

**THE UNIVERSITY OF
ALABAMA
FACULTY HANDBOOK**

**Office for Academic Affairs
April, 1999**

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CHAPTER ONE

GENERAL INFORMATION

I. Mission of the University

The University of Alabama, the state's oldest public university, is the senior comprehensive doctoral level institution in Alabama. Established by constitutional provision, with subsequent statutory mandates and authorizations, the University's purpose is to advance the intellectual and social condition of all the people of the state through quality programs of research, instruction, and service.

The University of Alabama bases its activities on a broad range of research programs, many of which are recognized for their contributions to the economic, technological, and cultural growth of the state and region. This research, supported by a library which is a member of the national Association of Research Libraries, yields continuing stimulation for the instructional programs offered by the University's thirteen colleges and schools. At the undergraduate level the University offers a comprehensive range of baccalaureate programs in the arts and humanities and in scientific, technological, pre-professional, and professional fields. A university-wide core curriculum provides a strong general education component as the keystone of every undergraduate program. Graduate programs, built on these strong undergraduate foundations, concentrate on the development of original scholarship and research. In selected areas, including the state's only public law school, professional programs develop the highest levels of competence and leadership. As one of the two major residential campuses in the state the University enhances the academic and personal growth of all its students through its on-campus student life environment. Recognizing that education is a lifelong endeavor, the University offers a wide array of educational opportunities to adult and nontraditional students.

The University recognizes the importance of educating students to live and work in a global community of increasingly interdependent countries. To this end, the University supports a variety of international programs for faculty and students.

The University's research and instructional programs form a base for extensive service activities, providing continuing linkages with business, industry, and government through applications of new knowledge. These relationships cause the University's influence to extend beyond the bounds of the state as it assists developmental efforts at regional, national, and international levels.

II. History of the University

In 1818, the Congress of the United States donated 46,000 acres of land to the Territory of Alabama for educational purposes. The Board of Trustees of The University of Alabama was created in 1821, but it was not until April 18, 1831, that students were admitted to study in the newly erected buildings in Tuscaloosa. Most of the campus was burned by Federal cavalry during the Civil War and the University closed for several years.

The University reopened in 1869. Although the Congress of the United States donated additional lands to support rebuilding the University, progress was slow during the Reconstruction period. Migration to the West and economic recessions restricted the amount of money the state and individuals could provide.

The University and the state shared in the South's new economic prosperity following the Second World War. The University established doctoral programs and special centers for the study of urban

problems. Its graduates became faculty members, deans, and educational leaders for many of the new colleges and universities being opened in the region. It established a series of extension centers throughout Alabama, nurturing two of them-Birmingham and Huntsville-into branch campuses, then into separate universities within The University of Alabama System. The University has retained its historic distinction as the Capstone of education in Alabama and as a major center for teaching and research among colleges and universities in the South.

III. Symbols of the University

A. Institutional Seal

The Roman goddess of wisdom, Minerva, stands within a rope-like band which encloses the words "The University of Alabama". To her left is an open scroll and she holds an olive branch in her left hand. Her right hand rests on a globe. The sun is depicted in the background to her right. In the words of Israel Pickens, governor of the newly formed State of Alabama, this "represents the light of science beaming on this hemisphere so lately emerged from a heathenish wilderness." (See copy on title page.)

B. University Name

The University's official name, The University of Alabama, is protected by copyright and may be used only for official business of the University. Anyone wishing to use the University name, or such popular names as "The Crimson Tide" or "Bama", or the seal, or any materials implying an official endorsement by the University for commercial purposes or for any non-official business, must receive prior permission from the Licensing Department. Use of University stationery for non-university correspondence or consulting work is prohibited, except when such use is permitted by law and is a normal part of the individual's professional academic activities.

C. Colors

The colors crimson and white have been associated with sports activities of the University since the late 1880's when American football began to be played in Tuscaloosa as a collegiate sport. Today, Alabama athletic teams are called *The Crimson Tide* and the student newspaper is named the *Crimson-White*.

D. Denny Chimes

This 115-foot bell tower, erected in 1929, stands in the main quadrangle of the campus and houses a complete campanile carillon. The carillon includes a set of 25 bronze bells, the smallest of which is three feet in diameter, and 305 small bells. There is a manual keyboard that can be played by a carillonneur and also an automatic player that strikes every quarter hour and can play musical programs.

E. President's Home

The Home, completed early in 1841, is one of the state's best examples of Greek Revival architecture. It was one of the few buildings saved during the general destruction of the campus at the close of the Civil War. It was last renovated in 1997, through a gift from Jack Warner, and it continues to serve as the official residence of the University President.

F. Gorgas Home

The Gorgas Home was completed in 1829 as a University dining hall. It was built in the "low country raised cottage" style of colonial architecture with bricks laid in Flemish bond. The house served as the Gorgas home from 1873 until 1944 when the State Legislature established it as a state shrine and a permanent memorial to the Gorgas family. It has now been completely restored and is open to the public daily.

IV. Administrative Organization

A. Board of Trustees

The State constitution places responsibility for the University on the Board of Trustees of The University of Alabama. The Board of Trustees is composed of the Governor and the State Superintendent of Education as *ex officio* members, three members from the congressional district in which the University is located, and two members from each of the remaining congressional districts. Except for the two *ex officio* members, members are elected by continuing members of the Board, subject to confirmation by the State Senate. Members are elected for six year terms and are eligible for re-election but may not serve more than three consecutive terms. The Board has promulgated by-laws establishing The University of Alabama System with a Chancellor as chief executive officer. The System includes The University of Alabama, The University of Alabama at Birmingham, and The University of Alabama at Huntsville. Each University within the System is administered by a President who reports to the Board of Trustees through the Chancellor.

B. Office of the Chancellor

The by-laws of the Board of Trustees state that the Chancellor shall exercise such executive powers as are necessary for the governance of the University System and shall be the principal link between the Board's responsibility for policy and each President's responsibility for the individual campus. The Chancellor's responsibilities include: implementation of Board policies; external relationships with state and federal agencies; recommendations to the Board concerning the mission, role, and scope of the University System and the three campuses; coordination of planning; preparation and presentation of legislative requests and operating and capital budgets; and, coordination of University System functions to assure an integrated institution of related and cooperating campuses.

C. Office of the President

The President is the University's chief executive officer. The President, who reports to the Board of Trustees through the Chancellor, is the main representative of the University to the public, and works closely with the Chancellor in dealing with state and federal agencies. It is the President's responsibility to provide educational and administrative leadership to the institution. The President's duties encompass all aspects of educational programs, external relations, personnel management, and financial management.

In carrying out the duties of the office, the President is assisted by the Provost/Vice President for Academic Affairs, who serves as the chief administrative officer, and by vice presidents of the other major functional areas, by deans of the divisions, and by other administrative staff. Persons in the President's Office represent the institution through an active public information program.

D. Provost and Office for Academic Affairs

The Provost, who also serves as the Vice President for Academic Affairs, is the senior vice president and the chief academic officer for the University. The Provost/Vice President for Academic Affairs plans, coordinates, directs, and facilitates the University's efforts in fulfilling its comprehensive mission in teaching, research, and service. The major functions of the Office for Academic Affairs include: planning--in cooperation with the vice presidents, deans, department chairpersons, faculty, and staff--the development, operation, and improvement of the academic program, including requirements for operating expenses, equipment, staff, and plant; development, for approval by the President, of budgets for the academic divisions, departments, academic support areas, and special units; coordination of all instructional and degree-granting activities in undergraduate, graduate, and professional disciplines and fields; approval for the President, or in concert with him or her, of appointments, promotions, tenure, sabbaticals, and terms of employment of faculty and staff within all academic units; review and approval of consulting contracts or other outside employment of faculty as well as faculty leaves and faculty exchanges.

The Provost/Vice President for Academic Affairs coordinates the research and public service programs of the University. These responsibilities involve planning and promoting research and service activities which complement and contribute to the other activities and missions of the University. The Provost encourages and supports research through liaison with appropriate funding agencies and maintains and expands contacts with individuals and organizations for whom the University can provide appropriate public service.

Staff officers, designated as Associate Vice President for Academic Affairs or Assistant Vice President for Academic Affairs, assist the Provost/Vice President for Academic Affairs with planning, budgets, personnel matters, interdisciplinary programs, new program development, program evaluation, and supervision of support functions.

E. Office of University Advancement

The Office of University Advancement promotes and develops support for the University of Alabama. Its six divisions — Advancement Services, Alumni Affairs, Communications, Development, Governmental Affairs, and Special Services — report to the Vice President of University Advancement, who is responsible for setting the direction of and coordinating their efforts. The three main functions of the office are constituency relations (including alumni, media, governmental, and public relations), marketing communication, and fundraising. While each of the divisions has primary responsibility for one area, each one's work reinforces and is reinforced by the others.

Alumni Affairs represents the more than 175,000 living University alumni worldwide, through 113 alumni chapters. The office works to channel the time, energy, and financial resources of alumni and friends into support of the University.

Development, Special Services, and Advancement Services identify and solicit financial support for the University from individuals, foundations, corporations, support groups, and private businesses. In support of this, they provide memoranda of agreement between the University and private donors of restricted gifts of all types, and draft resolutions for the Board of Trustees which recognize endowments and other significant contributions.

Communications helps develop public understanding of the mission of the University and of the changing directions of the institution. The office provides public relations planning, media relations

work, and marketing communications development for the University in accordance with need and institutional priorities.

Governmental Relations is the lobbying arm of the University, which works to encourage state and national legislators to value and appropriately fund the contribution which the University makes to the state of Alabama.

F. Office for Financial Affairs

The Vice President for Financial Affairs is the primary financial officer of the University and is fiscal advisor to the President. The Vice President supervises and is assisted by a Comptroller/Associate Treasurer, an Assistant Vice President for Human Resources, and an Assistant Vice President for Auxiliary and Support Services, and also supervises the University Department of Public Safety.

G. Office for Student Affairs

The Vice President for Student Affairs provides direction for student services and leadership in the development of programs that complement or supplement classroom experiences and enrich the quality of campus life. The Vice President is assisted by an Associate Vice President and an Assistant Vice President.

The Office of Student Affairs consists of three major areas:

Student Life and Services includes the Office of Student Life, the Office of Student Media and Student Services. The Office of Student Life offers a wide variety of activities to enrich campus life, including the operation of the Ferguson Center, Union Programs, advising and supporting recognized student groups and organizations, and administering the student code of conduct. Student Media provides opportunities for students to apply classroom theory as they acquire practical print and electronic media skills by participating as a staff member on one of the five student publications ([The Crimson White, Corolla, Mars Field Journal, Black Warrior Review, Southern Historian]) and the campus radio station (WVUA). Student Media also seeks to empower high school journalists through the Alabama Scholastic Press Association. Student Services provides assistance and support to students in academic and career matters through the Career Center, International Students and Scholars Services and the National Student Exchange program.

Financial Planning and Administration includes Network Support, the division's information technology unit, and the division's Quality Assurance/Benchmarking efforts and coordinates the financial planning and personnel functions for Student Affairs.

Residential Resources provides services that enhance the residential character of the University and build a sense of community among all students. The units in this area are Housing (residence halls/apartments), Student Health Center (in-patient clinic, pharmacy, x-ray and laboratory services, physical medicine and rehabilitation, gynecology, Counseling and Psychological Services, and Health Promotion); University Recreation (Aquatic Sports, Fitness and Wellness Services, Golf Center, Recreational Sports, and Student Recreation Center); and University Food Service, which provides a wide variety of food options for the campus community.

In addition to these three major areas, there are two areas that provide assistance and support to the Division and the University.

Women's Center provides educational programming for students, faculty, and staff. The purpose is to improve the climate for women on campus by increasing awareness of women's needs, goals and accomplishments. This area's emphases are programming, support services, policy advocacy, liaisons with other campus organizations and off-campus agencies, and resource and referral services.

External Relations support services to Student Affairs for communicating effectively to internal and external audiences about Student Affairs Services and activities. This area seeks support for Student Affairs initiatives from governmental funding agencies and private donors.

H. Divisions of the University

The term "division" refers to any of the colleges and schools headed by a dean. The divisions have diverse roles, scopes, and organizations.

The chief administrative officer of a division is a dean. The dean with assistance from an appropriate staff, receives and makes recommendations on curriculum, staffing, promotion, tenure, development, space, equipment, and all financial aspects of a division's operation.

1. Capstone College of Nursing

The mission of the Capstone College of Nursing is to: 1) educate individuals for beginning and advanced professional nursing practice; and 2) advance nursing practice through scholarly inquiry and service. The College is committed to influencing and responding to the health care needs of a global society with special emphasis on the needs of the West Alabama region and its rural citizens. The program of study in the humanities, and the natural, social and nursing sciences leads to a Bachelor of Science in Nursing degree. Opportunities for master's study are available.

2. College of Arts and Sciences

The mission of the College of Arts and Sciences is to provide and sustain The University of Alabama's quality undergraduate and graduate programs in the humanities and fine arts, the natural sciences and mathematics, and the social sciences. As part of that mission, the College not only serves its own majors but also provides most of the courses in the university core curriculum as well as basic courses required by professional schools.

The College is charged to contribute to the technological, cultural, and economic advancement of the state, the region, and the nation. In this regard, the College faculty is committed to being intellectually productive, to teaching new concepts and ideas, and to educating the next generation of scholars. Research and creative activities will continue to be primary functions of the College's faculty.

As the leading liberal arts college within the state, the College plays a vital role in enriching the cultural, intellectual, and social life of the campus, community, state, and region. The faculty provides a range of expertise in the humanities and fine arts, natural sciences and mathematics, and social sciences.

3. College of Commerce and Business Administration

The College of Commerce and Business Administration is a comprehensive business school, offering degree programs at the bachelor's, master's and doctoral levels. The primary mission of the College is to provide high-quality professional education to prepare students for decision-making positions in business, government, and industry and to lead meaningful and rewarding lives as contributing members of society. The College includes four academic units: The Culverhouse School of Accountancy, the Department of Economics, Finance and Legal Studies, the Department of Management and Marketing, and the Department of Management Science and Statistics. Graduate programs are administered through the Manderson Graduate School of Business. Service to the state and the nation is provided through the Division of Research and Service, which houses the Center for Business and Economic Research, the Alabama State Data Center, and other service units affiliated with the College.

4. College of Community Health Sciences

The College educates and trains primary care physicians to meet the needs of rural and underserved areas of the state and region. The medical education program is a University-based, community-oriented, clinical branch program of the University of Alabama School of Medicine. Medical students who complete the basic science requirements on the Birmingham campus may choose to spend their final two years in this program in Tuscaloosa. In addition, students from the medical school campuses in Birmingham and Huntsville may take electives or a core rotation in the College. CCHS also operates the Family Practice Residency postgraduate specialty training for medical graduates. Faculty in the medical specialties Family Practice, Internal Medicine, Pediatrics, Ob/Gyn, and Psychiatry teach undergraduate and graduate medical education. Consultation, research, and service programs extend throughout the state and region.

The University of Alabama Capstone Medical Center, operated by this branch of the University of Alabama School of Medicine's specialists, provides medical care to University employees and their dependents and to the community. Capstone Medical Center also treats on-the-job injuries for University employees. (See also "Emergency Medical Care for On-the-Job Injuries" on p. 58.)

5. College of Continuing Studies

The College arranges opportunities for students to earn credit at the University through courses taught off-campus, on weekends, as independent study classes, and as special evening classes. All of the courses offered for credit are courses approved by the regular academic divisions; the instructors are approved by the academic divisions and frequently are members of the divisional faculty. The College also conducts a wide range of non-credit conferences, seminars, and workshops for audiences in various locations.

The College includes the following divisions: Division of Environmental and Industrial Programs; Division of Professional and Management Development Programs; Paul W. Bryant Conference Center; Division of Academic Programs and Services, Division of Distance Education; and Division of Administrative Services.

Many of the programs offered through these divisions, notably the conferences, seminars, short courses, and credit programs offer faculty members opportunities to reach non-traditional students.

6. College of Education

The College prepares students for careers in teaching, teacher education and related professional fields. Programs offered include Early Childhood, Elementary, and Secondary Education; Educational Administration, Higher Education Administration; Instructional Leadership; Counselor Education; Educational Psychology; Educational Research; Fine Arts Education (art and music); Health Education; Human Performance; Athletic Training; School Psychometry and Psychology; and Special Education for Exceptional Children. Undergraduate programs in the College lead to the degrees Bachelor of Science in Education and Bachelor of Science. At the graduate level, the College offers programs leading to the Master of Arts, the Educational Specialist, the Doctor of Education, and the Doctor of Philosophy degrees.

7. College of Engineering

As the oldest college of engineering in the State of Alabama, the mission of the College of Engineering is as follows: (1) to provide high-quality undergraduate, graduate, and continuing education in engineering and computer science that will prepare its graduates for professional careers and a lifetime of learning; (2) to conduct high-quality research programs that will assist in the economic development of the State and Nation, will advance the state of knowledge, and will improve the quality of human life; and (3) to serve individual practicing engineers and computer scientists, industry, government, educational entities, and technical societies through professional expertise, active involvement, and availability of facilities. To accomplish this mission, the College offers students an outstanding faculty, accredited engineering and computer science programs, and current computing facilities. The College has eight major departmental areas: Aerospace and Mechanics, Chemical, Civil and Environmental, Computer Science, Electrical, Industrial, Mechanical, and Metallurgical and Materials. For designated areas, the College offers programs of instruction leading to the Bachelor of Science, the Master of Science in Engineering, the Educational Specialist in Engineering, and the Doctor of Philosophy degrees.

8. College of Human Environmental Sciences

The College prepares students for careers in the human environmental sciences and related fields. Programs of instruction include the following: Clothing, Textiles, and Interior Design; Human Nutrition and Hospitality Management; Human Development and Family Studies; and Consumer Science. These programs lead to the Bachelor of Science in Human Environmental Sciences degree. The graduate program leading to the Master of Science in Human Environmental Sciences provides students with the opportunity to specialize in Consumer Science, Clothing and Textiles, Interior Design, Food and Nutrition, and Human Development and Family Studies.

9. Graduate School

The Graduate School, through graduate offerings of the various schools and colleges, prepares students for careers in a wide range of teaching, research, and service activities. The graduate faculty offers courses leading to the following degrees: the Master of Arts; Master of Accountancy; Master of Business Administration; Master of Criminal Justice; Master of Fine Arts; Master of Library Service; Master of Music; Master of Public Administration; Master of Science; Master of Social Work; Master of Tax Accounting; Educational Specialist; Doctor of Public Administration; Doctor of Education; Doctor of Musical Arts; and Doctor of Philosophy.

The Graduate School operates in cooperation with the other divisions of the University to foster the research and scholarly activities that are the hallmark of a graduate institution.

The Graduate Council, composed of representatives elected from each division, develops and recommends necessary rules, regulations, policies, and guidelines that govern academic programs leading to advanced degrees. This body also recommends admission, retention, and graduation requirements for students in all graduate programs except those in the College of Community Health Sciences and in the School of Law.

10. College of Communication and Information Sciences

The College prepares students for careers in the mass media and for positions in government, business, industry, and education which require training in communications. A related purpose is to provide education in the processes of human and mass communications, teaching students to be effective communicators. Four instructional areas within the College are: Advertising and Public Relations; Telecommunication and Film; Journalism; and Speech Communication. The Center for Public Television and Radio, Institute for Communication Research are components of the College. Programs of instruction lead to the Bachelor of Arts, Master of Arts, and Doctor of Philosophy degrees.

The School of Library and Information Studies is also a division of the College. The School prepares students through professional-level courses for careers in libraries, information centers, archives, and the book arts. The faculty also seeks to advance their respective disciplines through research and to improve practice in their fields through service. The School provides programs leading to the degrees of Master of Library Service, Master of Fine Arts in the Book Arts, Educational Specialist in Librarianship, and the Doctor of Philosophy.

11. School of Law

The School, the only state-supported institution of its kind in Alabama, prepares students for professional careers in law. It offers a three-year program of graduate professional training leading to the Juris Doctor degree. The Master of Comparative Law degree is offered for international students who have completed their basic legal education in their native countries. An off-campus graduate tax program leads to the Master of Law in Taxation degree.

12. School of Social Work

At the bachelor's and master's levels, the School prepares social workers to plan, administer, deliver, and evaluate social services for citizens of the state, region and nation. The Bachelor of Social Work degree prepares the graduate to begin generalist practice in a variety of settings. The Master of Social Work degree prepares the graduate for advanced, specialized practice. The Doctor of Philosophy in Social Work degree prepares graduates to develop and impart knowledge to advance the profession. The faculty of the School engages in research and professional activities that are designed to enrich educational programs, improve social conditions, and meet special needs of the state, region, and nation.

13. University Libraries

Libraries on The University of Alabama campus include the Gorgas Library, the William Stanley Hoole Special Collections Library, and departmental libraries for education, business, law, the health sciences, the sciences, and engineering. A full range of traditional and electronic

services is available to faculty, staff, and students, including specialized access for disabled patrons. The Libraries hold membership in the Association of Research Libraries, the Coalition for Networked Information, the Center for Research Libraries, and the Network of Alabama Academic Libraries, and are also a regional depository for United States Government Documents.

I. Departments and Areas

In those schools and colleges divided into academic and administrative units, the department or area is both an academic unit and an administrative unit. The chief administrative officer of the department is the departmental chairperson or head. In areas, the chief administrative officer is the area head. The chief administrative officer of a school within a college is the director.

J. Faculty Members

An individual who holds academic rank, either full-time or part-time, and performs a combination of teaching, research, and service functions, normally will have one of the faculty titles described in Chapter Two. However, there are distinguished faculty titles which can be awarded by the Board of Trustees. These titles include: Professor Emeritus; Research Professor; University Professor; and Endowed Chairs and Professorships.

V. Faculty Participation in University Administration

The advice of faculty members concerning administrative leadership and academic programs is sought actively and systematically. Faculty and administrators are partners in the enterprise of education at The University of Alabama. Processes guiding all important decisions which shape the University's educational potential and which allocate its resources are the joint responsibility of faculty and administrators. (Appendix A contains "Policies and Guidelines for Faculty Participation in the Selection and Evaluation of Deans and Departmental Chairpersons and in the Review of Programs." See as well Appendix M, "Principles and Procedures for Discontinuance or Merger of Academic Units.")

The President ensures faculty participation in the selection of vice presidents by appointing faculty members to each search committee.

A. Committees and Task Forces

The University maintains a number of University Standing Committees, and appoints University Task Forces which deal with special matters not in the purview of a standing committee, to assist the administration in reaching decisions and to ensure representation of appropriate segments of the University community. These committees and task forces make recommendations on issues of concern to the University community, as well as working closely with the President and the Provost/Vice President for Academic Affairs both to oversee the University's planning process, and to help establish University

budgetary priorities and allocations. The importance of their work is recognized by giving them access to all information relevant to their missions and by giving them timely written responses to their recommendations. These committees and task forces make annual written reports, which are filed in the Library and are available upon request.

The chairs and the faculty and staff membership of standing committees and, where appropriate, task forces are selected by the President from the nominees and alternates presented by the Committee on Committees (with the exceptions noted below). Faculty and staff are invited each spring to indicate to the Committee on Committees their preferences about service on University committees. Standing committees are described in memoranda that are distributed annually to every department or school and are available in the Office of the President and the Office for Academic Affairs. Appointments to standing committees are announced in the spring semester, and such committees are expected to begin their work promptly at the beginning of each fall.

The Faculty Senate appoints one person to membership on each appropriate University Standing Committee, and, normally, on each task force appointed by the President or the Provost/Academic Vice President.

The faculty membership of the Committee on Committees constitutes a voting majority of the Committee and is selected by the President from a group of faculty recommended by the Faculty Senate. The Committee on Committees annually elects its chair from its faculty membership.

Where the President chooses not to accept a nomination or recommendation, the President contacts the chair of the Committee on Committees or the President of the Faculty Senate, as appropriate, in order to reach agreement. If agreement cannot be reached, the President requests another nomination or recommendation.

Membership on appropriate standing committees rotates in order to involve different members of the University community in University governance. Normally one-third of a committee's membership rotates off the committee each year, and normally at least one year will intervene before a person can be reappointed to a committee. Members are selected to reflect the diversity of disciplines, race, and gender of the faculty and staff, unless the charge to a committee or task force makes it impractical to do so. A faculty or staff member does not ordinarily serve on more than two University committees or task forces at one time. A term of service for a committee member usually will not exceed three consecutive years.

Divisional, departmental, or area committees assist the institution by making recommendations on aspects of divisional and departmental activities.

B. Curriculum Matters

Normally, recommendations about curricular matters are initiated at the program level and are reviewed at appropriate administrative levels. Implementation of recommendations depends on the availability of resources.

The Graduate Council and the Graduate Dean evaluate proposals for new graduate degree programs and recommend whether to seek approval for such programs.

The Honors Council is responsible for establishing criteria and approving courses for inclusion in the University Honors Program. Additional responsibilities include designing and conducting an

annual evaluation of the Honors Program and providing an annual report to the Office for Academic Affairs. Members of the Honors Council include the Honors Program Director who acts as Chairperson of the Council, a representative from the Admissions Office, a faculty member appointed by the Provost/Vice President for Academic Affairs from each undergraduate division, a representative from the Office for Student Affairs, and at least three students who are elected by the Honors Program Student Association from among students enrolled in the Honors Program.

C. Faculty Senate

The Faculty Senate consists of faculty members elected from the various divisions. The Senate aids the University in making decisions on issues of policy, development, and operations by:

1. Offering advice and suggestions on matters of general faculty concern; and
2. Providing a channel for communication between the faculty and University officials.

The Faculty Senate's deliberations and recommendations should reflect the opinion of the faculty at large. Service in the Senate is a high honor, carrying with it responsibility to report to one's division about the Senate's activities, to solicit the opinion and advice of divisional colleagues on issues before the Senate, and to represent divisional colleagues in Senate debate and votes. All meetings of the Faculty Senate and of its committees are open to all who wish to attend.

The Faculty Senate appoints one person to membership on each appropriate University Standing Committee, and, normally, on each task force appointed by the President or the Provost/Academic Vice President.

The President of the Faculty Senate can request to meet with the Council of Deans (decided by the Provost/Vice President for Academic Affairs) or to meet with the Vice Presidents (decided by the President) on specific occasions to discuss issues that are of mutual importance to the Faculty Senate and these groups and with the intent to streamline processes of input on these issues to the Provost/President.

The constitution and by-laws of the Faculty Senate appear in Appendix F.

VI. Research and Allied Organizations

The University of Alabama operates numerous Centers, Institutes, Programs, Services, Bureaus, Laboratories, Consortia, Offices, and Clinics to provide a variety of services to students, University personnel, and others. These units are listed in the Faculty-Staff Directory.

VII. University Accreditations

The University of Alabama is accredited by the Commission on Colleges of the Southern Association of Colleges and Schools to award baccalaureate, masters', and doctoral degrees. Moreover, many individual programs within the University have received additional accreditation from their professional accreditation agencies.

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 caliber 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 are expected to engage in responsible outreach/academic citizenship activities appropriate to their appointment, rank, length of service and discipline. Outreach activities are those which extend the influence and expertise of the faculty to areas and populations external to the University. These activities may include but are not limited to: education beyond the classroom; research partnerships and collaboration; professional leadership; and public/community leadership and consultation. The intent is to extend the knowledge and skills of the University faculty to the public in a manner which is mutually beneficial and contributes to the University's tripartite mission which includes service. Furthermore, duties known as academic citizenship are internally focused and are defined to include service to students and to the institution through effective governance. There is no presumption that academic citizenship and outreach are alternatives. All faculty are expected to participate in academic citizenship. Flexibility in meeting the outreach and academic citizenship requirements of each department and division is critical, and consequently, individual responsibilities may vary from time to time. The activities defining outreach and academic citizenship and guidelines for documentation are further delineated in Appendix Q.

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 larger role in promotion or tenure decisions. Generally, however, an individual cannot earn tenure or promotion 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 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.

* Some colleges or schools are divided into departments while others have subdivisions called areas or programs. In what follows, the appropriate substitutions should be made for the words chairperson and department.

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 engage in outreach/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 to complete all degree requirements by the specified time may serve as cause for non-retention. If a decision is made to retain the individual, a new appointment at the rank of Assistant Professor may be offered as soon as requirements specified in the revised appointment letter are met. 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 engage in outreach/academic citizenship appropriate to one's area and expertise.

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 engage in outreach/academic citizenship appropriate to one's area and expertise.

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 engage in outreach/academic citizenship appropriate to one's area and expertise.

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 M for criteria and procedures for appointments to endowed chairs and professorships.)

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 may make temporary, part-time and

full-time faculty appointments after receiving approval from the 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 Provost/Vice President for Academic Affairs, compensation for temporary appointees will not exceed the rates approved for regular members of the faculty.

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 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.

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, 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 outreach/academic citizenship appropriate to the candidate's area and expertise. See Appendix Q.**

The absence of outreach/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:

- (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.
- (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 outreach/academic citizenship appropriate to the candidate's area and expertise. See Appendix Q.

The absence of a continuing record of outreach/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:

(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.

(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 outreach/academic citizenship appropriate to the candidate's area and expertise. See Appendix Q.**

The absence of a continuing record of outreach/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:

- (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.
- (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 outreach/academic citizenship 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 outreach/academic citizenship.

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

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 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 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 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 outreach/academic citizenship.

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, 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 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 offer assistance. The dossier shall include all evidence and support material deemed by the candidate to be necessary for the review, 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 candidate's retention, tenure and/or promotion in that year's review.

The dossier of a candidate for promotion or tenure must include external evaluations of the candidate's scholarly and creative contributions to his/her discipline. 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 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 candidate's dossier at the time that it is reviewed by the departmental committee.

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 Provost/Vice President for Academic Affairs (see 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. 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 given a copy of each such recommendation 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.

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. 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.

The material in the dossier submitted by the candidate shall be returned at the end of 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 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 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 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 Provost/Vice President for Academic Affairs for the final decision. The dean notifies the departmental chairperson and the faculty member of the Provost/Vice President for Academic Affairs' 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 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 Section V). It is the responsibility of each candidate for tenure to prepare a dossier (see 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 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.

* Exceptions to this policy may be made under the provisions of the Termination and Severance policy. See Section XIV.

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 given a copy of each recommendation made at the departmental or divisional level and has an opportunity to supply a 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. 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 (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 Provost/Vice President for Academic Affairs.

C. University Tenure Decision

The 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 Provost/Vice President for Academic Affairs goes to the President who makes the final decision.

The 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 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 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 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 Section VIII). Each department has a promotion committee for each rank and there is a divisional promotion committee (see Section V).

Each candidate for promotion is responsible for preparing a dossier (see 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 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 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 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.

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. 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 shall submit a written activities report for the year just completed to the departmental chairperson* by the end of the spring semester.
2. Each faculty member shall have an opportunity to meet privately with the departmental chairperson* to discuss the activities report and the departmental chairperson's salary recommendation for that faculty member and the type of duties to be assigned during the next year. This 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 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.

* Appropriate substitutions should be made for the words chairperson and dean in cases where someone other than a chairperson makes the initial salary recommendation or assignment of duties or when the initial recommendation is forwarded to someone other than a dean.

XIV. Termination and Severance

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. The University accepts the obligation of showing that the needs are genuine. Policies for deciding whether such needs exist are in Appendix N.

Otherwise, tenure may be revoked only for adequate cause. “-Adequate cause-” 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 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 current Mediation and Grievance System will be followed (see Appendix B).

A faculty member in a tenured position normally shall receive notice of the termination date at least one calendar year in advance.

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 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.

XV. 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 K describes the salary conversion and leave policies followed when administrative status is changed to faculty status.

CHAPTER THREE

FACULTY CONDUCT AND COMPENSATION

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 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.

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).

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

* 1964 Committee A Statement on Extra-Mural Utterances (Clarification of sec. 1c of the 1940 Statement of Principles on Academic Freedom and Tenure)
1968 Joint Statement on Rights and Freedoms of Students
1961 Statement on Recruitment and Resignation of Faculty Members
1964 On Preventing Conflicts of Interests in Government-Sponsored Research

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.

III. Participation in Political Activities

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) is as follows:

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)

IV. Policy on Contributions

The University cooperates with the United Way of West Alabama by sponsoring a University-wide solicitation campaign for the United Way Fund. Other groups wishing to solicit funds on campus must obtain prior approval from the Assistant Vice President for Human Resources.

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.

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 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.

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.

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 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 workload and without supplemental compensation. If teaching for internal supplemental compensation takes place, it is done over and above the assigned workload 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 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.

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 Section IX for Faculty Exchanges; other leaves of absence are discussed in Chapter Four Section III). 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 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

* Under very special circumstances, if prior approval is recommended by the departmental chairperson or area head and dean and is granted by the Office for Academic Affairs, a year spent on an exchange or a visiting professorship or a voluntary leave may count as service in determining eligibility for a sabbatical leave.

* A sabbatical leave of two semesters with one-half pay is credited by the Teachers' Retirement System of Alabama as one-half year of service.

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-Chapter 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 vita 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-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.

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 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.

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 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.

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.

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 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 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 Advisory Committee

The Office for Academic Affairs supports and coordinates awards recommended by the Research Advisory 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 Advisory Committee announces an application deadline each fall semester. Information about deadlines and about procedures for filing applications can be obtained from the 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. Information Services

The Seebeck Computer Center provides computing, network and Internet services to faculty, staff, students and the University of Alabama campus. The Faculty Resource Center provides hardware, software, training, and consulting services to faculty working on multimedia presentations, web pages and classroom materials. For information on computing and network services and campus computing issues, contact the Seebeck Computer Center Helpdesk, A203 Gordon Palmer Hall; phone 348-2435; e-mail Help.Desk@ua.edu; web site <http://bama.ua.edu/~helpdesk>. The University is a member of Internet2, the highspeed research and instruction network, and the Alabama Research and Education Network (AREN), which provides access to supercomputer services and state network services.

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 E.

B. Textbook Selection

The Code of Alabama, Section 36-25-5(a), 1995 (The Ethics Act), states "no public official or public employee shall use or caused to be used his or her official position or office to obtain personal gain for himself or herself, or family member of the public employee or family member of the public official, or any business with which the person is associated unless the use and gain are otherwise 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.

XII. 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 G).

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.

XIII. Copyright Policy

Congress has enacted laws for statutory copyright, the conditions and procedures of which involve highly technical considerations. Appendix-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.

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 seeking guidance in for making decisions in this area may consult the documents Reproduction of Copyrighted Works by Educators and Librarians and Fair Use Guidelines for Educational Media, which are available under the "UA Policies" section of The University of Alabama web site, <http://www.ua.edu/policies.html>. 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.

XV. Academic Calendar and Compensation Periods

A. Calendar

The academic year covers the nine-month period that 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 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.

XVI. Summer Session and Interim 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 Program

The Interim 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. An Assistant Vice President for Academic Affairs serves as the Director of the Interim Program and is assisted by the Interim Program Advisory Committee consisting of faculty representatives from each school and college.

Faculty members interested in teaching 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 Director of the Interim Program for further review. Final decisions on courses to be taught through the Interim Program are made following the Spring telephone registration period. Guidelines for proposing Interim Program courses are distributed each fall. These guidelines include current information about compensation for teaching in the Interim Program.

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 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.

CHAPTER FOUR

FACULTY BENEFITS

I. Retirement, Insurance, and Other Group Benefits

The Benefits Office maintains current information concerning policies of all benefit programs. It is essential for new faculty members to arrange a conference with someone from the Benefits Office as soon as possible after arriving on campus. Some of the benefit programs are either optional or require decisions among options; some decisions must be made during the first 30 days that one is on the University's payroll.

A. Retirement

Retirement programs for faculty and professional staff members include the Teachers' Retirement System of Alabama (TRSA), the Teachers Insurance and Annuity Association-College Retirement Equities Fund (TIAA-CREF), and Social Security. The cost of participation in these programs is shared by the individual, the University, and the State. Requirements for these programs vary, as does the distribution of costs. The Benefits Office can provide current information on all aspects of retirement benefits.

1. Teachers' Retirement System of Alabama (TRSA)

Most full-time and part-time faculty are required by state law to participate in TRSA. Faculty members contribute five percent of their total compensation to TRSA; the State of Alabama contributes funds calculated by a formula. The contributions of those who participate are on a tax-deferred basis for federal income tax.

The system has a 10 year vesting period.* Faculty members may retire and begin to receive benefits at age 60 if they have participated in the system for at least 10 years. Individuals who have participated for at least 25 years may retire and begin to receive benefits at any age. Retirement begins officially on the first day of a month, regardless of the day on which employment ended.

Individuals who resign from employment with the State of Alabama before vesting in the program, or before qualifying to receive benefits, are entitled to a refund of their contributions; those who have participated in TRSA for at least three years are also entitled to receive a portion of the accrued interest on their contributions. Withdrawn contributions are taxable income, and there may be federal tax penalties for early withdrawal. Applications for refunds can be obtained from the Benefits Office.

2. TIAA-CREF

Full-time tenured or probationary faculty members have the option of participating in TIAA-CREF. They may elect to participate by contributing one, two, three, four, or five percent of their salary, and the University will match that contribution; contributions above five percent are

* A sabbatical leave of two semesters with one-half pay is credited by the TRSA as one-half academic year of service. Leaves of absence without pay from the University earn no credit in the TRSA.

not matched by the University. Individuals may make their contributions on a tax deferred basis for federal and state tax purposes; in this case, the percentage contributed cannot be changed more frequently than once each year, and the Internal Revenue Service places limitations on the amount which can be tax deferred. Consult the Benefits Office for additional information.

3. Social Security

All faculty and staff members must comply with federal statutes requiring participation in Social Security programs.

4. Annuity Contracts

Tax regulations may permit faculty members to defer federal and state tax on part of their salaries by purchasing a Supplemental Retirement Annuity (SRA) through what is called a salary reduction agreement. There are constraints on the amount that can be contributed on a tax deferred basis, as well as on when a salary reduction agreement can be initiated or changed, and on eligible SRA providers. Consult the Benefits Office for more information.

B. Life Insurance

All full-time probationary and tenured faculty, and temporary full-time faculty members who have been employed for at least one year, are covered by the University's group term life insurance and by accidental death and dismemberment insurance. This benefit, which is provided without cost to the individual, is not available to part-time employees. Faculty members covered by these policies (as well as temporary full-time faculty members who have not yet been employed for a year) may purchase additional coverage through the University's group insurance policies; no medical examination is required for such additional insurance if it is purchased during the first 30 days one is on the University's payroll.

Faculty members must go to the Benefits Office to declare the names of their beneficiaries. Personnel in the Benefits Office can furnish information about the coverage provided by the University and the cost of additional coverage.

C. Long-term Disability Insurance

1. Eligibility

Long term disability insurance is provided without cost to all probationary or tenured faculty members under seventy (70) years of age. Temporary, full-time employees are eligible when they enter their 13th month of employment.

2. Coverage

Upon approval, benefits begin on the 91st day of "total disability." Benefits of 66 2/3% of wages are then paid each month during total disability.

Total disability is defined during the ninety (90) day waiting period and the first twenty-four (24) months of paid disability as the inability to perform duties of the insured's occupation. Following the 24th month of benefits, total disability is considered the inability to engage in any gainful occupation for which a faculty member may be qualified.

D. Medical Insurance

All full-time faculty, and part-time faculty with non-temporary appointments of at least .50 FTE, are eligible to participate in the University's group-sponsored medical insurance program. Participation does not require proof of insurability, but there is a six-month waiting period for pre-existing conditions.

The premium cost for individual or family coverage is shared by the employee and the University, where the employee's share is based on the employee's annual salary. Current information about rates is available from the Benefits Office. A special Double Offset premium rate for family coverage is available when a husband and wife are both employees and are both eligible for coverage. Applications for this premium arrangement are available in the Benefits Office.

Eligible faculty members may enroll in the University's medical insurance program. Those who want family coverage, and those who choose not to participate in the University's coverage, must sign the appropriate forms at the Benefits Office during their first 30 days on the University's payroll. Decisions not to have family coverage, or not to participate, can be changed in any subsequent November or December and the change will be effective on the following January 1. Also, family coverage can be added within 30 days of any event specified by the plan description booklet.

The University's group medical insurance program specifies that coverage for faculty members ends when they are no longer eligible or when they begin coverage by Medicare. However, persons who are no longer eligible (except for those who commence Medicare coverage, or whose employment is terminated for adequate cause^{*}) may elect to continue to participate temporarily if they pay all costs of participation (including the portion previously paid by the University); these costs will be no more than two percent higher than the combined cost to the individual and the University for regular participation.

The family coverage for a person in the group insurance program excludes coverage for divorced spouses, for children who are married, and for all children over the age of 19 except for those between the ages of 19-24 who are full-time students.

Detailed information about the medical insurance program can be obtained from the Benefits Office. Personnel in that office will provide forms for insurance claims, but filing claims is the responsibility of each employee or of the health care provider.

E. Dental Insurance

All full-time faculty and regular part-time faculty (.50 FTE or greater) who participate in the University's medical plan are eligible to purchase optional dental insurance. The premium for individual or family coverage is paid by the employee. Those who choose to enroll in this program must do so during the first 30 days that they are on the University's payroll or during open enrollment periods set by Blue Cross/Blue Shield and announced by the Benefits Office. Persons enrolled in the program must stay in the program until they remove themselves during a subsequent open enrollment period.

* See Section XIV. of Chapter Two.

F. Flexible Spending Accounts for Health and Dependent Care

Flexible health care and dependent care spending accounts may offer tax advantages for full-time probationary and tenured faculty members. Details of plans currently available can be obtained from the Benefits Office. Enrollment in these plans must occur in the first 30 days on the University's payroll or during the open enrollment period announced each year.

G. Drug Abuse Prevention Program

The University complies with federal statutes by maintaining a Drug Abuse Prevention Program. Information concerning this program can be obtained from departmental offices, dean's offices, the Office for Academic Affairs, and the Benefits Office.

II. Educational Benefits

A. Tuition Grants

It is the policy of The University of Alabama to offer educational benefits and tuition grants to eligible members of its faculty. These programs deal only with tuition. Admission to the University must be obtained through the regular admission process.

The tuition grant entitles an eligible faculty member to full tuition reimbursement (100%) for up to three (3) hours at the standard on-campus in-state tuition rate, and one-half tuition reimbursement (50%) for all other hours, taken during an eligible enrollment period, or a prorated amount if the faculty member is appointed to a part-time (not temporary) position.

Eligible enrollment periods are the Fall semester, the Spring semester, the Interim Program and the Summer sessions.

Spouses and dependent children of eligible faculty members are entitled to one-half tuition reimbursement (50%) for all hours taken during an enrollment period, or a prorated amount if the faculty member is appointed to a part-time position.

Course-related fees, such as laboratory or equipment fees, are not covered by this policy and must be paid by the student.

1. Faculty Members Eligibility

- a) Eligible faculty members are those who have been appointed to full-time positions, or to regular (not temporary) part-time positions for two consecutive years. (A nine month academic appointment during a calendar year is counted as employment during the year, but the benefit does not begin until the end of the second calendar year.) Eligible part-time appointees are entitled to a prorated amount of the tuition reimbursement, depending on the FTE (full-time equivalency). For example, an eligible part-time appointee of .50 FTE would be entitled to one-half tuition reimbursement (50%) for up to three (3) credit hours and one-fourth tuition reimbursement (25%) for all other credit hours taken during an enrollment period.
- b) The faculty member must be in an eligible employment status through the first day of class to receive a tuition grant for the semester.

- c) An employee who becomes eligible for this benefit after the last official date of registration will not receive a grant until the following semester.

2. Dependents Eligibility

Spouses and dependent children of eligible faculty members may receive 50% tuition grants for all courses taken. This benefit is prorated if the sponsoring faculty member is a regular part-time employee.

- a) Dependent children must be unmarried and under age 24 on the first day of classes.
- b) Only one tuition grant per student will be awarded, even if there is more than one eligible faculty member in the family unit.

3. Procedures

Eligible faculty members who wish to apply for tuition grants for themselves or their dependents should complete and submit the application for tuition grant to the Benefits Office at least one month prior to the academic term. Applications are available in the Benefits Office. Only one application per student is necessary for an entire academic year, which begins with the Fall semester and ends with the end of the last Summer session.

4. Terms and Conditions

- a) Tuition grants approved for students who are later determined to be ineligible will be recalled and appropriate charges will be billed on the student's account. The employee bears the responsibility of notifying the Benefits Office of any information that would affect eligibility for a tuition grant.
- b) This tuition reimbursement benefit applies to The University of Alabama only. We do not have a reciprocity agreement with The University of Alabama at Birmingham or with The University of Alabama at Huntsville.
- c) All retirees of The University of Alabama maintain eligibility for this benefit if they were eligible on the last day of their employment. The dependents of eligible retired or deceased faculty members are entitled to the same tuition benefits as dependents of other faculty members.
- d) Eligible faculty and dependents will receive the tuition grant as a credit applied to the enrolled student's account maintained by the Office of Student Receivables.
- e) The tuition grant will be granted, if eligibility criteria are met, regardless of any other source of funds (i.e. State of Alabama P.A.C.T. Plan, scholarships, federal financial aid, etc.) which may also be credited to the student's account. Excess credit will be available for refund to the student.
- f) For student financial aid purposes, the tuition grant is considered a financial resource which must be deducted from estimated financial need in accordance with Federal

regulations. Contact the Financial Aid and Scholarship Office if you need additional information.

- g) Tuition grants may have tax implications. The Payroll Office can give you more information concerning this possible tax liability.

B. Library Privileges for Dependents

Dependents of faculty members (including retired or deceased faculty members) may use their Identification Cards (issued by the Educational Media Department) to check out materials from the University Libraries.

III. Leaves

A. Leaves of Absence

A tenured or probationary faculty member may apply for a leave of absence which, except for extended military leave, shall be for a period of one year or less. These leaves include sick leave, maternity leave, military leave, jury duty leave, and voluntary leave without pay.

1. Maternity or Sick Leave*

In the event of pregnancy or an illness, a faculty member will receive maternity leave or sick leave for periods which may be as long as six months. The University may request confirmation from competent medical sources of the need for maternity leave or sick leave. When a faculty member goes on such a leave, the department chairperson or dean must arrange for colleagues to carry out the faculty member's obligations or must make other arrangements for fulfilling those obligations. In order to facilitate programmatic planning, a faculty member should notify the department chairperson or dean of the need for maternity leave as far in advance of the anticipated leave period as possible. The faculty member should not commence maternity leave until advised to do so by her physician. Maternity leave covers recovery from pregnancy, miscarriage, abortion, childbirth, and from any resulting disabilities.

2. Military Leave

Tenured and probationary faculty members and professional staff members can receive leave for required military service. The conditions regarding military leave vary according to the length of required service.

(a) Active Duty for Training

Tenured and probationary faculty members and professional staff members are entitled to leave of not more than 21 days annually in order to meet obligations for active duty for training with components of the Armed Forces of the United States. Personnel on such leaves continue to receive compensation and benefits while on leave.

*Temporary faculty members with appointments for less than one calendar year will not receive compensation for leaves granted under this section.

(b) Extended Military Duty

Tenured and probationary faculty members and professional staff members who have active duty military obligations for extended periods of time are entitled to receive Extended Military Leave. Faculty members placed on Extended Military Leave continue to receive their usual University compensation and benefits during the first month of military service. A faculty member who has had Extended Military Leave is entitled to reinstatement with the University without loss of rank or previous rate of compensation. To become reinstated, the faculty member must return to service with the University within ninety days of the first opportunity for release from military duty, or at the beginning of the first regular academic session following that opportunity for release, whichever comes first (assuming return at the beginning of the next regular session will not impose an undue burden on the individual).

3. Jury Duty Leave

All faculty members may receive time off when called to serve on a jury panel. Faculty members must attempt to arrange for their classes to be met and for any other essential duties to be performed during such leaves, and must inform the departmental chairperson or dean of the need for leave and of the arrangements which have been made.

4. Voluntary Leave Without Pay

Tenured and probationary faculty members may request a voluntary leave of absence without pay. Typically, such leaves are granted for the purpose of further study, broader experience in the person's field, or in recognition of the faculty member's stature in the field. Normally, the faculty member should request leave of absence at least three months in advance of the beginning of the proposed leave period. The Provost/Vice President for Academic Affairs decides whether to approve such leaves after considering recommendations from the chairperson and dean. Because granting a voluntary leave may interrupt the continuity of an educational program, the availability of appropriate personnel and the importance of the individual's contribution to the smooth and orderly operation of the program will be among the factors considered in deciding whether to grant such leave. Time spent on a voluntary leave without pay is not counted when considering eligibility for a sabbatical leave unless prior agreement to count this time is recommended by the departmental chairperson and the dean and approved by the Provost/Vice President for Academic Affairs; approval will depend on the extent to which planned activities can be expected to enhance the applicant's professional stature, including the likelihood that research or scholarly publications will result. Time spent on a leave without pay does not accrue credit in the Teachers' Retirement System of Alabama.

5. Family and Medical Leave Act

The Family and Medical Leave Act (FMLA) provides for unpaid leave for some employees to deal with medical or other family problems. The basic criteria for hourly employees involves having worked for 1,250 hours at the University during the preceding 12 months, having exhausted sick leave, etc. These criteria are not readily adaptable to faculty members who have academic year appointments and do not accumulate official sick leave. However, the University is committed to comply with both the letter and the spirit of FMLA. Faculty members who desire leave as specified by FMLA should consult the Employee Relations Office, Department of Human Resources. The Officer, after consulting with the Compliance Officer of the faculty member's division, will assist in obtaining any appropriate leave.

6. Effect of Leaves on Insurance Programs

When a faculty member has a leave of absence without pay, or temporarily goes off the payroll for other reasons, the faculty member may continue the complete insurance program (medical, life, disability, and accidental death and dismemberment) by paying the full cost. However, the University will continue to pay its portion for pre-existing health coverage for the faculty member who is on FMLA leave. The faculty member must file a request for continuation of insurance at the Benefits Office; personnel of that office will provide information about the cost of continuation and will explain options available to the individual.

B. Annual Leave

Faculty members on academic year appointments receive identified holidays during the academic year and have no obligation to perform University-related duties at times not included in the academic year. Faculty members on calendar year appointments receive identified holidays and earn 22 days annual leave per calendar year; they may accrue a maximum of 30 days of annual leave. Annual leave accrued beyond 30 days automatically will be converted to sick leave days. Calendar year faculty also earn one day of sick leave per month; they may accrue a maximum of 225 days of sick leave to convert to retirement credit.

IV. Emergency Medical Care for Job-Related Injuries

The University provides limited emergency medical treatment at the Capstone Medical Center to faculty members injured in the course of official University activities. Persons with major injuries, or with disabilities that require prompt medical attention, are referred to the Druid City Hospital (DCH) emergency facilities in Tuscaloosa and must request a Capstone Medical doctor.

A. Emergency Medical Care for On-the-Job Injuries (OJI)

As a means of providing prompt medical attention for injured or disabled employees while engaged in official duties of the University, the facilities of the Capstone Medical Center are available for limited out-patient emergency care at no cost to the employee when the University is in session and when the OJI is reported to the dean's office within two work days of the OJI. An OJI accident form must be completed and sent to the Risk Management Department by the dean's office before the end of the following work day after the OJI to receive OJI insurance coverage. Injured employees are required to use the service of the Center except for extensive or major injuries or disabilities which require a greater degree of care than the Center can provide. Such cases should be referred directly to DCH (as noted above). Detailed procedures are available in academic offices or by contacting Risk Management at 348-4534 or Box 870176.

B. Hazardous Materials Management Program

In compliance with Federal Regulations, The University of Alabama has established the Hazardous Materials Management Program administered by its Office of Environmental and Health Services. It is the responsibility of each faculty, staff and student to ensure that there is compliance with regulations

governing the use and disposal of hazardous materials. Detailed information, including a Chemical Hygiene Plan governing laboratory safety, may be obtained from academic offices or from the Office of Environmental and Health Services (348-5905).

V. Business Services

A. Discount Privileges at the University Supply Store

Faculty members and dependents (including dependents of retired or deceased faculty members) receive discounts on all books and on supplies and University souvenirs purchased at the University Supply Store. Exceptions to this policy may exist for items already discounted, for special orders, or during special sales. A University ID card must be presented in order to receive the discounts.

B. Check Cashing

The Office of Student Receivables will cash personal checks of not more than \$100 for faculty members during regular working hours. The Alabama Credit Union operates a regular banking service for its members.

VI. Educational and Support Services

A. Child Development Center

The Child Development Center provides half-day programs for three-, four-, and five-year old children at low cost in order to permit supervised instruction and research opportunities for University students. Children of faculty and staff members, as well as children of students and local residents, are included in the groups. The Center is administered by the Department of Human Development and Family Studies in the College of Human Environmental Sciences.

B. Infant Laboratory

The Infant Laboratory provides a three-hour morning program for children from birth to three years in order to permit supervised instruction and research opportunities for University students. At least one parent must be a student and preference is given to the children of undergraduate students. The Center is administered by the Department of Human Development and Family Life in the College of Human Environmental Sciences.

C. Rose Tower Learning Center

The Center, administered by the Dean of Human Environmental Sciences, is located in Rose Towers. It is a full-day child care facility for pre-school children of students and faculty.

D. Human Development Laboratory

The Human Development Laboratory of the College of Education provides counseling, vocational testing, and intelligence testing for dependents of faculty members.

E. Speech and Hearing Center

The Center provides audiological analysis, diagnostic evaluation of speech, and individual or group therapy at discounted rates to faculty members and their dependents.

F. Counseling Services (Selected Community Organizations)

1. Campus Ministerial Association

Ministers of various religious denominations provide counseling and pastoral care for faculty members and their dependents.

2. Crisis Line

The Crisis Line provides immediate telephone assistance to individuals and serves as a referral service to other organizations in the community (Mental Health Center, Parents Without Partners, etc.) which may provide help.

3. Psychological Clinic

The Psychological Clinic provides psychological testing and counseling services. Its facilities are used in the clinical training of graduate students. The Clinic is supervised by faculty members of the Department of Psychology.

4. Legal Services

The Legal Clinic program of the University of Alabama School of Law, by contract with the student government, offers to students counseling on legal matters (but no representation in court or preparatory to going to court, and no drafting of documents). Faculty may refer students to the Clinic when appropriate.

VII. Cultural and Recreational Benefits

A. Cultural Programs

The University provides a wide range of cultural activities and events. The Society for Fine Arts brings performing artists and groups to campus. The School of Music presents as many concerts and recitals each season. The Department of Theatre and Dance presents several series of productions each year. Union Programs brings major artists, films, musical ensembles, and theatrical and dance companies to campus.

The Department of Art sponsors major exhibitions each year at the Moody Gallery of Art. The Department also sponsors films, workshops, and lectures by prominent artists and art historians. Faculty members and students also exhibit their work in the Art Gallery of the Ferguson Student Center.

Other academic departments offer symposia, lectures, readings, and special events which feature scholars, artists, and national leaders.

The University radio stations, WUAL-FM, 91.5, WQPR, 88.7, and WAPR, 88.3 (Selma station), are affiliates of National Public Radio. They broadcast a regular schedule that offers a mixture of

syndicated NPR programs and locally produced shows. WVUA-FM, 90.7, provides a variety of musical programs.

The Alabama Museums have exhibits and collections on archaeology, ethnology, paleontology, zoology, botany, and sports history, and offer special programs for all age groups.

B. Athletic Privileges

Faculty members may purchase reduced price tickets to those athletic events on campus for which admission is charged to the general public. The reduction varies from sport to sport, and may be available only for those who purchase season tickets, or who purchase tickets in advance, or who purchase a regular-priced ticket along with their reduced-price ticket. University identification cards for faculty or dependents normally will be required at the gate for admission on reduced-price tickets. Additional information can be obtained by calling or visiting the Athletic Ticket Office in Coleman Coliseum.

C. Student Recreation Center

Faculty members may purchase a membership card which entitles them to use the facilities at the Student Recreation Center. Information is available at the Center.

D. Harry Pritchett Golf Course

An 18-hole golf course is operated by the University. Students and faculty members are offered a discount on greens fees. Golf lessons are available from the club manager. Additional information may be obtained by calling the University Golf Center.

E. Mound State Monument

Mound State Monument is an important prehistoric site located 17 miles south of Tuscaloosa at Moundville, Alabama. The Monument includes 320 acres and contains 40 large mounds. The mounds are the remains of a populous Mississippian Indian city. An archaeological museum at the Monument has exhibits and displays of artifacts which illustrate Moundville Indian culture and the history of Indians of Alabama. The Monument has campsites, picnic areas, conference facilities, and nature trails.

F. University Arboretum

The University Arboretum, adjacent to the Veteran's Administration Hospital, contains nature trails and picnic areas.

G. University Club

Faculty members may join the University Club for a nominal fee. Membership forms are available in the Benefits Office. The Club serves lunch daily except Saturday and has a cocktail lounge.

VIII. Miscellaneous Benefits

A. Faculty Housing

The University maintains a small number of unfurnished houses, primarily for new appointees. Additional information is available in the Office of Land Management.

B. Parking Privileges

Each faculty member who wishes to park a vehicle on campus must register the vehicle with the Department of Public Safety and purchase and display a parking permit. Parking on campus is subject to Parking and Traffic Regulations which include fines for violations.

C. University Automobiles

The University maintains a fleet of state cars and mini-buses for use on official business. The University provides liability insurance on these vehicles. Information and reservations can be obtained from the Fleet Operations and Motorpool.

D. Educational Media

Educational Media provides some support for instruction, research, and service activities through Audio Visual Services, Photographic Services, Graphic Services, Instructional Television, Micro Publications, Film Library, and Instructional Design Services. Educational Media provides some support for instruction at no charge but does charge for some activities in support of research and service.

E. ID Cards

Educational Media prepares plastic picture identification cards for faculty members and their dependents. These ID cards are needed for access to University athletic facilities, for cashing checks at the Office for Student Receivables, for using library facilities, and for discounts at the University Supply Store.

F. Duplicating and Printing Services

University Printing Services offers fast, low-cost duplication of materials. Self-service copiers are located in the Main Library and in various divisional and departmental offices.

G. Publicity

The publications area of University Relations has a staff of artists, writers, and photographers, and a production manager to assist with University-related publications and printing specifications.

H. Lost and Found

The Department of Public Safety is the central depository for items found on the campus.

I. Alabama Credit Union

Faculty and staff members may join the Alabama Credit Union and utilize its various savings, checking, and loan services. An individual may authorize payroll deductions to be deposited with the Credit Union for savings and checking accounts and for loan payments. Interested individuals may obtain additional information from the Alabama Credit Union Office.

CHAPTER FIVE FACULTY AND STUDENT INSTRUCTIONAL GUIDELINES

I. Introduction

Faculty members at the University are expected to be experts in their disciplines, to be effective teachers, and to be accessible and helpful to their students. These general responsibilities are inherent in the student-faculty relationship and pertain to all who conduct classes at the University; meeting them requires the type of research and scholarship, teaching, and good academic citizenship which are emphasized in the faculty personnel policies of the University.

The Statement on Professional Ethics approved by the Council of the American Association of University Professors (see Chapter Three, Section II) states that as teachers "professors encourage the free pursuit of learning in their students. They hold before them the best scholarly standards of their discipline. They demonstrate respect for the student as an individual, and adhere to their proper role as intellectual guide and counselor. They make every reasonable effort to foster honest academic conduct and to assure that their evaluation of students reflects their true merit. They respect the confidential nature of the relationship between professor and student. They avoid exploitation of students for their private advantage and acknowledge significant assistance from them. They protect their academic freedom."

Students are partners in the teaching-learning experience. Their active participation in class discussions, and effective use of the faculty member's time during office hours, can help the faculty member adjust to special needs of the class. Regular class attendance is essential.

Grades are an integral part of academic evaluation and fairness in grading requires the detection and suppression of dishonesty in academic work. The University policy on academic misconduct describes the process to be followed when misconduct appears to have occurred (see Appendix C); the academic grievance policy describes the process to be followed by students who believe they have been treated unfairly (see Appendix D).

The University of Alabama is committed to maintaining equal opportunities in education and employment. It supports an environment of ethnic, religious, and cultural diversity and provides facility and program accessibility to disabled persons. It is incumbent upon faculty to provide a learning environment free from discrimination and sexual harassment. The policy on sexual harassment is in Appendix I.

II. Advising, Office Hours and Registration

A. Academic Advising

Faculty members are expected to be available to students to provide academic advice. Faculty members should be aware of curricular and degree requirements pertinent to their discipline.

B. Office Hours

All faculty members must maintain regular and reasonably convenient office hours to answer questions from students and to advise students. In addition, faculty members are expected to schedule individual appointments as needed. The schedule of office hours must be posted and must be available in the departmental/program office.

C. Registration

Faculty members may be required to assist in the registration process. Assignments of registration duties are made by departmental chairpersons and by academic deans or directors.

D. Advising Student Organizations

Student organizations are an important part of the co-curricular activities of The University of Alabama. They can contribute to the personal development of students within the context of the University's teaching, research, and service missions. To the extent that they fulfill these missions, faculty are encouraged to support student organizations by serving as advisors, as guest speakers, and in other roles as appropriate.

E. 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.

III. Class Scheduling and Class Attendance

A. Class Schedule

Normally, classes can be held only at the time and in the place specified in the printed Schedule of Classes. The only exceptions to this policy occur when the academic dean or designee approves a change in time and/or location and these changes are subsequently communicated to the appropriate offices.

B. Faculty Class Attendance

Faculty members are expected to conduct their classes as scheduled. A faculty member normally must receive prior approval from the department chairperson before missing or rescheduling classes. The faculty member must arrange for a suitable substitute for missed classroom time and must discuss such arrangements with the department chairperson to ensure that the plan is acceptable.

C. Student Attendance

Students are expected to attend classes as scheduled. Attendance policies must be provided to each student at the beginning of the semester. These policies must allow for the possibility that students may experience difficulties beyond their control which result in failure to attend class or failure to complete an assignment on time. See also Part V, D below.

IV. Course Requirements and Textbooks

A. Accurate Course Descriptions and Syllabi

Faculty members are required at the beginning of each course to provide their students with an accurate syllabus. Items to be covered in the course syllabus include: prerequisites, course description, objectives, outline of topics covered during the semester, attendance policy, the planned number and timing of major examinations and assignments, grading policy, the policy for making up missed course work (including examinations), and required texts and other course material. Students will be given

timely notice of any changes in the syllabus. Any special considerations (e.g., opportunities to earn extra credit) offered to a student shall be available to all students in the class.

Faculty members must provide the departmental chairperson with a current syllabus for each course they teach. The chairperson is responsible for maintaining a file of current course syllabi, for monitoring the syllabi with regard to the above requirements, and for ensuring that the official course descriptions published in University catalogs agree with the syllabi and give an adequate summary of the material to be covered and the prerequisites and co-requisites needed to complete the course successfully.

B. Textbooks

Individual academic units have differing processes for selecting textbooks. The books selected must be reported on the textbook information forms supplied by the University.

C. Distribution of Materials in Class Subject to Copyright Policy

Faculty are expected to abide by federal copyright laws. For scholarly research or teaching purposes, a single copy may be made of a chapter from a book; an article from a periodical or newspaper; a short story, short essay, or short poem; or a chart, graph, diagram, drawing, cartoon, or picture from a book, periodical, or newspaper.

The guidelines for multiple copying are more complex. Multiple copies may be made for classroom use, but the making of such copies must meet rigorous criteria. Each copy must include a notice of copyright. Under no circumstances may more than one copy per pupil be made. Multiple copies must also meet tests of brevity, spontaneity, and cumulative effect. See Appendix H and Chapter Three, Section XIII.

D. Academic Honor Code

All students in attendance at The University of Alabama are expected to be honorable and to observe standards of conduct appropriate to a community of scholars. The University of Alabama expects from its students a higher standard of conduct than the minimum required to avoid discipline. At the beginning of each semester and on examinations and projects, the professor, department, or division may require that each student sign the following Academic Honor Pledge: "I promise or affirm that I will not at any time be involved with cheating, plagiarism, fabrication, or misrepresentation while enrolled as a student at The University of Alabama. I have read the Academic Honor Code, which explains disciplinary procedure resulting from the aforementioned. I understand that violation of this code will result in penalties as severe as indefinite suspension from the University."

E. Collection of Student Fees

The University of Alabama has established administrative procedures for approving and collecting student fees. The procedures preclude faculty from imposing student fees or collecting money from students for any reason.

V. Assignments and Evaluations

A. Assignments and Evaluations

Faculty members are required to make appropriate assignments, and to make periodic assessments of the progress of their students. Systematic evaluation of students' work is an important part of the teaching-learning process. Evaluations may take many forms, and may vary in number and scope, depending on the objectives and purpose of the course. Faculty members must inform their classes in writing at the beginning of the semester as to the nature and timing of major evaluations, including the final evaluation. Faculty members must give students timely information about the results of evaluations, and must give students an opportunity to review their progress and to discuss their evaluations.

B. Study Week

The week immediately preceding the final examination period each semester is reserved as a time in which students may concentrate on completing course work and preparing for final examinations. Only laboratory examinations omitted from the Final Examination Schedule are permitted during Study Week. The University prohibits all other examinations and extended assignments during Study Week.

C. Final Examinations and Evaluations

While evaluation details are properly left to individual faculty members and their departments, it is the responsibility of each faculty member to conduct a final evaluation for each student in each undergraduate course for which the faculty member is responsible. All undergraduate courses will be assumed to require a final evaluation unless a petition for variance is included as part of the course proposal or is granted prior to the start of the semester. It is the chairperson's responsibility, in consultation with the departmental faculty as necessary, to ensure that proper evaluations are conducted.

A time for each final examination or evaluation is specified in the printed Schedule of Classes, and again in the Final Examination Schedule which is distributed shortly before the end of the semester. Normally, final examinations can be held only at the assigned time. The only exceptions to this policy occur when the academic dean approves a change in time before the semester begins and students are informed of this decision at the beginning of the course; where time conflicts result from such a change, priority shall be given to examinations which comply with the printed Final Examination Schedule.

D. Opportunities for Making Up Examinations and Assignments

Students should be given the opportunity to hand in assignments and to make up work missed due to legitimate circumstances beyond the students' control. Methods for making up missed assignments may vary from course to course, and from discipline to discipline but normally should be the same from student to student within the same course. The appropriate method(s) used for each course must be stated in the course policy provided each student at the start of the semester.

VI. Records and Grades

A. Class Records

Faculty members are expected to maintain grade records for all registered students. Faculty members may use any system they choose for keeping such records. The University expects each faculty

member to leave all grade records with the department chairperson or dean at the end of employment at the University

B. Student Records

The University's policy on confidentiality of student academic records is based on the statement of ethical principles of the American Association of Collegiate Registrars and Admissions Officers and on the requirements of the Family Rights and Privacy Act of 1974, as amended. The policy is published each year in the class schedule for spring semester and is available on request from the Office of Records.

Official academic records of students are maintained in the Office of Records. Student information useful in academic counseling and advising is also maintained in some divisional and departmental offices and is accessible to authorized University personnel through an electronic student records system. Only faculty, administrators, and staff with a legitimate need for information from student records are permitted access to such records. Faculty, administrators, and staff dealing with student records are expected to know the University's policy on confidentiality of student academic records and to observe appropriate precautions when handling student information (e.g., letters of recommendation, grade reports, computer terminal screen display information, grade point average, quality points earned).

C. Reporting Grades

The Records Office distributes forms for reporting final course grades a few days prior to the final examination period. These forms must be returned to the Records Office by the deadline with the final grades listed. The faculty member should arrange to have the grade report delivered to the Records Office to guard against loss or delay.

D. Posting Grades

A faculty member who chooses to post grades must do so in a way that maintains student confidentiality as required by the Family Rights and Privacy Act of 1974. Grades cannot be posted by social security number or in a list that is in alphabetical order; rather, the faculty member or department must devise a unique code for each student and must ensure its confidentiality.

E. Changing Grades

The assignment of course grades is a primary part of the academic responsibility of the faculty members to whom a course has been assigned. Changes in course grades are normally to be made only by such faculty member. Faculty members may change grades they have assigned only because of error in fact or error in judgment.

The faculty within a department or discipline may, following procedures adopted by that faculty, authorize the change of course grade when they believe a faculty member has failed to discharge his or her academic duties in a responsible manner, or where there is an uncorrected error, or where other factors of equity and professional judgment persuade the faculty to take such an extraordinary step.

University policy may authorize other grade changes, such as the W, N, and I grading rules or the Academic Bankruptcy provisions.

VII. Student Evaluation of Teaching

Students' opinions of teaching effectiveness play a major role in improving the quality of instruction in all academic divisions of the University. Therefore, faculty are required to use the standard survey instrument selected by their college or school. This may be the instrument available university-wide or one more specialized for the academic division. The standard survey instrument or one developed by a college or school will be used by all faculty members to collect student opinions on the effectiveness of teaching. This standard survey instrument is not intended to preclude the use of additional survey instruments by areas or department or by individual faculty members. Each academic division should develop standardized procedures for collecting student opinions of teaching. As a minimum the procedure used to administer and collect student evaluations of teaching must ensure maximum student participation and maximum confidentiality for the student completing the survey.

(NOTE: The following appendices describe policies 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.)

APPENDIX A

POLICIES AND GUIDELINES FOR FACULTY PARTICIPATION IN THE SELECTION OF DEANS AND DEPARTMENT CHAIRPERSONS AND THE EVALUATION OF THEIR LEADERSHIP

Note: The program reviews described in this appendix are special reviews on which the faculty votes during the leadership evaluation of a dean or department chair. This appendix does not address the policies and procedures for the University's long-standing program reviews for ACHE and SACS. For information on those review procedures, contact the Office for Academic Affairs.

A. Basic Principles

Academic excellence is essential to the educational mission of The University of Alabama. Such excellence is achieved in an environment of mutual confidence, collegial participation, effective leadership, and strong academic programs. To foster that environment, it is University policy that the faculty* are expected to participate in the selection of deans and departmental chairpersons and that the advice of the faculty shall be actively and systematically sought concerning possible improvements in academic programs and in administrative leadership of academic divisions and departments.

The process by which the views of the faculty shall be sought is based on six understandings:

1. Final authority over the selection and retention of deans and other academic administrators rests with the President but primary authority for the selection and retention of associate deans, assistant deans, and departmental chairpersons rests with the academic dean.
2. Normally, no person shall be appointed as a dean or a departmental chair who has not received a positive tenure recommendation from the relevant academic departmental tenure committee or, where the smallest relevant academic unit is the division, from the divisional tenure committee, of The University of Alabama.
3. The evaluation and advice of the faculty shall be systematically obtained and considered prior to the appointment of deans and chairpersons.
4. Program direction, program quality, and the performance of deans and departmental chairpersons shall be evaluated periodically and an important consideration in this process shall be the evaluations made by the faculty.

*Throughout this document, "faculty" shall be understood to consist of all persons who have a tenured or tenure-track appointment in the appropriate academic unit of the University; the status of exceptional classes, such as members of the full-time clinical faculty of the College of Community Health Sciences or full-time temporary instructors, will be decided by the tenured and tenure-track faculty of the unit.

5. It is the responsibility of the faculty to participate in reviews of programs and leadership and to provide reasons for their recommendations which can be considered by the administration when making decisions. Faculty members who fail to participate fully in the leadership evaluation process, either by making no recommendation or failing to give reasons for a recommendation, impair the administration's ability to make an appropriate decision.
6. Faculty participation in the evaluation of administrative performance shall be accomplished by providing the opportunity for formal evaluations at five-year intervals except as hereinafter provided.
7. Program direction and program quality shall be considered by higher administrators when considering faculty evaluation of the leadership of academic administrators. Normally, the nature and timing of academic program reviews shall be left to the discretion of the higher administrators, but these reviews must be reasonably extensive and current and must involve opportunities for faculty members to express their views about the program. There shall be a new program review by the faculty, concurrent with the leadership evaluation, if the higher administrators decide that a program review is needed or if the faculty, through a timely petition signed by at least 25 percent of the total faculty or by a timely vote supported by at least one-third of the total faculty, requests that a program review be conducted.

In the following policies and procedures governing the selection and evaluation of deans* and departmental chairpersons, there exists an intended degree of latitude and procedural flexibility to accommodate differences and preferences among academic divisions and departments. Each academic division and each department may adopt more specific formal procedures provided that these procedures are consistent with the University policies and guidelines stated herein and provided that they are approved by the Provost/Vice President for Academic Affairs and/or the academic dean, as may be appropriate.

B. Policies and Guidelines for Selecting Deans

The President of The University of Alabama, acting through authority granted by the Board of Trustees, appoints deans. The process of searching for and appointing a dean will conform to the Affirmative Action Plan of the University and all prevailing federal and state regulatory requirements. In addition, appointments will be made only after considering (1) the evaluations and advice of the faculty of the academic division and (2) the advice of a search committee, as described below:

1. When a vacancy occurs, the President or a designated representative shall meet with the divisional faculty before deciding on the nature of the search and the size and composition of a representative search committee. Faculty members elected from the academic division will constitute a majority of the search committee; secret ballot election by the divisional faculty, either acting as a whole or by departments according to procedures approved by the divisional faculty, shall govern the elected faculty membership on the search committee.

*Certain positions which carry the title of dean do not have faculty constituencies which are limited to a single division, such as Dean of the Graduate School, Dean of the Library, or Dean of Continuing Studies. For these positions, it is necessary that the formal review process include campus-wide faculty participation and that the procedures stated herein be modified to accommodate such participation. Such modifications will be developed on a case-by-case basis by the Provost/Vice President for Academic Affairs or other appropriate administrative officer, in consultation with appropriate faculty and administrative bodies including the Council of Deans and the Steering Committee of the Faculty Senate. These modified procedures shall be implemented upon approval by the President.

Other members of the search committee will be appointed by the President. Usually, the President will appoint a staff member from the Office for Academic Affairs to serve as a non-voting member on the search committee and to provide liaison and logistical support. Giving due regard to advice and concerns expressed by the faculty, the President will designate one of the elected faculty members to chair the search committee.

2. The search committee, working in cooperation with the President and the Office for Academic Affairs and with appropriate participation from constituent groups, shall establish selection criteria, announce and advertise the position in a manner appropriate to the nature of the search, and coordinate the review and evaluation of candidates for the position. Throughout the search process, the committee shall solicit, encourage, and provide for faculty participation and the participation of other constituent groups. Faculty members should have ample opportunity to review the credentials of qualified candidates, except that the search committee may protect the identity of candidates who request confidentiality during the initial screening process. On the basis of faculty evaluations and its own judgment, the search committee will reduce the list of candidates to those deemed to be best qualified for the position. The committee and the President will select those to be interviewed from this reduced list. Interviews scheduled should allow for discussions with the President, the Provost/Vice President for Academic Affairs, deans, chairpersons, search committee members, faculty, and, where appropriate to the nature of the search, with students, alumni, and others.

Following these interviews, and other information gathering procedures appropriate to the nature of the search, every reasonable effort should be made to obtain the views of the divisional faculty and appropriately interested constituent groups. The advice of the divisional faculty may be determined by individual written evaluations, by an expression of faculty sentiment at a called faculty meeting, or by such other means as the search committee may consider appropriate. General support of the divisional faculty normally will be necessary for further consideration of a candidate.

3. The search committee shall submit to the President, through the Provost/Vice President for Academic Affairs, a summary of evaluations and advice received from the divisional faculty on each person interviewed and its own advice. In the event the President does not secure the appointment of a dean from the list of those candidates who have general faculty support, the search process normally shall be continued until a dean acceptable to the President and the faculty is successfully recruited. Except in extraordinary circumstances, the President shall select a dean from those candidates who have general faculty support. If it should become necessary to reopen the search, the President and the search committee may confer to establish further direction; if it appears desirable, a new search committee may be formed.
4. The President will make interim or acting appointments when necessary; such appointments will be made only after considering any advice and concerns stated by the faculty. The President, as soon as is practicable, will organize a formal search to replace the interim or acting dean. Interim or acting appointees who have served for more than one year shall be subject to review and the faculty's advice as to continuation upon a written petition therefor to the Provost/Vice President for Academic Affairs by at least 25 percent of the total divisional faculty or upon a vote of one-third or more of the total divisional faculty.

C. Policies and Guidelines for Leadership Evaluation of Deans and Concurrent Review of Divisional Programs

It is the policy of The University of Alabama that faculty members in each academic division shall have periodic opportunities to evaluate the leadership of their division and that the views of the faculty concerned shall be an important component of any personnel decision by the President resulting from the leadership evaluation and program reviews. The Office for Academic Affairs will establish a schedule for the leadership evaluations of each academic division. A leadership evaluation shall be scheduled in each academic division at least once every five years except that the Provost/Vice President for Academic Affairs may vary the schedule by as much as one year if a change in the leadership of a division occurs or is anticipated or if other circumstances arise in which it becomes desirable to do so.

1. Early in the fall or spring semester in which a division's leadership evaluation is scheduled, the Provost/Vice President for Academic Affairs shall circulate a mail ballot to the divisional faculty posing two questions:
 - (a) Is it desirable to conduct an evaluation of the division's leadership?
 - (b) Is it desirable to conduct a *concurrent* review of the direction and quality of divisional programs? (Such a review of programs is in addition to the regularly scheduled review of academic programs conducted by the Office for Academic Affairs for the Alabama Commission on Higher Education and the Southern Association of Colleges and Schools.)

The Provost/Vice President for Academic Affairs, after receiving the results of this vote, shall meet with the divisional faculty to consider whether a leadership evaluation and/or a program review is to be conducted and, if there is to be an evaluation or review, to discuss the size and composition of the appropriate committee.

2. A leadership evaluation is necessary if:
 - (a) the Provost/Vice President for Academic Affairs states, during his or her meeting with the divisional faculty, that a leadership evaluation will be conducted; or
 - (b) at least 25 percent of the total divisional faculty indicated on the mail ballot that a leadership evaluation ~~was~~ is desirable; or
 - (c) a resolution requesting a leadership evaluation receives the support of at least one-third of the total divisional faculty during the meeting of the divisional faculty and the Provost/Vice President for Academic Affairs.

If a leadership evaluation has not already been decided upon under provisions a) or b), then the Provost/Vice President for Academic Affairs, during his or her meeting with the divisional faculty, will ask that the resolution described in c) be brought forward for a vote.

3. A program review of a division's programs concurrent with a dean's leadership evaluation is necessary if:
 - (a) the Provost/Vice President for Academic Affairs states, during his or her meeting with the divisional faculty, that a program review will be conducted; or
 - (b) at least 25 percent of the total divisional faculty indicated on the mail ballot that a program review ~~was~~ is desirable; or
 - (c) a resolution requesting a program review receives the support of at least one-third of the total divisional faculty during the meeting ~~between~~ of the divisional faculty and the Provost/Vice President for Academic Affairs.

If, as part of the divisional leadership evaluation, a program review has not already been decided upon under provisions a) or b), then the Provost/Vice President for Academic Affairs, during his or her meeting with the divisional faculty, will ask that the resolution described in (c) be brought forward for a vote.

4. A single committee will be selected to conduct the leadership evaluation and/or program review if either or both is necessary. The size and composition of this Committee, or Review Committee, or Evaluation/Review Committee will be decided by the Provost/Vice President for Academic Affairs except that faculty members elected by the divisional faculty will constitute a majority of the Committee and, in the event the Committee consists of nine or more persons, elected faculty members will constitute at least two-thirds of the Committee. Other members of the Committee will be appointed by the Provost/Vice President for Academic Affairs; these may include persons other than divisional faculty. Secret ballot election by the divisional faculty, either acting as a whole or by departments according to procedures approved by the divisional faculty, shall govern the elected faculty membership on the—Committee. One of the elected faculty members shall be designated by the Provost/Vice President for Academic Affairs to serve as chairperson.

D. Divisional Leadership Evaluations

The faculty of each division is encouraged to adopt an evaluation plan and procedure, to be revised as necessary, which future Committees can consider when deciding how to conduct their evaluations; any such plan should include suggested evaluation criteria.

Evaluation by Faculty. The following policies and guidelines for obtaining the divisional faculty's advice on the division's leadership are to be employed:

1. a meeting of the Dean with the divisional faculty, the Committee, and appropriate members of the central administration, including the President if he or she desires, at which the Dean shall present a "state of the college" report; this report may, at the Dean's discretion, include presentations by members of the Dean's staff and faculty members, and shall include whatever divisional data and program information the Dean or the Committee considers pertinent to the evaluation process.
2. an opportunity, no more than six weeks after the election of faculty members on the Committee, for each faculty member to evaluate from a divisional perspective (a) the

organization and management of affairs within the division, and (b) any other areas of concern. Faculty members shall have a clear opportunity to respond to any question by stating that they have little or no basis for judgment.

3. an opportunity for each faculty member to submit an anonymous written statement of reasons for a recommendation that the divisional leadership be continued or changed. Faculty members are expected to state any reasons they have for believing that the dean has or has not helped the college make progress in meeting its mission and goals. The procedure by which this opportunity for written statements is provided should establish clearly (a) that participation is expected and (b) that recommendations will be processed in a manner designed to derive an accurate reflection of the faculty's advice.

The evaluation and advice provided by the divisional faculty shall be collected by the Committee and held in the strictest confidence by each member of the Committee. The Committee shall develop a summary* of the faculty's evaluations and recommendations, together with the supporting justification which was provided. The summary of recommendations shall include the number of faculty members who made no recommendation, the number who gave no reasons but recommended reappointment or non-reappointment of the Dean, a summary of the reasons given for recommending reappointment or non-reappointment, and any other information contained in the recommendations from the faculty which will help the administration to understand the nature and prevalence of faculty views concerning the Dean's performance. The Committee shall compile verbatim quotes of the full set of reasons given by the faculty for their recommendations concerning reappointment of the Dean, grouping similar reasons together so that the set of reasons given by an individual cannot be identified; this compilation of verbatim quotes shall be attached to the report forwarded to the Provost/Vice President for Academic Affairs and the President, but shall not be made available to the Dean. The Committee shall meet with the Dean to discuss the preliminary results of the evaluation and shall then decide whether additional information should be sought. The final results of the evaluation, including any advice provided by other constituent groups, shall be transmitted solely to the Dean, the Provost/Vice President for Academic Affairs, and the President. With due regard to protecting the confidentiality of the more sensitive results of the evaluation process, the chairperson of the Committee shall make an oral report to the faculty concerning the general results of the evaluation and shall circulate to the faculty such specific results of the evaluation as the Committee, the Provost/Vice President for Academic Affairs, and the President may consider appropriate.

Decision by President. Upon receiving the Committee's report, and after any other evaluations, discussions, and clarifications which the President and/or the Provost/Vice President for Academic Affairs consider necessary, the President will communicate his or her decision to those concerned, normally no later than one month following submission of the Committee's report. Should the President's decision differ from the weight of faculty opinion and advice, the President or the Provost/Vice President for Academic Affairs will meet with the divisional faculty to discuss the President's views. Then, if the faculty so chooses, it may transmit through the President's Office to the Chancellor, and through the Chancellor to the Board of Trustees, its concerns regarding the President's decision.

*The Committee may group the responses of different categories of faculty participants (based on rank, tenure status, the holding of an administrative appointment, or other appropriate classification) and may report the responses by such established categories, provided that such reporting does not identify any individual's response. The Committee must take whatever precautions are necessary to protect fully the anonymity and confidentiality of each individual faculty member's response. In addition, the Committee must establish a procedure to ensure that the faculty responses to this part of the evaluation are used only for the purpose prescribed herein and are not preserved after a decision concerning reappointment of the Dean has been announced to the faculty.

Early Divisional Leadership Evaluations. Upon a written petition to the Provost/Vice President for Academic Affairs requesting an early evaluation, signed by at least 25 percent of the total faculty of the division, or upon a vote of one-third or more of the total divisional faculty requesting an early evaluation, an early evaluation of divisional leadership shall be initiated, except that

- (a) only one early evaluation may be called for during the interval between regularly scheduled divisional leadership evaluations; and
- (b) if an early evaluation results in the continued appointment of the Dean, the Provost/Vice President for Academic Affairs may schedule the next leadership evaluation to occur as late as five years after that early evaluation. No additional early evaluation can be called for before the date when a leadership evaluation would have occurred had there been no call for an early evaluation.

Early evaluations shall be conducted in the same way as regularly scheduled evaluations and with the same options for concurrent program reviews. The Committee shall solicit the divisional faculty's evaluation and advice as prescribed above no later than six weeks after the petition is delivered or the vote taken; the President normally will communicate his or her decision to those concerned within one month following the Committee's report. The time for the Committee to complete its activities may, however, be adjusted by the Committee to accommodate those periods of the year during which members are not, or may not be, available to participate in the process, provided that such adjustments in time shall not defeat the purpose or unreasonably impede the progress of the procedures prescribed herein.

E. Divisional Program Reviews Concurrent with Divisional Leadership Evaluations

The President and the Provost/Vice President for Academic Affairs shall consider any available reviews of program direction and program quality when considering the results of Divisional Leadership Evaluations. External and/or internal reviews (e.g., accreditation reviews; internal reviews of departments for the Alabama Commission on Higher Education), if sufficiently extensive and current, and if they provided adequate opportunities for faculty members to express their views about the program, may supply the information needed. The decision as to whether additional information is needed is a joint responsibility of the Provost/Vice President for Academic Affairs and the faculty. In making such a program review, the Review Committee or Evaluation/Review Committee shall observe the following policies and principles:

1. Program direction and quality may be influenced by many factors other than the quality of divisional leadership. An appropriate distinction should be made between a report on the division's programs and a report dealing with the dean's leadership of the programs.
2. An important consideration in the review shall be the views of the faculty. Each faculty member shall have an opportunity, no more than six weeks after the election of faculty members on the Committee, to assess from a divisional perspective (a) the direction in which the division is headed and the progress it is making as a whole, (b) the overall quality of the divisional curriculum, (c) the commitment to faculty scholarship and productivity, (d) student quality, (e) financial support and resources available within the division for teaching, research, and service. Faculty members shall have a clear opportunity to respond to any question by stating that they have little or no basis for judgment.

The assessment and advice provided by the divisional faculty shall be collected by the Committee and held in the strictest confidence by each member of the Committee. The Committee shall develop a summary* of the faculty's assessments, together with the supporting justification which was provided. The Committee shall meet with the Dean to discuss the preliminary results of the review and shall then decide whether additional information should be sought. The final results of the review, including any from other constituent groups, shall be transmitted solely to the Dean, the Provost/Vice President for Academic Affairs, and the President. With due regard to protecting the confidentiality of the more sensitive results of the review process, the chairperson of the Committee shall make an oral report to the faculty concerning the general results of the review and shall circulate to the faculty such specific results of the review as the Committee, the Provost/Vice President for Academic Affairs, and the President consider appropriate.

F. Policies and Guidelines for Selecting Departmental Chairpersons

Departmental chairpersons** are appointed by the Dean of the academic division, subject to review and final approval by the Office for Academic Affairs and the President. The process of searching for and appointing departmental chairpersons will conform to the Affirmative Action Plan of the University and all prevailing federal and state regulatory requirements. In addition, appointments will be made only after considering (1) the evaluations and advice of the faculty of the academic unit and (2) the advice of a search committee, as described below:

1. When a vacancy occurs, the Dean of the academic division shall meet with the departmental faculty before deciding on the nature of the search and the size and composition of a representative search committee; committees of the whole may be appropriate in small academic units. Faculty members elected from the department*** will constitute a majority of the search committee; secret ballot election by the departmental faculty shall govern the elected faculty membership on the search committee. Other members of the search committee will be appointed by the Dean. Usually, the Dean or a person from the Dean's office will serve as a non-voting member on the search committee to provide liaison and logistical support. Giving due regard to the advice and concerns expressed by the faculty, the Dean will designate one of the elected faculty members to chair the search committee.
2. The search committee, working in cooperation with the Dean and with appropriate participation from constituent groups, shall establish selection criteria, announce and advertise the position in a manner appropriate to the nature of the search, and coordinate the review and evaluation of candidates for the position. Throughout the search process, the

*The Committee may group the responses of different categories of faculty participants (based on rank, tenure status, the holding of an administrative appointment, or other appropriate classification) and may report the responses by such established categories, provided that such reporting does not identify any individual's response. The Committee must take whatever precautions are necessary to protect fully the anonymity and confidentiality of each individual faculty member's response. In addition, the Committee must establish a procedure to ensure that the faculty responses to this part of the review are used only for the purpose prescribed herein.

**The term departmental chairperson is defined and used throughout to mean the administrator of an academic unit within a division who reports directly to the Dean of the division; the term includes department heads, area heads or chairpersons, program heads or chairpersons, directors of schools within a college, and other such administrators of academic units. A similar interpretation should be placed on the use of the term department.

***The faculty of small departments may choose to elect additional faculty members from the division.

committee shall solicit, encourage, and provide for faculty participation, and the participation of other constituent groups. Faculty members should have ample opportunity to review the credentials of qualified candidates except that the search committee may protect the identity of candidates who request confidentiality during the initial screening process. On the basis of faculty evaluations and its own judgment, the search committee will reduce the list of candidates to those deemed to be best qualified for the position. The committee and the Dean will select those to be interviewed from this reduced list. Interview schedules of candidates should allow for discussions with the Provost/Vice President for Academic Affairs, the search committee members, individual faculty, and, where appropriate to the nature of the search, students, and others. Following these interviews, and other information gathering procedures appropriate to the nature of the search, every reasonable effort should be made to obtain the views of the departmental faculty and appropriately interested constituent groups. The advice of the faculty may be determined by individual written evaluations, or by expression of faculty sentiment at a called faculty meeting, or by such other means as the search committee may consider appropriate. General support of the departmental faculty normally will be necessary for further consideration of a candidate.

- 3 The search committee shall submit to the Dean a summary of the evaluations and advice received from the departmental faculty on each final candidate or person interviewed and also its own advice. In the event the Dean does not secure the appointment of a chairperson from the list of candidates who have general faculty support, the search process normally shall be continued until a chairperson acceptable to the Dean and the faculty is successfully recruited. Except in extraordinary circumstances, the Dean shall select a chairperson from those candidates who have general faculty support. If it should become necessary to reopen the search, the Dean and the search committee should confer to establish further direction; if it appears desirable, a new search committee may be formed.
4. The Dean will make interim or acting appointments when necessary; such appointments will be made only after considering any advice and concerns stated by the faculty. The Dean, as soon as practicable, will organize a formal search to replace the interim or acting chairperson. Acting or interim appointees who have served for more than one year shall be subject to review and the faculty's advice as to continuation upon a written petition therefor to the Dean by at least 25 percent of the total departmental faculty or upon a vote of one-third or more of the total departmental faculty.

G. Policies and Guidelines for Leadership Evaluation of Chairpersons and *Concurrent Review of Departmental Programs*

It is the policy of The University of Alabama that faculty members in each academic department shall have periodic opportunities to participate in evaluation of the leadership and the programs of their department and that the views of the faculty concerned shall be an important component of any personnel decision by the Dean resulting from the leadership evaluation. The Dean, in consultation with the Office for Academic Affairs, will establish a schedule for the leadership evaluations ~~and program reviews~~ of each department within the division. A leadership evaluation shall be scheduled in each academic department at least once every five years except that the Dean, in consultation with the Office for Academic Affairs, may vary the schedule by as much as one year if a change in the leadership of a department occurs or is anticipated or if other circumstances arise in which it becomes desirable to do so.

1. Early in the fall or spring semester in which a department's leadership evaluation is scheduled, the Dean shall circulate a mail ballot to the divisional faculty posing two questions:
 - (a) Is it desirable to conduct an evaluation of the department's leadership?
 - (b) Is it desirable to conduct a concurrent review of the direction and quality of the department's programs? (Such a review of programs is in addition to the regularly scheduled review of academic programs conducted by the Office for Academic Affairs for the Alabama Commission on Higher Education and the Southern Association of Colleges and Schools.)

The Dean, after receiving the results of this vote, shall meet with the departmental faculty to consider whether a leadership evaluation and/or a program review is to be conducted and, if there is to be an evaluation or review, to discuss the size and composition of the appropriate committee.

2. A leadership evaluation is necessary if:
 - (a) the Dean states, during his or her meeting with the departmental faculty, that a leadership evaluation will be conducted; or
 - (b) at least 25 percent of the total departmental faculty indicated on the mail ballot that a leadership evaluation was desirable; or
 - (c) a resolution requesting a program review receives the support of at least one-third of the total departmental faculty during the meeting of the departmental faculty and the Dean.

If a departmental leadership evaluation has not already been decided upon under provisions a) or (b), then the Dean, during his or her meeting with the departmental faculty, will ask that the resolution described in (c) be brought forward for a vote.

3. Reviews of academic programs in a department are scheduled periodically as required by various external groups such as accrediting agencies or the Alabama Commission on Higher Education. However, because the results of these reviews may not be timely or germane to the current direction and quality of academic programs in a department, a program review may be called for in conjunction with a leadership evaluation. A program review is necessary if:
 - a) the Dean states, during his or her meeting with the departmental faculty, that a program review will be conducted; or
 - b) at least 25 percent of the total departmental faculty indicated on the mail ballot that a current program review ~~was~~ *is* desirable; or
 - c) a resolution requesting a current program review receives the support of at least one-third of the total departmental faculty during the meeting of the departmental faculty and the Dean.

If a program review has not already been decided upon under provisions a) or b), then the Dean, during his or her meeting with the departmental faculty, will ask that the resolution in c) be brought forward for a vote.

4. A single Committee will be selected to conduct the leadership evaluation and/or program review if either or both is necessary. The size and composition of the Committee, or Review Committee, or Evaluation/Review Committee will be decided by the Dean except that faculty members elected by the faculty shall constitute a majority of the Committee; secret ballot election by the departmental faculty shall govern the elected faculty membership on the Committee. The Dean may appoint up to three other members of the Committee; these may include persons other than departmental faculty. One of the elected faculty members shall be designated by the Dean to serve as chairperson.

H. Departmental Leadership Evaluations

The faculty of each department is encouraged to adopt an evaluation plan and procedure, to be revised as necessary, which future Committees can consider when deciding how to conduct their evaluations; any such plan should include suggested evaluation criteria.

Evaluation by Faculty. The following policies and guidelines for obtaining the departmental faculty's advice on the department's leadership are to be employed:

1. a meeting of the Chairperson with the departmental faculty, the Committee, and appropriate members of the central administration, including the President if he or she desires, at which the Chairperson shall present a "state of the department" report; this report may, at the Chairperson's discretion, include presentations by faculty members, and shall include whatever data and program information the Chairperson or the Committee consider pertinent to the evaluation process.
2. an opportunity, no more than six weeks after the election of faculty members on the Committee, for each faculty member to evaluate from a departmental perspective (a) the organization and management of affairs within the department, and (b) any other areas of concern. Faculty members shall have a clear opportunity to respond to any question by stating that they have little or no basis for judgment.
3. an opportunity for each faculty member to submit an anonymous written statement of reasons for a recommendation that the departmental leadership be continued or changed. Faculty members are expected to state any reasons they have for believing that the Chairperson has or has not helped the department meet its mission and goals. The procedure by which this opportunity is provided should establish clearly (a) that participation is expected and (b) that recommendations will be processed in a manner designed to derive an accurate reflection of the faculty's advice.

The evaluation and advice provided by the departmental faculty shall be collected by the Committee and held in the strictest confidence by each member of the Committee. The Committee shall develop a summary* of the faculty's evaluations, together with the supporting justification which was provided. The summary of recommendations shall include the number of faculty members who made no recommendation, the number who gave no reasons but recommended reappointment or non-reappointment of the Chairperson, a summary of the reasons given for recommending reappointment or non-reappointment, and any other information contained in the recommendations from the faculty which will help the administration to understand the nature and prevalence of faculty views concerning the Chairperson's performance. The Committee shall compile verbatim quotes of the full set of reasons given by the faculty for their recommendations concerning reappointment of the Chairperson, grouping similar reasons together so that the set of reasons given by an individual cannot be identified; this compilation of verbatim quotes shall be attached to the report forwarded to the Dean and the Provost/Vice President for Academic Affairs, but shall not be made available to the Chairperson. The Committee shall meet with the departmental Chairperson to discuss the preliminary results of the evaluation and shall then decide whether additional information should be sought. The final results of the evaluation, including any advice provided by other constituent groups, shall be transmitted solely to the departmental Chairperson, the Dean and the Provost/Vice President for Academic Affairs. With due regard to protecting the confidentiality of the more sensitive results of the evaluation process, the chairperson of the Committee shall make an oral report to the departmental faculty concerning the general results of the evaluation and shall circulate to the faculty such specific results of the evaluation as the Committee, the Dean, and the Provost/Vice President for Academic Affairs may consider appropriate.

Decision by the Dean. Upon receiving the Committee's report, and after any other evaluations, discussions, and clarifications which the Dean considers necessary, the Dean will communicate his or her decision to those concerned, normally no later than one month following submission of the Committee's report. Should the Dean's decision differ from the weight of faculty opinion and advice, the Dean will meet with the departmental faculty to discuss his or her views. Then, if the faculty so chooses, it may inform the Provost/Vice President for Academic Affairs and the President of its concerns regarding the Dean's decision.

Early Leadership Evaluations. Upon a written petition to the Dean requesting an early evaluation, signed by at least 25 percent of the total faculty of the department or upon a vote of one-third or more of the total departmental faculty requesting an early evaluation, an early evaluation of departmental leadership shall be initiated except that

- a) only one early evaluation may be called for during the interval between regularly scheduled evaluations; and

*The Committee may group the responses of different categories of faculty participants (based on rank, tenure status, the holding of an administrative appointment, or other appropriate classification) and may report the responses by such established categories, provided that such reporting does not identify any individual's response. The Committee must take whatever precautions are necessary to protect fully the anonymity and confidentiality of each individual faculty member's response. In addition, the Committee must establish a procedure to ensure that the faculty responses to this part of the evaluation are used only for the purpose prescribed herein and are not preserved after a decision concerning reappointment of the Chairperson has been announced to the faculty.

- b) if an early evaluation results in the continued appointment of the department Chairperson, the Dean may schedule the next leadership evaluation to occur as late as five years after that early evaluation. No additional early evaluation can be called for before the date when a leadership evaluation would have occurred had there not been a call for an early evaluation.

Early evaluations shall be conducted in the same way as regularly scheduled evaluations and with the same options for a concurrent program review. The Committee shall solicit the departmental faculty's evaluation and advice as prescribed above no later than six weeks after the petition is delivered or the vote taken; the Dean normally will communicate his or her decision to those concerned within one month following the Committee's report. The time for the Committee to complete its activities may, however, be adjusted by the Committee to accommodate those periods of the year during which members are not, or may not be, available to participate in the process, provided that such adjustments in time shall not defeat the purpose or unreasonably impede the progress of the procedures prescribed herein.

I. Departmental Program Review Concurrent with a Departmental Leadership Evaluation

The Dean and the Provost/Vice President for Academic Affairs shall consider any available reviews of program direction and program quality when considering results of Departmental Leadership Evaluations. External and/or internal reviews (e.g., accreditation reviews; internal reviews of departments for ACHE), if sufficiently extensive and current, and if they provided adequate opportunities for faculty members to express their views about the program, may supply the information needed. The decision as to whether additional information is needed is a joint responsibility of the Dean and the faculty. In making such a program review, the Review Committee or Evaluation/Review Committee shall observe the following policies and principles:

1. Program direction and quality may be influenced by many factors other than the quality of departmental leadership. An appropriate distinction should be made between a report on the program and a report dealing with the chairperson's leadership of the program.
2. An important consideration in the review shall be the views of the faculty. Each faculty member shall have an opportunity, no more than six weeks after the election of faculty members on the Committee, to assess from a departmental perspective (a) the direction in which the department is headed and the progress it is making as a whole; (b) the overall quality of the departmental curriculum; (c) the commitment to faculty scholarship and productivity; (d) student quality, (e) financial support and resources available within the department for teaching, research, and service; and (f) any other matters of concern. Faculty members shall have a clear opportunity to respond to any question by stating that they have little or no basis for judgment.

The assessment and advice provided by the departmental faculty shall be collected by the Committee and held in the strictest confidence by each member of the Committee. The Committee shall develop a summary* of the faculty's assessments, together with the supporting justification which was

*The Committee may group the responses of different categories of faculty participants (based on rank, tenure status, the holding of an administrative appointment, or other appropriate classification) and may report the responses by such established categories, provided that such reporting does not identify any individual's response. The Committee must take whatever precautions are necessary to protect fully the anonymity and confidentiality of each individual faculty member's response. In addition, the Committee must establish a procedure to ensure that the faculty responses to this part of the review are used only for the purpose prescribed herein.

provided. The Committee shall meet with the Chairperson to discuss the preliminary results of the review and shall then decide whether additional information should be sought. The final results of the review, including any from other constituent groups, shall be transmitted solely to the Chairperson, the Dean, and the Provost/Vice President for Academic Affairs. With due regard to protecting the confidentiality of the more sensitive results of the review process, the chairperson of the Committee shall make an oral report to the faculty concerning the general results of the review and shall circulate to the faculty such specific results of the review as the Committee, the Dean, and the Provost/Vice President for Academic Affairs consider appropriate.

J. Implementation

Each academic division and department of the University may propose to the central administration the use of more specific guidelines and procedural details. As with any University policy, the provisions for faculty participation stated herein are subject to modification and change by the President whenever circumstances and experience may warrant. However, any such changes will be discussed fully with the Faculty Senate (acting on behalf of the faculty), deans, and chairpersons prior to their approval by the President.

Express provision for monitoring the effectiveness of this policy and for recommending any changes in the policies and guidelines herein as might become desirable shall be provided for by the establishment of an advisory committee of deans, departmental chairpersons, and faculty. The members of this committee shall be appointed by the President, except that the faculty appointees shall be from a list of persons furnished to the President by the President of the Faculty Senate. A faculty member will chair the advisory committee. This committee shall report to the President through the Provost/Vice President for Academic Affairs and shall be charged with (1) monitoring the effectiveness of the existing policies on faculty participation, (2) offering proposals for changes in the mechanism for faculty participation for consideration by the University community, (3) screening proposals for change from other sources, and (4) coordinating discussions and study by the faculty, deans, chairpersons, and the central administration of any proposed changes prior to their approval by the President.

Normally, any person appointed as Provost/Academic Vice President will be expected to possess credentials commensurate with an appointment at a senior rank and in an appropriate academic discipline.

APPENDIX B

MEDIATION AND GRIEVANCE SYSTEM

I. Introduction and Definitions

A. General Principles

In an academic community it is desirable that academic disputes (including grievances and sanctions) be settled fairly, rationally, expeditiously, and according to understood rules. It is important that faculty members participate as far as possible in their own governance and that of the University. It is crucial that principles of academic rights, academic freedom, and contractual understanding be scrupulously upheld.

B. Scope and Purpose of the System

This Mediation and Grievance System is designed to ensure that each faculty member who has a grievance will be able to obtain prompt consideration of the issue(s) by administrators at the departmental and divisional level. The faculty member may also request consideration by the Provost/Vice President for Academic Affairs, but this step is not required.

A faculty member who is not satisfied by the dean's decision, or who does not receive a timely decision from the dean, may appeal to the University Mediation Committee. The Mediation Committee will accept the faculty member's grievance for action if it decides that the action, as described in the appeal, would constitute an improper and prejudicial action by an administrator or faculty committee and that the issues raised are sufficiently related to the concerns of an academic community. The Provost/Vice President for Academic Affairs may, at the request of the faculty member, overrule a decision by the Committee to dismiss the grievance and instruct the Committee to accept the grievance for action.

After accepting a grievance for action the Mediation Committee will determine whether divisional administrators have had an adequate opportunity to deal with the issues, and may suggest additional administrative channels to be followed before further action is taken. The next step is for the Mediation Committee to ask the parties whether they are willing to try to resolve the issues through mediation.

It is expected that most grievances will be resolved through the normal administrative processes. The Mediation and Grievance System emphasizes the role of mediation when the grievant's appeals to administrators fail to produce a satisfactory solution. Problems which result in a grievance may not involve clear-cut distinctions between right and wrong. Mediation, when established as a matter of both practice and principle, can make it possible for the parties to reach a collegial resolution of honestly held differences of opinion.

If the issues cannot be resolved by administrative appeals or through mediation, then a faculty member whose grievance has been accepted for action becomes eligible to receive a full hearing before a Tribunal selected for that purpose. Since mediation cannot succeed unless the parties choose to cooperate, the System permits the parties to bypass the mediation and move directly to a Tribunal

hearing. This may be done at any time once any additional administrative appeals required by the Committee have been made.

C. Additional Aspects of the System

1. The Role of Attorneys

If the parties to a grievance agree to permit mediation efforts, then they may not be represented or accompanied by attorneys at any of the meetings called as part of the mediation process, though they are free to consult attorneys before or after such meetings. This rule is imposed in order to minimize the adversarial nature of mediation meetings. If the grievance is not settled by mediation, and a hearing before a Tribunal is scheduled, the faculty member has the option of deciding whether the parties may be represented or accompanied by attorneys during proceedings before the Tribunal; the opposing party may not be represented or accompanied by an attorney during proceedings before the Tribunal unless the faculty member exercises the same privilege.

2. Restrictions in Grievances

If a grievance concerns a procedural impropriety in a matter of retention, tenure, or promotion, the grievance must be presented to the Mediation Committee within 90 calendar days following the date of notification to the faculty member of the final decision made by the appropriate administrator in the matter of retention, tenure, or promotion.

The role of a hearing Tribunal is restricted when considering grievances arising from retention, tenure, or promotion recommendations, or from recommendations made by departmental or divisional faculty committees elected by the faculty or from recommendations made by the departmental or divisional faculty as a whole. In such cases, the Tribunal will not substitute its judgment on the merits for that of the faculty committees or administrators. The Tribunal will restrict its attention to claims that the procedures followed were not in accord with the Faculty Handbook and any supplementary procedures adopted by the departmental and divisional faculties.

3. Sanctions by Administrators

The Mediation and Grievance System also includes procedures to be followed when an administrator seeks either to impose a severe sanction^{*} on a faculty member or to dismiss a tenured or probationary faculty member or a full-time temporary faculty member before the end of the term specified by the Faculty Handbook or by a contract between the University and the individual. Examples of severe sanctions include suspension from service for a stated period, reduction in academic year salary, or a violation of a written and duly approved departmental, divisional, or University policy, rule, or regulation that has a negative impact on the faculty member. Decisions made by administrators in the ordinary course of their administration that do not discriminate unfairly against the faculty member shall not be considered severe sanctions within the meaning of this Mediation and Grievance System. The Mediation Committee shall have the power to decide whether an action taken by an administrator constitutes a severe sanction; a decision adverse to the faculty member may be reversed upon appeal to the Provost/Vice President for Academic Affairs.

^{*} A severe sanction and a minor sanction are differentiated in Section Seven of the 1990 Recommended Institutional Regulations on Academic Freedom and Tenure on page 27 of the [AAUP Policy Documents and Reports](#), 1990 Edition.

D. Definitions of Some Terms

1. "University" means The University of Alabama in Tuscaloosa, Alabama.
2. "Faculty" or "Faculty members" means one or more persons with tenured or probationary appointments to the faculty of the University.
3. "Administrators" are faculty members whose assignment to administrative duties is at least 50 percent or who hold administrative assignments at or above the level of departmental chairperson.
4. A "work day" is any day on which the University is in session, excluding weekends, University holidays, and the periods between the last day of final examinations and the first day of classes for the next term.
5. A "work week" is five work days.
6. Explanations of other terms appear in later sections of this document.

E. Description of the Mediation Committee

The University Mediation Committee (herein sometimes referred to as the Committee) is composed of six faculty members who are not administrators and two administrators. The faculty members are elected by the Faculty Senate, at its regular November meeting, to staggered three-year terms, with two terms expiring on December 31 of each year. No more than two faculty representatives may be from any one academic division. Faculty members completing a term on the Committee are ineligible for re-election until two years have passed. Any faculty vacancy occurring on the Committee may be filled on a temporary basis by a majority vote of the faculty representatives remaining on the Committee; the Faculty Senate shall elect a faculty member to fill the remainder of the unexpired term. The President of the University or his or her designee chooses the administrative members from among the administrators of the University who are tenured or tenure-earning faculty members in one of the academic programs and who hold an administrative appointment in an academic area. Each January the Committee selects its chairperson from among the faculty representatives. The chairperson is responsible for coordinating and expediting the work of the Committee, ensuring that grievances normally are settled or are submitted to hearing Tribunals within no more than six weeks from the time the grievances are received by the Committee.

II. Procedures

A. Administrative Resolution of Grievances

Faculty members who believe that an improper action by a University administrator or faculty committee has affected them prejudicially shall attempt to resolve their problems through discussions with administrators, first with the heads of their administrative subunits (if any), and then with their deans. Faculty members who are not satisfied with the response received at the divisional level have the option of appealing immediately to the Mediation Committee or of seeking an administrative solution from the Provost/Vice President for Academic Affairs before appealing to the Mediation Committee. Each administrator shall attempt to solve problems expeditiously. A faculty member who does not receive a decision within two work weeks after appealing to an administrator is entitled to appeal to the next higher administrator or, if the last appeal was at the divisional level, to the Mediation Committee.

B. Mediation of Grievances

Faculty members who have been unable to resolve their grievances through appeals to the administration may submit a written appeal to the Mediation Committee. An appeal to the Mediation Committee will describe in detail the nature of the grievance and will state against whom the grievance is directed. It may contain any material which the grievant deems pertinent to the case.

The Mediation Committee will decide whether at least some of the facts alleged by the grievant will, if established, indicate that an administrator or a faculty committee has committed an improper and prejudicial action which is sufficiently related to the concerns of an academic community to be considered by the academic grievance system. The Committee acting either as a whole or through specifically designated members, may meet with the grievant in order to clarify allegations presented in the appeal. If the Mediation Committee decides that the facts alleged by the grievant do not warrant action, notice of this decision will be given to the grievant in writing; such a decision by the Mediation Committee will be final, except that the Provost/Vice President for Academic Affairs may, at the request of the grievant, overrule the Committee and instruct the Mediation Committee to accept the case for action.

If the Mediation Committee decides that at least some of the facts alleged justify accepting the grievant's case for action (or if its decision to the contrary is overruled by the Provost/Vice President for Academic Affairs), its next steps will be (1) to notify the grievant; (2) to notify the respondent by giving the respondent a copy of the grievance; (3) to provide an opportunity for the respondent to submit a written response; and (4) to determine whether divisional administrators have had an adequate opportunity to consider and respond to the grievant's complaint. The Mediation Committee may suggest additional administrative channels to be followed before it will proceed. When the Mediation Committee is satisfied that the petitioner has sought appropriate administrative reviews, it will decide whether to try to bring about a settlement through mediation. If in the opinion of the Mediation Committee such a settlement is not possible or is not appropriate, or if either of the parties declines to participate in mediation efforts, or if the Committee or one of the parties subsequently decides to stop the mediation, the Mediation Committee will report this decision to each of the parties and to the Provost/Vice President for Academic Affairs and will take no further action unless the grievant requests that a formal hearing Tribunal be convened. Refusing to participate in mediation or demanding that mediation stop will not be considered evidence of bad faith on the part of either party.

The mediation process will be informal, with the Mediation Committee attempting to facilitate a resolution of the problem by whatever techniques and procedures the Committee believes to be appropriate. Every person involved in mediation is expected to respect the confidentiality of the process, and every effort will be made to maintain an atmosphere which encourages collegial resolution of the problem. In particular, neither party may be represented or accompanied by an attorney at any of the meetings called as part of the mediation process, though they may obtain legal advice outside the meetings.

The Mediation Committee will ensure that the parties receive appropriate assistance by assigning a member of the Committee to serve as an advisor for each of the parties who requests such aid; the parties may suggest the name(s) of Committee members whom they would prefer as advisors and the Committee will consider these suggestions when deciding whom to assign. The chairperson of the Mediation Committee will not serve as an advisor. The advisors assigned shall not be graduates of a law school; they may represent their advisees at meetings called as part of the mediation process and in any subsequent hearings, but will play no other role on the Mediation Committee in connection with a case

on which they serve as advisors. Communications between an advisor and advisee shall be confidential throughout the proceedings provided for in this document. The advisors are not meant to give, nor shall they give legal advice.

The Mediation Committee or members thereof may meet privately with either of the parties or with other informed persons in order to explore the possibility of finding a resolution upon which the parties can agree.

The mediation process will continue until a settlement satisfactory to the parties is reached or until the Mediation Committee or one of the parties decides to stop mediation.

The Chair of the Mediation Committee shall maintain a file on each instance, which when closed shall be deposited in University Archives with access thereto limited to the President of the University. All other files of committee members relating to specific instances shall be destroyed when the instances are closed.

C. Formal Hearings

1. Requirements for Formal Hearings

A faculty member becomes eligible to receive a formal hearing by a Tribunal if (1) the faculty member's appeal to the Mediation Committee is accepted for action and (2) the Mediation Committee is satisfied that the faculty member has sought appropriate administrative reviews. In such instances, the Mediation Committee will help the parties establish a hearing Tribunal when requested to do so by an eligible faculty member.

The University is required to provide to the affected faculty member the option of a formal hearing by a Tribunal in cases where an administrator seeks to impose a severe sanction or to dismiss a tenured or probationary faculty member or a full-time temporary faculty member. ("Dismissal" means terminating an appointment before the end of the term specified by the Faculty Handbook or by a contract between the University and the individual.) Any such action by an administrator will be preceded by discussions between the faculty member and appropriate administrative officers looking toward a mutual settlement. If a mutual settlement is not achieved, the faculty member will be provided a written statement of charges, framed with reasonable particularity by the administrator and there will be an informal inquiry by a standing committee which will determine whether in its opinion proceedings should be continued, without its opinion being binding on the administrator. (In divisions which have a regular standing committee of faculty members elected to serve as advisors to the dean, the administrator may ask that committee make the informal inquiry; otherwise, the inquiry will be performed by the University Mediation Committee.) If during the process the parties reach agreement, no further steps are necessary.

If the administrator decides to proceed with the case after receiving the results of the informal inquiry, the Mediation Committee will inquire whether the faculty member waives the right to a hearing. If faculty member waives the right to a hearing, the University may impose the penalty requested by the administrator or any lesser penalty; otherwise, the Mediation Committee will help the parties establish a hearing Tribunal.

In formal hearings, the petitioner is the faculty member in cases involving grievances. The administrator is the petitioner in cases where an administrator seeks to impose a sanction or to dismiss the faculty member.

2. Constituting Hearing Tribunals

Each hearing Tribunal will consist of five members selected by the processes described below.

Each August, the Provost/Vice President for Academic Affairs and the President of the Faculty Senate will use a random selection process** to identify a panel of 60 tenured faculty members. Members of hearing Tribunals established during the ensuing year will be chosen from this panel. The same procedure will be followed to augment the panel by 10 or more persons whenever the University Mediation Committee finds that fewer than 45 panel members are available to hear a given case.

When a hearing Tribunal is to be established, the University Mediation Committee will give members of the panel an opportunity to recuse themselves. The central importance of faculty participation in University governance requires that panel members be able to recuse themselves only for compelling reasons such as bias or interest. The panel will be augmented if necessary in order to ensure that the number of panel members remaining after recusals is at least 45.

The Committee will then provide the two parties with a list of those who have not recused themselves. Each of the parties will have one work week in which to choose one person from the list to serve on the Tribunal. After the parties have made their choice(s) or the time for doing so has passed, the list will be reduced further by removing the names of any remaining administrators. The hearing Tribunal will consist of five members, including those chosen by the parties if any, with the other members selected from the reduced list by each party alternately striking a name from the list until only the requisite number of names remain. The faculty party shall have the first strike. If either party declines to strike, the other party may continue; if both parties cease to strike, the Tribunal will be completed by taking names in alphabetical order from those remaining on the list.

The Tribunal will elect its own chairperson from among the Tribunal members who are not administrators.

A person who leaves the University's employment during the course of a grievance may retain his or her seat on the Tribunal. In the event the person leaving the University chooses not to retain his/her seat, or if a Tribunal member is otherwise unable to continue, the remaining members of the Tribunal shall proceed.

The University Mediation Committee, or designee from that Committee, will coordinate this selection process, will inform members of the hearing Tribunal of their selection, and will arrange a time and place for the Tribunal members to meet to elect their chairperson. Thereafter the Mediation Committee will have no role in the proceedings, except that the advisors appointed by the Committee will continue to assist the parties at their request.

** The random selection process will consist of using a computerized random number generator to select names from an ordered list of all eligible faculty members who are not expected to be on leave during the academic year.

Each August, the Provost/Vice President for Academic Affairs and the President of the Faculty Senate will select a senior faculty member to provide assistance to Tribunals established during the ensuing year. This liaison person will be responsible for supplying any support services or advice needed by Tribunals in arranging hearings and in establishing timetables and schedules which will result in fair and expeditious hearings. In particular, the liaison person will prepare a model set of timetables for Tribunals to consider when adopting their rules.

3. Procedures in Cases Involving Formal Hearings

The hearing Tribunal, if it decides that it needs legal advice, shall, in consultation with the liaison person described above, retain an attorney to advise it; the Tribunal's attorney may be present at all sessions, including any prehearing meetings. The Tribunal's attorney may not be an employee of the Office of the University Counsel if that Office has had, or is expected to have, any connection with the case.

Each party will be permitted to choose an advisor who is neither an attorney nor a member of the Tribunal to give assistance (but not legal advice) during the proceedings. The parties may consult attorneys before or after any session of the Tribunal. The faculty member has the option of deciding whether the parties may also be represented or accompanied by attorneys during proceedings before the Tribunal; the opposing party may not be represented or accompanied by an attorney during proceedings before the Tribunal unless the faculty member exercises the same privilege. The advisors (and attorneys of the parties when attorneys are involved) may accompany and represent the parties throughout the proceedings, performing any of the actions permitted to the parties.

The petitioner (either the faculty member in grievance cases or the administrator who seeks to impose a severe sanction or to dismiss a faculty member) will supply the respondent and the Tribunal with a written statement of specific charges at least twenty days prior to the hearing. The statement of charges will set forth the facts and issues which the petitioner wants the Tribunal to consider; this statement may differ from the appeal or statement which the petitioner made earlier in the Mediation and Grievance process. The respondent will supply the petitioner and the Tribunal with a written response to the charges as soon as possible and no later than one work week before the time set for the hearing.

The hearing Tribunal will consult the parties before setting a time for the hearing and may, with the consent of the parties, hold joint prehearing meetings with them in order (i) to simplify the issues, (ii) effect stipulations of facts, (iii) provide for the exchange of documentary or other information, or (iv) achieve such other prehearing objectives as will make the hearing fair, effective, and expeditious.

A record (tape recorded or otherwise) of the hearing will be made by the hearing Tribunal. Each party may make an independent record of the hearing. The Tribunal will make a transcript of the hearing whenever the hearing concern charges brought by an administrator, and a copy will be made available to the faculty member without cost.

The Tribunal, in consultation with the parties, will exercise its judgment as to whether the hearing, or portions of the hearing, should be public or private. The Tribunal may bar prospective witnesses from hearing the testimony of other witnesses.

Each of the parties, and the hearing Tribunal, shall have the right to name an observer. These observers will be permitted to attend all of the proceedings, public or private, except for deliberations of the Tribunal.

The hearing by a Tribunal is an administrative hearing and the proceedings will be informal rather than those used in courts of law. The Tribunal may admit any evidence which is of probative value in determining the issues, subject to the Tribunal's judgment as to the relevance, credibility, and weight of the evidence. The Tribunal may ask the parties to produce evidence on specific issues, may examine witnesses, and may call and examine its own witnesses.

Each party will have the right to confront and cross-examine all witnesses. If witnesses cannot or will not appear, but the Tribunal determines that the interest of justice requires admission of their statements, the Tribunal will identify the witnesses, disclose their statements, and if possible provide for interrogatories or depositions. Each party will have the right to rebut any evidence heard by the Tribunal.

The Tribunal may grant adjournments of reasonable length to enable either party to investigate evidence if the Tribunal believes a valid claim of surprise is made concerning that evidence.

The burden of proof rests with the petitioner and will be satisfied only by a preponderance of the evidence in the record considered as a whole.

The University administration will cooperate with the hearing Tribunal in securing witnesses and making available documentary and other evidence needed by the parties or the Tribunal.

Except for such simple announcements as may be required, covering the time of the hearing and similar matters, public statements and publicity about the case by anyone concerned will be avoided so far as possible until proceedings have been completed.

The hearing Tribunal will make findings of fact concerning each allegation in the statement of charges, deciding whether the allegation has been established by a preponderance of the evidence. The Tribunal's findings of fact and recommendations will be based solely on the hearing record.

4. A Restriction on the Role of Hearing Tribunals

The role of a hearing Tribunal is restricted when considering grievances arising from retention, tenure, or promotion recommendations, or from recommendations made by departmental or divisional faculty committees elected by the faculty or from recommendations made by the departmental or divisional faculty as a whole. In such cases, the Tribunal will restrict its attention to claims that the procedures followed were not in accord with the Faculty Handbook (and any supplementary procedures adopted by the departmental and divisional faculties); the functions of the Tribunal will be the following:

- a. to determine whether the recommendations or decisions of the faculty committee(s) and administrator(s) involved were made in accordance with the published policies of the department, division, and University, with the understanding that the hearing Tribunal

should not substitute its judgment on the merits of the case for those of faculty committee(s) and administrator(s);

- b. to request reconsideration by faculty committee(s) or administrator(s) when the hearing Tribunal believes that proper procedures were not followed in considering the issues (in such instances, the Tribunal should indicate the respects in which it believes that the procedures may have been improper or inadequate);
- c. to provide copies of its report and recommendation to the faculty member, the faculty committee(s) and the administrator(s) concerned, and the Provost/Vice President for Academic Affairs.

5. Findings and Reports of Hearing Tribunals

Except in the cases covered by Section II-C4, the Tribunal will report its findings and recommendations to the University President. The petitioner and respondent will be notified of the Tribunal's decision in writing and will be given a copy of the Tribunal's report to the President.

When hearing a case which involves dismissal of a faculty member or imposition of a severe sanction, the Tribunal will decide whether adequate cause for the proposed action has been established by the evidence in the record and will report its decision to the President of the University. If the hearing Tribunal finds adequate cause for dismissal, it also may report that the adequate cause involves "moral turpitude", *** warranting dismissal without normal notice or terminal pay. If the hearing Tribunal finds that adequate cause for dismissal or imposition of a severe sanction has been established, but believes that a less severe penalty would be more appropriate, it will so recommend, with supporting reasons.

In cases involving dismissal of a faculty member or in cases where the faculty member has prevailed, the Tribunal may recommend to the President that payment of a reasonable amount be made to the faculty member to help compensate the faculty member's attorney. If the Tribunal makes no such recommendation, the President or the Provost/Vice President for Academic Affairs may request the Tribunal to do so.

6. Review by the University President

The President's review will be based on the record of the hearing. Written arguments by the parties involved in the hearing or by their representatives will be accepted by the President if submitted within 10 days after the parties are notified of the Tribunal's decision. Either the decision of the hearing Tribunal will be sustained or the proceeding will be returned to the Tribunal with specific objections. The Tribunal will then reconsider, taking into account the stated objections and receiving new evidence if necessary. The President will make a final decision only after study of the Tribunal's reconsideration.

III. Approval, Modification, and Review

*** The concept of "moral turpitude" identifies the exceptional case in which the faculty member may be denied a year's pay in whole or in part. Moral turpitude is behavior which goes beyond simply warranting discharge and is so utterly blameworthy as to make it inappropriate to require the offering of a year's teaching or pay. The standard is not that the moral sensibilities of persons in a local community are offended. The standard is behavior related to the faculty member's academic role that would evoke condemnation by the academic community generally.

A. Approval

This Mediation and Grievance System was recommended by a voting majority of the faculty members of the University, voting majorities of the faculty members of a majority of the academic divisions of the University, by the Provost/Vice President for Academic Affairs, and was approved by the President.

B. Modification

Proposals for changing this Mediation and Grievance System will not take effect until they have received consent similar to that described in the previous paragraph for ratification of the original System.

C. Review

This Mediation and Grievance System will be reviewed whenever the following conditions are met: (1) at least three years have elapsed since the end of the preceding review and (2) a review is scheduled by the Provost/Vice President for Academic Affairs or is recommended by the Faculty Senate.

APPENDIX C

ACADEMIC MISCONDUCT DISCIPLINARY POLICY

I. Academic Misconduct

- A. Academic misconduct by students includes all acts of dishonesty in any academically-related matter and any knowing or intentional help or attempt to help, or conspiracy to help, another student commit an act of academic dishonesty. Academic dishonesty includes, but is not limited to, each of the following acts when performed in any type of academic or academically-related matter, exercise, or activity.
1. Cheating--using or attempting to use unauthorized materials, information, study aids, or computer-related information.
 2. Plagiarism--representing the words, data, works, ideas, computer program or output, or anything not generated in an authorized fashion, as one's own.
 3. Fabrication--presenting as genuine any invented or falsified citation or material.
 4. Misrepresentation--falsifying, altering, or misstating the contents of documents or other materials related to academic matters, including schedules, prerequisites, and transcripts.
- B. Except in divisions which have an alternate academic misconduct policy which has been approved by the Provost/Vice President for Academic Affairs, academic misconduct cases shall be resolved by the divisional academic misconduct monitor or the academic dean of the division in which the alleged action took place. However, the monitor or dean will consult the monitor or dean of the division where the student is enrolled and, with the concurrence of both deans, the responsibility for resolving an academic misconduct case can be transferred to the dean of the division in which the student is enrolled. Appeals from the monitor's decisions may be made to the academic dean; appeals from the academic dean's decisions may be made to the Office for Academic Affairs.
- C. Penalties for academic misconduct can range from a reprimand to a penalty as severe as suspension for a definite time or even indefinite suspension. Academic deans have the authority to impose the full range of penalties. Divisional academic misconduct monitors may impose penalties only after receiving a voluntary written confession. Misconduct monitors are authorized to impose penalties up to but not including suspension, and may impose penalties of suspension or indefinite suspension if authority to do so has been delegated by the academic dean. All persons who admit to or are found guilty of an academic offense for which a penalty less than an indefinite suspension is imposed will receive a penalty of indefinite suspension if they admit to or are found guilty of another offense of academic misconduct.

II. Resolution by the Misconduct Monitor

- A. A course instructor (or any other person(s)) who has reasonable cause to believe a student has engaged in an act of academic misconduct shall report the matter to the divisional academic misconduct monitor (appointed by the academic dean) of the division within which the alleged misconduct occurred. The instructor will take no other action in the matter until a decision has

been reached by the monitor or the dean. When suspected incidents of academic misconduct occur in settings other than an academic division, the matter will be reported to and processed by the academic division in which the student is enrolled.

B. The monitor will discuss the circumstances involved with the course instructor (and/or other appropriate person(s)) and review any pertinent materials in order to determine if a reasonable basis exists for believing that academic misconduct may have occurred. If the monitor concludes that there is a reasonable basis for believing an act of academic misconduct may have been committed, the monitor will determine whether the student has been disciplined for any prior academic misconduct offense(s) (see V - Records) and will arrange a conference with the student. The monitor may invite the course instructor to attend any conference(s) with the student. The student will be informed at the start of the conference that an issue of possible academic misconduct exists and will be given a copy of this Academic Misconduct Disciplinary Policy. The monitor will call the student's attention to the following provisions:

1. The student is not required to make any statement at all regarding the matter under investigation.
2. The student may make a voluntary statement if he or she chooses.
3. The student has a right to present any evidence, supporting witnesses, and other information to the misconduct monitor.
4. The student has a right to be advised and represented by anyone of his or her choice.
5. The student is entitled to a recess in the conference for one week in order to take advantage of the rights listed in items 3 and 4.

C. At the conference, the student will be informed that one of three steps will be taken by the monitor.

1. The matter will be dismissed if evidence is presented which leads the monitor to conclude that there is not convincing proof that the student engaged in an act of academic misconduct.
2. The matter will be concluded at the conference level and a penalty imposed if the student makes a voluntary written admission that he or she engaged in an act of academic misconduct. (The penalty will be imposed by the dean if it is more severe than the monitor is authorized to impose; see I-C concerning penalties.) The student will be given written notice of the penalty. If the penalty imposed by the monitor includes assignment of a grade, the course instructor must approve the specific grade before the grade can be assigned.
3. The matter will be forwarded to the academic dean:
 - a. if it is not dismissed by the monitor and the student does not make a written admission of academic misconduct, or
 - b. if, within one week from the date the conference is concluded, either the student or the course instructor requests that there be further review.

III. Resolution by the Academic Dean

Any matter not resolved by the misconduct monitor will be resolved by the academic dean. The dean may act alone or in conjunction with a standing divisional committee or an ad hoc committee appointed by the dean, but the dean shall make the decision. The academic dean will arrange an individual or group conference(s) with the course instructor, the student, and any other appropriate persons, to discuss the matter in question. The student will be allowed to make a statement and to present evidence, witnesses, and other relevant materials; the student may be accompanied and advised or represented by anyone the student chooses.

The dean will seek the advice of the course instructor prior to assigning a grade penalty. However, the dean is not obligated to follow the instructor's recommendation since a penalty is being assigned rather than an evaluation of academic work.

Notice of the dean's decision will include a statement of the academic misconduct charges and will be sent to the student by certified mail with copies to the instructor and other involved parties; the student or the instructor may appeal the dean's decision to the Office for Academic Affairs if the appeal is filed within 15 working days of the date of mailing of the dean's decision. No penalty will be imposed until:

1. there is a failure to file a timely appeal, or
2. a decision on the appeal has been reached.

IV. Appeal

The dean will consider timely appeals from students or instructors who are not satisfied with the penalty imposed by the monitor. The dean will also make decisions concerning guilt and penalties for students who have not made an admission of misconduct.

The dean's decision(s) may be appealed to the Office for Academic Affairs within 15 working days of the mailing of the dean's decision(s). Appeals must be based on substantive grounds such as procedural errors, new evidence, or inconsistencies in penalties assigned.

When an appeal is received by the Office for Academic Affairs, an official from that office will schedule a conference(s) with the student and other concerned parties to discuss the reasons for the appeal. If meetings with the student and other concerned parties result in an agreeable solution to the matter, the appeal process will end. If no such solution is reached, the official from the Office for Academic Affairs will recommend to the Provost/Vice President for Academic Affairs, giving reasons for the recommendation, whether the appeal should be heard or denied. If the Provost/Vice President for Academic Affairs denies the appeal, the appeal process will end. If the appeal is to be heard, the official from the Office for Academic Affairs will convene a panel to resolve the issues that remain. The panel will consist of a person designated by the Vice President for Student Affairs, a person designated by the Provost/Vice President for Academic Affairs (not the official convening the panel), one student (appointed by the President of the SGA), and one faculty member (appointed by the President of the Faculty Senate); both the student and the faculty member will come from the division holding jurisdiction for resolving the alleged misconduct if it is possible to find such people who have no prior connection with the case. In cases involving graduate students, the faculty and student members of the appeal panel should hold graduate faculty or graduate student status respectively. The person designated

by the Provost/Vice President for Academic Affairs will serve as hearing administrator and will coordinate and preside at all meetings conducted to resolve the academic misconduct appeal.

The hearing by a panel is an administrative hearing and the proceedings will be informal rather than those used in courts of law. The panel may admit any evidence which is of probative value in determining the issues, subject to the panel's judgment as to the relevance, credibility, and weight of the evidence. The panel may ask the parties to produce evidence on specific issues, may examine witnesses, and may call and examine its own witnesses. The student may be represented at the hearing by a person of his or her choice; if the student is represented by an attorney, then the other parties may be represented by a person from the Office of the University Counsel. Each party (or the representative of the party) will have the right to confront and cross-examine all opposing witnesses. The panel will decide each of the issues raised in the appeal. The panel's decision will be final and will conclude the process insofar as the University is concerned.

A decision contrary to the student's position must be supported by the votes of at least three of the four panel members. The panel will give written notice of its decision(s) to the student, the course instructor, the dean, and the Provost/Vice President for Academic Affairs.

V. Records

The name, student number, and academic division of each University of Alabama student who admits or is found guilty of academic misconduct shall be forwarded to the Office for Academic Affairs together with a brief description of the offense and the penalty imposed.

APPENDIX D

UNIVERSITY-WIDE ACADEMIC GRIEVANCE PROCEDURES

I. Academic Grievances

- A. A student academic grievance is broadly defined as a student complaint regarding an academic action taken by instructional or administrative personnel at The University of Alabama. An academic grievance may be filed by a student against university personnel including instructional personnel, administrators, or staff members at the University. Examples of academic grievances include, but are not limited to, allegations of unfairness in grading, alleged violation of a written or oral agreement with a student (e.g. course requirements for graduation), and alleged inconsistent applications of existing policies.

For a protest of a final course grade or other final comprehensive evaluations to be considered, the protest must be based upon one or more of the following grounds and upon allegation that the ground or grounds cited influenced the grade assignment to the student's detriment:

1. Arithmetic or clerical error.
2. Arbitrariness, possibly including discrimination based upon race, sex, religion, or national origin of the student.
3. Personal malice.

Grievances related to course grades normally should be filed during the semester in which the alleged action takes place, but such protest must be made not later than the last day of classes of the next succeeding regular semester. This grievance procedure is not available in cases where a decision has been appealed, and been afforded a committee hearing, and the appeal has been denied.

- B. A student must file a grievance in the academic department (academic department is a phrase that also refers to academic program or area if these terms apply) of The University of Alabama in which the alleged action took place. Academic grievances shall be resolved by the department head in the division where the grievance took place. Grievances concerning matters that are not within the jurisdiction of a particular academic division and grievances against the divisional academic dean must be resolved by the Provost/Vice President for Academic Affairs. Grievances against the department chairperson must be resolved by the divisional academic dean. Appeals from the academic dean's decisions may also be made to the Provost/Vice President for Academic Affairs.

II. Resolution by Department Chairperson

- A. A student who believes that an academic action has unjustly affected him/her may file a grievance with the department chairperson. The facts and circumstances which are bases for the academic grievance should be presented to the department chairperson in written form.
- B. The department chairperson will schedule a conference with the student who has brought the grievance, reissue the student a copy of the University-wide Academic Grievance Procedures, ascertain the circumstances involved, and review any materials or circumstances pertinent to the grievance to determine if there seems to be a reasonable or sound basis for the academic

grievance. If the chairperson decides there may be a reasonable or sound basis for the academic grievance, or if the student insists on filing the grievance anyway, then the department chairperson will arrange conferences with the student and other person(s) involved.

Prior to these conferences, the other person(s) involved will be given a copy of the written grievance and will be reissued a copy of the University-wide Academic Grievance Procedures. Both the student and other person(s) will be informed that the purpose of conferences scheduled by the department chairperson is to attempt to resolve the issue informally. Both parties will be informed that they have the right to present any evidence, supporting witnesses, or any other relevant information during these conferences.

C. At the beginning of these conferences, the department chairperson will inform the student and other person(s) involved that the purpose of these meetings is to attempt to resolve the grievances informally. The department chairperson will act as intermediary between the student and other individual(s) with whom the student has a dispute. If a mutually satisfactory resolution can be reached, the academic grievance is resolved.

D. If a resolution cannot be reached informally between the student and other person(s) involved, then the matter will be forwarded to the academic dean to be resolved.

III. Resolution by Academic Dean

Any matter not resolved by the department chairperson will be resolved by the academic dean. The dean may act alone or in the conjunction with a standing divisional committee or an ad hoc committee appointed by the dean, but the dean will make the decision. The academic dean will arrange conferences with the faculty or staff member, student, and others, as may be appropriate, to discuss the matter in question. The student and other person(s) involved will be given an opportunity to make a statement, present evidence, witnesses, or materials pertinent to the academic grievance; during these conferences both parties can be accompanied or advised by anyone either party chooses. The academic dean, after careful deliberation, will render a decision.

Notice of the dean's decision will be sent by certified mail to the student with copies to the faculty or staff member and other involved parties; either party may appeal the dean's decision to the Office for Academic Affairs if the appeal is filed within 15 working days of the date of mailing of the dean's decision.

IV. Appeal

The dean's decision may be appealed to the Office for Academic Affairs within 15 working days of the mailing of the dean's decision. Appeals must be based on substantive grounds such as procedural errors, new information, or inconsistencies in the application of policies.

When an appeal is received by the Office for Academic Affairs, an official from that office will schedule a conference(s) with the student and other concerned parties to discuss the reasons for the appeal. If meetings with the student and other concerned parties result in an agreeable solution to the matter, the appeal process will end. If no such solution is reached, the official from the Office for Academic Affairs will recommend to the Provost/Vice President for Academic Affairs, giving reasons for the recommendation, whether the appeal should be heard or denied. If the Provost/Vice President for Academic Affairs denies the appeal, the appeal process will end. If the appeal is to be heard, the official

from the Office for Academic Affairs will convene a panel to resolve the issues that remain. The panel will consist of a person designated by the Vice President for Student Affairs, a person designated by the Provost/Vice President for Academic Affairs (not the official convening the panel), one student (appointed by the President of the SGA), and one faculty member (appointed by the President of the Faculty Senate); both the student and the faculty member will come from the division holding jurisdiction for resolving the academic grievance if it is possible to find such people who have no prior connection with the case. In cases involving graduate students, the faculty and student members of the appeal panel should hold graduate faculty or graduate student status respectively. The person designated by the Provost/Vice President for Academic Affairs will serve as hearing administrator and will coordinate and preside at all meetings conducted to resolve the academic grievance appeal.

The hearing by a panel is an administrative hearing and the proceedings will be informal rather than those used in courts of law. The panel may admit any evidence which is of probative value in determining the issues, subject to the panel's judgment as to the relevance, credibility, and weight of the evidence. The panel may ask the parties to produce evidence on specific issues, may examine witnesses, and may call and examine its own witnesses. The student may be represented at the hearing by a person of his or her choice; if the student is represented by an attorney, then the other parties may be represented by a person from the Office of the University Counsel. Each party (or the representative of the party) will have the right to confront and cross-examine all opposing witnesses. The panel will decide each of the issues raised in the appeal. The panel's decision will be final and will conclude the process insofar as the University is concerned.

A decision contrary to the student's position must be supported by the votes of at least three of the four panel members. The panel will give written notice of its decision to the student, the faculty or staff member, the dean, and the Provost/Vice President for Academic Affairs.

APPENDIX E

ON PREVENTING CONFLICTS OF INTEREST IN GOVERNMENT-SPONSORED RESEARCH AT UNIVERSITIES

A Joint Statement of The Council of the American Association of University Professors and The American Council on Education December, 1964

The increasingly necessary and complex relationships among universities, Government, and industry call for more intensive attention to standards of procedure and conduct in Government-sponsored research. The clarification and application of such standards must be designed to serve the purposes and needs of the projects and the public interest involved in them and to protect the integrity of the cooperating institutions as agencies of higher education.

The Government and institutions of higher education, as the contracting parties, have an obligation to see that adequate standards and procedures are developed and applied; to inform one another of their respective requirements; and to assure that all individuals participating in their respective behalves are informed of and apply the standards and procedures that are so developed.

Consulting relationships between university staff members and industry serve the interests of research and education in the university. Likewise, the transfer of technical knowledge and skill from the university to industry contributes to technological advance. Such relationships are desirable, but certain potential hazards should be recognized.

A. Conflict Situations

1. Favoring of outside interests. When a university staff member (administrator, faculty member, professional staff member, or employee) undertaking or engaging in Government-sponsored work has a significant financial interest in, or a consulting arrangement with, a private business concern, it is important to avoid actual or apparent conflicts of interest between his or her Government-sponsored university research obligations and his or her outside interests and other obligations. Situations in or from which conflicts of interest may arise are the following:
 - (a) Undertaking or orientation of the staff member's university research to serve the research or other needs of the private firm without disclosure of such undertaking or orientation to the university and to the sponsoring agency;
 - (b) Purchase of major equipment, instruments, materials, or other items for university research from the private firm in which the staff member has the interest without disclosure of such interest;
 - (c) Transmission to the private firm or other use for personal gain of Government-sponsored work products, results, materials, records, or information that are not made generally available. (This would not necessarily preclude appropriate licensing arrangements for

inventions, or consulting on the basis of Government-sponsored research results where there is significant additional work by the staff member independent of his or her Government-sponsored research);

- (d) Use for personal gain or other unauthorized use of privileged information acquired in connection with the staff member's Government-sponsored activities. (The term "privileged information" includes, but is not limited to, medical, personnel, or security records of individuals; anticipated material requirements or price actions; possible new sites for Government operations; and knowledge of forthcoming programs or of selection of contractors or subcontractors in advance of official announcements);
 - (e) Negotiation or influence upon the negotiation of contracts relating to the staff member's Government-sponsored research between the university and private organizations with which he or she has consulting or other significant relationships;
 - (f) Acceptance of gratuities or special favors from private organizations with which the university does or may conduct business in connection with a Government-sponsored research project, or extension of gratuities or special favors to employees of the sponsoring Government agency, under circumstances which might reasonably be interpreted as an attempt to influence the recipients in the conduct of their duties.
2. Distribution of effort. There are competing demands on the energies of a faculty member (for example, research, teaching, committee work, outside consulting). The way in which he or she divides his or her effort among these various functions does not raise ethical questions unless the Government agency supporting his or her research is misled in its understanding of the amount of intellectual effort he or she is actually devoting to the research in question. A system of precise time accounting is incompatible with the inherent character of the work of a faculty member, since the various functions he or she performs are closely interrelated and do not conform to any meaningful division of a standard work week. On the other hand, if the research agreement contemplates that a staff member will devote a certain fraction of his or her effort to the Government-sponsored research, or he or she agrees to assume responsibility in relation to such research, a demonstrable relationship between the indicated effort or responsibility and the actual extent of his or her involvement is to be expected. Each university, therefore, should--through joint consultation of administration and faculty--develop procedures to assure that proposals are responsibly made and complied with.
3. Consulting for Government agencies or their contractors. When the staff member engaged in Government-sponsored research also serves as a consultant to a Federal agency, his or her conduct is subject to the provisions of the Conflict of Interest Statutes (18 U.S.C. 202-209 as amended) and the President's memorandum of May 2, 1963, Preventing Conflicts of Interest on the Part of Special Government Employees. When he or she consults for one or more Government contractors, or prospective contractors, in the same technical field as his research project, care must be taken to avoid giving advice that may be of questionable objectivity because of its possible bearing on his other interests. In undertaking and performing consulting services, he or she should make full disclosure of such interests to the university and to the contractor insofar as they may appear to relate to the work at the university or for the contractor. Conflict of interest problems could arise, for example, in the participation of a staff member of the university in an evaluation for the Government agency or its contractor of some technical aspect of the work of another organization with which he

or she has a consulting or employment relationship or a significant financial interest, or in an evaluation of a competitor to such other organization.

B. University Responsibility

Each university participating in Government-sponsored research should make known to the sponsoring Government agencies:

1. The steps it is taking to assure an understanding on the part of the university administration and staff members of the possible conflicts of interest or other problems that may develop in the foregoing types of situations, and
2. The organizational and administrative actions it has taken or is taking to avoid such problems, including:
 - (a) Accounting procedures to be used to assure that Government funds are expended for the purposes for which they have been provided, and that all services which are required in return for these funds are supplied;
 - (b) Procedures that enable it to be aware of the outside professional work of staff members participating in Government-sponsored research, if such outside work relates in any way to the Government-sponsored research;
 - (c) The formulation of standards to guide the individual university staff members in governing their conduct in relation to outside interests that might raise questions of conflicts of interest; and
 - (d) The provision within the university of an informed source of advice and guidance to its staff members for advance consultation on questions they wish to raise concerning the problems that may or do develop as a result of their outside financial or consulting interests, as they relate to their participation on Government-sponsored university research. The university may wish to discuss such problems with the contracting officer or other appropriate Government official in those cases that appear to raise questions regarding conflicts of interest.

The above process of disclosure and consultation is the obligation assumed by the university when it accepts Government funds for research. The process must, of course, be carried out in a manner that does not infringe on the legitimate freedoms and flexibility of action of the university and its staff members that have traditionally characterized a university. It is desirable that standards and procedures of the kind discussed be formulated and administered by members of the university community themselves, through their joint initiative and responsibility, for it is they who are the best judges of the conditions which can most effectively stimulate the search for knowledge and preserve the requirements of academic freedom. Experience indicates that such standards and procedures should be developed and specified by joint administrative-faculty action.

APPENDIX F

(NOTE: The following document is the Constitution of the Faculty Senate of The University of Alabama in effect at the time this Handbook was published. Information about any subsequent amendments to the Constitution or By-laws can be obtained from the Secretary of the Faculty Senate or on the Senate Web Page.)

CONSTITUTION FOR A FACULTY SENATE AT THE UNIVERSITY OF ALABAMA

ARTICLE I. PURPOSE

The purpose of the Faculty Senate is to aid The University of Alabama in making judgments on questions of policy, development, and operations and thereby to assist the University in its continuing quest for excellence. It seeks to accomplish this goal by:

1. Facilitating and encouraging meaningful input on matters of general faculty concern.
2. Providing a readily accessible channel of communication through which continual dialogue and exchange of information and ideas may be carried on between the Faculty and University Officials.

ARTICLE II. RESPONSIBILITIES AND FUNCTIONS

The responsibilities of the faculty rest with the faculty as a whole, but faculty opinion will normally be articulated through a Faculty Senate as herein constituted.

The Faculty Senate has the responsibility and authority to deliberate issues of general faculty concern and to communicate the results of these deliberations and its recommendations to the President of the University.

The Senate receives information from the administrative officers of the University regarding pending policy decisions, or it determines through independent study that certain policy decisions appear to be appropriate; in either instance its function is to aid in the formulation or re-formulation of University policy.

The function may be served in some instances by discussion in which Senate members contribute their advice for consideration by those who are responsible for formulation and implementation of policy regarding the matter in question. In particular instances, on the other hand, the Senate may choose to make formal statements by majority vote.

The Faculty Senate is entitled to be advised of the disposition of any recommendations it makes.

Some general matters appropriate for faculty deliberation include:

1. General policies for admission of students to the University and the establishment of academic standards and requirements for graduation.
2. Establishment of the terms and conditions of faculty service and well being.

3. Selection of a University President or Vice-President. The views of the Faculty Senate should be solicited and considered before an appointment is made. In the case of selection of a divisional Dean only the faculty of that particular division should be consulted.
4. Budgetary Matters: Reviewing past and current allocations; Faculty Senate will designate one of its members to be available to the President to serve on all groups which make budgetary decisions on a campus-wide basis. Such groups include those concerned with establishing need, establishing priorities for allocations, and deciding on allocations.
5. Establishment of the University calendar.
6. Major changes in academic or research programs which are of an interdivisional nature or which have significant interdivisional impact.

Repudiation by a majority vote of the faculties of 2/3 of the divisions voids an action of the Faculty Senate.

ARTICLE III. APPORTIONMENT OF SENATE REPRESENTATION

Each division of the University, including colleges, schools, and the University Libraries, is represented in the Faculty Senate by one senator for each twenty persons, or fraction thereof, serving on the date of the election under a regular appointment as an instructor, assistant professor, associate professor, or professor engaged in teaching or research at least half of a normal load during the regular year, or a librarian having corresponding rank and professional engagement.

Each division of the University shall elect alternate senators in a number equal to the number of its senators. Such alternate senators can substitute for any senator within the alternate's division of the University on request of the Senator. When serving for a senator, an alternate may perform any of the functions of a senator with the full power of the senator. No senator may be represented by other than a duly elected alternate from the same division of the University.

A person holding a joint appointment involving more than one division must choose the division through which to participate in senate representation.

The dean or corresponding administrative officer of each division will be responsible for certifying the number of persons who qualify under this section to be counted in determining the number of senators for the division.

ARTICLE IV. ELECTIONS

The divisions of the University will hold elections for Senators and alternates by secret ballot during the last two weeks of February or the first two weeks of March, for a term of two years commencing April 1. In the divisional elections nominations may be made anonymously or from the floor. Only regular faculty members as defined in Article III are eligible for election to the Senate. However, the faculty of each division may determine who is eligible to vote in its particular election and in making this determination is not governed by the factors of eligibility to be counted for apportionment purposes under Article III.

The faculty of a division either may elect its senators at large or assign them for election by any arrangement of faculty subgroups as determined by faculty vote.

The dean or corresponding administrative officer of each division will conduct the election. Except for Special elections, election as a senator is for a two-year term of office and to replace those senators whose terms are expiring. The Senate Secretary will notify the deans of the divisions by February 14 of the number of Senate vacancies which will occur that year in each division.

The term of office for a senator elected in a Special election is for the remaining portion of the term of the senator being replaced.

ARTICLE V. ORGANIZATION AND PROCEDURES

At its last regular meeting in March, the first order of business for the Senate shall be to elect a President, a Vice-President, and a Secretary of the Senate for the ensuing year, from those Senators recently re-elected to the Senate or whose Senatorial term does not expire the ensuing April 1. No person elected to the Senate for the first time shall be eligible for such offices. The new officers shall take office on April 1.

The presiding officer of the Faculty Senate will call a meeting of the faculty of the University when so requested by a petition from one-fifth of the members of the faculty as determined by the total number of persons certified by the administrative officers of the divisions of the University at the time of the last General Senate election, by a vote of the majority of the Senators present at a meeting of the Senate, or by the President of the University.

The elected officers, the immediate past President of the Faculty Senate, and chairpersons of standing committees will constitute a steering committee. If the immediate past President of the Faculty Senate is no longer a senator, ex officio status in the steering committee will be automatic. The immediate past President who is no longer a senator will be privileged to attend all open and executive sessions of the Senate with right of debate but without vote. The steering committee will determine the agenda of all Senate meetings. Anyone may propose agenda topics for Senate meetings. A topic must be put on the agenda if as many as five senators, twenty faculty members, or the President of the University request it.

The Senate will meet each month during August through April, according to a schedule. The steering committee may call special meetings at any time while the University is in session during the regular academic year or a summer term (not including the interim term), and must do so when as many as ten senators, forty faculty members, or the President of the University request it.

A senator's absence from three meetings during a term of office without being represented by a duly elected alternate may vacate the office. The Senate shall be the judge of the reasonableness of the senator's absence without representation. Upon notification by the Senate, the dean of a division in which a senator's office is vacated shall hold an immediate Special election for a replacement.

The dean of a division also will hold Special elections to senate seats when these seats are vacant because of death of the senator, resignation of the senator from the Senate, resignation of the senator from the faculty of the University, or for vacancies caused by a change in the status of a senator of such nature that the senator no longer is eligible to hold the office under provisions of this constitution. Such Special elections will be held following notification by the Senate of a vacancy and as promptly as feasible after this notification.

Action to recall a Senate member from a division or faculty subgroup may be initiated by petition of not less than one-third of the voting members from that division or subgroup. Upon receiving this petition, the dean of the division shall notify the Senate member promptly and convene a special meeting of the voting members of the division to consider the petition. After opportunity for discussion of the substance of the petition, a secret vote shall be taken. If two-thirds of the voting members present vote to support the petition to recall the Senate member, the seat shall be declared vacant. The dean shall hold a Special election promptly to select a replacement and will notify the Senate President of the action. In such a meeting for recall and in all General and Special elections, a vote will be taken only after it is determined that a quorum is present as defined by the most recent edition of Robert's Rules of Order.

The most recent edition of Robert's Rules of Order will govern the proceedings of the Senate except when they contravene a rule adopted by the Senate.

ARTICLE VI. ADOPTION

Approval of this Constitution by a simple majority vote of the eligible faculty and by the President of the University will have the effect of establishing a University of Alabama Faculty Senate as herein defined.

ARTICLE VII. AMENDMENT

Amendments to this Constitution will originate in the Senate. An amendment will be proposed and debated at a meeting of the Senate, and following further debate will be voted on at the next subsequent meeting of the Senate. If the amendment receives a majority vote of the Senate, it will be presented to the faculty of the University for its action in a University-wide referendum. There will be a 30-day period between the announcement of the referendum and the date of the ballot. Amendments which receive a favorable vote of the majority of the faculty voting in the referendum will be presented to the President of the University for approval.

Approved: _____

Thomas Novak, Secretary, Faculty Senate

Date: _____

BYLAWS THE UNIVERSITY OF ALABAMA FACULTY SENATE

ARTICLE I. SENATE OFFICERS

In all elections of Senate Officers-President, Vice President, and Secretary-elections will be by the vote of the majority of the senators voting, in a meeting at which a quorum of the Senate is present. Nominations and election of the Senate President will be completed before the floor is opened for nominations for Vice President, and the election of the Vice President will be made before nominations are received for the Office of Secretary. Any senator interested in serving in one or more of these offices may submit a written statement of intention, with any supporting argument, not to exceed one page in length, to the Secretary of the Senate by March 14 of the year in which he or she hopes to commence

office. The Secretary will distribute each such statement and supporting argument with the agenda for the March meeting of the Senate. Persons may also be nominated for these offices from the floor at the March meeting. A motion to close nominations, or the equivalent, is out of order. Each candidate will have an opportunity to speak to the Senate about his or her candidacy, and the Senate will have an opportunity to ask questions of each candidate.

ARTICLE II. ORGANIZATION

Section 1. Senate Orientation

There will be an orientation session for all new Senators and Alternates on the first Tuesday in April that the University is in session. This will be an occasion for discussion of the history and the place of the Senate in the governance of the University, of the role and function of the Senate's officers, and of the charge and function of the Senate's standing committees. Before the first regular meeting of the new Senate, there will also be a social function at which Senators and Alternates may become more fully acquainted with each other.

Section 2. Steering Committee

The Steering Committee is authorized to make representations in its own name in regard to any matter within the scope of the Senate's responsibilities and functions (as defined in Article II of the Constitution) when, in the Committee's judgment, circumstances require action before it is possible to convene a meeting of the Senate. In such instances, the Committee will be guided by its best judgment regarding the intention of the Senate if such intention is known.

Section 3. Standing Committees

1. There shall be standing committees on:
 - Academic Affairs (11)
 - Financial Affairs (9)
 - Planning and Operations (5)
 - Research and Service (5)
 - Student Affairs (5)
 - Senate Operations (3)
2. Subject to reasonable exceptions to accommodate the needs of the Senate and the interests of senators, each senator ordinarily will have one standing committee assignment. The number of members shall be approximately that indicated in parentheses for the respective committees.
3. After the orientation session and social occasion described in Section 1, the Secretary will ask each Senator to list preferences for assignment to the Senate's standing committees. After consultation with those who served as chairs of standing committees the previous year, the Secretary will assign each Senator to his or her first choice, if possible, and using second or third preferences where first preferences are unavailable. Senators who have indicated no preference by the second Tuesday in April shall be assigned to committees by the Secretary. All such assignments are subject to the approval of the Senate. The Secretary will distribute the tentative assignment of Senators to committees with the agenda for the regular April meeting. The first order of business for the regular April meeting will be to debate the assignment of Senators to committees, to reassign if

necessary, and to confirm the final assignment by vote of the Senate. The President of the Senate will thereupon name convenors for each of the standing committees, and following the close of the regular April meeting each convenor will hold a brief meeting of each standing committee for purposes of establishing a place for meeting, if necessary, before the next scheduled meeting of the Senate steering committee. By the end of April, each standing committee will elect a chair or co-chairs from among its membership; if a chair is selected it may elect a vice-chair. Each chair or co-chair of a standing committee serves as a full member of the steering committee. Each standing committee will normally meet on the first Tuesday of each month from September through November and January through March, and at other times as desirable.

4. Standing committees will inform themselves, on their own initiative or pursuant to specific instructions from the Senate, concerning matters of current concern within their respective jurisdictions. Standing committees, directly or through their chairs are expected to seek and maintain continual dialogues with the vice presidents in charge of the areas of University affairs in which the respective committees have jurisdiction. Monthly meetings are an example of a mechanism for such dialogues. The committees shall make such reports and recommendations to the Senate as they deem appropriate or as the Senate requires.
5. Senators are expected to attend meetings of their standing committees. The absence from a regularly scheduled committee meeting of a Senator may be referred by the chair or co-chair of the committee to the Senate Operations Committee. Senators who regularly fail to attend committee meetings and do not provide for the attendance of alternates may be replaced on the committee.
6. Committee on Academic Affairs. [Here describe the purview of the Academic Affairs Committee, and state its normal administrative reporting channel, the Provost.]
7. Committee on Financial Affairs. [Here describe the purview of the Financial Affairs Committee, and state its normal administrative reporting channel, the Vice President for Financial Affairs. Include her the language in current subsection 6.]
8. Committee on Student Affairs. [Here describe the purview of the Student Affairs Committee, and state its normal administrative reporting channel, the Vice President for Student Affairs.]
9. Committee on Research and Service. [Here describe the purview of the Research and Service Committee.]
10. Committee on Planning and Operations. [Here describe the purview of the Planning and Operations Committee, and state its normal administrative reporting channel, the Provost.]

Section 4. Special Committees

Special committees may be created by the Senate as needed. Unless the Senate directs otherwise, special committee members and chairpersons shall be designated by the same methods as for standing committees. Persons eligible to vote in Senate elections who are not members of the Senate may be appointed by special committees as their consultants.

Section 5. Subcommittees

Standing and special committees may establish such standing or special subcommittees as they deem useful. Persons eligible to vote in Senate elections who are not members of the Senate may be appointed by subcommittees as their consultants.

Section 6. Parliamentarian

The Senate President will nominate a parliamentarian, subject to Senate confirmation, to serve as recommended in the most recent revision of Robert's Rules of Order except where these Rules are contravened by a rule adopted by the Senate. This person will be a member of the Faculty, as defined in the Constitution, who is not a senator; or a member of the retired faculty. It shall be the duty of the Parliamentarian to attend all meetings of the Senate and of the Steering Committee.

Section 7. Webmaster

The Senate President will nominate a webmaster, subject to Senate confirmation, to serve as the producer and coordinator of the Senate's web site. This person will be a member of the faculty, who may be but need not be a senator.

Section 8. Offices

The Senate shall maintain offices, in a room or rooms in the University assigned by the President of the University. The Senate offices shall be the location of the files of the Senate.

ARTICLE III. PROCEDURES

Section 1. Meeting (Senate and Steering Committee)

1. The Senate will meet the third Tuesday, August through November and January through April, and the second Tuesday of December, at 3:30 p.m. in locations to be determined by the Steering Committee. If the third Tuesday falls during a time when the University is not in session, the Senate will meet on the second or fourth Tuesday, as the Steering Committee determines, and the meetings of Senate committees may have to be adjusted appropriately. The Senate may meet also on the fourth Tuesday, August through November and January through April, and the third Tuesday in December, in order to finish the business of the month, and Senators should keep this date free on their calendars. The Senate will also meet at other times, including the summer months, and at locations, as decided by the Senate or the Steering Committee. The regular meeting times and locations shall be decided for the upcoming year by the Steering Committee at its August meeting, Senators will be appropriately notified, and the information will be published in Dialog and/or other publications deemed useful.
2. Regular Senate meetings normally last until 5:00 and may last longer. Senators should clear their calendars until 5:15 on regular Senate meeting days upon such an expectation. Senators are expected to maintain their attendance until 5:00, or until the meeting is adjourned prior thereto.
3. The Steering Committee will hold a regular meeting one week before each regularly scheduled meeting of the Senate. Special meetings of the Steering Committee may be

called by the President of the Senate, by the written request of three members of the Steering Committee or of five members of the Senate, by vote of the Steering committee, or by vote of the Senate.

4. All resolutions and original motions to be presented to the Senate must be in writing and should be mailed by the Senate Secretary with the agenda for the meeting.
5. A majority of members shall constitute a quorum. A quorum must be present before any vote can be taken.

Section 2. Agenda

1. Except when the Steering Committee or the Senate orders otherwise, the customary order of business as described in Robert's Rules of Order will be followed.
2. Agenda will be distributed to members during the week in advance of the meetings by the Senate Secretary except when exigent circumstances make it necessary, in the judgment of the Steering Committee, to prepare or change an agenda so soon before the meeting that advance circulation is impractical.
3. The Steering Committee will employ whatever means are feasible and appropriate to give notice of pending agenda items to all members of the Senate.
4. The agenda will be on-line and will contain sufficient information, both in summary or "bullet" form and in detail, so that the issues to be debated in the Senate are clear. Each person or committee that propounds a motion or submits a report to be included in or with the agenda is responsible for providing a succinct summary of the issue(s) involved. The President's Report, reports from the standing committees, and reports from Senators about the activity of University committees should be included with the agenda if at all possible, so as to reduce the time used in Senate meetings for explanation and summary. The minutes of each meeting will be put on-line in "bullet" form, and in detail on the Senate's web page. Other documents of interest to faculty and/or pertinent to issues being debated in the Senate may also be put on the Senate's web page.

Section 3. Access to Senate Meetings

1. Any person may attend Senate meetings during other-than-executive sessions for the purpose of observing its proceedings.
2. Anyone other than a senator may address the Senate only on invitation by vote of the Senate or on invitation by the President of the Senate after an opportunity for the Senate to object and, in case there is objection, alter approval of the invitation by the Senate.
3. An executive session, from which all persons except senators are excluded, may be held by vote of the Senate. Motions to hold executive sessions will take precedence over other regular business.
4. The privilege of the floor, including the right to address the Senate on any pending question subject to applicable rules or parliamentary procedure, and non-voting membership on the Steering Committee, are extended to one delegate representing the Retired Faculty Association of The University of Alabama, one delegate representing the

Professional Staff Committee one delegate representing the Office/Clerical/Technical Staff Committee, one delegate representing the Maintenance personnel Committee, one delegate representing the Student Government Association and one delegate representing the Office of Alumni Affairs.

Section 4. Minutes of Senate Meetings

1. Minutes of all Senate meetings shall be furnished to all senators as early as possible.
2. Copies of minutes of open Senate meetings are to be freely available to anyone within or without the University of Alabama: first, within the University; second, outside the University on request and if available.
3. Divisional delegations are expected to adopt measures for effective and expeditious reporting of Senate actions to their constituencies.
4. The official minutes of all open Senate meetings shall be available for inspection by all persons eligible to vote in the election of senators. The official minutes of executive sessions of the Senate shall be made available for this purpose only to the extent as the Senate may approve.
5. Minutes of executive sessions of the Senate are confidential and are not to be released.
6. Minutes of the Steering Committee may be made available outside the University of Alabama only by a majority vote of the Steering Committee that is asked for such material.
7. Reports submitted to the Senate become part of the open-meeting minutes or executive-session minutes and are to be treated as those minutes.

Section 5. Committee Records

1. All Senate committees shall keep records of their meetings and proceedings, describing in summary form all noteworthy matters considered and noting all committee and actions.

Section 6. Additional Responsibilities of the Senate Secretary

1. The Secretary has responsibility for conducting all University-wide referenda regarding proposed amendments to the Constitution.
2. The Secretary is charged with keeping the official, up-to-date copies of the Constitution and Bylaws, and with assuring that a signed and dated notification of official approval by the Secretary is affixed to all copies of the Constitution and Bylaws.
3. The Secretary will call the roll of senators at each meeting of the Senate. Any absences in excess of two by a senator will be reported by the Secretary to the Senate Operations Committee.
4. It shall be a duty of the Senate Secretary to notify the deans of the divisions of the University of the need for regular and special elections of senators. In so doing, the

Secretary will note the name of the Senator who previously held the position or of the need to elect additional senators.

5. It shall be the duty of the Senate Secretary to publish a calendar of Senate meetings for the academic year at the beginning of each fall semester. It shall contain the times and locations of Senate meetings and the listing of the dates upon which the Senate must take actions such as the naming of members of official bodies of the University or the appointment of committees to nominate award recipients.

Section 7. Senate Appointments to University Committees

The following procedures apply to the appointments made under authority given to the Faculty Senate by the University's Faculty Handbook, or by the President of the University, or by other University authority:

- 1 Senators shall be asked in the spring by the Secretary for their preferences of service on University standing committees. The President, assisted by the Vice President and the Secretary, shall tentatively assign Senators to University standing committees, giving as much weight as possible to the preferences they have communicated. Such tentative assignments shall be discussed, and modified if necessary, by the Steering Committee, and shall be submitted to the whole Senate for discussion, modification if necessary, and approval, before the list is timely transmitted to the President of the University.
- 2 All other University committee or task force appointments in the gift of the Faculty Senate, including appointments to search committees or review committees, shall be made by the President of the Senate in consultation, if possible, with the Steering Committee, and shall be communicated to the Senate at its next meeting. If time does not allow for such consultation at a regular meeting of the Steering Committee, the President may call a meeting of that Committee or, in an emergency, poll the Committee by telephone, by e-mail, in person, or in other available ways; at least two-thirds of the Committee must be polled. In the latter instance, the whole Steering Committee may, at its next meeting, refuse to confirm the appointee, in which situation another appointment must be made, subject to consultation with the Steering Committee.

ARTICLE IV. AMENDMENTS OF BYLAWS

The Bylaws may be amended by a majority vote of the members of the Senate at a meeting subsequent to the meeting at which the amendment was proposed.

I certify that this is a correct and accurate copy of the Bylaws of the Faculty Senate of The University of Alabama.

Marcus Brown, Secretary

April 9, 1997

APPENDIX G

THE UNIVERSITY OF ALABAMA PATENT POLICY

In view of the far-reaching research in the various divisions of the University, it is inevitable that new discoveries and inventions will be made. The University of Alabama recognizes that the protection and control provided under the patent laws may have to be invoked to obtain the greatest public benefit and usefulness from the products of scientific research. It is recognized that employees of the University need assistance in determining and evaluating patentability and in prosecuting patent applicants of inventions made by them. Many such inventions involve equities beyond those of the inventor himself or herself since the use of University facilities, the assignment of duties as a condition of employment, and the use of research funds with contractual obligations regarding patent rights give rise to complicated questions concerning rights and equities of all concerned. Therefore, in order to appraise relative rights and equities of all parties concerned, to facilitate patent applications, licensing, equitable distribution of any royalties or other financial returns, to provide a uniform procedure in patent matters, and to serve the public benefit and interest, The Board of Trustees of The University of Alabama (herein called University), on recommendation of the University Council and the President of the University, authorizes the establishment of a Patent Committee and the adoption of the patent policy as set forth herein.

1. The President of the University is hereby authorized to appoint a University Patent Committee composed of members representative of the entire University to administer the patent policy and to designate a Patent Administrator to administer the policies of the committee. This committee and the Patent Administrator shall serve at the pleasure of and their actions shall be subject to the approval and right of review of the President of the University.
2. Subject to the approval of the President of the University, the Patent Committee shall have power to adopt such rules and procedures as are deemed appropriate; to determine the interest of the University in all reported inventions; to cause all reported inventions to be investigated in order to evaluate the interest of the University in said invention (with due consideration given to the achievement of the inventor and the financial returns to the inventor and the University); to authorize the Patent Administrator to execute a release when the Patent Committee decides that the University has no interest in the invention or decides that the University does not desire to pursue the patenting or development of the patent; to authorize applications for patents on reported inventions and to retain patent counsel, in association with the University Attorney, for matters pertaining to patent applications; and to make recommendations to the President of the University with regard to the prosecution and protection thereof and any litigation that may arise therefrom. The Patent Committee shall also have power to do all things appropriate for the investigation of patent rights and for the exploitation of patent rights by direct exercise, exclusive or non-exclusive licensing, and make recommendations to the President of the University with regard to partial or total assignment or sale thereof. All questions concerning the methods by which the patent shall be commercially exploited shall be decided by the Patent Committee.
3. All faculty members and University employees, both while employed by the University and thereafter, shall report to the Patent Committee any invention or discovery which they have conceived or developed or which has been conceived or developed under their direction during their University employment.

4. Any such invention or discovery (1) which is the result of research carried on by or under the direction of any employee of the University and/or having the costs thereof paid from University funds or from funds under the control of or administered by the University or (2) which is made by an employee of the University and which relates to the inventor's field of work at the University, or (3) which has been developed in whole or in part by the utilization of University resources or facilities belonging to the University shall be assigned to the University or a University designated non-profit organization established for its benefit. In other situations the Patent Committee should determine that the University has no interest in the invention or discovery. Releases shall be executed by the Patent Administrator when the Patent Committee decides that the University has no interest in the patent or does not desire to pursue the patenting of the invention.
5. The Patent Committee shall cause each invention or discovery to be investigated in order to determine the interest of the University and, if the Patent Committee determines that the University has an interest in the invention which it desires to pursue, it shall undertake to obtain a patent on the invention. In determining whether or not the University has an interest in the invention, the Committee shall consider the benefits that might accrue to both the University and the inventor. The Patent Administrator and the Patent Committee are responsible for prompt action for the purpose of protecting the property rights of the inventor and the University.
6. As further consideration for the assignment rights set forth herein, the University agrees to pay annually to the inventor, his heirs and assigns, fifty percent (50%) of the royalties, fees, or other financial returns received by the University from such invention after a deduction of fifteen percent (15%) thereof for overhead costs, plus a deduction for costs of patenting and protection of patent rights. Recoupment of any unusual expenses paid by the University or the inventor may be allowed by the Patent Committee on patents assigned to the University or to a University designated non-profit organization established for its benefit.
7. The above policy shall not preclude the properly designated University officials from approving and executing research proposals, contracts, grants, and consulting agreements from or with the United States Government or its agencies, from or with corporations, or from or with individuals wherein the University's patent interest and the patent interest of the researcher, with his approval, are at variance with the above paragraphs; and the terms of said contracts, grants, and agreements shall prevail. Any of the above University officials may refer said proposals, grants, contracts, or agreements to the Patent Committee for recommendations prior to approval. To the extent the provisions of these proposals, contracts, grants, and agreements permit, the University shall administer such patents so as to make them broadly available in the public interest. This may be accomplished through non-exclusive licensing on a royalty-free, or on a reasonable royalty basis. Exclusive licensing may be utilized for limited periods when further development is needed on investment or risk capital is not readily available, or there is no other incentive for the development of the invention.
8. This statement of policy shall not apply to copyrights except as they may pertain to inventions covered by this policy. A separate copyright policy exists. See Appendix H.

APPENDIX H

DETERMINATION OF RIGHTS AND EQUITIES IN COPYRIGHTABLE MATERIALS AT THE UNIVERSITY OF ALABAMA

Materials produced by faculty and employees of the University shall be the exclusive property of the faculty member or employee, so far as copyright is concerned. It shall be the responsibility of the faculty member or employee to copyright appropriate material. University assistance, such as released time, research or secretarial assistance, the purchase of particular materials, etc., must be acknowledged appropriately.

In the event that extraordinary assistance (assistance exceeding usual department or area policy) is provided by the University, a division of royalty may be required. When extraordinary assistance is provided, it is the responsibility of the department chairperson or area head to notify the faculty member in writing that the assistance to be provided exceeds usual policy. The faculty member or employee is responsible for negotiating any division of royalty with the Office for Academic Affairs prior to signing a contract.

Two exceptions to this policy involve the following:

1. Materials developed as a result of work supported partially or fully by an outside agency through a contract or grant. In these instances, copyright shall be assigned in accordance with terms of the contract or grant.
2. Materials produced by faculty or employees of the University under specific assignment in which the individual is paid for production and/or writing of the materials. In these instances, an agreement shall be reached as to copyright and royalties at the time the agreement is negotiated.

Administration

The administration of the policies set forth herein shall be the responsibility of the Office for Academic Affairs, in consultation with a University copyright committee.

APPENDIX I

SEXUAL HARASSMENT POLICY

Statement of Policy

Sexual harassment violates federal civil rights laws and University nondiscrimination policy. The University of Alabama is committed to providing and promoting an atmosphere in which employees can realize their maximum potential in the workplace and students can engage fully in the learning process. Toward this end, all members of the University community (including faculty, staff and students) must understand that sexual harassment will not be tolerated, and that they are required to abide by the following policy.

A. Sexual Harassment Defined

This policy prohibits “quid pro quo” and “hostile environment” sexual harassment as defined below.

1. Quid Pro Quo Sexual Harassment

Unwelcome sexual advances, requests for sexual favors, and other verbal and physical conduct of a sexual nature by one in a position of power or influence constitutes “quid pro quo sexual harassment” when 1) submission by an individual is made either an explicit or implicit term or condition of employment or of academic standing, or 2) submission to or rejection of such conduct is used as the basis for academic or employment decisions affecting that employee or student. As defined here, “quid pro quo sexual harassment” normally arises in the context of an authority relationship. This relationship may be direct as in the case of a supervisor and subordinate or teacher and student or it may be indirect when the harasser has the power to influence others who have authority over the victim.

2. Hostile Environment Sexual Harassment

Unwelcome sexual advances, requests for sexual favors, and other verbal and physical conduct of a sexual nature constitute “hostile environment sexual harassment” when such conduct is directed toward an individual because of his or her gender and has the purpose or effect of 1) creating an intimidating, hostile, or offensive work or academic environment, or 2) unreasonably interfering with another’s work or academic performance. Generally, a single sexual joke, offensive epithet, or request for a date does not constitute hostile environment sexual harassment; however, being subjected to such jokes, epithets or requests repeatedly may constitute hostile environment sexual harassment.

In determining whether alleged sexual harassing conduct warrants corrective action, all relevant circumstances, including the context in which the conduct occurred, will be considered. Facts will be judged on the basis of what is reasonable to persons of ordinary sensitivity and not on the particular sensitivity or reaction of an individual.

In cases of alleged sexual harassment, the protections of the First Amendment must be considered if issues of speech or artistic expression are involved. Free speech rights apply in the classroom and in all other education programs and activities of public institutions, and First Amendment rights apply to the speech of students and teachers. Great care must be taken not to inhibit open

discussion, academic debate, and expression of personal opinion, particularly in the classroom. Nonetheless, speech or conduct of a sexual or hostile nature which occurs in the context of educational instruction may exceed the protections of academic freedom and constitute prohibited sexual harassment if it meets the definition of sexual harassment noted above and 1) is reasonably regarded as non-professional speech (i.e., advances a personal interest of the faculty member as opposed to furthering the learning process or legitimate objectives of the course), or 2) lacks accepted pedagogical purpose or is not germane to the academic subject matter.

B. Reporting of Sexual Harassment Allegations

Persons who believe they have been victims of sexual harassment should report the incident(s) immediately to appropriate administrative officials as set forth below. Delay in reporting makes it more difficult to establish the facts of a case and may contribute to the repetition of offensive behavior.

1. Confidentiality

The University will do everything consistent with enforcement of this policy and with the law to protect the privacy of the individuals involved and to ensure that the complainant and the accused are treated fairly. Information about individual complaints and their disposition is considered confidential and will be shared only on a “need to know” basis.

2. Assurance Against Retaliation

This policy seeks to encourage students, faculty, and other employees to express freely, responsibly, and in an orderly way opinions and feelings about any problem or complaint of sexual harassment. Retaliation against persons who report or provide information about sexual harassment or behavior that might constitute sexual harassment is also strictly prohibited. Any act of reprisal, including internal interference, coercion, and restraint, by a University employee or by one acting on behalf of the University, violates this policy and will result in appropriate disciplinary action.

This sexual harassment policy shall not, however, be used to bring frivolous or malicious complaints against students, faculty and other employees. If a complaint has been made in bad faith, as demonstrated by clear and convincing evidence, disciplinary action may be taken against the person bringing the complaint.

C. Reporting Channels

The following sections identify appropriate sexual harassment resource persons and complaint-receiving officials students and employees should contact regarding sexual harassment.

1. Responsibilities of Supervisory Personnel

All members of the university community have a general responsibility to contribute in a positive way to a university environment that is free of sexual harassment. Supervisory personnel, however, have additional responsibilities. Supervisory personnel are not only responsible for educating and sensitizing employees in their units about sexual harassment issues, but they are also directed to take all appropriate steps to prevent and stop sexual harassment in their areas of responsibility. Supervisory personnel who are contacted by an individual seeking to file a complaint about sexual harassment in their unit or area of

responsibility shall assist the complainant in contacting the appropriate complaint-receiving officials identified below

2. Student Complaints

Students with complaints of sexual harassment against faculty members, graduate assistants, and staff members in academic departments, schools, or colleges should contact the Designated Sexual Harassment Resource Person in their college or school or in the college or school in which the alleged offender is employed. A faculty member to whom a student has come with a complaint of sexual harassment should recommend that the student contact the designated Sexual Harassment Resource Person. The name and location of the Designated Sexual Harassment Resource Person can be obtained from the Dean's Office, the Office of the Provost, or the Office of Equal Opportunity Programs.

Students participating in internships, field placements, student teaching, or similar academic experiences in settings off campus should report complaints of sexual harassment to the University faculty or staff member providing supervision or to the Designated Sexual Harassment Resource Person in their college or school.

Student complaints of sexual harassment outside academic departments, schools, and colleges, including complaints against other students, should be addressed to the Student Affairs Designated Sexual Harassment Resource Person(s). The name and location of this individual(s) can be obtained from the Office of the Vice President for Student Affairs, the Office of Student Life, or the Office of Equal Opportunity Programs.

Students who believe for any reason that they cannot effectively communicate their concern through any of these channels may consult the University Compliance Officer in the Office of Equal Opportunity Programs, or if conflicts exist with the University Compliance Officer, students may consult with the Provost.

Students who are victims of sexual assault or sexual harassment may seek advice and referral from both the University's Women's Center and the University's Counseling and Psychological Services. These offices, which keep all information confidential, neither receive formal complaints nor conduct investigations.

3. Employee Complaints

Employees should report complaints of sexual harassment to the Designated Sexual Harassment Resource Person of the college, school, or administrative division in which they are employed, or to the Office of Human Resources. The name and location of the Designated Sexual Harassment Resource Person can be obtained from the Dean's Office, the Vice Presidents' Offices, the Office of the Provost, or the Office of Equal Opportunity Programs.

Employees who believe for any reason that they cannot effectively communicate their concern through any of these channels may consult the University Compliance Officer in the Office of Equal Opportunity Programs, or if conflicts exist with the University Compliance Officer, employees may consult with the Provost.

Employees who are victims of sexual assault or sexual harassment may seek advice and referral from the University's Women's Center; however, the Women's Center neither receives formal complaints nor conducts investigations.

D. Procedures for Handling Complaints of Sexual Harassment

Individuals who believe they are victims of sexual harassment in their working or academic environments are encouraged to respond to the alleged harasser directly, by objecting and by requesting that the unwelcome behavior stop. Individuals may also seek assistance or intervention, short of filing a complaint, from their supervisor or University complaint-receiving officials referenced in paragraphs C (2) and (3) above.

An initial discussion between the complainant and the complaint-receiving official will be kept confidential to the extent allowed by law, with no formal written record. The complaint-receiving official will explain the options available and will counsel the complainant. If the complainant, after an initial meeting with the complaint-receiving official, decides to proceed, the complainant will be requested to provide a written statement describing the complaint.

Complaints of sexual harassment will receive prompt attention. Complaints may be resolved through the informal or formal procedures described below, and appropriate action will be taken. Informal means are encouraged as the beginning point, but the choice of where to begin normally rests with the complainant. However, if the complaint-receiving official believes that the matter is sufficiently grave because it seems to be part of a persistent pattern, because of the nature of the alleged offense, or because the complainant seeks to have a sanction imposed, then the complaint-receiving official will initiate a formal procedure, or take other appropriate action.

1. Informal Procedures

- a) The complainant may attempt to resolve the matter directly with the alleged offender and report back to the complaint-receiving official.
- b) The complaint-receiving official may notify the alleged offender of the complaint, paying appropriate attention to the need to maintain confidentiality. The complaint-receiving official may take whatever steps short of formal sanctions that he or she deems appropriate to effect an informal resolution acceptable to both parties.
- c) Where the alleged offender is a student, the complainant and accused may choose to participate in mediation.

If a complaint is resolved informally, no record of the complaint will be entered in the alleged offender's personnel file or student records. However, the complaint-receiving official will, in the form of a confidential file memorandum, record the fact of the complaint and the resolution achieved. A copy of this memorandum will be forwarded to the University Compliance Officer in the Office of Equal Opportunity Programs where it will be retained in confidential files.

2. Formal Procedures

In formal resolution procedures, the written and signed complaint will be directed to the following officials:

- a) If the formal complaint is against a faculty member, other instructional personnel, or staff employed in a college or school, it should be directed to the dean of the college/school.

- b) If the formal complaint is against a staff member in a unit other than a college or school, it should be directed to the Office of Human Resources.
- c) If the formal complaint is against a student, not acting in an instructional or other employment capacity, it should be directed to the Office of the Vice President for Student Affairs.
- d) If the formal complaint is against a person outside the University (non-employee, non-student), it should be directed to the dean of the college or school if the behavior is occurring in a college or school, to the Office of Human Resources if the behavior is occurring in the work environment outside an academic unit, or to the Office of the Vice President for Student Affairs if the complainant is a student.
- e) If conflicts or other problems exist with either the dean, the Office of the Vice President for Student Affairs or the Office of Human Resources handling the formal complaint, the formal complaint may be filed with the University Compliance Officer in the Office of Equal Opportunity Programs, or if conflicts exist with the University Compliance Officer, individuals may consult with the Provost.

The officials listed directly above, or their appointed designees, will conduct whatever inquiry they deem necessary and will arrange conferences with the complainant, the alleged offender, and any other appropriate persons. The investigation will afford the accused an opportunity to respond to the allegations. Those directing investigations will make a record of the case, including a record of their decision, and a copy of that record will be forwarded to the University Compliance Officer in the Office of Equal Opportunity Programs, where it will be retained in confidential files. The complainant and the alleged offender will be notified of the outcome of the investigation; however, that information should be treated by both parties as confidential and private. All records of sexual harassment complaints will be retained by the University Compliance Officer in confidential files. A complainant not satisfied with the resolution achieved by the formal procedures may discuss the matter further with the University Compliance Officer in the Office of Equal Opportunity Programs.

E. Disciplinary Sanctions

A conclusion that sexual harassment has occurred shall subject the offender to appropriate disciplinary action and may result in suspension, discharge, expulsion or dismissal. University disciplinary procedures and possible sanctions are described in the Code of Student Conduct in the Student Handbook, the University staff handbooks, and the University Faculty Handbook. Sanctions imposed will be determined on the basis of the facts of each case and the extent of harm to the University's interests.

APPENDIX J

PERSONAL, FAMILIAL AND CONSENSUAL-SEXUAL RELATIONSHIPS POLICY

Persons who have an instructional or supervisory role over family members or those with whom they have consensual-sexual or personal relationships may be subject to charges of bias or coercion brought by the persons directly involved or by third parties who perceive that their own legitimate interests have been compromised.

Every effort should be made to avoid having faculty members teach or supervise members of their immediate family or anyone else with whom they have a relationship that could interfere with impartiality. Such an undesirable situation should occur only with approval of the departmental chairperson or the dean, and only when alternative arrangements are unreasonable. Otherwise, amorous or sexual relationships between instructors or supervisors and persons over whom they have professional authority are prohibited and may result in disciplinary action against the instructor or supervisor.

A complaint regarding such relationship allegations will follow the Academic Grievance Procedures (see Appendix D).

APPENDIX K

POLICY STATEMENT ON CONVERSION FROM ADMINISTRATIVE TO FACULTY STATUS*

This policy concerns the return to full-time faculty status of faculty members who have 12 month contracts with an administrative assignment of at least .75 FTE. The policy defines “academic year salary”, the phasing out of any administrative increment in salary, and a leave program in lieu of “sabbatical leave” designed to facilitate the resumption of the duties associated with full-time faculty status. Loss of an administrative appointment cannot be subject of a grievance.

A. Academic Year Salary¹

The summer salary of an administrator is defined *as* thirty percent of his or her academic year salary. An administrator’s salary may also include an additional amount designated as an administrative increment. The academic year salary of those with 12 months contracts is defined as:

$$\frac{\text{Twelve month salary - administrative increment}}{1.3}$$

B. Phasing Out Administrative Increment

Category A - those with 10 or more years administrative service receive two semesters of administrative leave and three-fourths of the administrative increment in the first year in faculty status, one-half in the second year, and one-fourth in the third year;

Category B - those with a least 5 but less than 10 years administrative service receive one semester and one summer of administrative leave and two-thirds of the administrative increment in the first year in faculty status, and one-third in the second year;

Category C - those with administrative service of more than one but less than 5 years receive one semester or one summer of administrative leave, and one-half of the administrative increment in the first year in faculty status.

C. Administrative Leave

The primary purpose of administrative leave is to provide the administrator with a compensated period of time for the study and research necessary to resume a full-time faculty role. Administrators returning to faculty status are eligible for administrative leave as follows:

Category A – those with 10 or more years administrative service receive two semesters of compensated administrative leave.

Category B – those with a least five but less than 10 years of administrative service receive one semester and one summer of compensated administrative leave.

¹The provision of this section of the policy is not applicable in colleges or schools in which faculty appointments are on a 12-month basis.

Category C – those with at least three but less than five years of administrative service receive one summer of compensated administrative leave.

D. Other Conditions

Date of conversion

The date of conversion from administrative to faculty status is subject to negotiation but normally will be the first working day after the end of the administrative appointment and will be no later than the following August 16. Administrative increments will begin to be phased out as soon as the administrative appointment ends.

Salary During Administrative Leaves

Normally, administrators will have been converted to academic year salaries before beginning administrative leave. In such cases, salary during leave (distributed on a 12 - month basis) will be one-half the academic year salary for each semester and thirty percent of the academic year salary for a summer. Any variation from this policy must be agreed upon before the leave begins.

Accrued Annual Leave

Administrators are expected to utilize all of their accrued annual leave prior to conversion to faculty status; any annual leave not taken by the time of conversion is lost.

APPENDIX L

POLICY ON ACADEMIC MISCONDUCT IN SCHOLARLY ACTIVITIES

I. Definition of Academic Misconduct in Scholarly Activities

Misconduct in scholarly activities includes, but is not limited to, (1) fabrication, falsification, plagiarism, or similar practices that seriously deviate from those that are commonly accepted within the academic community for proposing, conducting or reporting research or other scholarly and creative activity; (2) appropriation without due credit of another's ideas, including the improper use of privileged information; (3) willful or reckless failure to comply with legal requirements that relate to research, publication, and other scholarly and creative activity.

II. Procedures for Investigating Academic Misconduct

1. There shall be a University standing committee on academic misconduct in scholarly activities (henceforth referred to as the standing committee). The standing committee shall be composed of three faculty members appointed by the Provost/Vice President for Academic Affairs for staggered three-year terms. The committee shall report to the Assistant Vice President for Research.
2. Any person who believes that misconduct in scholarly activities has occurred in the University community shall report the incident to a member of the standing committee. In the remainder of this document, the person reporting alleged misconduct will be referred to as the complainant and the initial report will be referred to as an allegation. If the allegation is made to a person other than a member of the standing committee, that person shall advise the complainant to forward the allegation promptly to a member of the standing committee.
3. Any person whose conduct is considered under this policy shall be entitled to (1) confidential treatment to the extent possible; (2) a prompt and thorough investigation; and (3) an opportunity to comment on allegations and the findings of the standing committee and the investigating committee (see paragraph 13).
4. The standing committee and the investigating committee shall each take reasonable steps to avoid unwarranted damage to the positions and reputations of persons involved in the process.
5. All individuals involved in administering this policy shall take precautions against real or apparent conflicts of interest.
6. When the standing committee receives an allegation (or otherwise hears of evidence) of a possible incident of misconduct, the committee will decide if the alleged incident, were it to have occurred, would constitute misconduct under this policy. If the committee decides that the alleged incident falls under this policy, it will inform the subject of the allegation and will initiate an inquiry. During this inquiry, the committee shall gather such information and engage in such initial research as it believes necessary for it to determine whether to impanel an investigating committee.
7. The standing committee ordinarily shall complete its inquiry into an alleged incident of misconduct within 60 days of the time it learns of the incident. If this deadline cannot be met,

then the standing committee shall inform the subject of the inquiry of the reasons for the delay. The standing committee also shall inform other individuals of the progress of its inquiry if the standing committee determines that such individuals have a compelling need to be informed.

8. If a member of the standing committee is the complainant or has any other conflict of interest in a particular case, that member shall recuse him or herself from the case and the Provost/Vice President for Academic Affairs may appoint a temporary replacement. The standing committee may at any time request that the Provost/Vice President for Academic Affairs appoint a temporary committee member who possesses specific expertise helpful in evaluating the merits of a particular case.
9. If the standing committee decides not to initiate an investigation, it shall prepare a written report explaining the basis on which it determined that an investigation was not appropriate.
10. If the standing committee decides to initiate an investigation, it shall prepare a written report explaining the basis on which it determined that an investigation was appropriate.
11. The standing committee shall provide written notification of the results of an inquiry to the subject of the inquiry and to the complainant. The committee may comply with this requirement by providing the subject and/or the complainant with a copy of the full report referred to in paragraphs 9 and 10. In deciding whether to provide the subject and/or complainant with a copy of the report, the standing committee shall consider all relevant factors, including the need to protect the confidentiality or reputation of any person. If the standing committee decides to initiate an investigation, the notification to the subject shall include, at the minimum, a statement of the committee's conclusions. The subject may make written comments on the standing committee's conclusions within five days after being notified of them and such comments shall become a part of the standing committee's report.
12. The report required by paragraph 9, or the report required by paragraph 10 together with comments from the subject permitted by paragraph 11, shall be transmitted to the Assistant Vice President for Research. If the standing committee's decision is that an investigation is not appropriate, its report (required by paragraph 9) shall be sealed if the committee decides that there is reason to keep the inquiry confidential, and the Assistant Vice President shall secure the sealed report as required by paragraph 20 below. If the standing committee decides that an investigation is appropriate, the Assistant Vice President shall, upon receiving the report, do whatever is necessary to inform granting agencies and appropriate administrative officials that an investigation will be conducted.
13. If the standing committee decides to initiate an investigation, it will appoint an investigating committee. The standing committee shall consult with the appropriate dean(s) before choosing members of the investigating committee, but the ultimate responsibility for selecting members lies with the standing committee. The standing committee shall appoint persons whose knowledge and experience will permit them to conduct a thorough and authoritative investigation. An investigating committee normally will have at least three members. Neither the complainant nor any member of the standing committee may serve on the investigating committee.
14. The investigating committee shall gather information in order to determine whether misconduct has occurred. The investigating committee may consult with the standing committee but is not required to do so. The investigating committee may retain counsel, which may be, but is not

required to be, University Counsel. The committee may retain appropriate consultants if the expertise of such consultants is needed to carry out a thorough and authoritative evaluation of the relevant evidence. The subject of the investigation may be asked to supply the investigating committee with appropriate information.

15. The investigating committee shall prepare a written report, supported by any relevant documentation, explaining the basis on which the committee made its determination. If the committee determines that misconduct has occurred, the committee may choose to: (a) express its opinion as to the seriousness of the misconduct; (b) recommend sanctions against the person(s) who committed the misconduct; (c) recommend actions for the appropriate college, school, or division to take to prevent future misconduct.
16. The subject of an investigation shall be provided a copy of the committee's report (prepared under paragraph 15) and shall be given an opportunity to comment in writing on the report. Such written comments shall become a part of the report and shall be included before the report is transmitted to appropriate dean(s) and to the Assistant Vice President for Research and the standing committee.
17. On receipt of a finding that a faculty member has engaged in academic misconduct, his or her dean may decide to take no action, may decide to impose minor sanctions, or may seek to impose a severe sanction under the provisions of Appendix B of the Faculty Handbook. The dean shall report any actions taken to the standing committee and to the Assistant Vice President for Research. If the dean decides to take no action, or to impose a minor sanction, the dean's report shall explain why he or she took no action or imposed a minor rather than a severe sanction.
18. On receipt of a finding that a graduate student or staff member has engaged in academic misconduct, as defined in this policy, his or her dean may take no action or may impose sanction in accordance with the student or staff handbook, whichever is applicable. The dean shall report any actions taken to the standing committee and to the Assistant Vice President for Research. If the dean decides not to impose sanctions, the report shall include an explanation of that decision.
19. The investigating committee shall bring to the standing committee's attention any deficiencies it perceives in these procedures. If the standing committee determines that these procedures should be modified, it shall make appropriate recommendations to the Provost/Vice President for Academic Affairs.
20. The Assistant Vice President for Research shall retain in a secure place all reports, including written explanations under paragraphs 9, 10, 15, 17, or 18, and all documentation, pertaining to each incident of alleged misconduct, for a period of five years from the receipt of the report or explanation. However, the standing committee's report, with documentation, if the standing committee determines that an investigation is not warranted under paragraph 6 and that there is reason to keep the inquiry confidential, shall be sealed before forwarding to the Assistant Vice President for Research.
21. Insofar as the requirements of a granting agency are inconsistent with the requirements of this policy, the granting agency's requirements shall be considered a part of this policy and followed in the investigation of an incident of possible misconduct involving a grant from the agency. The Assistant Vice President for Research shall ensure that the University complies with the requirement of each granting agency, including requirements that the University report to the agency concerning allegations and/or findings of misconduct and inform the standing committee

and any investigating committee(s) of any relevant regulations. The Assistant Vice President for Research may add appendices to this policy that identify the inconsistencies between the particular requirements of a granting agency and this policy.

22. To permit the Assistant Vice President for Research to ensure compliance with the reporting requirements of each granting agency, the standing committee shall inform the Provost/Vice President for Academic Affairs each time it impanels an investigating committee. The standing committee and/or each investigating committee also shall inform the Assistant Vice President for Research of each incident of alleged misconduct at any time that the committee determines that the incident (a) poses an immediate health hazard; (b) presents an immediate need to prevent misappropriation or damage to property or funds; (c) presents an immediate need to protect the interests of the person(s) making the allegations or of the individual(s) who is(are) the subject(s) of the allegations as well as his or her (their) co-investigators and associates, if any; (d) seems likely to be publicly reported; or (e) might reasonably be expected to lead a criminal investigation. The Assistant Vice President for Research, when informed of an incident of alleged academic misconduct, shall notify each University administrator whom he/she determines has an immediate need to know of the incident.
23. These procedures shall be published in the faculty, staff, and student handbooks.
24. These procedures shall not limit or interfere with the University's ability, under other policies, to discipline a student for misconduct in research, publication, creative, or other scholarly activities.
25. All deans and department heads shall take action to ensure that all persons engaged in research in their college, school, or department are aware of these procedures.

APPENDIX M

THE UNIVERSITY OF ALABAMA CRITERIA AND PROCEDURES FOR APPOINTMENTS TO ENDOWED CHAIRS AND PROFESSORSHIPS

Introduction

Endowed chairs and professorships enhance the quality of programs in higher education through both the recognition and contributions of the chair holders and professors. The positions are among the highest and most prestigious appointments in academe and they honor significant scholarly or creative achievement and academic excellence. Distinguished scholars who hold these positions make significant contributions to the research and teaching missions of the University. Moreover, they increase the visibility of the University and aid in attracting additional high-quality faculty, superior students, and external resources for research, instruction, and service.

Criteria and Procedures*

Criteria for appointments to endowed chairs and professorships must reflect the highest ideals of academic excellence and scholarly or creative achievement. While all appointments to these positions are made by The University of Alabama Board of Trustees, procedures for recruitment must be consistent with the University's Affirmative Action Plan, stipulations of the endowment, and other administrative procedures established in the various academic units. Involvement of the faculty, students, and others as may be appropriate is essential in the review and recommendation of candidates for endowed chairs and professorships.

I. General Criteria for Appointments

The following general criteria will be used in the review and recommendation of candidates for endowed chairs and professorships:

1. Convincing evidence of outstanding teaching performance and effectiveness.
2. An outstanding record of productive research, publication, creative activity, and scholarly achievement appropriate to the discipline and fields of specialization.
3. Evidence of a continuing record of exemplary academic and professional citizenship appropriate to the discipline or profession.
4. Evidence of achievement of a professional status at the national or international level which will enhance the stature of the University's faculty.

With respect to these criteria, each successful candidate should present a record sufficiently consistent in quantity and/or quality to warrant the expectation of continued performance and contributions at an outstanding level. Generally, specific qualifications required for particular endowed

* Endowed chairs or professorships in some departments, schools, or colleges are used for temporary, visiting, or rotating appointments. These appointments are generally for periods less than one year and involve no continuing commitment by the University. Procedures described in this policy do not apply to these appointments, but are applicable to appointments which exceed one year and may include tenure or some other long-term commitment by the University.

chairs or professorships will be based on these criteria. Position announcements will include specific qualifications and these qualifications will be employed by the search committee in the review and recommendation of candidates.

II. Procedures for Recruitment of Candidates for Endowed Chairs*

Procedures for recruitment and recommendation of candidates for endowed chairs will conform to the Affirmative Action Plan of the University and all prevailing federal and state regulatory requirements as well as stipulations of the endowment. While The University of Alabama Board of Trustees makes all appointments to endowed chairs, recommendations to the Board will be made only after considering (1) the evaluations and advice of the faculty of the department, school, or college, and (2) the advice of a search committee, as described below:

1. When a new endowed chair is established or when a vacancy occurs, the dean shall meet with the faculty of the academic unit before deciding on the nature of the search and the size and composition of a search committee. Faculty members from the academic unit will be appointed by the dean and will constitute a majority of the search committee. Other members of the search committee will be appointed by the dean in consultation with the Provost/Vice President for Academic Affairs. Usually, the Provost/Vice President for Academic Affairs will appoint a staff member from the Office for Academic Affairs to serve as a non-voting member on the search committee and to provide liaison and logistical support. Giving due regard to advice and concerns expressed by the faculty, the dean will designate a faculty member appointed from the academic unit to chair the search committee.
2. The search committee, working in cooperation with the dean and the Office for Academic Affairs and with appropriate participation from constituent groups, shall announce and advertise the position in a manner appropriate to the nature of the search, and coordinate the review and evaluation of candidates for the position. Throughout the search process, the committee shall solicit, encourage, and provide for faculty participation and the participation of other constituent groups. Faculty should have ample opportunity to review the credentials of qualified candidates provided that the search committee may protect the identity of candidates who request confidentiality during the initial screening process. On the basis of faculty evaluations and its own judgment, the search committee will reduce the list of candidates to those deemed to be best qualified for the position. The committee and the dean will select those to be interviewed from this reduced list. Interviews scheduled should allow for discussions with the President, the Provost/Vice President for Academic Affairs, deans, chairpersons, search committee members, faculty, and, where appropriate to the nature of the search, with students, alumni, and others, including the Chancellor or designated representatives.

Following these interviews, and other information gathering procedures appropriate to the nature of the search, every reasonable effort should be made to obtain the views of the faculty in the academic unit and appropriately interested constituent groups. The advice of the faculty may be determined by individual written evaluations, by an expression of faculty sentiment at a called faculty meeting, or by such other means as the search committee may consider appropriate. General support of the faculty in the academic unit normally will be necessary for further consideration of a candidate. In cases where the appointment includes the award of tenure, action by the tenured faculty in accordance with normal procedures in the academic unit is

* Some schools and colleges have a standing committee on faculty appointments. The dean may meet with this committee to decide on the nature of the search and recommendation process when appropriate.

necessary before the dean makes a recommendation to the Provost/Vice President for Academic Affairs and President.

3. It shall be the responsibility of the search committee to submit to the dean both a summary of evaluations and advice received from the faculty on each person interviewed and the search committee's own advice. The dean makes a recommendation to the Provost/Vice President for Academic Affairs and President who, in turn, recommend the candidate to the Chancellor and The University of Alabama Board of Trustees. In the event the search committee and dean do not find a successful candidate for presentation to the Provost/Vice President for Academic Affairs and President, the search process normally shall be continued until a candidate acceptable to the search committee and dean and to the faculty is successfully recruited. Except in extraordinary circumstances, the Provost/Vice President for Academic Affairs and President shall recommend to the Board the appointment of an endowed chair from those candidates who have general faculty support. If it should become necessary to reopen the search, the dean and the search committee may confer to establish further direction; if it appears desirable, a new search committee may be formed. Appointments to endowed chairs in all cases are made by The University of Alabama Board of Trustees.

III. Procedures for Recruitment of Candidates for Endowed Professorships*

Procedures for the recruitment of endowed professorships generally will follow those for the recruitment of endowed chairs. Procedures will conform to the Affirmative Action Plan of the University and all prevailing federal and state regulatory requirements as well as the stipulations of the endowment. While The University of Alabama Board of Trustees makes all appointments to endowed professorships, recommendations to the Board will be made only after considering (1) the evaluations and advice of the faculty of the department, school, or college and (2) the advice of a search committee. Exceptions to the recruitment procedures for endowed chairs may occur under the circumstances described below:

1. In some cases, income from the corpus for an endowed professorship may not be sufficient to justify a national or international search to fill a new or vacant position. In these cases, the dean may organize an internal search for candidates from within the department, school, or college. The dean will meet with faculty in the academic unit to determine the size and composition of the search committee. Faculty members from the academic unit will be appointed by the dean and will constitute a majority of the search committee. Other members may be appointed to the committee by the dean in consultation with the Provost/Vice President for Academic Affairs. The dean may choose to chair the committee or may designate a faculty member appointed from the academic unit to chair the search committee. The responsibilities of the search committee and the procedures for recommendation of the candidate are similar to those for recruitment and recommendation of an endowed chair. Appointments to endowed professorships in all cases are made by The University of Alabama Board of Trustees.

* Some schools and colleges have a standing committee on faculty appointments. The dean may meet with this committee to decide on the nature of the search and recommendation process when appropriate.

APPENDIX N

PRINCIPLES AND PROCEDURES FOR MERGER OR DISCONTINUANCE OF ACADEMIC UNITS

I. PRINCIPLES

The University's mission in teaching, research, and service includes providing a liberal education as well as advancing and disseminating highly specialized knowledge. However, to allocate its resources effectively, the University must from time to time merge or discontinue academic units (e.g., colleges, institutes, departments, programs) when they are no longer central to the institution's mission or when these units can be maintained only by using funds essential for units whose continuance is deemed more critical to the University's mission.

The University of Alabama Board of Trustees has responsibility for approval of the University's mission, role, and scope, and for the degree programs offered by the University. The Board delegates to the President responsibility for administration of the University and its programs of instruction, research, and service. Decisions to merge or discontinue academic units are the responsibility of the President. The President will seek the advice of administrators and faculty within the University in considering such decisions and will ensure that all faculty and staff who might be affected by merger or discontinuance of programs are consulted before a final decision is made and that the decision will consider the needs of current students. The President will base decisions to merge or discontinue an academic unit essentially on educational considerations that reflect long-range judgments that the overall educational mission of the University will be enhanced by the merger or discontinuance.

II. PROCEDURES

A standing committee called the University Committee on the Merger or Discontinuance of Programs (referred to hereafter as the Committee) will represent the faculty as a whole in cases where merger or discontinuance could result in termination of a faculty appointment (i.e., termination of an appointment with tenure or a probationary or special appointment before the end of the specified time).^{*} Its function will be to determine whether merger or discontinuance of an academic unit would benefit the educational mission of the University as a whole. This determination will be based essentially on educational considerations similar to those that affect the President's decision and the recommendations by deans and the Provost/Vice President for Academic Affairs. Examples of factors that may be considered include program viability (based on demand for a program and the potential for growth), and the need to avoid duplication, or to effect economies in management, or to strengthen related programs. An academic unit's record of excellence will be a consideration in decisions regarding merger or discontinuation, but will not be the decisive factor.

The Committee shall consist of nine tenured faculty members who are not members of the University Mediation and Grievance Committee, with three members elected by the Faculty Senate, three elected by the Graduate Council, and three elected by the Council of Deans. The three persons elected by each group will serve staggered three-year terms, with a new member elected each fall semester for a

^{*} The specified time for notification of termination of appointments for probationary faculty shall conform to requirements for notification of non-retention in the *Faculty Handbook*. Persons who have special appointments, appointments that are neither tenured nor tenure-track, are reviewed annually; continuation of such appointments depends on a record of satisfactory performance and on a continuing need for the services performed.

term to begin at the start of the following spring semester.** No person elected by a group shall be a member of that group at the time of election, and the Council of Deans shall not elect any person who is a current member of the Council of Assistant and Associate Deans. No two of the three serving members elected by a group shall be faculty members of the same college or school (other than the Graduate School). Members completing a term on the Committee are not eligible for reelection until two years have passed. The Committee elects its own chairperson from among its members at the start of each spring semester.

When the dean, after consultation with the Provost/Vice President for Academic Affairs and any other appropriate deans or department chairs, believes it necessary to consider a merger or discontinuance of an academic unit, the dean shall proceed as follows.

1. The dean shall convene a meeting of the appropriate faculty. At this meeting the dean shall explain the reasons for considering a merger or discontinuance and propose the terms and conditions of any changes in faculty status resulting from the proposed merger or discontinuance, such as termination of faculty positions, reassignment of faculty, modifications in research or teaching assignments, changes in reporting channels, or retraining that would be provided to facilitate continued employment of faculty. The dean shall ask the faculty to introduce any information in support of continuation of the academic unit or to suggest alternatives. This information may be conveyed to the dean orally or in writing, individually or in groups, and must be received within a reasonable period of time following the meeting (normally two weeks). In addition, any faculty member with tenure who believes that reassignment or modifications in research or teaching assignments is tantamount to termination of his/her appointment with the University shall inform the dean in writing, providing reasons for his/her concern, within a reasonable period of time (normally two weeks).
2. If, after a reasonable period following the meeting with the unit in question (normally two weeks), the dean decides to continue considering the proposed merger or discontinuance, the dean shall convene a second meeting of the appropriate faculty and convey to them a summary of whatever information has been assembled and the alternatives suggested. For those tenured faculty members who indicated to the dean in writing that they believe their reassignments or other modifications in faculty assignments are tantamount to termination of their appointment with the University, the dean shall provide a written statement explaining plans for continued employment in a faculty position within the University. Those tenured faculty members not satisfied by the dean's written statement of explanation shall indicate their concerns to the dean in writing requesting that the merger or discontinuance be reviewed by the Committee; such a request will be dealt with as described in Item #4 below. The dean shall allow a reasonable period following this second meeting for the faculty to respond to any information or alternatives discussed in the meeting and to respond to the written statement of explanation (normally two weeks).
3. If the dean decides to continue considering the proposed merger or discontinuance, he or she shall convey the reasons for considering a merger or discontinuance, along with a summary of all responses received, to the Council of Deans, the Faculty Senate, and in cases that might affect graduate programs, to the Graduate Council. (A copy of the summary conveyed by the dean will be available to the faculty in the office of the academic unit under consideration.) Such

** The initial Committee will begin to serve when elected rather than at the start of the following spring semester and the terms of members will be extended accordingly. Each group shall assign terms of one, two, and three years to the three persons it elects to the initial Committee. The initial committee will meet as soon as possible to elect its chairperson.

notification is to provide opportunity to identify consequences that may have been overlooked or elicit suggestions for alternatives. The dean shall allow a reasonable period (normally thirty days during the fall and spring semester) for these groups to respond.

4. If, after receiving any responses from the groups in step 3 above, the dean decides to proceed with consideration of the merger or discontinuance and no faculty appointments are to be terminated, then the dean shall proceed directly to Step 5. However, when the proposed merger or discontinuance includes termination of tenured faculty appointments of probationary or special appointments without appropriate notification or in cases where tenured faculty have requested a review as in Item #2 above, the dean shall forward a summary of the information gathered to the University Committee on the Merger or Discontinuance of Programs, requesting the Committee to determine whether the merger or discontinuance is based essentially on educational considerations. The Committee shall have a summary of all data gathered and shall have access to the original materials from which the summary has been compiled. The Committee is free to gather other material at its discretion; it may seek advice from knowledgeable parties on campus or elsewhere. Normally the committee should complete its work within thirty days, but it may extend this period in difficult cases. The committee will convey its report to the dean.
5. If the dean, after receiving information and recommendations from all groups, decides to proceed with the merger or discontinuance, the dean shall submit a recommendation to the Provost/Vice President for Academic Affairs. This recommendation will include all information and advice regarding the proposed merger or discontinuance that has been offered by individuals or groups including, when appropriate, the report of the Committee. The dean's recommendation will include proposed provisions to allow students already enrolled to complete their degree requirements.
6. The Provost/Vice President for Academic Affairs is responsible for reviewing the recommendation for merger or discontinuance from the dean, and for ensuring that all steps in these procedures have been followed. The Provost/Vice President for Academic Affairs may ask for additional information or clarification concerning items included in the dean's recommendation, and may seek advice from knowledgeable parties on campus or elsewhere. The Provost/Vice President for Academic Affairs will make a recommendation to the President.
7. The President, after studying the recommendation from the Provost/Vice President for Academic Affairs, and obtaining any additional information, clarification, or advice that he or she thinks necessary, will make the decision whether to merge or to discontinue academic units. If the President decides to merge or discontinue units, provisions shall be made to allow students already enrolled to complete their degree requirements. Every effort will be given to finding continued employment at the University for administrative, technical, or clerical staff members whose jobs might be lost.
8. In cases where the merger or discontinuance above is a merger or discontinuance of colleges or schools, the Provost/Vice President for Academic Affairs will perform the duties assigned to the dean in this document, and the first recommendation shall be made to the President rather than to the Provost/Vice President for Academic Affairs.

III. ADDITIONAL CONSIDERATIONS

The University shall make every reasonable effort to provide other suitable positions for faculty members whose appointments are lost due to a decision to merge or discontinue a unit. Probationary faculty members, whose appointments are lost due to a decision to merge or discontinue a unit, may have their appointments terminated with appropriate notification. If placement in another position at the University for a tenured faculty member would be facilitated by a reasonable period of training, financial and other essential support for such training will be proffered. If no position is available within the University, with or without reasonable retraining, the tenured faculty member's appointment may be terminated. Notice of termination to faculty members will be provided consistent with policies published in the Faculty Handbook.

If the University is unable to provide suitable employment for a tenured faculty member who is displaced by the merger or discontinuance of academic units, the University shall provide at least one year of notice, or at least one academic year of severance pay. In determining the date of severance and the amount of severance pay, the University will consider the faculty member's service to the University, and will be mindful of the interests of faculty members who are approaching eligibility for vesture in the retirement system or eligibility for retirement.

Any tenured faculty member whose appointment is terminated because of merger or discontinuation of a unit, or who believes changes in his/her assignments are tantamount to termination of appointment, and who questions whether the University followed the policy described in this document, is entitled to appeal to the University Mediation and Grievance Committee. This Committee shall function as a hearing committee and report its findings and recommendations to the President and to the faculty member involved. The hearing will be limited to questions as to whether the University has followed the policy described in this document; the decision to merge or discontinue the unit shall not be at issue. The hearing need not conform in all respects to a proceeding conducted before a Hearing Tribunal (as described in the Mediation and Grievance policy), but shall provide the essentials of an on-the-record adjudicative hearing.

APPENDIX O

SEXUAL ASSAULT POLICY

A. Commitment

The University of Alabama is committed to maintaining a supportive and safe educational environment, one which seeks to ensure the well-being of all members of its community. This commitment reflects the institution's adherence to its mission, to its various policies supporting its mission, and to relevant state and federal laws. To that end, the University has adopted the following sexual assault policy.

B. Definition

Sexual Assault is defined for purposes of this policy as:

1. Any form of attempted or actual nonconsensual sexual contact by a member of the University community, whether such person is known or unknown to the victim, against another member of the University community.
2. A person shall be deemed not to have knowingly and/or voluntarily consented within the meaning of this policy if, at the time of the attempt or of the sexual assault, the person is incapable of giving consent because of mental incapacitation, physical impairment, alcohol or drug consumption, or loss of consciousness.
3. For the purposes of this policy, "sexual contact" shall mean any touching of the sexual or other intimate parts of a person, done for the purpose of gratifying the sexual desire of either party.

C. Reporting Process

The University strongly encourages individuals to report sexual assaults to the appropriate law enforcement agencies and University officials. Reporting an assault is the only effective way that action can be taken against the alleged attacker. Victims are encouraged to use the following procedures:

1. Individuals should first contact the University Police or local police authorities. Both agencies may be reached by calling Emergency 911.
2. Individuals may also contact the following University administrative offices for assistance:
 - a. The Women's Center (348-5040)
 - b. The Office of Student Life (348-6114)
 - (1) On-call dean (394-1566 - beeper)
 - (2) Assistant Vice President for Student Affairs: Dr. Kathleen Randall (348-8228)

D. University Disciplinary Process

The University of Alabama is committed to providing an investigative hearing process that is sensitive, fair, supportive, and respectful of the rights and needs of all involved. To the extent not already provided for by existing disciplinary procedures, the complainant and the accused are entitled to the same opportunities to have others present during a disciplinary proceeding; both the complainant and

the accused shall be informed of the outcome of any institutional disciplinary proceeding brought alleging a sex offense. As provided by existing University disciplinary procedures, under appropriate circumstances, interim measures may be taken to provide for the safety of the complainant, of the accused and of witnesses. University disciplinary procedures and possible sanctions are described in the Code of Conduct in the Student Handbook, University Staff Handbook, and the University Faculty Handbook.

E. Medical and Counseling Support Services

It is very important for victims of sexual assault to obtain **immediate medical care** following a sexual assault, whether or not the sexual assault is reported, to ensure the victim's well-being and to document, collect and properly preserve physical evidence of the assault.

1. In addition to care of obvious injuries, medical attention is needed to protect the victim from sexually transmitted diseases or the possibility of pregnancy. Immediate medical attention can be received at the nearest local hospital emergency room. In order to preserve physical evidence of the assault, victims should not change clothes, bathe, douche, or use the toilet before seeking medical care. The Russell Student Health Center can provide students with assistance and information concerning other medical resources available.
2. Confidential counseling for student victims of sexual assault is available through the University's Counseling and Psychological Services Center. CAPS and the Women's Center can also provide referral information for students, staff and faculty to other community resources.

F. Women's Center Sexual Assault Victim Advocate

The University of Alabama Women's Center provides a Sexual Assault Victim Advocate Program. This program provides needed support in a time of crisis to victims of sexual assault. The advocate will help victims, their families, and friends by providing information and support. If requested by the victim and if reasonably available, the University will provide modifications to living arrangements for the victim, if residing in University housing. Also, if requested by the victim and if reasonably available, rearrangement of academic class schedules for the victim may be provided. The Women's Center Sexual Assault Victim Advocate can be contacted at 348-5040.

G. Educational Programs

The University of Alabama is committed to providing preventive, informative, and supportive programs for all members of the University community. Campus-wide programs coordinated by the Women's Center are designed to increase safety awareness, develop self defense techniques, improve communication skills between women and men, help prevent acquaintance and stranger rape, build self-esteem, and provide information on steps to take in the event of a sexual assault.

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APPENDIX P

**QUALIFICATIONS FOR THE GRADUATE FACULTY
OF THE UNIVERSITY OF ALABAMA**

The purpose of the Graduate Faculty at The University of Alabama is to set standards for graduate work and provide graduate instruction. It is the responsibility of the Graduate Faculty in each division to elect its representative(s) to the Graduate Council, which acts for the faculty in matters relating to graduate work. There are three categories of members: full, associate, and temporary. Only members of the Graduate Faculty may teach courses numbered 500 or above, and only members of the Graduate Faculty may chair thesis and examining committees. Only full members may chair dissertation committees.

A. Criteria for Full and Associate Members

The dean of each academic division has the responsibility of nominating members to serve on the Graduate Faculty who meet the following criteria:

1. (a) Hold the Ph.D. or other terminal degree, and
(b) Hold the rank of at least Assistant Professor in a full-time, tenure-track position.
2. Full and associate members must demonstrate ability and continuing interest in the graduate program and in research or creative activity. Full members must show a strong, continuing record of productive research, publication, creative activity, and scholarly activity appropriate to the discipline. These broad requirements are best interpreted by each department and college considering their unique aspects.
3. Be recommended by the departmental graduate faculty, department chairperson, and dean of the academic division.

These nominations will then be acted upon by the chairperson of the Graduate Council, the dean of the Graduate School.

B. Terms of Appointment

Full and associate members are appointed for six-year renewable terms.

C. Temporary Membership

Temporary membership may be extended to well-qualified individuals, who do not satisfy the above criteria, to perform specific functions for specific time periods, not to exceed one calendar year. They should be recommended by the departmental graduate faculty, department chairperson, and dean of the academic division. These nominations will then be acted upon by the chairperson of the Graduate Council, the dean of the Graduate School.

APPENDIX Q

Outreach and Academic Citizenship: A Guide to Documentation and Evaluation

Service as outreach represents the University's commitment to extend its influence externally to benefit the public. This type of service is described below in four models and represents the application of faculty expertise appropriate to one's discipline to the problem solving and leadership needs in the local, state, national and international arenas. The key words identifying the faculty's service's outreach beyond the campus borders are: Continuing education, Partnership and Collaboration, Leadership and Consultation. A second form of service is focused internally and is directed toward serving our students and our institution. This is described in the fifth model, now referred to as academic citizenship.

Service unique to one's discipline and professional area should be more specifically defined at the departmental and divisional levels. All colleges/departments are expected to engage in outreach. However, flexibility needs to be maintained with individual faculty members. It is recognized that weights assigned to teaching, research and service in university-wide policies and standards for tenure, promotion, and retention may vary in fields where normal activities require more or less involvement in teaching or service. There shall be no weakening of the requirements for performance of high quality, but the individual colleges may adopt policies which give different weights to the activities considered in tenure, promotion and retention decision. These policies must not be applied retroactively and must meet the following criteria:

1. They must have been approved by a majority vote of the voting faculty of the college
2. They must have been recommended by the dean of the college.
3. They must have received approval by the Academic Vice President, and their continuation shall depend on regular review and reconsideration by the Academic Vice President.
4. Such policies must be referred to explicitly, in letters of appointment or reappointment. The Academic Vice President/Provost may rescind permission for any such variation by giving notice to the dean of the college.

The documentation of one's service, products, outcomes and effectiveness is essential to the application of these components of faculty work in decisions of promotion, tenure, retention, and salary determinations. Examples for each service model follow.

1. **TEACHING/SERVICE--OUTREACH**

KEY WORD--EDUCATION beyond the classroom

In this model faculty are involved in the provision of inservice to external groups in areas appropriate to one's discipline and expertise, the provision of continuing education, the development of distance education opportunities for course credit, inservice and/or continuing professional education needs.

Evaluation of Activities in the Teaching-Service Outreach Model may include:

- Documentation of effective measures of inservice/continuing education for targeted public or population groups.
- Documentation of effective development/promotion of distance education programs for business, industry, labor or consumer groups, K-12 teachers, social service agencies, official or voluntary agencies as appropriate based on one's discipline.

2. RESEARCH/SERVICE--OUTREACH

KEY WORDS: PARTNERSHIP AND COLLABORATION

In this model faculty are involved in partnership roles in problem-solving and/or testing and exploring new technologies for target groups or enterprises. Examples include partnerships with business/industry or labor/consumer groups; collaboration with other public or private educational systems (K-12), junior and community colleges, or other 4 year institutions in the development of applied research projects to benefit the state or region and/or demonstrate the effectiveness of emerging changes in the transmission of knowledge and skills; collaboration with official and/or voluntary agencies in solving problems that would benefit the public.

Evaluation of activities in the Research/Service Outreach Model may include:

- Documentation of the development of outcome-based research opportunities in business/industry, labor or consumer groups, schools, official or voluntary agencies.
- Evidence of the creation of teaching laboratory opportunities in off-campus sites for applied research of mutual benefit.
- Provision of human resources for problem-solving with financial investment of public and/or private sources.

3. PROFESSIONAL SERVICE--OUTREACH

KEY WORD: PROFESSIONAL LEADERSHIP

In this model faculty are visibly active in professional activities related to their discipline, serving in leadership roles that advance the profession. Examples include serving on editorial boards; serving in prominent leadership roles at the state, national, regional, and/or international levels; providing expert testimony on matters of professional expertise.

Evaluation of activities in the Professional Outreach Model may include:

- Documentation of leadership roles in professional organizations.
- Evidence of leadership and/or participation on international, national, regional, or state boards, editorial boards, task forces, panels, etc., which contribute to the advancement of one's profession and enhance the mission of the University.
- Documentation of peer-reviewed academic, professional awards, and/or recognition based on meritorious service.

4. PUBLIC/COMMUNITY SERVICE--OUTREACH

KEY WORDS: LEADERSHIP AND CONSULTATION

In this model faculty would be involved in the provision of leadership and/or consultation appropriate to one's discipline through service in activities such as invited or elected members of boards, panels, commissions, etc. which would enhance the visibility and mission of the University. Examples include membership and leadership roles on local, state, national, or international boards of directors (American Heart Association, NIH Consensus Panels, Governor's Task Force on Welfare Reform, etc.). Examples of consultation may include requests from business/industry, labor/consumer or government

groups, official and/or voluntary organizations for leadership and/or consultation in strategic planning for public service goals.

Evaluation of activities in the Public / Community Service Outreach Model may include:

Evidence of invited and/or elected service on boards, panels, commissions, etc.
Documentation of expert testimony of advice/opinion requested by media, voluntary, and/or official agencies as appropriate to one's professional area.

5. ACADEMIC CITIZENSHIP-INTERNAL SERVICE TO STUDENTS AND THE INSTITUTION

All faculty members 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, and engaging in other university activities where faculty participation is normal. Each division or department shall define its understanding of "responsible academic citizenship". Performance of administrative or service duties that go beyond those required by "responsible academic citizenship" shall be considered in the award of salary increases.

Evaluation of Academic Citizenship May Include:

Student Service Related Activities:

Documentation of advising activities, numbers of students (UG, Graduate).
Documentation of advisory roles and responsibilities for official student organization, description of activities and outcomes related to enhancement of student life.

Institutional Governance Activities:

Documentation of departmental, divisional, and/or university wide committee or other assignments; description of activities and outcomes as related to effective governance and leadership.