the reasons for that response should be clearly explained.

B2. Should the faculty member believe that his/her concerns have not been addressed adequately as a result of this meeting, he/she has the option to file a formal grievance. If the dispute is related to clearly defined matters such as a pay raise, timing of a filing for promotion, non-fulfillment of promised support, etc., the formal grievance must be filed within 20 working days of the meeting with the superior. For disputes involving a continuing series of less clearly defined matters, a formal grievance may be filed up to six months after the initial meeting with the supervisor. Any disputes related to the time of filing of a formal grievance shall be resolved by the Grievance Committee. No person may file a formal grievance after he/she is no longer employed by NCNM.

B3. In order to initiate a formal grievance, the faculty member shall present the grievance in writing to the supervisor. The written grievance must detail the previous efforts to resolve the dispute, the facts germane to the dispute, and the recommended relief sought by the faculty member. Once the grievance has been presented in writing, it cannot be changed except with the written approval of the provost. The immediate supervisor shall respond in writing to the faculty member within five working days of receiving the written grievance.

B4. If not resolved, the formal grievance shall be presented to the provost. The faculty member shall submit the original written grievance together with the written responses of the supervisor to whom it was submitted previously and an explanation of why those responses were unsatisfactory. This submission must occur within five working days from receipt of the supervisor's response.

B5. The provost may recommend mediation as the preferred route to attempt to resolve differences between the parties. In this case, within 15 days of receiving the grievance, the provost will select a professional mediator, acceptable to both parties. If a mediator cannot be agreed upon by both parties within the 15-working-day period, mediation will be deemed not feasible and the matter referred back to the provost.

B6. If mediation is not successful or feasible, the provost shall appoint an *ad hoc* Grievance Committee composed of five faculty members. At least three of the members of the Grievance Committee shall be selected from among five nominated by the chair of the Faculty Senate. If the chair is a party to the grievance, then the secretary of Faculty Senate shall nominate the five faculty members. The Grievance Committee must include not less than two members from each of the faculties of Naturopathic Medicine and Classical Chinese Medicine. At its first convening, the Grievance Committee shall select a chair from among the members of the Committee. The grievance shall be referred to the Grievance Committee by the provost for hearing by notifying the chair of the Committee and both parties.

B7. The provost shall notify both parties in writing that they have five working days from receipt of his/her notification to submit to him/her, under sealed cover, copies of any supporting documents and a list of any witnesses to be presented at the hearing. The provost shall promptly deliver these materials to the Grievance Committee. The chair of the Committee shall then transmit copies of material submitted by each party to the other party who will have five working days from receipt to submit any additional material in rebuttal or in response to any requests by the Committee for additional information.

B8. Upon receipt of all material, the chair shall arrange for the hearing to be held as soon as possible within the next 15 working days. The Committee, if necessary, may extend this time upon proper notice to the provost and all parties in order to review adequately the material submitted or if there is difficulty arranging a date when all parties can be present.

B9. At the hearing, each party involved may present his/her case and call witnesses who may be questioned by the opposing party and the Committee members. Attorneys may not be present. Questions regarding hearing procedures shall be resolved by reference to A Guide to Conducting a Hearing in a Higher Education Setting (Bienstock, 1996) and shall be investigative, not adversarial. Evidence presented must be related to the grievance.

B10. The original tape shall be kept in the provost's office. Proceedings shall be closed unless the faculty member requests an open hearing and both parties agree.

B11. After all evidence has been presented, the Committee shall consider the matter, and the chair shall transmit a written majority recommendation within five working days of the conclusion of deliberations, and copies of the Committee's recommendations, including any minority opinions, to the provost and the faculty member. Any Committee member or members may transmit a written minority recommendation to the provost. All written recommendations shall become part of the permanent record of the grievance.

B12. All materials, written or verbal, presented to, or generated by, the Committee shall be submitted to the provost together with the Committee's recommendations. The provost shall make a decision after reviewing the grievance documents and Committee's recommendations. The provost shall notify both parties and the chair in writing of his/her decision within five working days of receiving the grievance documents and the Committee's recommendation. This decision is final and not subject to appeal except in the event of a procedural error as provided below.

B13. If the immediate superior of the faculty member filing the original grievance is the provost then the duties ascribed above to the provost will be assumed by the president.

B14. If upon receipt of the provost's decision, the faculty member believes that a procedural error has occurred, he/she may appeal to the vice president for finance and administration (VPFA). The appeal must be made within five working days of receiving the provost's decision, be in writing, and describe clearly the error claimed.

B15. The VPFA shall review the complete written record of the grievance and make a decision. The VPFA shall notify both parties and the provost in writing of his/her decision within five working days of receiving the appeal. The decision of the VPFA shall be final. The VPFA may confirm or reverse the decision of the provost, or she/he may remand to the provost for further proceedings, such as to obtain additional evidence through the Grievance Committee.

B16. The periods of time stipulated in this policy shall be considered maximum. A speedy resolution is encouraged. Variations from this policy and the time periods stated herein may be requested by either party upon petition to the provost, whose decision will be final in these matters. A copy of the written record shall be available to both parties and the complete record of the grievance shall be kept in the provost's office.

FACULTY DEVELOPMENT

FACULTY DEVELOPMENT FUNDS

Faculty may apply to the Faculty Development Committee for funds to support professional development in pedagogy or in areas of content expertise. Requests are generally granted if the proposed development is supportive of the mission of the College and funds are available.

CONTINUING EDUCATION REQUIREMENTS

All licensed faculty are expected to complete continuing education annually as part of their licensure. College faculty members teaching in specialized areas are required to pursue continuing education in their area of specialization annually as a part of their commitment to the College.

Consideration of professional development plans are a part of annual faculty evaluations with their dean. Faculty are encouraged to pursue professional development activities that will support an eventual application for promotion.

EDUCATIONAL LEAVE

Currently there are no provisions for educational leave. *Please refer to the "Employee Handbook" under the "Employee Benefits and Leave Policies" section.*

RESEARCH

Research and publication, while not required, are encouraged and considered in faculty promotion decisions and are included in the faculty evaluation process. The dean of research assists faculty with proposal writing for submission to prospective funding sources. Once funding has been secured, the dean of research may assist in data collection, statistical analysis, administrative reports, and final report writing.

SABBATICALS

The College has implemented a sabbatical leave system that provides full-time faculty a quarter-length sabbatical. An application process is overseen by the Faculty Development Committee of the Faculty Senate.

LEAVE

PERSONAL LEAVE OF ABSENCE

Please refer to the “Employee Handbook” under the “Employee Benefits and Leave Policies” section.

BEREAVEMENT

Faculty should discuss specific needs with their program dean. *Please refer to the “Employee Handbook” under the “Employee Benefits and Leave Policies” section.*

PARENTAL, DISABILITY AND FAMILY MEDICAL LEAVE

Please refer to the “Employee Handbook” under the “Employee Benefits and Leave Policies” section.

SICK LEAVE

Faculty members must contact their program dean and the faculty support office if there is a need to cancel class(es). Faculty who are planning to be absent from a clinic shift must contact the dean of the program in a timely fashion to allow for substitution on the shift. Faculty are asked to designate another faculty member who can take over their classes in case of an extended time away from classes. Sick leave must be documented on Faculty Leave forms and turned in to the office of the program dean for tracking. A faculty member taking sick leave of three days or longer must submit a physician’s note as per college policy to the Human Resources office.

NCNM’s sick leave program is designed to protect the income of benefit eligible employees during periods of the employee’s bona fide sickness, injury and illnesses that require absence from work during normal work hours.

Accrued sick leave may be used for the following reasons:

- 1. An employee’s bona fide illness or incapacitating injury;
- 2. An employee’s medical or dental appointments, with supervisory approval, which cannot be scheduled during off-hours (medical appointments do not include massages unless prescribed by a physician or physical therapist for a specific course of rehabilitative treatment.);
- 3. For a sick child, not to exceed three (3) working days annually;

Time taken for the care of an injured or ill immediate family member, or for any reason other than specifically referenced above, may not be charged against an employee’s sick time, except that in the case of any leave of absence under the Federal Medical Leave Act (“FMLA”), the Oregon Family

Leave Act (“OFLA”) and/or the Oregon Victims of Certain Crimes Leave Act, the following shall apply:

- i. if such leave qualifies for sick leave under paragraphs 1 through 3 above, the employee shall first take accrued sick leave for such leave of absence until sick leave is exhausted and then the employee may take any unused vacation time, or take leave without pay; or
- ii. if such leave does not qualify for sick leave under paragraphs 1 through 3 above, (e.g., sick child leave, or qualified leave to care for a family member) the employee may take any unused vacation time and, once all unused vacation time has been exhausted, the employee may take any accrued sick leave, or take leave without pay.”

The College reserves the right to require written certification as to the bona fide nature of an illness or injury from a licensed primary care clinician and/or a release from a licensed primary care clinician to return to work. Please note that written certification from any clinician working at the NCNM Clinic or in any of NCNM’s community clinics shall not constitute compliance with this requirement unless that clinician is the employee’s regular licensed primary care clinician (i.e., MD, ND, DO, DC). If an employee is absent due to illness and/or injury for more than three consecutive working days, that employee will be expected to provide a written, signed statement from their licensed primary care physician as to the necessity for absence. Regardless of the length of any absence that may be covered by sick leave, an employee’s absence also may be covered by federal and/or state leave laws (Note: see policies under Section V, 5.16, Family Leave/Benefits in the Employee Handbook).

After successful completion of a 90–day introductory period, sick leave is accrued retroactive to the date of hire and regular full-time and part-time employees working 20 hours or more per week may use accrued sick leave. Employees accrue sick-leave at the rate of one working day for each month worked which accrue to a limit of 480 hours. An eligible part-time employee’s sick leave time is accrued on a prorated basis. Unused sick leave will not be paid upon voluntary or involuntary termination of employment.

Sick leave may not be used for vacation time or personal time. If an employee becomes ill while on vacation or a paid holiday, he/she will not be allowed to charge that time to his/her accrued sick leave. Abuse of sick leave privileges will result in disciplinary action, including immediate termination.

At the end of any pay period in which sick leave is used, the employee must submit to his/her supervisor a time sheet recording used sick leave. The record will be maintained in the employee’s payroll records. Sick leave does not accrue while on unpaid leave. An employee will need to submit a doctor’s note to the Human Resources office to return to work after being sick for three days or more.

COLLEGE COMMITTEES

Service on various committees is an expected part of full time faculty duties, and is encouraged for adjunct faculty. A list of currently active committees and their membership is available in the office of Institutional Research and Compliance and in the program dean’s office.

FACULTY RIGHTS AND RESPONSIBILITIES

ACADEMIC FREEDOM

NCNM faculty and students are free to question, discover, and test all knowledge appropriate to their discipline as judged by the academic community in general.

DOCUMENTATION REQUIREMENTS

Faculty must provide in hard copy and via e-mail or diskette, for every class taught, the Course Information Forms (Syllabus) and copies of all exams and handouts to the faculty support office. Faculty members are also responsible for annually updating their curriculum vitae, publications, and continuing education plans for the academic year and must be given to the faculty support office by the beginning of fall term. A copy of the faculty member's current medical or professional license must be kept on file in the faculty support office. Upon hiring, faculty will be asked to request transcripts be sent from all undergraduate, graduate, and professional colleges and universities attended. The transcripts are to be sent directly to the program deans, as these documents must also be kept on file.

CONFIDENTIALITY

Please refer to the "Employee Handbook" under the "Ethics and Standards of Professional Conduct" section.

CHANGE OF INFORMATION—ADDRESS, PHONE, DEPENDENT, MARITAL STATUS

Faculty must update their personal information with the Human Resources, Academic, Business, and Registrars' offices if they undergo a change in their name, address, phone number, marital status, or email address. The Change of Address Forms are available in the Human Resources office.

COPYRIGHT COMPLIANCE GUIDELINES FOR FACULTY

NCNM operates its programs in compliance with the copyright laws of the United States. Faculty must comply with all copyright laws and licensing requirements. Copyright laws are complex, and it is not always easy to determine what constitutes fair use of copyrighted materials (that is, use without obtaining permission first) in the pursuit of educational goals. Here you will find some guidelines for determining when it is legal to distribute materials in your class (or post them to an electronic reserves system) without copyright permission, and when permission is required.

Copyright law provides authors and other creative artists the right to control how their work gets used. The most significant limitation on this right is delineated in the Fair Use Doctrine. There are four general factors that determine fair use in any given case, though it is never simply a checklist recipe. Any one factor may preclude the application of the Fair Use Doctrine. When in doubt, permission to use the works should be secured from the copyright owner. The first factor pertains to the purpose and character of the use. Educational use is more likely to be considered fair use. The second factor pertains to the nature of the copyrighted work. The more factual and less artistic a work tends to be the more likely it will be considered fair use. The third factor pertains to the amount and

substantiality of the portion used. The more you use, the less likely it will be considered fair use. Any use other than minimal use is not likely to be considered fair use. Finally, the fourth factor pertains to the effect of the use on the potential market for the copyrighted work. If the use significantly diminishes the market, it is unlikely to qualify for fair use exemption.

In addition to the four general factors mentioned above, there are specific guidelines that govern photocopying for classroom use—and, by extension, scanning for use in electronic reserves. Copying by teachers must meet tests of brevity and spontaneity. Brevity refers to how much of the work you can copy (less is better and any more than *de minimus* copying is a risk), and spontaneity refers to how close to the time of actual need in class that you decided to make copies (closer is better). Libraries and other college constituencies tend to interpret the spontaneity rule as a one term copy rule. If you use something for one term only, it is more likely to be fair use. If you use it repeatedly (term after term), it is unlikely to be fair use. Again, the safest course is to secure permission. This can often be accomplished informally, followed by a confirming e-mail. NOTE: the College has already secured permission to copy many works through its license with the Copyright Clearance Center (CCC). You should check with the library to determine which works are covered by this license and the scope of the permission granted.

COPYRIGHT OWNERSHIP POLICY

I. Preamble

The creation of copyrighted works is one of the ways the National College of Natural Medicine (College) fulfills its mission of contributing to the body of knowledge for the public good. The college encourages the creation of original works and the free expression and exchange of ideas. This policy is intended to embody the spirit of academic tradition, which provides copyright ownership to faculty for their scholarly and aesthetic copyrighted works, and is otherwise consistent with the United States copyright law, which provides the college ownership of its employment-related works.

II. Purpose and Scope

This statement sets forth the College's policy on copyright ownership for works produced at, by, or through the College. This policy applies to college employees, students, and other persons or entities using college facilities or acting under contract with the college for commissioned works.

III. Definitions

For purposes of this policy, the following definitions shall apply:

A. Copyright

Copyright is the intangible property right granted by federal statute for an original work fixed in a tangible form of expression. Copyright provides the owner with the following exclusive rights in a work: to reproduce, to prepare derivative works, to distribute by sale or otherwise, to perform publicly, and to display publicly.

B. Independent Academic Effort

Inquiry, investigation, or research carried out by a faculty member to advance knowledge or the arts where the specific choice, content, course, and direction of the effort is determined by the faculty member without direct assignment or supervision by the College. The general obligation of faculty members to produce scholarly/aesthetic works is considered independent academic effort.

C. License

A contract in which a copyright owner grants to another permission to exercise one or more of the rights under copyright.

D. Originator(s)

One who produces a work by his or her own intellectual labor. When there is more than one originator, the ownership of each originator's contribution shall be considered separately pursuant to this policy.

E. Permissible Consulting Activities

Professional or scholarly services provided by college employees for compensation, which do not interfere with regular college duties, do not utilize college resources, and are not prohibited by terms of the college employment contract or other applicable college agreements or policies.

F. Royalties

A payment made to an owner of a copyright for the privilege of practicing a right under the copyright.

G. Sponsor

An organization or agency which provides funding, equipment, or other support for the College to carry out a specified project in research, training, or public service pursuant to a written agreement. Sponsors include federal, state, local, and other governmental entities as well as private industry, educational institutions, and private foundations.

H. College Facilities

Buildings, equipment, and other facilities under the control of the college. Such facilities normally include computer and other electronic resources but do not include the college library.

I. College Funds

Funds, regardless of source, that are administered under the control, responsibility, or authority of the College.

J. College Resources

College personnel, funds or facilities.

K. Work

Any copyrighted expression, including literary work (written lectures are included); musical work including any accompanying words; dramatic work, including any accompanying music; pantomimes and choreographic work; pictorial, graphic, and sculptural work; motion pictures and other audiovisual work; sound recordings; and computer software.

IV. Copyright Ownership by Category of Work

A. Scholarly/Aesthetic Work

A scholarly/aesthetic work is a work originated by a faculty member resulting from independent academic effort.

Ownership of copyrights to scholarly/aesthetic works shall reside with the faculty member originator, unless they are also sponsored works or contracted facilities works, or unless the faculty member

agrees to participate in a project which has special provisions on copyright ownership pursuant to Section VI.C. of this Policy.

B. Personal Work

A personal work is a work that is prepared outside the course and scope of college employment without the use of college resources. Ownership of copyrights to personal works shall reside with the originator.

C. Student Work

A student work is a work produced by a registered student without the use of college funds (other than student financial aid) that is produced outside any college employment and is not a sponsored, contracted facilities, or commissioned work.

Ownership of copyrights to student works shall reside with the originator.

D. Sponsored Work

A sponsored work is a work first produced by or through the College in the performance of a written agreement between the College and a sponsor. Sponsored works generally include interim and final technical reports, software, and other works first created in the performance of a sponsored agreement. Sponsored works do not include journal articles, lectures, books or other copyrighted works created through independent academic effort and based on the findings of the sponsored project, unless the sponsored agreement states otherwise.

Ownership of copyrights to sponsored works shall be with the College unless the sponsored agreement states otherwise. Any sponsored work agreement which provides for ownership by other than the College generally shall provide the College with a free-of-cost, nonexclusive, world-wide license to use and reproduce the copyrighted work for education and research purposes.

E. Commissioned Work

A commissioned work is a work produced for college purposes by individuals not employed at the college or by college employees outside their regular college employment.

When the college commissions for the production of a work, title normally shall reside with the college. In all cases, copyright ownership shall be specified in a written agreement. Any such agreement which provides for ownership by other than the college, generally shall also provide the college with a free-of-cost, nonexclusive, world-wide license to use and reproduce the copyrighted work for education and research purposes.

F. Contracted Facilities Work

A contracted facilities work is a work produced by non-college personnel or college personnel acting outside the course and scope of their employment, using college facilities pursuant to a written agreement.

Ownership of copyrights to contracted facilities work shall be governed by the agreement permitting use of the specified college facilities. Depending on the nature of the facility and the nature and extent of the use, the agreement may specify that ownership of resulting copyrights rests with the college, or the college simply may be paid a fee for the use of the facility, or some other arrangement may be appropriate.

G. Institutional Work

Except as otherwise provided in this policy, the college shall own all copyrights to works made by college employees in the course and scope of their employment and shall own all copyrights to works made with the use of college resources.

H. Work Acquired by Assignment or Will

The college may acquire copyrights by assignment or will pursuant to the terms of a written agreement or testament. The terms of such agreements should be consistent with this policy on copyright ownership and other college policies governing such acquisitions.

V. Copyright Ownership of Jointly Originated Works

Copyright ownership of jointly originated works shall be determined by separately assessing the category of work of each originator pursuant to Section IV above. Rights between joint owners of a copyright shall be determined pursuant to copyright law.

VI. Copyright Agreement and Notification

A. Prior to any use of a college facility by non-college personnel or by college personnel outside college employment, a signed agreement shall be required that specifies the disposition of copyrighted works. College employees using college facilities for work outside college employment are responsible for bringing this to the college's attention so that an appropriate agreement for use can be negotiated. (See IV.F. above.)

B. Faculty members participating in sponsored projects must execute an agreement which acknowledges: (a) individual and joint responsibility to produce and deliver sponsored works to the sponsor, as required by the terms of the sponsored project agreement, and/or to the college when so requested, and (b) that copyright ownership of sponsored works, unless reserved to the sponsor or otherwise provided for in the sponsored project agreement, shall vest in the college. (See IV.D. above).

C. Any faculty member, other employee, or student wishing to participate in a specified college project that includes copyright ownership requirements other than provided in Section IV of this policy must sign an agreement indicating his or her concurrence with that project's special conditions.

VII. Release of College Rights

The college may release its ownership rights in copyrighted works to the originator(s) by a written assignment, signed by the president of the college, or his/her authorized representative, when, as determined by the college: (a) there are no overriding or special obligations to a sponsor or other third party; and (b) the best interests of the college would be so served. Such release of ownership rights must be contingent on the agreement of the originator(s) that no further effort on, or development of, the work will be made using college resources and that the college is granted a free-of-cost, nonexclusive, worldwide license to use and reproduce the work for education and research purposes.

VIII. Licensing and Royalties

The college may assign or license its copyrights to others. Royalty or income received from such transactions may be shared with the originator(s) of such works, as determined by the college, taking into account the originator's contribution, the college's costs, any provisions imposed by sponsors or other funding sources, and any other applicable agreements concerning the copyright.

IX. Student Use

All use of notes, audio, and visual recordings are for students' personal learning purposes and professional reference only and cannot be redistributed in any format. This policy applies to written, audio, visual or any electronic materials; including when a student makes a personal recording of a faculty member or lecture. Written, audio, visual or any electronic materials may not be used for marketing, teaching, or publication without written permission from the faculty member. Notes from a faculty member cannot be published in a book, manuscript, or in any other form. If materials are used outside the course, express written permission must be granted from the lecturer or faculty member. Audio or visual recordings of a faculty member or guest lecturer require written permission from that individual each term. Permission forms are available on the NCNM website.

If a student uses phrases, graphs, logos, photographs or drawings from published material, they must reference the original source, or it will be considered plagiarism.

If a faculty member suspects that a student has violated this policy, a written report should be filed with the dean of students. The dean of students will investigate the matter, and if a violation is found, the student will be subject to disciplinary sanctions as described in 14.3 Code of Conduct in the student handbook.

FACULTY PUBLICATIONS AS REQUIRED COURSE MATERIAL

Faculty members may submit their own publications for use as required class material to be purchased by the students. Publications that have been written apart from the faculty member's commitment to teach specific classes may be submitted for approval as official required texts and presented for sale to the students. Self-published materials will be reviewed by the textbook and educational materials committee to determine whether it is an original work or a compilation of course notes. The intention of the committee is to encourage faculty to write books and assist them in maintaining professional standards. This is a peer review committee. Policy and procedures for the committee are included here:

Textbook and Educational Materials Policy and Procedures

The development of textbooks and other educational materials is a desirable outcome of intellectual activity, particularly in the CAM fields that are often poorly served by major publishers. In addition, the selection and production of educational materials by faculty is essential to providing quality instruction, and the freedom to choose educational materials is central to the principle of academic freedom. However, it is recognized that potential for conflicts of interest are present when textbooks and other educational materials produced by faculty members are required or recommended for a class in which the faculty member is teaching and where the sale of such materials produces financial gain for the faculty member. As a result, faculty intending to assign self-authored textbooks must receive prior approval from the Textbook and Educational Materials Committee ("TEM"). The TEM

committee, described directly below, may approve textbook requests it considers objectively reasonable. The TEM review procedure is described directly below.

The self-production of educational materials such as class notes, workbooks, or custom texts intended for use either exclusively or primarily at the National College of Natural Medicine shall be provided to students at minimum expense. That means faculty can charge what it costs them to produce the materials, plus a markup rate that will be set by the Textbook and Educational Materials Committee, based upon criteria listed below. In most cases, the markup rate that the Committee assigns will fall at or below 15%. However, in cases where a text is professionally self produced, with a demonstrably high standard of scholarship, faculty may request a markup rate above 15%. Faculty materials that have been peer reviewed and published by an independent publisher (that is, one that the faculty member does not own or work for) are exempt from this policy. If a faculty member intends to use materials self published by someone else (a former NCNM faculty member, for example), she/he must also submit an application to the Committee for evaluation. It is understood that knowledge of production costs may not be available in such cases, but the Committee will want to satisfy itself regarding the reasonableness of the cost to students.

Textbook and Educational Materials Committee

The Textbook and Educational Materials Committee (TEM) will be responsible for monitoring the use of educational materials self-published by faculty in courses that they teach. The Committee will also serve as a peer review advisory group to the NCNM Press.

The TEM will be comprised of four faculty voting members, and a non-voting administrative chair. Voting members will be appointed for two-year renewable terms by the Faculty Senate, and the chair will be appointed by the Provost (or the chair of CAA). Any TEM committee member who becomes aware of an actual or potential conflict of interest—either because a committee member’s own self-authored textbook is under review or otherwise—must immediately disclose the actual or potential conflict of interest to the TEM committee chair. When an actual or potential conflict of interest is discovered, the TEM committee chair may recuse the conflicted committee member from voting on the matter creating the actual or potential conflict of interest.

Any faculty or staff who is in a close personal, romantic, or sexual relationship with a student or becomes involved in one, must immediately disclose the relevant circumstances to the director of human resources

The TEM will meet on an as needed basis, and minutes will be taken at each meeting. When convenient, normal business may be conducted via email.

Procedure for Review of Self-Published Materials

Faculty who wish to self-publish course notes or texts that will be required or recommended in courses they teach at NCNM must submit an application for approval to the Textbook and Educational Materials Committee. Application forms are available in faculty support offices, and applications must be submitted at least 10 weeks prior to the term in which the materials will be used (for fall 2010, the due date is Friday, July 16, 2010). The Committee will review the application and provide a written response within two weeks. The response will include a recommended markup

percentage. The Committee is authorized to approve the application, set the markup percentage rate, or to deny the application based upon the criteria listed below:

- a. sources are not adequately documented in the material, and/or there are potential copyright violations;
- b. the quality of the material does not meet minimum standards;
- c. the potential market for the material (is it limited to NCNM students, or is there a broader market?);
- d. evidence of original thought, synthesis, and effort (the more evidence of original thought, the more likely the committee will set a higher markup).

In cases where the application is denied, the Committee will outline steps that would lead to a successful reapplication if the faculty member is interested. Also in cases where the application is denied, the Committee may grant temporary approval for the continued use of the material for up to one year in order to forestall unforeseen hardships and/or provide adequate time to make course changes. Generally speaking, the Committee will try to encourage faculty to engage in the creation of more intellectual property that is of publishable quality.

Approval of self-published materials is good for three years, or until the material is revised, whichever comes first. Materials published prior to the creation of this policy are subject to review just like newly developed materials.

Procedure for Handling Reports Concerning Textbook Pricing and/or Selection

Complaints about the pricing, quality, or number of required textbooks (self-published or not) by the instructor may be referred to the Textbook and Educational Materials Committee for investigation. The Committee is authorized to conduct such investigations and make recommendations to the administration based upon its findings. Industry standards for pricing, expert opinions for quality assessment, and the “reasonable person” standard constitute typical criteria that the Committee would use to make its judgments.

Textbook Adoption Guidelines for Faculty

Because of the increasing cost of textbooks, faculty members making textbook choices are encouraged to consider, where academically feasible, the initial cost of textbooks and possible savings to the students. Therefore:

1. Careful consideration should be given in the initial adoption of textbooks. It is recommended that texts be used for multiple years whenever possible so that students have more options for purchasing used texts.
2. When edition or revision changes initiate text-change decisions, it is recommended that departmental faculty consult with the bookstore manager about the possibility of continuing with the old edition if the new edition does not offer substantive changes.
3. It is recommended that a common textbook or set of textbooks be adopted for different courses with similar content whenever possible.
4. Supplementary texts or reading materials should not be required unless they are used significantly in the course. Materials can be reserved in the library if small amounts of supplementary readings are required.

5. Except in unusual circumstances, textbooks used in sequential courses should not be changed after the first term.

Procedure for Peer Review of NCNM Press Titles

Authors who wish to publish texts or other materials with the NCNM Press must submit a proposal to the Press's editor. The proposal should include a brief letter (one page or less) that explains why the book merits publication, the intended audience, and suggestions for how to market the book. The proposal should also include an abstract (150 words) and a draft of the entire text or project. The editor of the Press will make a judgment about whether to submit the proposal to the Textbook and Educational Materials Committee for more careful review. The Committee will identify at least one qualified peer reviewer who will evaluate the manuscript/project and make a recommendation. The Committee will then make its recommendation regarding publication to the NCNM Press editor. The draft that was submitted for review will not be returned to the author, but a blinded copy of the review will be provided if available.

COPYRIGHT TIPS FOR POSTING ON MOODLE OR ERESERVES

Permission from the copyright holder should always be secured before making copies of a work, including posting the work onto Moodle or electronic reserve, unless the copying falls within the Fair Use Doctrine. The college has already secured permission to make copies for educational purposes of most works through the Copyright Clearance Center (CCC). You should check with the library to determine which works are covered and the scope of the permissions granted. In the case where a work is not covered by the College's license through the CCC, permission can often be obtained informally from the copyright owner, followed by a confirming e-mail. See Section on Copyright Compliance Guidelines for Faculty above.

HOW TO ACCESS SONIS


GRADE ENTRY INSTRUCTIONS:

Log onto SOINS at <https://www.ncnmsonisweb.com> and enter as Faculty.

If you do not know your user ID and password, then at the faculty access page click on the link at the bottom where it says : If you have forgotten you PIN and/or ID please click here.

When you click on the "here" link, it'll take you to a page to enter in your NCNM email address. Then click submit and the system emails you your information.

Once you have accessed SONIS follow the directions below to enter your grades:

- Click the Courses tab.
- Change the School Year and/or Semester if necessary by selecting the correct year and term from the drop down menu. Click the "Change Year/Semester" button.
- Select the course you want from the drop down menu then click "View Selected Roster" Button.
- Click the Grades icon at top of screen  .

- Use the pull down arrows to enter the grades. As a shortcut you can use your keyboard to enter the grade and the grade starting with that letter is placed in the grade box. Please make sure you enter the final grade in the right hand column (do not enter final grade in the midterm grade column).

Grades are not official until the Registrar makes them official.

COURSE ROSTER INSTRUCTIONS:

- Log onto SONIS.
- Click on Courses in the blue section at the top:

- Choose the course you want from the drop down menu (Please make sure you have the correct school year and semester)
- Click on view selected roster
- Print by selecting printable icon

FACULTY / STUDENT RELATIONSHIPS

Faculty or staff and student interaction is encouraged to help maintain communications throughout the NCNM community. Faculty/student contact is encouraged to provide role models for students, and faculty are expected to be available to students at regular hours for consultation regarding classroom material. Close personal relationships, however, between faculty or staff and students, including sexual relationships, may obscure objectivity, and are strictly prohibited in circumstances where such a relationship presents any actual or potential conflict of interest.

In the presence of a conflict of interest, the student could be favored or discriminated against at NCNM, either of which would be in violation of NCNM policy on discrimination. Close personal or romantic relationships with students may also lead to allegations of sexual harassment and morale problems. (see Section III, 3.11, Sexual Harassment, page 16) In addition, breaching of confidentiality and professional ethics could also occur, resulting in violation of NCNM policies, which is subject to disciplinary action.

The following guidelines are in effect regarding faculty/staff and student relationships:

Close personal relationships between faculty or staff and students, including romantic or sexual relationships, are strongly discouraged and any ensuing favor or discrimination is strictly prohibited.

- Any faculty or staff who is in a close personal, romantic, or sexual relationship with a student or becomes involved in one, must immediately disclose the relevant circumstances to the director of human resources.
- Each case will be handled by NCNM on an individual basis depending on the specific facts and circumstances. If an actual or potential conflict of interest is determined or if there is a failure to disclose as required, NCNM may take whatever action, including corrective action, appears appropriate according to the circumstances.

Failure to immediately disclose a close, personal, romantic, or sexual relationship with a student will result in disciplinary action, including possible termination.

PERSONAL APPEARANCE AND FRAGRANCE FREE

Please refer to the “Employee Handbook” under the “Ethics and Standards of Professional Conduct” section.

PLAGIARISM

Faculty members at NCNM are expected to act in a professional manner at all times. This includes no plagiarism in course material and handouts, or in any material distributed at the College.

OSHA TRAINING

All NCNM faculty and employees are required to attend Oregon OSHA (Occupational Safety and Health Administration) training. *Please refer to the “Employee Handbook” under the “Safety” section.*

PROFESSIONAL ETHICS AND CONFLICT OF INTEREST

NCNM faculty members are expected to behave in a professional and honorable manner in all their interactions. Failure to do so could be grounds for disciplinary action.

NCNM faculty members are expected to devote their best efforts, time, and attention to their teaching activities at the College.

All full-time faculty members who wish to engage in any other business or profession outside of their work at the College must notify their program dean for approval. The dean will decide if the outside business may necessitate a change in the faculty member’s responsibilities at the College. Faculty members must inform the dean of any business interests outside the College which may relate to the nature of their duties at the College. An example of such a situation would be a faculty member with a business interest in a nutritional supplement company who is in a position to recommend using a company’s products in the teaching clinic or in the classroom. Appropriate openness, honesty and full disclosure are required in these situations in order to prevent the appearance of impropriety. Refer to the next section regarding potential financial conflicts of interest in research.

Please refer to the Outside Employment/Consulting/Private Practice section of this Handbook, and to the Employee Handbook under the Employment Policies and Practices section.

MANAGING FINANCIAL CONFLICTS OF INTEREST IN RESEARCH

Policy

The National College of Natural Medicine (the College) shall require the highest standards of quality, ethics and integrity in the conduct of scientific research by its faculty, students and other affiliated investigators. The College is committed to assuring and maintaining the public trust that scientific research is conducted objectively and that results are not biased by the external commitments and financial interests of those who are responsible for the design, conduct, and reporting of research findings.

In August 2011, the Department of Health and Human Services substantially revised the 1995 federal regulations for Promoting Objectivity in Research. The NCNM Policy on Managing Financial Conflicts of Interest in Research is written to be in compliance with these regulations, codified under *Final Rule 42 Code of Federal Regulations Part 50, subpart F: Promoting Objectivity in Research* (§ 50.601-607).

This policy is intended to accomplish three objectives; 1) to define the terms of this policy in accordance with the 2011 HHS Final Rule, 2) to clarify the obligations of investigators to disclose all significant financial interests to the College, and 3) to outline the obligations of the College to properly manage and report all significant financial interests that the College, not the investigator, deems are both related to the research and could reasonably appear to affect the design, conduct or reporting of research.

I. Key Definitions. (The following definitions are directly derived from the 42 CFR §50.603)

Financial Conflict of Interest (FCOI) means a significant financial interest that has been determined could directly and significantly affect the design, conduct, or reporting of research. A significant financial interest could rise to the level of a financial conflict of interest even if the financial interest is determined to not be a real conflict but yet could still be reasonably perceived as a conflict.

Institutional responsibilities means an investigator's professional responsibilities on behalf of the College, which may include activities such as: research, research consultation, teaching, professional practice, committee membership, and service on panels such as Institutional Review Boards or Data and Safety Monitoring Boards.

Investigator means the principal investigator/program director (PI/PD), co-investigator(s), clinical investigator(s) and any other person, including those who are subrecipients, contractors, or consultants, regardless of title or position, who are responsible for the design, conduct or reporting of research, which typically may include but may not be necessarily limited to, senior/key personnel. The determination of which persons are Investigators of a given research project is generally made in the application phase by the PI/PD and the research department of the College but may also be at the discretion of the College's designated financial conflict of interest official(s).

Key/Senior Personnel means the PI/PD and any other person who is materially and substantively responsible for the design, conduct, or reporting of research and identified as such, by the research department of the College and the project's PI/PD, in the formal grant application, budgetary, and/or progress report phases of the project.

Manage means taking action to address a financial conflict of interest, which can include reducing or eliminating the financial conflict of interest, to ensure, to the extent possible, the design, conduct and reporting of research will be free from bias.

PHS Awarding Component means the organizational unit of the PHS that funds the research that is subject to this policy and procedure (e.g. National Institutes of Health).

Significant Financial Interest (SFI) means monetary interests held by the investigator, or those of the investigator's spouse (including domestic partner or spousal equivalent), and/or dependent children, that is reasonably related to *any* of the investigator's institutional responsibilities.

For purposes of this definition, *significant financial interest* **includes**:

- A. Salary and any payment for services not otherwise identified as salary, such as consulting fees, honoraria, paid authorship, etc, in which the value from the entity in the twelve months *preceding* the disclosure, when aggregated, exceeds \$5,000.
- B. Equity interests, such as stock, stock options, ownership interests, etc, as determined through reference to public prices or other reasonable measures of fair market value as of the date of disclosure, in which the value from the entity in the twelve months *preceding* the disclosure, when aggregated, exceeds \$5,000.
- C. Licensed intellectual property rights (e.g. patents, copyrights), royalties from such rights, and agreements to share in royalties related to such rights that in the twelve months preceding the disclosure exceeds \$5,000.
- D. Travel expenses that are either reimbursed to the investigator or paid directly on behalf of the investigator, that are related to any of the investigator's institutional responsibilities, provided that the travel is *not* reimbursed or sponsored by a Federal (e.g. NIH), state, or local government agency, an Institute of higher education (e.g. NCNM), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institute of higher education (e.g. Helfgott Research Institute).

For purposes of this definition: *significant financial interest* **does not include**:

- A. Salary, royalties, or other remuneration paid by the College, if the investigator is an employee or otherwise appointed by the College, including intellectual property rights assigned to the College and agreements to share in royalties related to such rights.
- B. Income from investment vehicles, such as mutual funds and retirement accounts, as long as the investigator does not directly control the investment decisions made in these vehicles.
- C. Income from seminars, lectures, teaching engagements or service on advisory committees or review panels provided they are sponsored by a Federal, state, or local government agency, an Institute of higher education, an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institute of higher education.

II. Key Policy Changes in the August 2011 Final Rule

A. Significant Financial Interest Threshold

The threshold for a financial interest being significant is an aggregated \$5,000, down from the previous \$10,000 of the previous rule. It also includes equity of both publically and non-

publically traded entities. In addition, SFI amounts are calculated based upon the *preceding* 12 months rather than an estimation of the *following* 12 months.

B. SFI to be disclosed to the College

The investigator no longer discloses only the SFI s/he believes is related to their research, but now must disclose all SFI that is related to any of their institutional responsibilities. Both the determinations of which SFIs are related to research and which SFIs constitute a financial conflict of interest are now made by the designated official(s) of the College.

C. Exclusions from disclosure requirements

Income from seminars, lectures, teaching engagements, and service on advisory or review panels are now excluded if they are sponsored by or in service for a federal, state, or local government agency, an Institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education. Income from investment vehicles are now expressly excluded from disclosure requirements, provided that the investigator does not directly control the investment decisions made by said vehicle.

D. Intellectual Property

Intellectual property that flows through the College is excluded from the disclosure requirements, as are unlicensed intellectual property that does not generate income. The threshold of \$5,000 applies to licensed intellectual proper rights (e.g. patents, copyrights), royalties from such rights, and agreements to share in royalties related to licensed intellectual property rights.

E. Travel

Any travel, either reimbursed or directly sponsored, must now be disclosed as a financial interest, provided that the travel is NOT reimbursed or sponsored by a federal, state, or local government agency, an Institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education. Investigators must initially disclose the purpose of the trip, as well as the destination, duration and sponsor. The College, subsequently, will determine if it requires additional information and/or the monetary value of the travel. Note: if the travel is paid directly by the sponsor on behalf of the investigator, the monetary value of travel may not be readily available. For this reason, this added burden on the investigator is not required for initial disclosure but only upon the College's determination that the disclosed travel 1) may constitute a financial conflict of interest or 2) the monetary value is needed for making such a determination.

F. Subrecipient Investigator FCOI requirements

If research involves a sub-contract/award to a consortium institution, the written agreement between the College and the subrecipient institution must now expressly stipulate, whenever possible, that the investigator(s) at the consortium institution will be held to their own institution's FCOI policy, provided that they further certify their FCOI policy is in full compliance with federal requirements. If they can not or are otherwise unwilling to provide such certification, the written agreement shall stipulate that the consortium investigators are subject to the Managing FCOI Policy and Procedure of NCNM.

G. Public Accessibility

One of the driving purposes for the changes to the Final Rule is the increased congressional pressure to strengthen accountability in reporting financial conflicts of interest and for increased public transparency in such matters. As such, under the Final Rule, the College must make accessible on its public website this Policy and Procedure on Managing Financial Conflicts of Interest. Additionally, the College is required to respond within 5 business days to any public request for SFI information, including the investigator's name, title, role on the

research project, the name of the entity in which interest is held, the nature of the interest (e.g. salary, equity, consulting, etc), and whenever possible the approximate dollar value (expressed in ranges) of the interest. Only investigators that are identified as “key personnel” are subject to this public disclosure requirement.

H. FCOI Training

The College must provide FCOI training 1) to new investigators when they join a research project, 2) when the College updates the requirements of its Managing FCOI policy, and 3) when an investigator is found to be in noncompliance. Furthermore, the College must provide refresher training for all investigators at least every four years.

Procedure

I. Responsibilities of the College (Compliance with 42 CFR §50.604)

- A. The primary responsibility of the College is to create, maintain and enforce a written policy and procedure (herein) concerning the management of financial conflicts of interests in research and to make such a policy available through a publically accessible website (www.ncnm.edu). Said policy must be in full compliance with the *Final Rule 42 Code of Federal Regulations Part 50, subpart F: Promoting Objectivity in Research*.
- B. The further responsibility of the College is to fully disseminate this policy to all its investigators and inform them of their responsibilities regarding the disclosure of significant financial interests. All investigators must be trained in the Policy and Procedure herein before engaging in research and re-trained at a minimum of every four years. New training must occur if and when this Policy or Procedure is revised by the College in any manner which affects the requirements of the investigators.
- C. If the College carries out research through a subrecipient (e.g. subawardees, consortium agreements, or subcontractors), then it must take reasonable steps to ensure that any subrecipient investigator complies with the federal requirements concerning financial conflicts of interest. This shall be accomplished in the following manner:
 - i. The written agreement with the subrecipient institution (e.g. consortium agreement or contract) shall clearly stipulate that the subrecipient investigator(s) shall comply with the policies and procedures of the subrecipient institution concerning financial conflicts of interest.
 - ii. The subrecipient institution, in turn, must certify in said agreement that its policy and procedures concerning financial conflicts of interest are in compliance with all pertinent federal requirements.
 - iii. If the subrecipient institution is unable or unwilling to provide such certification, then the agreement shall stipulate that the subrecipient investigator(s) are subject to the financial conflict of interest policy of the College and shall disclose all SFI that are directly related to the subrecipient investigator’s scope of work for the project, as outlined in the agreement.
- D. The College shall designate an institutional official(s) to solicit and review disclosures of significant financial interests from each investigator who is planning to participate in, or is participating in, research. The designated official shall oversee the management, reporting, and remedy procedures outlined below. The College may elect to designate more than one official to oversee these procedures or, conversely, the designated official may fulfill these responsibilities within the role of a wider charge (e.g. NCNM Research Integrity Officer).
- E. Investigator Disclosure of Significant Financial Interests to the College

- i. The College shall require that all investigators who are planning to participate in PHS-funded research to disclose significant financial interests no later than the time of application for funding. In the case of non-PHS funded research, the disclosure must occur on or before the commencement of the research project.
 - ii. The College shall further require that all investigators submit an annual disclosure of significant financial interest to the institutional designated official.
 - iii. The College requires that investigators disclose to the institutional designated official any new significant financial interest within 30 days of the discovery or acquisition of said interest. Examples of a new significant financial interest would be those acquired through marriage, inheritance or purchase.
- F. It is the responsibility of the College to require its investigators to disclose all significant financial interests regardless of whether or not the investigator feels that the financial interest is related to their research or rises to the level of a financial conflict of interest. Both the determinations of which SFIs are related to research and which SFIs constitute a financial conflict of interest are made by the designated official(s) of the College. The College shall provide its official(s) with guidelines to make such a determination. A financial conflict of interest exists if the designated official(s) determine if the disclosure:
 - i. Is related to the proposed research.
 - ii. Could reasonably affect the design, conduct, or reporting of the proposed research.
- G. Furthermore, it is the responsibility of the College to require its investigators to disclose all reimbursed or sponsored travel, regardless of whether or not the investigator feels that the travel is related to the proposed research or represents a conflict of interest. The initial disclosure of travel shall include the purpose of the trip, the identity of the sponsor/organizer, the destination, and the duration of the trip. Upon review of the travel disclosure, the designated official(s) of the College will determine if further information is needed to resolve whether the travel constitutes a financial conflict of interest. This additional information will include, at a minimum, a disclosure of the monetary value of the travel in question.
- H. The College shall retain all records pertaining to the disclosure and review of significant financial interests; and all records pertaining to the management and reporting of significant financial interests that rise to the level of a financial conflict of interest for at least three years after the closure of the applicable research.
- I. The College must certify, in each application for PHS funding, the following:
 - i. The College has an up-to-date, written, and enforced administrative process to identify and manage financial conflicts of interest with respect to all research projects for which funding is sought or received.
 - ii. The College shall promote and enforce investigator compliance with this Policy and Procedure.
 - iii. The College shall manage financial conflicts of interest and provide all proper reports to the PHS Awarding Component consistent with the Code of Federal Regulations.
 - iv. The College agrees to make information available, promptly upon request, to the HHS relating to any investigator's disclosure of significant financial interests and the College's review of and response to such disclosure, whether or not said disclosure was determined by the College to be a financial conflict of interest.
 - v. The College shall fully comply with all the requirements of *42 Code of Federal Regulations Part 50, subpart F: Promoting Objectivity in Research*.

II. Managing and Reporting Financial Conflicts of Interest: (Compliance with 42 CFR §50.605)

- A. Management of Financial Conflicts of Interest
- i. Prior to any expenditure of funds, the designated official(s) shall review all disclosures of SFI, determine whether any SFI relate to the funded research, determine whether a financial conflict of interest exists, and, if so, develop and implement a **management plan** that shall specify the actions that have been, and shall be, taken to manage such financial conflicts of interest.
 - ii. **Examples** of conditions and restrictions that might be imposed to manage a financial conflict of interest may include things such as:
 - a) Public disclosure of financial conflicts of interest (for example when the investigator is presenting or publishing the research).
 - b) For clinical trials, disclosure of financial conflicts of interest to potential participants at the time of informed consent.
 - c) Appointment of an independent monitor capable of taking measures to protect the design, conduct and reporting of the research against possible bias resulting from financial conflicts of interest.
 - d) Modification of the research plan.
 - e) Change of personnel or personnel responsibilities, or disqualification of personnel from participation in all or a portion of the research.
 - f) Reduction or elimination of the financial interest (e.g. sale of an equity interest) or severance of relationships that create the financial conflict(s).
 - iii. Whenever an investigator, who is new to the research project, discloses a significant financial interest or an existing investigator discloses a new significant financial interest, the College shall review the disclosure within 60 days. If upon review, the disclosed significant financial interest is found to be a financial conflict of interest related to the project, the College shall implement a management plan that specifies the actions that have been and will be taken, if need be, to further manage the conflict.
 - iv. Whenever the College identifies a significant financial interest that was not properly disclosed by an investigator or, for whatever reason, was not previously reviewed by the College during the course of the research, the designated official(s) shall review the significant financial interest within 60 days. If upon review, the disclosed significant financial interest is determined to be a financial conflict of interest related to the project, the official(s) shall:
 - a) Implement a management plan that specifies the actions that have been and will be taken, if need be, to further manage the conflict.
 - b) Complete, within 120 days of the finding of noncompliance, a **retrospective review** of the investigator's activities to determine if, during the period of noncompliance, there was bias in the design, conduct or reporting of said research. The written documentation of the retrospective review shall include, but not necessarily be limited to, the following **key elements**:
 1. Project/Grant identification numbers
 2. Project title
 3. PD/PI or Contact PD/PI
 4. Name of the investigator with the identified financial conflict of interest
 5. Name of the entity with which the investigator has a financial conflict of interest
 6. Reason(s) for the retrospective review

7. Detailed methodology used for the retrospective review (e.g. methodology of the process, composition of the panel, document reviewed, witnesses interview, etc)
 8. Findings of the review
 9. Conclusions of the review
- c) Based on the results of the retrospective review, the College shall update any previously submitted FCOI reports, if appropriate and specify steps taken to manage the conflict. If bias is found, the College shall notify the funding agency (e.g. the PHS Awarding Component) and submit a **mitigation report**. This report must include, at a minimum, the key elements of the retrospective review above and a description of the impact of the bias on the research project and the College's plan of action to eliminate or mitigate the effect of that bias (e.g. extent of harm, including any qualitative and quantitative data to support any actual or future harm, analysis of whether the research is salvageable).
- v. The College, whenever it implements a management or mitigation plan, shall monitor the investigator's compliance with the plan on an ongoing basis until the completion of the research project.
- vi. The College shall ensure that there is public accessibility to information concerning significant financial interests that have been disclosed to the College.
- a) The College will provide a written response to a public request for SFI information within five business days.
 - b) Information will be provided to public request only under the following four conditions, 1) the information requested pertains to an Investigator that further meets the definition of key personnel, 2) if the SFI was disclosed and is still held by investigator (as defined), 3) the College has determined that the SFI is related to the research, and 4) the College has determined that the SFI is in fact a financial conflict of interest.
 - c) The information disclosed to the public must contain the following:
 1. The investigator's name, title, and role on the project,
 2. The name of the entity in which the SFI is held,
 3. The nature of the SFI (e.g. stocks, salary, travel, consulting).
 4. The approximate dollar value of the SFI in ranges (\$0-\$4,999; \$5,000-\$9,999; \$10,000-\$19,999; \$20,000-\$100,000 in increments of \$20,000; \$100,000 and greater by increments of \$50,000), or a statement that the interest is one whose value cannot be readily determined through reference to public process or other reasonable measure of fair market value.
 5. An explanation that the information provided is current as of the date of the correspondence and is subject to updates, on at least an annual basis and within 60 days of the College's identification of a new financial conflict of interest, which should be requested subsequently by the requestor.
 - d) Information must remain assessable to the public, upon request, for a minimum of three years after the closing of the research project.
- B. Reporting of Financial Conflicts of Interest
- i. Prior to the expenditure of funds, the College shall provide the funding agency (e.g. PHS Awarding Component) a FCOI Report. In cases where the College has identified a financial conflict of interest but successfully eliminated that conflict prior to the expenditure of funds, a FCOI report is not necessary.

- ii. For any financial conflict of interest that is identified during an ongoing research project (e.g. new investigator, new interest), the College shall provide the funding agency with an updated FCOI within 60 days of disclosure.
- iii. A **Financial Conflict of Interest Report** must contain, at a minimum, the following elements:
 - a) Project/Grant identification numbers
 - b) Project title
 - c) PD/PI or Contact PD/PI
 - d) Name of the investigator with the identified financial conflict of interest
 - e) Name of the entity with which the investigator has a financial conflict of interest
 - f) The nature of the SFI (e.g. stocks, salary, travel, consulting).
 - g) The approximate dollar value of the SFI in ranges (\$0-\$4,999; \$5,000-\$9,999; \$10,000-\$19,999; \$20,000-\$100,000 in increments of \$20,000; \$100,000 and greater by increments of \$50,000), or a statement that the interest is one whose value cannot be readily determined through reference to public process or other reasonable measure of fair market value.
 - h) A description of how the financial interest relates to the research and the basis for the College's determination that the interest represents a conflict with the research
 - i) A description of the College's management plan, including but not necessarily limited to the following elements:
 - 1. Role and principal duties of the investigator
 - 2. Conditions of the management plan
 - 3. How the management plan is designed to safeguard objectivity in the research project
 - 4. Confirmation of the investigator's agreement to the management plan
 - 5. How the management plan will be monitored to ensure investigator compliance
- iv. For any financial conflict of interest that is not properly disclosed, for whatever reason, the College is required to complete a retrospective review to determine if, during the period of noncompliance, the research was biased in design, conduct or reporting of research. In these cases, the College shall submit to the funding agency a mitigation report, as is described above.
- v. For those research projects that are PHS funded, the College will provide the PHS Awarding Component, in compliance with the 42 CFR 50.605(b)(4), an annual FCOI report that addresses the status of the FCOI and any changes to the management plan, for the duration of the project including cost and no-cost extensions.

III. Remedies concerning PHS Funded Research (Compliance with 42 CFR §50.606)

- i. If in the course of a retrospective review, a PHS-funded research project has been found to have been biased in design, conduct or reporting of research due to a financial conflict of interest, the College shall promptly notify the PHS Awarding Component of the corrective actions taken or to be taken. Corrective actions will be implemented by the appropriate institutional officials of the College (i.e. Dean of Research, Provost, etc). The PHS Awarding Component will consider the situation and, if necessary, take additional, appropriate action (e.g. sanctions, debarment, corrective actions to the College, etc).
- ii. The PHS Awarding Component and/or the Department of Health and Human Services may inquire at any time into the records of significant financial interest,

regardless of whether the College determined the SFI was a financial conflict of interest. Furthermore, the College is required to submit, or allow an onsite review, of all records pertinent to the College's compliance with 42 CFR 50 Subpart F. The PHS Awarding Component may determine that imposition of conditions, suspensions, or other enforcement actions is necessary.

- iii. In any case in which the HHS determines that a PHS-funded project of clinical research whose purpose is to evaluate the safety or effectiveness of a drug, medical device, or treatment has been designed, conducted, or reported by an investigator with a FCOI that was not managed or reported by the College as required by 42 CFR 50 Subpart F, the College shall require the investigator involved to disclose the FCOI in each public presentation of the results of the research and to request an addendum to previously published presentations.

IV. Informational Web Links

To the Federal Register detailing the Final Rule 42 CFR 50: Promoting Objectivity in Research:

http://grants.nih.gov/grants/policy/coi/fcoi_final_rule.pdf

To the Key differences between the new Final Rule and the previous 1995 Rules and Regulations:

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-109.html>

ACADEMIC AND FACULTY OFFICE SERVICES

BUSINESS HOURS

The faculty support office is generally open from 7:30 a.m. to 5:00 p.m. Monday through Friday. Regular business hours for the other offices at the Lair Hill campus are generally from 8:00 a.m. to 5:00 p.m. Monday through Friday. Hours at the college clinics vary.

COMPUTERS

Please refer to the "Employee Handbook" under the "Ethics and Standards of Professional Conduct" section.

COPY MACHINE CODES

Faculty members can request a code in order to use the college copy machines. Please request a code from faculty support staff.

E-MAIL ADDRESSES

Please refer to the "Employee Handbook" under the "Ethics and Standards of Professional Conduct" section.

FILE CABINET SPACE

Shared file cabinets are located in the faculty offices. Please see faculty support to request a key to use these file cabinets.

HANDOUTS / TYPING / COPYING

Course material that needs to be typed should be brought to the faculty support office at least five working days before it is needed. This is especially important during midterm and finals weeks. For copying, please allow a minimum of two working days. Work brought in at the last minute may not be able to be completed when required.

KEYS

Faculty members are responsible for keys to college properties assigned to them. Faculty may request keys by filling out a Key Request Form in the facilities office. The key, when approved, will be distributed to the faculty member in their mailbox. If a key should be lost, an incident report form must be filled out and returned immediately to the safety officer. The lost key should also be reported immediately to the faculty member's immediate supervisor. College keys may never be duplicated or loaned to others. Keys (just as all property of the College) must be returned upon termination of any position at NCNM.

LIBRARY

The NCNM library holds a unique collection of information that combines classical and modern works in naturopathic medicine, Chinese medicine, and alternative therapies. This includes the most current books and periodicals from conventional medical sciences as well. The library has an extensive collection of books, journals, audio cassettes, and video cassettes.

Employees have access to the facilities of the college library. Employee ID cards will serve as a library card. Employees will follow the same lending rules as other users of the facility and services.

Computerized literature searches are available and there are computers with several homeopathic and naturopathic programs, with CDs being available. Please consult the librarians.

The college is open to any suggestions for improving the library. All gifts and donations are also welcome. Faculty support will further develop the library, making it one of the best naturopathic and Chinese medicine libraries in the world.

MAIL

Faculty mailboxes are provided on campus during each term the faculty member is teaching. Faculty should check their mailbox at least once every time they are in the building. Faculty mailboxes are provided for college business mail only. Faculty members should not receive personal mail at the college.

OFFICE SPACE

Desk space is available in the faculty offices. Adjunct faculty may share desks due to limited space. Please see faculty support for more information concerning shared office space.

VOICEMAIL BOXES

Please refer to the “Employee Handbook” under the “Ethics and Standards of Professional Conduct” section.

EMAIL

All faculty must have an ncnm.edu email address. Contact the IT Department to set this up.

ADMINISTRATIVE AND FINANCIAL POLICIES

SUBSTANCE USE POLICY AND PROGRAM

Please refer to the “Employee Handbook” under the “Employment Policies and Practices” section.

ANIMALS ON CAMPUS

Please refer to the “Employee Handbook” under the “Ethics and Standards of Professional Conduct” section.

BOOKSTORE

The bookstore is operated by NCNM. The bookstore carries textbooks and other reading material, diagnostic equipment, stationery, postage stamps, supplies, and other items. The director of retail operations is responsible for stocking the bookstore, pricing, refunds, etc. The business hours of the bookstore are posted on the door. It is NCNM bookstore’s intent to provide convenient, personable service at a reasonable price.

EMERGENCY CLOSING / INCLEMENT WEATHER

Please refer to the “Employee Handbook” under the “Employee Benefits and Leave Policies” section.

PARKING

Limited employee parking is available. Full-time faculty members wishing to park are assigned permanent parking spaces at the Lair Hill campus for a monthly fee that is set by the facilities department. Adjunct faculty members have no permanent parking spaces but are allowed to use the Visitor parking spaces only and are issued a tag to place in their car. Parking patrol (non-NCNM employees) will check and tag when necessary. **NCNM does not have the ability to void parking tickets.** If parking spaces are not available when a faculty member comes to teach, or someone has illegally parked in the assigned space of a full-time faculty member, this should be reported to faculty support. Faculty members are encouraged to use public transportation whenever possible to reduce congestion. Some permits may be available for on-street parking in the neighborhood of Lair Hill campus for full-time faculty.

For current policies regarding parking at the NCNM Clinic see the appropriate clinic administrator.

PERSONAL PROPERTY

The College assumes no responsibility for the loss or damage to personal property. Locking file cabinet space is available in the faculty offices in order to lock up valuables.

STUDENT AFFAIRS POLICIES

Please refer to the “Student Handbook.”

EMPLOYEE INFORMATION

In all matters of employment and benefit policy, the Employee Handbook prevails. Please refer to the Employee Handbook for information regarding all of the College’s employment policies, including the following topics in particular:

- At-Will Employment Status
- Harassment / Sexual Harassment
- Faculty / Staff and Student Relationships
- Substance Use Policy and Program OSHA Training
- Corrective Action
- Use of NCNM Communication Systems
- Lobbying—Political and Legislative Activity
- Employee Benefits
- Equal Employment Policies Working Conditions
- Conflict of Interest Policy Drug-Free Workplace
- Injury on the Job
- Separation from Employment
- Internet Policy
- Use of NCNM Name and Logo