

Draft - Faculty Handbook - Draft

NOTE: The original Chapter 2 has been divided into two chapters.

CHAPTER TWO

FACULTY PERSONNEL POLICIES

I. Introduction

The accomplishments and reputation of The University of Alabama depend on the quality of its faculty and the record of teaching and creative scholarship which the faculty generates. The success of the faculty in its scholarly activities ultimately determines the calibre of the University's academic programs.

Given the faculty's central importance to the University's educational mission and given the University's steadfast commitment to academic excellence, it is incumbent upon the University leadership to promote and support an academic climate in which the faculty can be successful. It is incumbent upon faculty members to be active, consistent, and energetic contributors to the University's academic programs. In particular:

1. All faculty members with teaching responsibilities are expected to be effective teachers, to demonstrate a level of teaching performance commensurate with their rank and experience, and to make substantive contributions to the overall instructional effectiveness of the academic programs in which they have assigned duties.
2. All tenured or probationary faculty members having the rank of Assistant Professor, Associate Professor, and Professor are expected to engage in an ongoing program of research, publication, creative activity, and scholarly effort that is appropriate to their appointment, discipline, and fields of specialization.
3. All faculty members as a matter of course are expected to exercise responsible academic citizenship *appropriate to their appointment, rank, length of service, and discipline*; this typically includes advising students, serving on committees, serving as faculty advisor to student organizations, actively participating in professional associations, and engaging in other university activities where faculty participation is normal.

From time to time, letters of appointment or reappointment for individuals with faculty rank assign **administrative** and/or **service-related** duties beyond those required by responsible academic citizenship. In these cases, the quantity of instructional effort and creative scholarship expected from individual faculty members may be reduced and the assigned administrative and/or service duties may play a ~~major~~ *larger* role in promotion or tenure decisions. Generally, however, an individual cannot earn tenure or promotion ~~solely~~ *primarily* by performing in an administrative or service capacity (even though such performance is always considered in the award of salary increases). It is the policy of The University of Alabama to require evidence of academic merit as demonstrated by the individual's academic credentials, record of scholarly achievements, and instructional skills, before awarding tenure or promotion in academic rank.

In recognition of the extreme importance to the University of the academic credentials, academic achievements, and potential academic contributions of its faculty members, the University has established a set of criteria and standards to be observed in appointing new faculty, in promoting faculty members to higher academic rank, and in awarding tenure. These criteria and standards apply throughout the University except insofar as a department or academic division formally establishes higher or more detailed requirements and these receive appropriate administrative approval. All departments* and academic divisions are encouraged to amplify the University criteria and standards for appointment, promotion, and tenure with more explicit and specific criteria which apply to their discipline or profession; these amplifications must in no way diminish or conflict with the University criteria and standards and they must be approved by the academic dean in case of departmental supplements and by the ~~Academic Vice President~~ *Provost/Vice President for Academic Affairs* in the case of divisional supplements. Copies of the current criteria, standards, and procedures are provided to faculty members at the time of initial appointment. Continuing faculty members are notified of changes.

II. Criteria and Standards for Appointments

Appointments to the faculty of The University of Alabama are based on the personnel requirements of the University's academic programs and on the ongoing goal of achieving and maintaining excellence in its teaching, research, and public service activities. Recruiting for faculty positions is conducted according to the University's Affirmative Action Plan and other approved administrative procedures established in the various administrative and academic units. It is a policy of the University to involve faculty, students, and others as may be appropriate, in the review of candidates for positions of academic and administrative leadership (see Appendix A).

Faculty members who have not been awarded tenure have one of two types of appointments: probationary or temporary. Probationary faculty members are employed with the understanding that performance at appropriate levels during a probationary period may result in the award of

tenure. Employment as a temporary faculty member conveys no right or expectation of continued employment beyond the period specified in the letter of appointment.

Probationary and tenured ranks for new appointments shall be, in ascending order, Instructor, Assistant Professor, Associate Professor, and Professor. *Eligibility for promotion is limited to probationary and tenured faculty.* Titles for temporary appointees vary from division to division; they include Lecturer in addition to the four academic ranks listed above, each rank being prefixed by one or more of the words Adjunct, Temporary, Visiting, and Clinical.

Candidates for appointment to the rank of Associate Professor or Professor in an academic area of specialization are expected to possess an appropriate terminal degree. Candidates for appointment to the rank of Assistant Professor normally are expected to have completed requirements for an appropriate terminal degree, but exceptions can be made to fit the needs and practices of individual disciplines. For example, in fields where a dissertation is part of the terminal degree program, an exception can be made for candidates who lack only a dissertation if there is evidence that the candidate is making reasonable progress toward completion of the degree program.

A. Instructor

A candidate for appointment to the rank of Instructor must have an appropriate record of educational achievement or relevant experience or both and must have the potential to be an effective teacher. All Instructors are expected to demonstrate a high level of performance in the classroom, to contribute to instructional effectiveness in assigned courses, and to exercise responsible academic citizenship.

B. Assistant Professor

Appointment to the rank of Assistant Professor is based on educational achievement or related professional experience or both and upon potential for outstanding instructional effectiveness and for scholarly contributions appropriate to his/her discipline and fields of specialization. The candidate normally should have completed a doctoral program or other terminal academic program appropriate to the discipline. There should be substantial evidence to indicate that the individual has the capabilities and competencies required for successful performance of all anticipated professional responsibilities.

An individual who has not completed requirements for a terminal degree may be offered an appointment as Assistant Professor. If the offer of appointment is made contingent upon completion of requirements for the degree, but the appointee fails to meet this contingency by the effective date of employment, the individual will be assigned the rank of Instructor and a revised appointment letter will be issued which specifies a period of time during which the individual is expected to complete requirements for the degree.; failure Failure to complete all degree requirements by the specified time may serve as cause for non-retention. ~~The~~ *If a decision is made to retain the individual, will be offered* a new appointment at the rank of Assistant Professor *may be offered* as soon as requirements *specified in the revised appointment letter are met.* ~~for the degree are completed, provided the offer is recommended by the department and approved by the dean.~~ If the initial offer of appointment as Assistant Professor is not made contingent upon completion of requirements for the degree by the effective date of employment, the offer should specify a period of time during which the individual is expected to complete requirements for the degree; failure to complete all degree requirements by the specified time may serve as cause for non-retention. By mutual agreement, the mandatory tenure decision time for an individual who completes degree requirements after the effective date of employment may be as late as the sixth academic year after the academic year during which requirements for the terminal degree are satisfied, even if this results in a probationary period of more than six years; the terms of any such agreement shall be specified in a new letter of appointment issued at the time degree requirements are met.

All faculty members at the rank of Assistant Professor are expected to maintain a good level of performance in the classroom and/or other appropriate instructional settings; to contribute to the overall instructional effectiveness of the academic programs in which they have assigned duties; to engage in an ongoing program of research, publication, creative activity, and scholarly efforts appropriate to their discipline and fields of specialization; and to exercise responsible academic citizenship.

C. Associate Professor

Appointment to the rank of Associate Professor is based upon a candidate's instructional effectiveness and record of scholarly contributions appropriate to his/her discipline and fields of specialization; however, candidates who have no prior record at the rank of Assistant Professor may be appointed at the rank of Associate Professor provided they possess a combination of educational achievement and professional contributions which gives them the capabilities and competencies required for successful performance at the Associate Professor rank and also the professional stature commensurate with that rank.

All faculty members who hold the rank of Associate Professor are expected to approach a standard of outstanding performance in the classroom and/or other appropriate instructional settings; to make a strong contribution to the overall instructional quality of the academic programs in which they have assigned duties; to engage in an ongoing and substantive program of research, publication, creative activity, and scholarly efforts appropriate to their discipline and fields of specialization; and to exercise responsible academic citizenship.

D. Professor

Appointment to the rank of Professor is based upon a candidate's instructional effectiveness and record of scholarly contributions appropriate to his/her discipline and fields of specialization; however, candidates who have no prior record at the rank of Associate Professor may be appointed at the rank of Professor provided they possess a combination of educational achievement and professional contributions which gives them the capabilities and competencies required for successful performance at the rank of Professor and also the professional stature commensurate with that rank.

All faculty members who hold the rank of Professor are expected to contribute to the leadership of academic programs; to maintain an outstanding level of effectiveness in the classroom and/or other appropriate instructional settings; to make a strong contribution to overall instructional quality; to engage in an ongoing and substantive program of research, publication, creative activity, and scholarly efforts appropriate to their discipline and fields of specialization; and to exercise responsible academic citizenship.

E. Endowed Chairs and Professorships

Endowed chairs and professorships enhance the quality of programs in higher education through both the recognition and contributions of the chairholders and professors. (See Appendix L for criteria and procedures for appointments to endowed chairs and professorships.)

E.F. Temporary Ranks

Eligibility for appointment to a temporary rank normally requires professional preparation and experience comparable to that required for a regular faculty appointment at that academic rank. Temporary Lecturers must have preparation and experience appropriate to the duties to be assigned.

Temporary appointees may be assigned to teach courses, conduct research, direct students, assist with research projects of students, direct field work of students, or provide consultation on research or instructional projects. Temporary appointments are for a predetermined period of time and convey no right or expectation of employment beyond the period specified in the letter of appointment. *Temporary appointees are not eligible for promotion in rank, but may apply for any other temporary faculty position, including upgraded positions they have previously held.*

The recommendation to accord temporary full-time or part-time faculty appointments begins at the program level, and is forwarded to the academic dean. ~~Deans have authority to appoint individuals to temporary part-time positions.~~ Deans may make temporary, *part-time and full-time faculty appointments after receiving approval from the Academic Vice President Provost/Vice President for Academic Affairs.*

The compensation for temporary appointees will depend on the type of service rendered and the rank of appointment. Unless authorized by the ~~Academic Vice President Provost/Vice President for Academic Affairs~~, compensation for ~~consulting services~~ *temporary appointees will not exceed the rates approved for regular members of the faculty.*

F.G. Joint Appointments

Occasionally, reasons may exist for appointing a faculty member to more than one department or area. Recommendations and authorization for joint appointments follow the same policies and procedures that apply to appointments to individual departments or areas. Before approving a joint appointment, the ~~Academic Vice President Provost/Vice President for Academic Affairs~~ will ensure that there is agreement between and among all the authorities involved. This agreement shall include rank in each department or area, and procedures for considering tenure and promotion and for assigning duties and compensation.

G.H. Non-Faculty Research Appointments

Various research contracts, grants, and projects depend in part on the services of personnel whose primary commitment is to research rather than to the combination of teaching, ~~and~~ *research and service* appropriate for faculty status. Consequently, the University has established a category of non-tenure-earning positions called Research Positions. The duration of appointments in these positions will be limited by the duration of the contracts, grants, and projects which fund the positions. Personnel policies for persons holding Research Positions are described in *The University of Alabama New Personnel Category: Research Positions*, which is available in the Office for Academic Affairs. The personnel policies in this Handbook do not apply to such Research Positions.

III. Criteria and Standards for Promotion

A faculty member usually completes at least four years in rank before being considered for promotion from Assistant Professor to Associate Professor or from Associate Professor to Professor; consequently, candidates normally do not apply for promotion before their fifth year in rank. Faculty members whose academic credentials and performance are outstanding, or who have held academic appointments at their present rank at other institutions, may be considered for promotion sooner.

A. Promotion From Instructor To Assistant Professor

To merit promotion to the rank of Assistant Professor, candidates must possess a strong record of performance at the Instructor rank. Decisions to promote an Instructor to the rank of Assistant Professor are based upon (1) the calibre of the faculty member's teaching effectiveness and overall contribution to the quality of the instructional programs in which he/she has assigned duties and (2) the calibre of the faculty member's record of research, publication, creative activity, and scholarly efforts in his/her discipline and fields of specialization. These two areas of performance are co-equal in importance and are predominant in the evaluation of candidates for promotion from Instructor to Assistant Professor.

To meet the criteria and standards of performance for promotion to Assistant Professor, a candidate's record of academic performance and accomplishments must satisfy the following requirements.

1. A successful candidate must present convincing evidence of good instructional performance and effectiveness; each candidate's record must be judged sufficient in quality to demonstrate continuing and substantial progress toward an outstanding level of performance.

Documentation of a candidate's instructional performance should include at least the following:

- (a) Evidence of effective performance by the candidate in the classroom and/or other instructional settings and evidence of the degree of the candidate's commitment to instructional excellence, including judgments by members of the departmental promotion committee and the departmental chairperson.
- (b) Student opinions regarding the candidate's classroom performance, together with their opinions concerning the quality of the course.
- (c) Any available evidence that the candidate has made contributions (beyond those included in responsible academic citizenship) to improving the quality of the instructional programs in his/her academic area. Such contributions may include improving the presentation of course materials, developing effective instructional aids, developing new courses or programs, strengthening the content of existing courses, preparing useful and current course syllabi, assisting in student recruitment and career placement, performing meritoriously in adult and professional continuing education programs, providing curricular or instructional leadership, and obtaining or participating significantly in grants and contracts which enhance the University's instructional efforts.

2. A successful candidate must present a record of research, publication, creative activity, and scholarly achievement appropriate to his/her discipline and fields of specialization; this record must be sufficient in both quantity and quality to demonstrate the potential for progress toward an outstanding level of performance.

The record of research, publication, creative activity, and scholarly achievement may consist primarily of contributions made while completing requirements for a doctoral program or other terminal academic program appropriate to the discipline. In appraising the quantity and quality of these contributions, emphasis is placed on evidence that the candidate's record would warrant an initial appointment as Assistant Professor.

3. Each successful candidate must show evidence of a continuing record of responsible academic citizenship appropriate to the candidate's area.

The absence of responsible academic citizenship on the candidate's part detracts from what otherwise may be a strong set of qualifications for promotion.

In cases where administrative and/or service activities are an assigned part of the candidate's professional duties, the criteria and performance standards cited above are supplemented and modified as follows:

~~1-(a)~~ The quantity of teaching and creative scholarship expected of the candidate shall be modified appropriately to recognize both the person's academic appointment and the time assigned to the administrative and/or service components of the position. However, the criteria regarding the calibre of teaching effectiveness and the quality of research, publication, creative activity, and scholarly achievement remain the same, as does the expectation of responsible academic citizenship.

~~2-(b)~~ The candidate's assigned administrative and/or service-related activities must be judged by superiors as meritorious and to have brought credit to the University.

While meritorious performance in an administrative and/or service capacity substantially enhances a candidate's case for promotion, such performance generally cannot be the primary basis upon which a faculty member receives promotion from Instructor to Assistant Professor. Promotion to the rank of Assistant Professor is awarded principally on the basis of academic merit, as evidenced by a candidate's academic credentials, teaching effectiveness, instructional contributions, and record of research, publication, creative activity, and scholarly achievement.

B. Promotion From Assistant Professor To Associate Professor

To merit promotion to the rank of Associate Professor, candidates must possess a strong record of performance at the Assistant Professor rank. Decisions to promote an Assistant Professor to the rank of Associate Professor are based upon (1) the calibre of the faculty member's teaching effectiveness and overall contribution to the quality of the instructional programs in which he/she has assigned duties and (2) the calibre of the faculty member's record of research, publication, creative activity, and scholarly efforts in his/her discipline and fields of specialization. These two

areas of performance are co-equal in importance and are predominant in the evaluation of candidates for promotion from Assistant to Associate Professor.

To meet the criteria and standards of performance for promotion to Associate Professor, a candidate's record of academic performance and accomplishments must satisfy the following requirements.

1. A successful candidate must present convincing evidence of good instructional performance and effectiveness; each candidate's record must be judged sufficient in quality to demonstrate continuing and substantial progress toward an outstanding level of performance.

Documentation of a candidate's instructional performance should include at least the following:

- (a) Evidence of effective performance by the candidate in the classroom and/or other instructional settings and evidence of the degree of the candidate's commitment to instructional excellence, including judgments by members of the departmental promotion committee and the departmental chairperson.
- (b) Student opinions regarding the candidate's instructional performance, together with their opinions concerning the quality of the course.
- (c) Any available evidence that the candidate has made contributions (beyond those included in responsible academic citizenship) to improving the quality of the instructional programs in his/her academic area. Such contributions may include improving the presentation of course materials, developing effective instructional aids, developing new courses or programs, strengthening the content of existing courses, preparing useful and current course syllabi, participating effectively in the supervision of research efforts of graduate students, assisting in student recruitment and career placement, performing meritoriously in adult and professional continuing education programs, providing curricular or instructional leadership, and obtaining or participating significantly in grants and contracts which enhance the University's instructional efforts.

2. A successful candidate must present a strong, continuing record of productive research, publication, creative activity, and scholarly achievement appropriate to his/her discipline and fields of specialization; this record must be sufficient in both quantity and quality to demonstrate substantial progress toward an outstanding level of performance.

Although there are obviously many ways for a candidate to establish a strong, continuing record of productive research, publication, creative activity, and scholarly achievement, each successful candidate is expected to have published a number of substantial articles in recognized refereed journals in his/her discipline (or the equivalent in the case of candidates whose disciplines are in the creative, visual, or performing arts). In evaluating the totality of a candidate's record, consideration is given to all appropriate types of original scholarship, creative effort, and professional activity relevant to the candidate's discipline. The weight placed on each scholarly and professional activity necessarily varies according to the contribution it makes to the discipline and to the professional stature of the candidate. The following are examples of the types of scholarly and professional contributions which are considered:

- (a) articles published in refereed journals in the candidate's discipline;
- (b) books and book-length research monographs;
- (c) invited or juried or reviewed exhibitions, presentations, or performances;
- (d) chapters in books and edited collections of readings;
- (e) research reports submitted in connection with research grants or contracts;
- (f) participation in research contract or grant activities;
- (g) papers published in the proceedings of meetings of professional associations;
- (h) articles in non-refereed periodicals;
- (i) papers presented at professional meetings;
- (j) appointment as a referee, or as a member of an editorial board, or as an editor of a scholarly academic or professional journal;
- (k) any other types of scholarly publications and creative efforts which contribute to the candidate's fields of specialization;
- (l) important professional activities which contribute materially to the individual's professional stature and to the University's mission.

In appraising the quantity and quality of a candidate's scholarly and creative contributions to his/her discipline, emphasis is placed upon (1) whether the amount of productive research, publication, and creative activity the candidate presents is commensurate with what should be expected of someone applying for the rank of Associate Professor, (2) evidence as to the substantive and consistent nature of the candidate's scholarly or creative efforts, (3) the quality of the refereed journals in which manuscripts have been published (or the quality of the invited or juried or

reviewed exhibitions, presentations, or performances), (4) the calibre of the publications in which the candidate's works (other than refereed journal articles) have appeared, (5) any evidence of the impact which the candidate's works have had on the discipline or of the extent to which the candidate's publications have been recognized or cited by others, (6) the emerging professional stature of the candidate, (7) the quality of any invitations to consult or lecture, and (8) the quality of any participation by the candidate in research contract or grant activities.

3. Each successful candidate must show evidence of a continuing record of responsible academic citizenship appropriate to the candidate's area.

The absence of responsible academic citizenship on the candidate's part detracts from what otherwise may be a strong set of qualifications for promotion.

In cases where administrative and/or service activities are an assigned part of the candidate's professional duties, the criteria and performance standards cited above are supplemented and modified as follows:

1.(a) The quantity of teaching and creative scholarship expected of the candidate shall be modified appropriately to recognize both the person's academic appointment and the time assigned to the administrative and/or service components of the position. However, the criteria regarding the calibre of teaching effectiveness and the quality of research, publications, creative activity, and scholarly achievements remain the same, as does the expectation of responsible academic citizenship.

2.(b) The candidate's assigned administrative and/or service-related activities must be judged by superiors as meritorious and to have brought credit to the University.

While meritorious performance in an administrative and/or service capacity substantially enhances a candidate's case for promotion, such performance generally cannot be the primary basis upon which a faculty member receives promotion from Assistant Professor to Associate Professor. Promotion to the rank of Associate Professor is awarded principally on the basis of academic merit, as evidenced by a candidate's academic credentials, teaching effectiveness, instructional contributions, and record of research, publication, creative activity, and scholarly achievement.

C. Promotion From Associate Professor To Professor

To merit promotion to the rank of Professor, candidates must possess a strong record of performance at the rank of Associate Professor. Decisions to promote an Associate Professor to the rank of Professor are based upon (1) the calibre of the faculty member's teaching effectiveness and overall contribution to the quality of the instructional programs in which he/she has assigned duties and (2) the calibre of the faculty member's record of research, publication, creative activity, and scholarly efforts in his/her discipline and fields of specialization. These two areas of performance are co-equal in importance and are predominant in the evaluation of candidates for promotion from Associate Professor to Professor.

To meet the criteria and standards of performance for promotion to Professor, a candidate's record of academic performance and accomplishments must satisfy the following requirements.

1. A successful candidate must present convincing evidence of outstanding instructional performance and effectiveness; each candidate's record should be judged sufficiently consistent in quality to warrant the expectation of continued performance at this level.

Documentation that a candidate's instructional performance is outstanding and consistent in quality should include at least the following:

(a) Evidence of effective performance by the candidate in the classroom and/or other instructional settings and evidence of the degree of the candidate's commitment to instructional excellence, including judgments by members of the departmental promotion committee and the departmental chairperson.

(b) Student opinions regarding the candidate's instructional performance together with their opinions concerning the quality of the course.

(c) Any available evidence that the candidate has made substantial contributions (beyond those included in responsible academic citizenship) to improving the quality of the instructional programs in his/her academic area. Such contributions may include improving the presentation of course materials, developing effective instructional aids, developing new courses or programs, strengthening the content of existing courses, preparing useful and current course syllabi, participating effectively in the supervision of research efforts of graduate students, assisting in student recruitment and career placement, performing meritoriously in adult and professional continuing education programs, providing curricular or instructional leadership, and obtaining or participating significantly in grants and contracts which enhance the University's instructional efforts.

2. A successful candidate must present an outstanding record of productive research, publication, creative activity, and scholarly achievement appropriate to his/her discipline and fields of specialization; this record should be sufficiently consistent in both quantity and quality to warrant the expectation of continued performance at this level.

Although there are obviously many ways for a candidate to establish an outstanding, continuing record of productive research, publication, creative activity, and scholarly achievement, each successful candidate is expected to have published a number of substantial articles in recognized refereed

journals in his/her discipline (or the equivalent in the case of candidates whose disciplines are in the creative, visual, or performing arts). In evaluating the totality of a candidate's record, consideration is given to all appropriate types of original scholarship, creative effort, and professional activity relevant to the candidate's discipline. The weight placed on each scholarly and professional activity necessarily varies according to the contribution it makes to the discipline and to the professional stature of the candidate. The following are examples of the types of scholarly and professional contributions which are considered:

- (a) articles published in refereed journals in the candidate's discipline;
- (b) books and book-length research monographs;
- (c) invited or juried or reviewed exhibitions, presentations, or performances;
- (d) chapters in books and edited collections of readings;
- (e) research reports submitted in connection with research grants or contracts;
- (f) participation in research contract or grant activities;
- (g) papers published in the proceedings of meetings of professional associations;
- (h) articles in non-refereed periodicals;
- (i) papers presented at professional meetings;
- (j) appointment as a referee, or as a member of an editorial board, or as an editor of a scholarly academic or professional journal;
- (k) any other types of scholarly publications and creative efforts which contribute to the candidate's fields of specialization;
- (l) important professional activities which contribute materially to the individual's professional stature and to the University's mission.

In appraising the quantity and quality of a candidate's scholarly and creative contributions to his/her discipline, emphasis is placed upon (1) whether the amount of productive research, publication, and creative activity the candidate presents is commensurate with what should be expected of someone applying for the rank of Professor, (2) evidence as to the substantive and consistent nature of the candidate's scholarly or creative efforts, (3) the quality of the refereed journals in which manuscripts have been published (or the quality of invited or juried or reviewed exhibitions, presentations, or performances), (4) the calibre of the publications in which the candidate's works (other than refereed journal articles) have appeared, (5) evidence of the impact which the candidate's works have had on the discipline and of the extent to which the candidate's publications have been recognized or cited by others, (6) the professional stature of the candidate, (7) the quality of any invitations to consult or lecture, and (8) the quality of any participation by the candidate in research contract or grant activities.

3. Each successful candidate must show evidence of a continuing record of responsible academic citizenship appropriate to the candidate's area.

The absence of responsible academic citizenship on the candidate's part detracts from what otherwise may be a strong set of qualifications for promotion.

In cases where administrative and/or service activities are an assigned part of the candidate's professional duties, the criteria and performance standards cited above are supplemented and modified as follows:

~~1-(a)~~ The quantity of teaching and creative scholarship expected of the candidate shall be modified appropriately to recognize both the person's academic appointment and the time assigned to the administrative and/or service components of the position. However, the criteria regarding the calibre of teaching effectiveness and the quality of research, publications, creative activity, and scholarly achievements remain the same, as does the expectation of responsible academic citizenship.

~~2-(b)~~ The candidate's assigned administrative and/or service-related activities must be judged by superiors as meritorious and to have brought credit to the University.

While meritorious performance in an administrative and/or service capacity substantially enhances a candidate's case for promotion, such performance generally cannot be the primary basis upon which a faculty member receives promotion from Associate Professor to Professor. Promotion to the rank of Professor is awarded principally on the basis of academic merit, as evidenced by a candidate's academic credentials, teaching effectiveness, instructional contributions, and record of research, publication, creative activity, and scholarly achievement.

IV. Criteria and Standards for Awarding

Tenure to Probationary Faculty

The decision to award tenure to a probationary faculty member is an affirmative act based upon an individual's performance, accomplishments, and potential for ongoing contribution to the University's academic programs and teaching, research, and public service missions.

A. Criteria and Standards

To merit the award of tenure, a probationary faculty member must satisfy the following criteria and standards of performance.

1. A successful candidate must present convincing evidence of good instructional performance and effectiveness; each candidate's record must be judged sufficient in quality to demonstrate continuing and substantial progress toward an outstanding level of performance.

Documentation of a candidate's instructional performance should include at least the following:

- (a) Evidence of effective performance by the candidate in the classroom and/or other instructional settings and evidence of the degree of the candidate's commitment to instructional excellence, including judgments by members of the departmental tenure committee and the departmental chairperson.
- (b) Student opinions regarding the candidate's instructional performance together with their opinions concerning the quality of the course.
- (c) Any available evidence that the candidate has made contributions (beyond those included in responsible academic citizenship) to improving the quality of the instructional programs in his/her academic area. Such contributions may include improving the presentation of course materials, developing effective instructional aids, developing new courses or programs, strengthening the content of existing courses, preparing useful and current course syllabi, participating effectively in the supervision of research efforts of graduate students, assisting in student recruitment and career placement, performing meritoriously in adult and professional continuing education programs, providing distinguished curricular or instructional leadership, and obtaining or participating effectively in grants and contracts which enhance the University's instructional efforts.

2. A successful candidate must present a strong, continuing record of productive research, publication, creative activity, and scholarly achievement appropriate to his/her discipline and fields of specialization; this record must be sufficient in both quantity and quality to demonstrate substantial progress toward an outstanding level of performance.

Although there are obviously many ways for a candidate to establish a strong, continuing record of productive research, publication, creative activity, and scholarly achievement, each successful candidate is expected to have published a number of substantial articles in recognized refereed journals in his/her discipline (or the equivalent in the case of candidates whose disciplines are in the creative, visual, or performing arts). In evaluating the totality of a candidate's record, consideration is given to all appropriate types of original scholarship, creative effort, and professional activity relevant to the candidate's discipline. The weight placed on each scholarly and professional activity necessarily varies according to the contribution it makes to the discipline and to the professional stature of the candidate. The following are examples of the types of scholarly and professional contributions which are considered:

- (a) articles published in refereed journals in the candidate's discipline;
- (b) books and book-length research monographs;
- (c) invited or juried or reviewed exhibitions, presentations, or performances;
- (d) chapters in books and edited collections of readings;
- (e) research reports submitted in connection with research grants or contracts;
- (f) participation in research contract or grant activities;
- (g) papers published in the proceedings of meetings of professional associations;
- (h) articles in non-refereed periodicals;
- (i) papers presented at professional meetings;
- (j) appointment as a referee, or as a member of an editorial board, or as an editor of a scholarly academic or professional journal;
- (k) any other type of scholarly publications and creative efforts which contribute to the candidate's fields of specialization;
- (l) important professional activities which contribute materially to the individual's professional stature and to the University's mission.

In appraising the quantity and quality of a candidate's scholarly and creative contributions to his/her discipline, emphasis is placed upon (1) whether the amount of productive research, publication, and creative activity the candidate presents is commensurate with what should be expected

of someone applying for tenure, (2) evidence as to the substantive and consistent nature of the candidate's scholarly or creative efforts, (3) the quality of the refereed journals in which manuscripts have been published (or the quality of invited or juried or reviewed exhibitions, presentations, or performances), (4) the calibre of the publications in which the candidate's works (other than refereed journal articles) have appeared, (5) any evidence of the impact which the candidate's works have had on the discipline and of the extent to which the candidate's publications have been recognized or cited by others, (6) the emerging professional stature of the candidate, (7) the quality of any invitations to consult or lecture, and (8) the quality of any participation by the candidate in research contract or grant activities.

3. Each successful candidate must show evidence of a continuing record of responsible academic citizenship appropriate to the candidate's area.

The absence of responsible academic citizenship on the candidate's part detracts from what otherwise may be a strong set of qualifications for tenure.

4. Each successful candidate must have made substantial progress toward achieving a professional status which will enhance the stature of the University's faculty and must be judged to have the potential to make a continuing contribution to the University's mission in teaching, research, and public service.

The decision to award tenure and the decision to promote are not necessarily linked.

Usually, faculty members who have made sufficient progress toward achieving the professional status required for tenure will already hold the rank of Associate Professor or Professor. However, there are times when it may be appropriate for Assistant Professors to be considered simultaneously for both tenure and promotion to Associate Professor. There may arise exceptional cases where it is appropriate to award tenure to a person who holds the rank of Assistant Professor *or Instructor* and has not been recommended for promotion; in these instances the candidate must satisfy conditions 3 and 4 and, in addition, must present convincing evidence of **outstanding** instructional performance and effectiveness. While tenure may be awarded in unusual cases to faculty members who are Instructors or Assistant Professors, any subsequent promotion of such individuals to a higher academic rank requires that they meet the performance expectations regarding research, publication, creative activity, and scholarly efforts in their disciplines and fields of specialization.

B. Duration of Probationary Status

The appointment letter for a probationary faculty member should specify the last academic year during which a tenure decision can be made (the mandatory tenure decision time). This mandatory tenure decision time is the academic year preceding the last full academic year of the probationary period. The probationary period for a faculty member whose appointment begins during an academic year normally will be considered to have begun at the start of the academic year while faculty members whose appointments begin between May 15 and August 16 will not start their probationary period until August 16; exceptions to this rule must be approved by the ~~Academic Vice President~~ *Provost/Vice President for Academic Affairs* and must be described in the appointment letter.

The probationary period includes all full-time service at a faculty rank after earning an appropriate terminal degree, and may include full-time service prior to receiving a terminal degree. However, time spent in appointments prior to beginning a probationary appointment at the University may be excluded. The decision as to whether to count time spent in prior appointments or service prior to receiving an appropriate terminal degree will result from negotiations between the individual and the dean, with concurrence by the ~~Academic Vice President~~ *Provost/Vice President for Academic Affairs*, and will be reflected in the mandatory tenure decision time specified in the appointment letter conferring probationary faculty status. Factors to be considered in the decision concerning credit for prior appointments include the extent to which the appointment permitted normal professional progress, and the possibility that moving to the University can be expected initially to cause some delay in normal professional progress. If a person holding a probationary faculty appointment at the University participates in a faculty exchange, or takes leave for no more than six months, or takes leave for scholarly purposes, the time spent on exchange or leave will count as part of that person's probationary period unless the individual and the ~~Academic Vice President~~ *Provost/Vice President for Academic Affairs* agree in writing to an exception to this provision at the time the exchange or leave is approved.

The total period of full-time service in a probationary status normally will not exceed seven years (with a final tenure decision made during the sixth year), except that the probationary period will normally extend for four years at this University (with a final tenure decision made during the third year) even if the total full-time service in the profession thereby exceeds seven years. Faculty members appointed at advanced ranks may have shorter probationary periods as specified in their original appointment letters.

Normally, candidates do not apply for tenure until the year before their probationary period ends. In exceptional circumstances, decisions to award or deny tenure may be made sooner.

At any time preceding August 16 of the mandatory year for tenure decision, a probationary faculty member may request an extension of the probationary period. An extension, if granted, normally will not be for more than one year. Application for extension must be made by the probationary faculty member through the department chair to the dean of the college. A positive response to the application must be approved by the Provost/Vice President for Academic Affairs.

C. Initial Appointment with Tenure

It is the policy of The University of Alabama not to award tenure at the time of initial appointment to faculty rank. Exceptions may be made at the ranks of Associate Professor and Professor provided candidates have a record of substantial experience and accomplishments and provided they possess the professional stature and abilities to merit the award of tenure without a probationary period for evaluation. In making a decision to award tenure at the time of initial appointment, the candidate's record and credentials are examined from the standpoint of (1) teaching experience and evidence of instructional effectiveness; (2) quantity and quality of research, publication, creative activity, and scholarly achievements; (3) professional stature in the discipline; and (4) potential for making an ongoing contribution to the University's mission in teaching, research, and public service.

V. Composition of Faculty Committees for Appointments, Promotions, Progress Reviews, and Tenure

Membership on departmental and divisional faculty committees which make recommendations concerning faculty appointments, promotion, progress reviews, and tenure is limited to persons holding a regular faculty appointment as Assistant Professor, Associate Professor, or Professor. Additionally, only tenured faculty members may serve on committees for tenure and progress reviews, and departmental committees for promotion to a given academic rank must consist of people who possess that rank or a higher rank. These restrictions on eligibility apply in all departments and divisions. Usually, the departmental committees which make recommendations concerning promotion, progress reviews, and tenure consist of all persons eligible to serve, but (subject to the eligibility requirements given above) the full faculty of each department establishes its own specific criteria and processes concerning the composition, formation, and operation of these departmental committees. Likewise, the full faculty of each division establishes its own specific criteria and processes concerning the composition, formation, and operation of these divisional committees.

Departmental chairpersons, ~~and~~ deans, *and faculty members currently serving in the Office for Academic Affairs or the President's Office who may have a separate role in recommending retention, tenure, and promotion* ~~and~~ do not serve on the departmental or divisional committees making such recommendations.

In cases where there are fewer than three department members who are eligible to serve on one of the personnel committees, the dean, after consultation with the members eligible to serve, will appoint additional members to the committee from other departments with related interests. The committee chairperson must be a member of the candidate's department if any member of that department is eligible to serve.

VI. Preparation of Dossiers; Subsequent Additions

A dossier serves as a basis for decisions regarding retention, tenure and/or promotion. The primary responsibility for preparing a dossier to be considered by a faculty committee on promotion, progress review, or tenure rests with the candidate, but the departmental chairperson ~~shall will~~ *provide offer appropriate assistance upon request.* The dossier shall include all evidence and support material ~~needed~~ *deemed by the candidate to be necessary* for the review, ~~including~~ *and shall include* any material required by departmental and divisional policies as well as a clear description of any special duties stated in the initial or subsequent appointment letter(s). *No material submitted by a candidate shall be removed from the dossier prior to a final decision regarding the candidates retention, tenure and/or promotion in that year's review.*

The dossier of a candidate for promotion or tenure must include ~~The candidate has the option of having external evaluations included in the dossier of the candidates scholarly and creative contributions to his/her discipline. If external evaluations are to be included,~~ The candidate suggests *in a timely fashion* the names of several experts in his or her field *who might provide external evaluations.* The departmental chairperson requests evaluation statements from at least ~~some~~ *two* of those persons, but is not limited to names furnished by the candidate. These evaluative statements shall be sent to the departmental chairperson who *must* put them in the dossier. They are considered only if they are *in the candidates dossier-available* at the time that *it is reviewed by the departmental committee* ~~reviews the candidate's dossier.~~

Dossiers are due October 1 unless, with the approval of the Provost, a division selects a different date. The candidate submits his/her dossier to the departmental chairperson, who may add information which he or she considers to be relevant; in the event that information is added, the departmental chairperson informs the candidate who has the opportunity to add explanatory or rebuttal material. *The dossier is then transmitted by the departmental chairperson to the departmental faculty committee.*

Generally, no new evidence is added to the dossier after it has been transmitted to the departmental committee. In extremely unusual circumstances, when new evidence becomes available which seems to the dean to be significant, the dean may reconvene the departmental and divisional committees and ask these committees and the departmental chairperson to assess the new evidence.

Dossiers generally are reviewed by one or more faculty committees, the departmental chairperson, the dean, and the ~~Academic Vice President~~ *Provost/Vice President for Academic Affairs* (see ~~Chapter Two, Sections VII, VIII, and IX~~). The reviews of faculty committees, the departmental chairperson, and the dean *each* result in written recommendations which are attached to the dossier and are considered at subsequent stages of the review process. ~~These~~ *Each such* recommendation shall include a discussion of *the* evidence in the dossier concerning whether the candidate's performance satisfies the pertinent set of criteria and standards.

The candidate is ~~informed~~ given a copy of each ~~such~~ recommendation made at the departmental and divisional level and has an opportunity to supply an explanatory or rebuttal statement. Any such statement by the candidate becomes a part of the dossier and is reviewed by the departmental/divisional committee or departmental chairperson/dean whose recommendation elicited the candidate's response; following this review, the candidate is informed *in writing* of the results ~~and a copy is included in the dossier.~~ The dossier is *then* forwarded for review at the next stage.

~~Generally, no new evidence is added to the dossier after it has been transmitted to the departmental committee. In extremely unusual circumstances, when new evidence becomes available which seems to the dean to be so significant that considering it could change a negative recommendation, the dean may reconvene the departmental and divisional committees and ask these committees and the departmental chairperson to assess the new evidence.~~

Those performing the review at each stage shall have access to the complete dossier of the candidate and to copies of the formal written recommendations made at each prior stage of the review. ~~Moreover~~ *In addition*, they shall rely on their professional judgment in making evaluations and recommendations. Since the dossiers contain confidential and sensitive material, access to them shall be limited to persons formally involved in the review process.

VII. Progress Reviews of Probationary Faculty

It is University policy to conduct a review of each untenured faculty member's performance *and dossier* during each year prior to mandatory tenure decision time. A primary purpose of this review is to identify current strengths and weaknesses in the faculty member's performance and to make suggestions for improvement; however, this review also leads to a decision concerning retention.

The review process within a division consists of ~~reviews~~ *evaluations of the dossier* by a single faculty committee, by the departmental chairperson (area head, program director) if the division has such administrative subunits, and by the dean. The faculty committee *normally* will be a departmental (area, program) committee if the division has administrative subunits; otherwise, it will be a divisional committee.

The faculty committee reviews the record of each probationary faculty member who has not reached mandatory tenure decision time, and recommends whether to continue the person's appointment. The committee's recommendation must include a discussion of evidence in the dossier showing the person's progress toward meeting the criteria and standards for tenure. The recommendation also includes any suggestions for improvement that the committee considers appropriate.

The next stage of the review process consists of an independent recommendation by the departmental chairperson (or by the dean in divisions without administrative subunits) based on a review of the dossier and of the recommendation of the faculty committee. The departmental chairperson's recommendation includes a discussion of evidence in the dossier showing the person's progress toward tenure and may include any suggestions for improvement that the chairperson considers appropriate.

The dossier, together with recommendations from the departmental committee and the departmental chairperson, is transmitted to the dean. Except in cases where there is an automatic review by the ~~Academic Vice President~~ *Provost/Vice President for Academic Affairs*, a review by the dean is the last step in the annual progress review of probationary faculty members. The dean notifies the departmental chairperson and the faculty member of his or her decision and may include suggestions for improvement.

Review by the ~~Academic Vice President~~ *Provost/Vice President for Academic Affairs* is automatic in two cases: (1) whenever the dean decides that the probationary faculty member's appointment should not be continued; (2) in the review process which occurs two years before mandatory tenure decision time. In these cases the dean makes a recommendation which is forwarded to the ~~Academic Vice President~~ *Provost/Vice President for Academic Affairs* for the final decision. The dean notifies the departmental chairperson and the faculty member of the ~~Academic Vice President~~ *Provost/Vice President for Academic Affairs*'s decision. If the decision is that the faculty member is not to be retained, then the faculty member is no longer eligible to apply for promotion or tenure.

If a probationary faculty member has not completed requirements for an appropriate terminal degree, the dean may decide that retention of the faculty member shall be contingent upon completion of all degree requirements by a specific date (which can be no earlier than the date specified in the faculty member's letter of appointment). Written notification to the faculty member by March 1 of the decision to impose this contingency constitutes notice that the individual's employment at the University terminates at the end of the academic year unless all degree requirements are met by the specified date; however, the dean may set a later termination date.

A decision not to retain a probationary faculty member who holds an appropriate terminal degree must be transmitted in writing to the faculty member by March 1 during the first year of employment and by December 15 in the second year. Otherwise, the faculty member may remain on the faculty for an additional year.* If the decision not to retain the faculty member is made during the third or subsequent years, the faculty member's appointment will not terminate until the end of the following academic year.* *Consequently, the* ~~Any~~ review for first year probationary faculty members should occur no later than January, with recommendations reaching the dean by February 1. Reviews during the second year should occur no later than October, with recommendations reaching the dean by November 1. Reviews during the third and later years should be conducted early enough to ensure that the faculty member is notified of the decision prior to May 15.

VIII. Procedures for Making Tenure Recommendations

Recommendations concerning tenure usually begin at the departmental level. However, in divisions which have no administrative subunits, recommendations will be initiated at the divisional level. Each department has a Tenure Committee consisting of tenured faculty members (see ~~Chapter Two, Section V~~). It is the responsibility of each candidate for tenure to prepare a dossier (see ~~Chapter Two, Section VI~~) to be considered by the Committee and to submit the dossier to the departmental chairperson (or the dean in divisions which have no administrative subunits) by October 1. The dossier shall include all of the recommendations resulting from the previous progress reviews described in ~~Chapter Two, Section VII~~. Individual divisions and departments may require the inclusion of special forms or material. A dossier must be submitted in the academic year in which a tenure decision is mandatory.

The appointment letter of each probationary faculty member sets the maximum duration of the probationary period by specifying the academic year in which a tenure decision must be made (the mandatory tenure decision time). The faculty member will be considered for tenure prior to mandatory tenure decision time if earlier consideration is guaranteed in the appointment letter or if the faculty member requests early consideration. In cases of early consideration for tenure, the recommendation can be to award tenure, to deny tenure, or to defer a decision on tenure; the faculty member can terminate the review process at any stage by asking that his or her dossier be withdrawn from consideration. The only possible recommendations at mandatory tenure decision time are to award tenure or to deny tenure; the faculty member can terminate the review process only by resigning his or her appointment.

The candidate is ~~informed~~ given a copy of each recommendation made at the departmental or divisional level and has an opportunity to supply an ~~written~~ explanatory or rebuttal statement. Any such statement by the candidate becomes a part of the dossier and is reviewed by the departmental/divisional committee or departmental chairperson/dean whose recommendation elicited the candidate's response; following this review, the candidate is informed *in writing* of the results and a copy is included in the dossier. ~~and~~ The dossier is then forwarded for review at the next stage.

A. Departmental Tenure Recommendations

The departmental tenure committee evaluates the dossier of each candidate, applying the criteria and standards for tenure given in this handbook together with any additional criteria and standards imposed by the department or division. The committee, with members relying on their professional experience as faculty, makes a *written* recommendation concerning tenure which includes substantive discussion comparing the candidate's performance, as shown in the dossier, to each of the criteria and standards for tenure.

The next stage of the review process consists of an independent *written* recommendation by the departmental chairperson based on a review of the dossier and of the recommendation of the departmental tenure committee. The chairperson's recommendation includes an independent evaluation of whether the dossier shows that the candidate has met each of the criteria and standards for tenure. The chairperson then transmits the dossier, including all recommendations, to the dean.

B. Divisional Tenure Recommendations

Each division has a Tenure Committee consisting of tenured faculty members (see ~~Chapter Two, Section V~~) to review dossiers and recommendations submitted to the dean by departmental chairpersons. This committee makes an independent evaluation of each dossier, with the members relying on their professional experience as faculty, and makes a *written* recommendation which includes the committee's assessment of whether the dossier contains convincing evidence that all applicable criteria and standards for tenure have been met.

The next review is conducted by the dean who makes an independent *written* recommendation after considering the dossier and all the preceding recommendations. The dean's recommendation concerning tenure includes an assessment of the individual's potential for making a continuing contribution toward meeting the University's academic needs and thus may be based in part upon knowledge of budgetary constraints, projected enrollment patterns, and needs of the program or discipline. By February 1, the dean transmits the complete dossier, including his or her recommendation, to the ~~Academic Vice President~~ Provost/Vice President for Academic Affairs.

C. University Tenure Decision

The ~~Academic Vice President~~ Provost/Vice President for Academic Affairs, together with persons designated by him or her, reviews each dossier and all preceding recommendations. Following this review, a *written* recommendation from the ~~Academic Vice President~~ Provost/Vice President for Academic Affairs goes to the President who makes the final decision.

The ~~Academic Vice President~~ Provost/Vice President for Academic Affairs sends the faculty member written notice of the President's decision and provides copies to the departmental chairperson and dean. Formal written notice from the ~~Academic Vice President~~ Provost/Vice President for Academic Affairs is the only way in which tenure is awarded.

Notification of the award of tenure normally occurs between March 15 and April 15. In the case of denial of tenure, the ~~Academic Vice President~~ Provost/Vice President for Academic Affairs must notify the individual before the end of the academic year. Notification of denial of tenure constitutes notice that the individual's appointment at the University terminates at the end of the next academic year.

IX. Procedures for Making Promotion Recommendations

Professorial ranks at The University of Alabama, in ascending order are: Assistant Professor, Associate Professor, and Professor. University criteria for each rank are described in ~~Chapter Two~~, Section III. Divisional and departmental criteria supplement University criteria.

The process to be followed in applying for promotion, and in considering applications for promotion, is similar to that for tenure (see ~~Chapter Two~~, Section VIII). Each department has a promotion committee for each rank and there is a divisional promotion committee (see ~~Chapter Two~~, Section V).

Each candidate for promotion is responsible for preparing a dossier (see ~~Chapter Two~~, Section VI) to be considered by the appropriate departmental promotion committee. Since these dossiers are designed to support an application for promotion rather than for tenure, material such as the progress reviews described in ~~Chapter Two~~, Section VII may not be needed. Individual divisions and departments may require the inclusion of special forms or material.

The candidate submits the completed dossier to the departmental chairperson by October 1. The chairperson, if necessary, places additional material in the dossier (see ~~Chapter Two~~, Section VI) and then transmits the dossier to the chairperson of the departmental promotion committee. Thereafter, the stages in the review process, including all *written* notifications of recommendations and opportunities for rebuttal, are exactly the same as for tenure. The permissible recommendations at each stage are to grant promotion or to deny promotion. The candidate for promotion can terminate the review process at any stage by requesting that his or her dossier be withdrawn from consideration.

Completed promotion dossiers reach the Office for Academic Affairs by February 1. The ~~Academic Vice President~~ *Provost/Vice President for Academic Affairs* sends the dean written notice of the President's decision; the dean notifies the candidate and the departmental chairperson. Formal written notice from the dean is the only way in which promotion can be awarded.

Notification of the decision concerning promotion normally occurs between March 15 and April 15.

~~XXX~~ X. Policy and Guidelines on Faculty Evaluation

Faculty members are subject to evaluations throughout their careers since decisions must be made about matters such as salary increases and the assignment of time for research. The criteria and standards used in these evaluations shall be similar to those used in reviews for tenure and promotion, except that these continuing reviews shall concentrate on the question of whether the individual has maintained or improved the level of performance which justified hiring, earlier promotions, and/or tenure. ~~;~~ ~~subject to these general guidelines, academic divisions are encouraged to adopt more explicit and specific criteria and standards which apply to their discipline or profession.~~

The following procedures are designed to ensure that these evaluations are based on factual information, that the faculty member has a timely opportunity to discuss the evaluation, and that a written record will be available in case the faculty member chooses to contest the evaluation.

1. Each faculty member ~~should~~ *shall* submit a written activities report for the year just completed to the departmental chairperson* by the end of the spring semester.
2. ~~The departmental chairperson* should~~ *Each faculty member shall have an opportunity to meet privately with the departmental chairperson* each faculty member to discuss the activities report and explain both the departmental chairperson's salary recommendation for that faculty member and the type of duties to be assigned during the next year. This should opportunity shall occur before any performance evaluation or salary recommendation is submitted to the dean.* It is the responsibility of the departmental chairperson* to notify the faculty of the appropriate period for such a meeting.*
3. At the faculty member's request, the departmental chairperson* shall provide a written statement comparing that faculty member's performance to the criteria and standards described above and making recommendations for improvement prior to the next evaluation.

XI. Employment of Members of the Same Family

There is no general University policy against employment of members of the same family, but specific authorization from the President is required before any employee can serve as the immediate supervisor of a member of the employee's family, and there is a statutory prohibition against any employee appointing a family member to any position at the University. For the purposes of this policy, a family member is anyone related within the fourth degree of affinity or consanguinity.

XII. Resignations

A faculty member planning to resign ~~should~~ *shall* give written notice of his or her intentions to the departmental chairperson or area head as early as possible. A faculty member who resigns forfeits all rights of tenure and rank.

XIII. Retirement

Complete and current information regarding retirement is available at the Benefits Office.

The mandatory retirement age for faculty and staff is age 70, though those who reach the age of 70 during an academic year may receive permission to continue work through the following June 30th. Individuals who desire to work beyond age 70 may continue on a year to year basis provided they furnish evidence of physical and mental fitness and their application is approved by the University. Persons may retire at an earlier age, subject to policies of the retirement systems. Retirement pay through the Teachers' Retirement System of Alabama (TRSA) cannot begin before the first official day of retirement which, by TRSA policy, is required to be the first day of a month. Faculty members should *shall* inform the departmental chairperson and the Benefits Office of their intentions at least three months prior to the date on which they plan to retire.

A retired faculty member is entitled to receive the following benefits: full faculty parking privileges; full Library and University Supply Store privileges (including faculty discounts); retention of all tuition benefits; retention of membership in the Alabama Credit Union. A retired faculty member may purchase insurance benefits (including health insurance and reduced life insurance). Dependents of retirees, including surviving spouses and surviving unmarried dependent children under the age of 24, are eligible to receive Dependents' Identification Cards entitling them to full Supply Store and Library privileges; they have the option, *under certain circumstances*, of purchasing continued health insurance benefits and maintaining membership in the Alabama Credit Union; and they are entitled to the same tuition benefits as spouses and dependents of regular faculty members.

XXXIV. Termination and Severance

~~Tenure may be revoked or the employment of a tenured person may be terminated only for adequate cause or~~ *The employment of a person with tenure may be terminated* because of **bona fide** financial exigency or demonstrable need to discontinue a program or department of instruction. ~~In cases involving financial exigency or need to discontinue a program or department,~~ The University accepts the obligation of showing that the needs are genuine. Policies for deciding whether such needs exist ~~shall be developed through consultation with interested parties, including the Faculty Senate, and will be announced before any such terminations occur~~ *are in Appendix M.*

~~Otherwise, tenure may be revoked only for adequate cause.~~ "Adequate cause," ~~as used in the preceding paragraph,~~ must be directly and substantially related to performance of academic duties and responsibilities or to fitness to perform academic duties and responsibilities.

When a faculty member does not dispute either the facts ~~of an adequate cause~~ or the adequacy of the cause, the faculty member may resign immediately or receive immediate termination. When dispute exists on the facts or on their adequacy, the procedures outlined in the ~~then-current~~ Mediation and Grievance System will be followed (see Appendix B).

A faculty member in a tenured position normally ~~must~~ *shall* receive notice of the termination date at least one calendar year in advance. ~~This provision for terminal notice or salary in lieu of notice need not apply in the event that there has been a finding that the conduct which justified dismissal involved moral turpitude. (Moral turpitude is limited to conduct which goes beyond simply warranting discharge and is so blameworthy as to make it inappropriate to offer a year's teaching or pay. The standard is behavior that would evoke condemnation by the academic community generally.) If the Tribunal (see Appendix B) recommends termination of employment, or finds adequate cause for termination, but makes no statement as to whether moral turpitude has been involved, the President may ask the Tribunal for a recommendation as to whether the adequate cause found by the Tribunal involved moral turpitude and warrants either immediate termination or termination on short notice; the President may impose either of these penalties, no sooner than 14 days after asking the Tribunal for a recommendation, if this action is not contrary to a recommendation from the Tribunal.~~

In extraordinary circumstances a faculty member may be relieved of teaching duties with compensation. Any faculty member for whom such action is contemplated will be informed of the University's intention before the action is performed and will have an opportunity to prepare and immediately present an argument in rebuttal before the University Mediation and Grievance Committee. If a faculty member is relieved of duty in accordance with these procedures and is subsequently reinstated, all mentions of the suspension will be removed from personnel files.

The procedures and safeguards in this section may be invoked in cases where the President finds it necessary to seek immediate termination, or termination on short notice, of the employment of a temporary or probationary faculty member; in disciplinary cases involving temporary or probationary faculty members, a recommendation for termination by the Tribunal, or a finding of adequate cause for termination by the Tribunal, shall be construed as a recommendation for immediate termination and the President may terminate the faculty member's employment at once.

XXXV. Appointment, Evaluation, and Replacement of Administrators

Administrators do not have tenure in office; tenure as a faculty member is a separate right. Final authority over the selection and retention of administrators rests with the President. Primary authority for the selection and retention of associate deans, assistant deans, and departmental chairpersons rests with the academic dean.

Appendix A describes procedures to be followed in selecting and evaluating departmental chairpersons and deans. Appendix J describes the salary conversion and leave policies followed when administrative status is changed to faculty status.

