

Draft - Faculty Handbook - Draft

December, 1995

CHAPTER THREE FACULTY CONDUCT AND COMPENSATION

XIV. I. Academic Freedom

The academic freedom of the faculty is indispensable to the University in fulfilling its obligations to students, the community, and the state. The University endorses the ~~spirit of~~ *statement on academic freedom* as expressed in the American Association of University Professors' statement, *Academic Freedom and Tenure, 1940 Statement of Principles*, and explained in their *1970 Interpretive Comments*:

1. *Institutions of higher education are conducted for the common good and not to further the interest of either the individual teacher or the institution as a whole. The common good depends upon the free search for truth and its free exposition.*
2. *Academic freedom is essential to these purposes and applies to both teaching and research. Freedom in research is fundamental to the advancement of truth. Academic freedom in its teaching aspect is fundamental for the protection of the rights to the teacher in teaching and of the student to freedom in learning. It carries with it duties correlative with rights.*

Faculty members are entitled to full freedom in research and publication. However, publication of research results may be subject to requirements of individual research contracts and patent and copyright limitations. Faculty members are free to present relevant material in the classroom without prior censorship, but are expected to meet the highest standards of professional integrity.

Any faculty member may speak freely as a private citizen, but should make it clear that the views stated represent personal opinions and do not necessarily represent the position of the institution. In expressing opinions in public, faculty members should realize that the public may judge the teaching profession, as well as the University, on the basis of statements made by individual faculty members.

XV. II. Code of Conduct

The University of Alabama expects high ethical standards of all personnel. In particular, the University endorses the principles set forth in the following Statement on Professional Ethics by the American Association of University Professors (April, 1966) (~~see Appendix M~~). (The following was previously Appendix M.)

A. Introduction

From its inception, the American Association of University Professors has recognized that membership in the academic profession carries with it special responsibilities. The Association has consistently affirmed these responsibilities in major policy statements, providing guidance to the professor in his utterances as a citizen, in the exercise of his responsibilities to students, and in his conduct when resigning from his institution or when undertaking government-sponsored research.* The *Statement on Professional Ethics* that follows, necessarily presented in terms of the ideal, sets forth those general standards that serve as a reminder of the variety of obligations assumed by all members of the profession. For the purpose of more detailed guidance, the Association, through its Committee B on Professional Ethics, intends to issue from time to time supplemental statements on specific problems.

In the enforcement of ethical standards, the academic profession differs from those of law and medicine, whose associations act to assure the integrity of members engaged in private practice. In the academic profession the individual institution of higher learning provides this assurance and so should normally handle questions concerning propriety of conduct within its own framework by reference to a faculty group. The Association supports such local action and stands ready, through the General Secretary and Committee B, to counsel with any faculty member or administrator concerning questions of professional ethics and to inquire into complaints when local consideration is impossible or inappropriate. If the alleged offense is deemed sufficiently serious to raise the possibility of dismissal, the procedures should be in accordance with the 1940 *Statement of Principles on Academic Freedom and Tenure* and the 1958 *Statement on Procedural Standards in Faculty Dismissal Proceedings*.

B. The Statement

1. The professor, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognizes the special responsibilities placed upon him. His primary responsibility to his subject is to seek and to state the truth as he sees it. To this end he devotes his energies to developing and improving his scholarly competence. He accepts the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. He practices intellectual honesty. Although he may follow subsidiary interests, these interests must never seriously

hamper or compromise his freedom of inquiry.

2. As a teacher, the professor encourages the free pursuit of learning in his students. He holds before them the best scholarly standards of his discipline. He demonstrates respect for the student as an individual, and adheres to his proper role as intellectual guide and counselor. He makes every reasonable effort to foster honest academic conduct and to assure that his evaluation of students reflects their true merit. He respects the confidential nature of the relationship between professor and student. He avoids any exploitation of students for his private advantage and acknowledges significant assistance from them. He protects their academic freedom.

3. As a colleague, the professor has obligations that derive from common membership in the community of scholars. He respects and defends the free inquiry of his associate. In the exchange of criticism and ideas he shows due respect for the opinions of others. He acknowledges his academic debts and strives to be objective in his professional judgment of colleagues. He accepts his share of faculty responsibilities for the governance of his institution.

4. As a member of his institution, the professor seeks above all to be an effective teacher and scholar. Although he observes the stated regulations of the institution, provided they do not contravene academic freedom, he maintains his right to criticize and seek revision. He determines the amount and character of the work he does outside his institution with due regard to his paramount responsibilities within it. When considering the interruption or termination of his service, he recognizes the effect of his decision upon the program of the institution and gives due notice of his intentions.

5. As a member of his community, the professor has the rights and obligations of any citizen. He measures the urgency of these obligations in the light of his responsibilities to his subject, to his students, to his profession, and to his institution. When he speaks or acts as a private person he avoids creating the impression that he speaks or acts for his college or university. As a citizen engaged in a profession that depends upon freedom for its health and integrity, the professor has a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

D. III. Participation in Political Activities

(originally under XVI. Faculty Work Loads and Assignments)

Board of Trustees Rule 320 governs the rights and obligations of University personnel who seek or hold public office. The Rule recognizes the civil and political rights and responsibilities of University personnel and encourages them to fulfill their responsibilities as private citizens. The Rule prohibits the use, or appearance of use, of the University name or resources in support of a political campaign or organization, and imposes two limitations on University personnel who expect to retain their connection with the University while holding public office. These limitations are:

1. The office held must not result in a conflict of interest with University responsibilities and duties.
2. The duties of the office must not interfere with the person's performance of University responsibilities and duties.

The Rule provides for the possibility of leave of absence without pay, *subject to prior approval by the Chancellor, when there is a conflict of interest or when interference with the performance of University duties exists.* The full text of Rule 320 (*adopted August 23, 1978*) (*and formerly Appendix I*) is ~~given in Appendix I~~ as follows:

(NOTE: The following document describes the policy in effect at the time this Handbook was published. Copies of any subsequent revisions will be available in the Office for Academic Affairs.)

~~THE UNIVERSITY OF ALABAMA BOARD OF TRUSTEES~~

~~RULE 320~~

A. Political Activities of University Personnel

1. Application of Rule

This rule and any guidelines which may be promulgated hereunder apply to all administrative officers, faculty, staff or other employees of The University of Alabama System.

2. Policy

The Board hereby reaffirms its historic position that the institution shall neither endorse nor support any candidate for nomination or election to any public office of the State of Alabama or any other political entity. Employees of the University do not surrender their civil and political rights and responsibilities, however, by virtue of their employment. Indeed, the Board of Trustees encourages the officials and employees of the

University to fulfill their civic responsibilities as private citizens. But the Board shall continue to require that, consistent with state law, no University employee shall use or permit to be used University resources, time, or property for or on behalf of any political candidate, campaign, or organization or for any contribution or solicitation of any contribution to a political campaign or organization; nor shall any University employee lend or appear to lend the support of the University in connection with any contribution or solicitation of any contribution to a political campaign or organization. (Nothing in this rule is intended to discourage the impartial use of University facilities as a public forum, however.)

The Board recognizes that it is often difficult for the public to distinguish between the public and private activities of University employees, particularly when those employees occupy senior administrative positions within the institution. For that reason and because the University is a public institution, the Board wishes to guard against those actions that are illegal and improper as well as those that may create the appearance of impropriety. It is incumbent upon employees of the University to make clear in any political activity whatsoever that they are acting in a private and individual capacity and that their activities have neither University sponsorship nor support. It is also incumbent upon employees of the University to avoid any private actions of a collective nature that may lend or appear to lend the support of the University to political activity. Because of their prominent identification with the institution, the major administrative officers of the University have a particularly heavy obligation to insure that their activities are not misinterpreted or misunderstood.

No University employee may seek or hold public office and remain in the employ of the University if such activities could or would result in a conflict of interest or interfere with the employee's carrying out his University responsibilities. University employees who intend to seek election to public office must first obtain written consent from the Chancellor through appropriate reporting channels. In cases where the workload of the employee is the primary concern, Leaves of Absence during periods of running for office or serving in public office may be considered.

3. Report to the Chancellor

If there exists a reasonable question whether a potential activity of the University employee is consistent with the policy of the Board on political activities of University personnel, the employee shall report the proposed activity to the Chancellor for approval through appropriate channels. (Adopted August 23, 1978)

~~XXVIII.~~ IV. Policy on Contributions

The University cooperates with the United Way of West Alabama Fund of Tuscaloosa County by sponsoring a *voluntary* University-wide solicitation campaign for the United Way Fund. Other groups wishing to solicit funds on campus must obtain prior approval from the University Director of Personnel Services Assistant Vice President for Human Resources. The University of Alabama subscribes to the principle that only voluntary contributions shall be sought.

~~XXIX.~~ V. Mediation and Grievance System

The University of Alabama has a Mediation and Grievance System which provides a mechanism to process grievances of members of the faculty and proposed severe sanctions against faculty members. This system was approved by the Faculty Senate and the Council of Deans and was ratified by a vote of the divisional faculties. Appendix B contains the full statement of policies and procedures for the System.

~~XVI.~~ VI. Faculty Work Loads and Assignments

A. Work Load and Full-time Equivalent

A full-time work load (one full-time equivalency or FTE) for a University of Alabama faculty member is twelve hours of undergraduate teaching per semester combined with the other duties required by good academic citizenship. Negotiations between the chairperson and the faculty member can result in replacing part of the teaching component of one FTE by time assigned to research or other activities which contribute to the mission of the University; depending on the nature of the assignment, approval of the dean or Academic Vice President Provost/Vice President for Academic Affairs may be required.

B. University Convocations

Faculty members are expected to participate in the commencement exercises in appropriate academic regalia. Each faculty member will receive an announcement, including the order of march for processional, prior to the event.

Other University convocations, such as the President's meetings with the University faculty, take place periodically throughout the year.

~~C.~~ Tutoring

~~Persons on the payroll of the University may not tutor a student in the University for compensation if they have any direct connection with the course in which the student desires tutoring.~~

~~XXIII.~~ VII. Supplemental Compensation Policy

The policy on supplemental compensation requires faculty members to obtain prior agreement from officials of the University before undertaking activities that provide supplemental compensation for professionally-related activities. ~~Appendix E includes the full statement of the policy. (The following was formerly Appendix E.)~~

~~(NOTE: The following document describes the policy in effect at the time this Handbook was published. Copies of any subsequent revisions will be available in departmental and divisional offices and in the Office for Academic Affairs.)~~

~~THE UNIVERSITY OF ALABAMA~~ ~~POLICY ON SUPPLEMENTAL COMPENSATION~~

Preamble

Supplemental compensation activities by faculty and staff members can support the University's missions of teaching, research, and service and are encouraged within the limits set by this policy.

Responsibility for adhering to the provisions and spirit of this compensation policy is one of the professional obligations a faculty or staff member assumes when accepting employment at the University. *The restrictions in this policy apply only to periods for which the employee is compensated by the University.* Any questions concerning the policy should be discussed with the appropriate administrative officer before beginning a supplemental compensation activity.

A. Definitions

1. "Faculty and Staff," as used in this document, refers to all Faculty, Academic Deans, Executives, and Administrative/Professional Staff who by nature of their work are exempt from the timekeeping and overtime provisions of the Fair Labor Standards Act. "Faculty" includes faculty members on sabbatical leave.
2. "Internal supplemental compensation" is any compensation paid through the University to any faculty or staff member in addition to his or her base pay.
3. "External supplemental compensation" is any salary or wages not paid through the University which a faculty or staff member receives for currently performed professionally related services.
4. "Supplemental compensation" refers to both internal and external supplemental compensation.
5. An academic year appointment covers the nine-month period beginning on August 16 and ending on May 15. A twelve-month appointment begins August 16 and concludes on the following August 15.
6. "Appropriate administrative officer" refers to that individual who determines the faculty or staff member's conditions of employment. The "appropriate administrative officer" for a faculty member normally is the dean of the school or college or division director. Reports and requests for approval from faculty members will be transmitted to the dean or director by the appropriate departmental chairperson and will include the chairperson's recommendation. If the faculty or staff member is a dean, or vice president, or other executive, the "appropriate administrative officer" is the person to whom the individual reports.

B. Supplemental Compensation

Reporting of all significant supplemental compensation activities is an integral part of establishing performance expectations between a faculty or staff member and the appropriate administrative officer, but no report or prior approval is required concerning a one-time external compensation activity if the activity takes less than half a day or if the compensation is no more than \$100. The reporting process and the nature of the report will be that specified by the division to which the individual is assigned.

Faculty and staff members shall not undertake compensated activities that will in any way (1) conflict with the lawful interests and goals of The University of Alabama, or (2) impinge on their primary responsibilities to The University of Alabama. In the case of externally compensated activities, faculty and staff members shall not (1) make use of property or personnel of The University of Alabama for the purpose of obtaining compensation from sources external to the University, except when such use is permitted by law and is a normal part of the individual's professional academic activities, or (2) use or permit the use of the name of The University of Alabama in a way that would suggest that the activity is sponsored or endorsed by the University, without prior authorization of the President.

1. (a) Each faculty member at the University is expected not only to be an effective teacher and to maintain an ongoing program of research and scholarly effort but also to exercise responsible academic citizenship; this typically includes advising students, serving as faculty advisor to student

organizations, actively participating in professional associations, and engaging in other university activities where faculty participation is normal. Because supplemental compensation activity may infringe on these responsibilities, the faculty member is required to get prior approval from the dean or the dean's designated representative for any such activity. Deans, on their part, will respond with approval (or disapproval) promptly and normally will respond within one working day of receiving the request. The faculty member may proceed with the activity after receiving oral approval, but the dean will make a written record of the approval and will supply a copy to the faculty member. If the proposed activity is not approved, the dean will give the faculty member written notice of reasons for disapproving. Factors to be considered by the dean when deciding whether to approve supplemental compensation activities may include possible conflicts of interest, the amount of time the activity will require, and the appropriateness of arrangements to meet the faculty member's responsibilities.

(b) Staff members must fulfill their regular assignments. Any rescheduling of assignments during the time of a staff member's supplemental compensation activities must be described in writing and must have prior approval of the appropriate administrative officer.

2. Faculty members on academic year appointments may have no more than 39 supplemental compensation days (excluding weekends and holidays) during any academic year.

3. Faculty and staff on twelve-month appointments must make arrangements with the appropriate administrative officer in order to receive supplemental compensation. Their maximum number of supplemental compensation days is 28 (excluding holidays, weekends, and annual leave) in any 12-month appointment period.

4. Faculty members with a full-time Interim Term assignment may not exceed three days of supplemental compensation during that period. Faculty members with a full-time summer assignment may not exceed five days of supplemental compensation in any summer term.

5. A full-time University faculty or staff member may not hold an academic appointment with any other institution of higher education without written approval from the ~~Academic Vice President~~ *Provost/Vice President for Academic Affairs*.

An appropriate administrative officer who obtains information that a faculty or staff member has violated these standards will discuss the matter with the individual, and may, with documented evidence, take any additional steps (including sanctions) needed to ensure compliance.

C. Internal Supplemental Compensation

Each faculty and staff member of the University must have prior written approval for all internal supplemental compensation activities.

1. Other than in exceptional circumstances, all teaching is done as a part of the assigned work load and without supplemental compensation. If teaching for internal supplemental compensation takes place, it is done over and above the assigned work load and normally is limited to one three-hour or four-hour course per semester.

2. Receipt of internal supplemental compensation for externally sponsored research and service activities is subject to the current policies and regulations of the external sponsor. The statements which follow describe some of the policies in effect when this document was written.

(a) Whenever faculty and staff are to receive internal supplemental compensation under sponsored programs (e.g., contracts and grants), the proposal submitted must include, at the time of submission, a statement that such compensation will be consistent with University policy.

(b) Certain funding sources may require more specific documentation of both internal and external supplemental compensation activities; such conditions are specified in the terms of the agreement. Any faculty or staff member accepting such sponsorship is presumed to have accepted the conditions of the sponsoring agency. It is the responsibility of the faculty or staff member to provide any required documentation.

(c) Unless prior written approval is given by the sponsoring agency and the appropriate administrative officer, a faculty or staff member cannot: (1) receive internal supplemental compensation on a project under his or her direction, or (2) serve both on University assigned time and receive internal supplemental compensation for the same work.

(d) If federal funds are used, internal compensation for consultation may be paid to faculty and staff members by the University only if: (1) the consultation is across departmental lines and requires special expertise, or involves a separate or remote operation; (2) the activities involved are in addition to the regular negotiated work load of the faculty or staff member; (3) and such arrangements are specifically provided for in the agreement and/or approved in writing by the sponsoring agency.

3. (a) The remuneration for internal supplemental compensation activities depends upon negotiation between the faculty or staff member and the agency in question. Usually, the daily rate for internal compensation will not exceed (1) 1.5 percent of the academic year salary or (2) 1.15 percent of the twelve-month salary, and the pay for teaching a supplemental course will be no more than that for teaching a comparable course during a summer term.

(b) University faculty and staff members who engage in conferences, workshops, and seminars through the University's College of Continuing Studies will, except for such activities funded through a grant or contract, receive internal supplemental compensation at rates determined by negotiation with that College. These rates will be competitive to the extent that such rates are compatible with the projected revenue/cost of the

program and with other relevant economic considerations.

D. Reporting Procedures

1. Deans and directors of academic units will submit an annual report by October 1 to the ~~Academic Vice President~~ *Provost/Vice President for Academic Affairs* summarizing supplemental compensation activities for their division. Other directors will provide annual summaries of supplemental compensation activities to their vice presidents by October 1.
2. Each division of the University has developed a process for reporting and summarizing supplemental compensation activities. Faculty and staff members must follow the procedures of the division to which they are assigned.

E. Conflict Provisions

The terms and conditions of any agreement between the University and external organizations, or between the University and particular employees, will prevail in the event of any conflict between that agreement and the provisions of this policy.

~~XIX.VIII.~~ Sabbatical Leaves

The University offers tenured faculty members opportunities to apply for sabbatical leaves to engage in activities designed for professional growth, development, and renewal. (See ~~Chapter Two, Section XX IX~~ for Faculty Exchanges; other leaves of absence are discussed in ~~Chapter Three, Four, Section III-A~~). The goal of a sabbatical leave is to enhance the professional effectiveness of the faculty member and to enrich the academic climate of the University.

A sabbatical leave provides an opportunity for professional growth through various kinds of activities. Examples include:

1. Conducting research that leads to publication.
2. Conducting research or study that leads to improving teaching, to a new area of teaching or research expertise, or to curriculum development.
3. Engaging in activities to revitalize or retrain the faculty member, such as association with distinguished persons in the field.

A. Eligibility

A faculty member is eligible to receive a sabbatical leave after six academic years of full-time* employment at The University of Alabama. A faculty member is eligible to receive a subsequent sabbatical leave after six academic years of full-time employment at The University of Alabama following completion of a sabbatical leave. A faculty member does not accumulate time to apply to sabbatical leave by additional full-time service beyond six years. For example, a faculty member who provides twelve years of continuous, full-time service is eligible to apply for only one sabbatical leave. When justified by the total period of service to the University, however, a subsequent leave may be approved during the fourth year after the preceding one.

As a general rule, no more than twenty percent of the faculty of any department should be on leave at any given time for sabbatical and voluntary leave (in the case of departments with fewer than five members, the limit is one person at any given time). Under extraordinary circumstances, individual faculty members or departmental chairpersons may petition for exceptions to this policy; the petition will be reviewed by the academic dean and the Office for Academic Affairs before it is referred to the President for decision.

Recipients of sabbatical leaves are expected to return to the service of The University of Alabama for at least one academic year after the completion of such leaves. Applicants for sabbatical leave who, because of pending mandatory retirement, would be able to render less than three years of service after return from sabbatical leave will be expected to offer particularly cogent reasons in support of their applications.

B. Term of Leave and Compensation

For individuals on a nine-month appointment, a sabbatical leave may consist of either a one semester leave with full pay or two semesters with one-half pay.* Faculty members on twelve-month appointments may apply for a sabbatical leave of four and one-half months with full pay or of nine months with one-half pay. In some situations, however, departmental or divisional needs may permit only a one semester or four and one-half month leave. An applicant for a sabbatical leave should discuss the proposed time and duration of leave with the chairperson before submitting an application.

A sabbatical leave is approved for a specific period of time. An individual with an approved sabbatical leave who finds that it will be impossible to take the leave should notify his or her departmental chairperson or area head immediately. Any subsequent request for sabbatical leave will be treated as a new application and will be judged accordingly.

Faculty members on sabbatical leave have the same right to earn supplemental compensation as faculty members who are not on sabbatical leave (see ~~Appendix E~~ *Chater 3 Section VII*). However, the purpose of sabbatical leave is professional development and not income augmentation. Thus, the amount the University will pay during a leave will be reduced by the amount that income from sabbatical-related sources (other than activities described as part of the proposed program of professional development), when added to the normal leave pay from the University, exceeds the person's regular salary plus reasonable expenses attributable to the approved plan of sabbatical activities. When the amount of income to be realized from sabbatical leave activities cannot be ascertained, the University will require an agreement to reimburse the University for any overpayment.

C. Application and Approval Process

Sabbatical leaves must be spent in planned programs related to the professional work of the recipient and designed to match the duration of the sabbatical leave. Applicants for sabbatical leaves are required to describe what they plan to do while on leave, where they plan to spend the leave, and how their plans relate to their professional development. The leave application must include appropriate plans for travel or residence away from campus whenever such travel or residence can be expected to afford opportunities for professional growth which are not available at the University.

Applications for sabbatical leave should be addressed to the administrative officer most immediately responsible for the applicant's area of operations and should be submitted by October 1. An application form requesting a detailed description of the project to be undertaken is available from the Office for Academic Affairs. This application should be submitted along with a current curriculum vitae and the names of two references who can supply informed judgments about the applicant's proposed project.

Department heads shall transmit all applications, together with their recommendations, to their deans by November 1. When approval is recommended, an explanation shall be furnished as to what arrangements are contemplated and what budgetary adjustments, if any, will be required to maintain the departmental program during the applicant's absence. After the departmental recommendation has been reviewed by the dean, the application together with appropriate recommendations and remarks will be forwarded to the ~~Academic Vice President~~ *Provost/Vice President for Academic Affairs* by December 1. Approval of a sabbatical leave is granted by the President of the University. Normally, the President's decision will be transmitted to the individual by February 1.

D. Administration

As far as possible, divisional programs and schedules should be planned to enable faculty members to propose sabbatical leaves when eligible to apply. However, continuity of divisional programs may require leaves to be scheduled in other than a seventh year of service. A faculty member whose application for leave is refused solely because of needs of the department or division should be encouraged to submit an application for the following year; in such cases, efforts will be made to arrange to make leave possible.

The sabbatical leave program normally will be financed through departmental and divisional budgets. If adequate funds are not available within department/divisional budgets, deans may request funds through the regular budget allocation process.

E. Reporting

The recipient of a sabbatical leave is expected to submit a report which describes in reasonable detail the extent to which achievements during the leave met the objectives stated in the approved plan for leave. This report is due no later than one month after the start of the academic year semester following the end of the leave and should be forwarded through the same channels as the original application for leave.

~~XX.~~ IX. Faculty Exchange

A faculty exchange consists of an arrangement by which a faculty or professional staff member from The University of Alabama exchanges duties for a stated period of time with a faculty or professional staff member from another institution of higher education. The individual from the other institution must have credentials and competencies comparable to those of the individual from the University.

Any faculty member of the University on a faculty exchange remains on the payroll of the University for the period of the exchange and receives benefits as though continuing on assignment at the University. An exchange professor from another institution must remain on the payroll at his or her home institution and must receive benefits from that institution. An exchange professor from another institution receives rights of usage of University facilities equivalent to those of regular faculty members.

A faculty member interested in arranging an exchange should consult with, and receive prior authorization from, the departmental chairperson or area head, and dean of the division, before beginning negotiations. After authorization is obtained, exchanges of vitae and other necessary materials can take place. Approval of the exchange, and of the arrangements proposed, depends on recommendations from the departmental chairperson or area head and the dean of the division, but the final decision is made by the ~~Academic Vice President~~ *Provost/Vice President for Academic Affairs*. The procedural arrangements at the other institution must result in authorization of the exchange by an appropriate official of that institution.

The University participates in a cooperative agreement for faculty exchange among certain southern institutions and the Southern Regional Education Board. Faculty members wishing information about the institutions involved should contact the Dean of the Graduate School.

Time spent on a faculty exchange is counted as University service for the purpose of considering tenure; it may be counted in determining eligibility for sabbatical leave, but prior approval for this arrangement must be obtained from the departmental chairperson or area head and the dean and the Office for Academic Affairs.

XII.X. Support for Research

The University of Alabama encourages research activities by faculty members through several support programs for research.

A. Departmental Support

1. Reassigned Time

The University commits its resources to research activities by providing time for faculty members to engage in research which is not sponsored by outside funding agencies. Initial decisions on time to be reassigned from teaching to research take place at the departmental level; the dean may participate in the decision. The dean and the ~~Academic Vice President~~ *Provost/Vice President for Academic Affairs* receive regular reports on research productivity.

2. Expenses for Faculty Professional Travel

Subject to the availability of funds, the University may pay partial expenses of faculty members who participate in professional meetings as part of the meeting program. Allowable expenses for meetings outside Alabama include tourist-class travel, hotel, and meals; departmental chairpersons can explain expenses allowed for in-state travel. The University does not pay for annual dues of individuals in professional societies. ~~The University publishes details and procedures for travel reimbursement from time to time; the published information controls all expense reimbursement. Prior arrangements for reimbursement for travel must be made with the departmental chairperson or area head.~~

Prior arrangements for reimbursement for travel must be made with the departmental chairperson or area head. The University publishes details and procedures for travel reimbursement from time to time; the published information controls all expense reimbursement. Copies of the current policy may be obtained from departments, deans offices, and the Office for Academic Affairs.

~~The Office of Contracts and Grants also coordinates some travel arrangements for persons seeking funding for research projects.~~

B. Divisional Support

1. Allocation of Indirect Cost Recovery on Sponsored Contracts and Grants

Academic divisions receive the equivalent of *at least* forty percent of the indirect costs paid by research contracts and grants. ~~One-half of this forty percent these monies~~ goes to the division, one-fourth to the department or area, and one-fourth to the principal investigator to be used for purposes other than salary for the investigators. These funds provide general support to enhance research programs and activities in the divisions and departments. Each division sets policies for the use of these divisional and departmental funds. Admissible uses include: purchase and maintenance of equipment; printing of pamphlets and brochures showing research capability and results; typing of manuscripts; and taking any other action which has the potential to improve or promote research programs and which is approved by the ~~Academic Vice President~~ *Provost/Vice President for Academic Affairs* and the Comptroller.

Academic divisions also receive ten percent of the indirect costs paid by contracts and grants for instruction and public service. One-half of this ten percent goes to the division, one-fourth to the department or area, and one-fourth for use by those responsible for obtaining the contract or grant. Each division sets policies for the use of these funds, subject to constraints similar to those for funds from indirect costs for research.

C. Support from the Office for Academic Affairs

The support services listed below are supplemented in various ways when financial resources are available. Recent support has included Research Stimulation Awards, Summer Research Grants, and awards to Research Fellows.

1. Research Grants Committee

The Office for Academic Affairs supports and coordinates awards recommended by the Research Grants Committee. This faculty committee recommends grants for specific research projects proposed by faculty members. Normally these projects emphasize worthwhile research for which little outside money exists or for which initial support may lead to outside funding. The grants support needed research components such as compensation for research workers and clerical assistance, expenses for research-related travel, operating expenses, equipment expenses, and

summer stipends. The Research Grants Committee announces an application deadline each fall and each spring semester. Information about deadlines and about procedures for filing applications can be obtained from the ~~Coordinator of the Research Grants Committee Office for Academic Affairs.~~

2. Sponsored Programs

This office offers assistance to faculty and staff members in pursuing external sponsorship for research, instruction, and service programs. Office personnel obtain and disseminate descriptions and guidelines of support programs; review, coordinate, and transmit proposals and applications; assist in the negotiation of contracts and grants; and provide support services to program directors during the performance of sponsored activities. This office also assists in scheduling meetings with appropriate representatives of funding agencies and provides limited travel assistance for such meetings.

3. Computer Services

The Seebeck Computer Center in Gordon Palmer Hall provides mainframe (IBM) computer service to faculty, staff, and students. Supercomputer access is provided through the Alabama Supercomputer Network (ASN). The University is also a member of the BITNET university network, and the SURANET network, with access to ARPANet and the NSF InterNet. Microcomputer services are available at various sites on campus. The University participates in a number of agreements with microcomputer vendors and manufacturers so that faculty, staff and students may purchase microcomputer hardware and software at discounted prices. For more information on computer access, authorization, documentation, consulting, PC sales, etc., see User Service in the Seebeck Computer Center.

XXIV.XI. Conflict of Interest

A. Government Sponsored Research

The University subscribes to and complies with the American Council on Education-American Association of University Professors' statement, *On Preventing Conflicts of Interest in Government-Sponsored Research at Universities*, contained in Appendix ~~FE~~ of this Handbook.

B. Textbook Selection

The Code of Alabama, Section 36-25-5(a), 1975 (The Ethics law), states "no public official or employee shall use an official position or office to obtain direct personal financial gain for himself, or his family, or any business with which he or a member of his family is associated unless such use and gain are specifically authorized by law." Amendments to the Alabama Ethics law passed by the 1986 Legislature place faculty of state-supported institutions of higher education within the purview of the conflict of interest standards set forth in the law. Advisory Opinion No. 1130 issued by the Alabama Ethics Commission on August 21, 1987, concluded that a faculty member "...who is also an author is not permitted to make the decision as to whether his or her publication will be used." The opinion approved a process where "...the decision is made by either administrative officials of the institution or a textbook committee composed of other faculty members and administrative officials with the institution."

Each academic department or division is expected to have a textbook selection committee. In cases where a faculty member desires to use textbook(s), laboratory manuals, computer software, or other instructional materials from which the faculty member, or any person or business associated with the faculty member's family obtains direct financial gain, the faculty member shall submit this recommendation to the textbook selection committee at least three months prior to the beginning date of the semester in which the course(s) will be taught. The textbook selection committee is responsible for reviewing the recommendation, considering the appropriateness of the textbook(s) or other materials for the course, considering alternative textbooks or materials, and informing the faculty member and department head or dean of their decision. Whenever possible, decisions should be made at least three months in advance of the beginning date of the semester in which the course will be offered. Decisions on selection of textbooks or other materials authored by a faculty member, or from which the faculty member receives royalties, are effective for all semesters beginning in the subsequent 12 months, if the faculty member elects to continue using the textbook(s) or materials.

XXVXII. Patent Procedures

New discoveries and inventions sometimes result from research activities in the University. The University recognizes that it may be necessary to invoke the protection and control provided by the patent and copyright laws. As a result, The Board of Trustees of The University of Alabama has authorized the establishment of a Patent Committee and promulgated a patent policy (See Appendix ~~FG~~).

All faculty members and employees shall report any potentially patentable device, process, product, discovery, or invention at as early a stage of development as possible by completing a disclosure form. This disclosure form, together with a copy of the procedures used in processing disclosures and patent applications, may be obtained from the Office of the Assistant Vice President for Research. The disclosure form should be signed by the inventor(s), two witnesses, the departmental chairperson, and dean and then returned to the Office of the Assistant Vice President. All reports, correspondence, inquiries, and related information should accompany the disclosure form.

~~XXVI.~~ **XIII. Copyright Policy**

Congress has enacted laws for statutory copyright, the conditions and procedures of which involve highly technical considerations. Appendix ~~K~~ **H** contains a statement of copyright policy intended to clarify the rights of The University of Alabama and its personnel in regard to copyright ownership and protection.

~~XXVII.~~ **XIV. Reproduction of Copyrighted Materials**

Under Section 107 of the Copyright Act of 1976, the doctrine of "fair use" permits some reproduction of copyrighted works for educational purposes without the permission of the copyright owner. This doctrine of "fair use" is subject to limitations. Neither the statute nor judicial decisions, however, give specific practical guidance on what reproduction constitutes fair use. Faculty members should consult the document *Reproduction of Copyrighted Works by Educators and Librarians*, which is available in the office of each departmental chairperson and area head. Each faculty member is responsible for determining whether permission must be obtained before reproducing a copyrighted work. Duplication of computer software by University personnel is limited to that which is explicitly permitted by the software vendor.

~~XVII.~~ **XV. Academic Calendar and Compensation Periods**

A. Calendar

The academic year covers the nine-month period which begins on August 16 and ends on May 15. The normal teaching terms include a fall semester ending December 31, a spring semester ending May 15, an Interim Term scheduled for three weeks between the end of the spring semester and the beginning of summer school, and a summer session of ten weeks divided into two five-week terms. The normal holidays consist of Labor Day, Thanksgiving Day and the following Friday, the Christmas holidays which usually begin on the 24th of December and end at the beginning of the first weekday following New Year's Day, *Martin Luther King, Jr. Day* and a spring holiday period of one week.

The University calendar is established annually by the Records Office after consultation with the Planning and Operations Committee of the Faculty Senate. The calendar includes information about the drop-add periods and dates for paying fees and for deferred examinations. The Records Office publishes a final examination schedule which appears in both the Schedule of ~~Courses~~ *Classes* and in announcements sent directly to faculty members prior to each final examination period.

B. Compensation Periods

The academic year salary of tenured and of full-time probationary faculty members is paid over a twelve-month period. The normal payment date is the last working day of each month. A new faculty appointee will receive a first payment on the last working day of the first calendar month of appointment; that payment will reflect the part of that month during which the faculty member was employed. The salary of full-time temporary and part-time faculty members is paid in full during the months of appointment.

~~XVIII.~~ **XVI. Summer Session and Interim Term Program**

A. Summer Session

Each academic unit attempts to meet student needs by offering appropriate courses during the summer terms. However, summer session programs depend on the availability of funds, enrollment projections, actual student demand, and programmatic needs of departments and divisions. Despite these limitations, efforts should be made to distribute teaching opportunities equitably among departmental faculty members.

As a general rule, faculty members receive 2.5 percent of their academic year salary for each semester hour taught during a summer term, and each individual's teaching assignment during one of the two terms normally is limited to six semester hours.

B. Interim Term Program

The Interim ~~Term~~ *Program* was instituted to enable faculty members and students to participate in creative and innovative educational experiences through courses of study which normally are not included in the regular academic program. The Director of the Interim ~~Term~~ *Program* reports to the Office for Academic Affairs and is assisted by ~~an advisory board~~ *the Interim Program Advisory Committee* consisting of faculty representatives from each school and college.

Faculty members interested in teaching ~~during the Interim Term~~ *an Interim Program course* begin by submitting a proposal to their *departmental* chairperson. The proposal is reviewed by the chairperson and dean, who recommend for or against approval, and then is forwarded to the Interim ~~Term~~ *Program Advisory Board Committee* for further review. The ~~Board~~ *Committee* makes a recommendation to the director. Final decisions on courses to be taught ~~during~~ *through the Interim Term Program* are made following ~~a~~ *the March telephone* preregistration period. Guidelines for

proposing Interim ~~Term~~ *Program* courses are distributed each fall. These guidelines include current information about compensation for teaching ~~during~~ *in the Interim ~~Term~~ Program.*

~~XXI.~~**XVII. Internal Degree Candidacy**

The University normally does not permit members of its own faculty to acquire advanced degrees from the University. A faculty member seeking an exception to this rule should begin by submitting a written request to the Dean of the Graduate School. The Dean of the Graduate School will make an exception to this rule only when the Dean of the division in which the faculty member holds an appointment, the Dean of the division in which the faculty member intends to study, and the ~~Academic Vice President~~ *Provost/Vice President for Academic Affairs* agree that the faculty member has presented an extremely compelling case. The Dean of the Graduate School will give the faculty member written notice of his or her decision. The faculty member must receive written notice from the Dean of the Graduate School approving enrollment before enrolling in the degree program.