

Draft - Faculty Handbook - Draft

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NOTICE

The purpose of the Faculty Handbook is to describe the administrative policies and procedures of the University which affect academic units. Reasonable efforts have been made to cover all important matters and to ensure that the contents are accurate; in the event that areas of policy have been omitted or are not stated clearly, or if ambiguities or inconsistencies are found to exist, decisions will be made by appropriate officials of the University.

The University reserves the right to amend or alter the conditions and terms contained in this Handbook as it deems necessary. The University will attempt to give notice of changes of information, policy, and procedure to faculty members and administrative personnel; inquiries as to whether the information contained herein is the current policy and procedure of the University should be made at the Office for Academic Affairs. Board of Trustees Rule 151 contains this statement:

Although this handbook intends to reflect currently any policies or rules of the Board of Trustees of The University of Alabama referred to or incorporated herein, users are cautioned that changes or additions to such policies or rules may have become effective since the publication of this material. In the event of such a conflict the current statements of Board policy contained in the official minutes and manual of rules, bylaws, and guidelines shall prevail.

This Handbook will be revised periodically. The revision process will include consultation with the Council of Deans and with the Steering Committee of the Faculty Senate. Suggestions for changes should be addressed to the ~~Academic Vice President~~ *Provost/Vice President for Academic Affairs*.

October 1, 1993

TO: All Faculty, Staff, and Students

FROM: Roger Sayers

President

SUBJECT: Equal Employment Policy

By mission, policy, and law, The University of Alabama is committed to the principle of equal opportunity.

This year marks the centennial anniversary of the first enrollment of women at the University and the 30-year anniversary of the first sustained enrollment of African-American students on campus. At these anniversaries, it is particularly fitting that in reaffirming the University's equal opportunity policy we acknowledge that the institution has been enriched and transformed by the participation of women and men of every race and ethnicity.

We continue to support the goals of affirmative action and diversity in the belief that achieving diversity will enhance the qualitative growth of the University. By our efforts to meet these goals, we not only respond to legal and moral obligations but also serve the self-interest of the University.

Below is the University's official equal opportunity statement for publication, posting, or other required notice, which is reaffirmed this date:

The University of Alabama is committed to equal opportunity in employment and education and does not discriminate on the basis of race, color, religion, national origin, sex, age, disability, or citizenship or veteran status as provided by law. The University complies with all applicable nondiscrimination and affirmative action provisions of the Civil Rights Act of 1964, Executive Order 11246, the Education Amendments of 1972, the Rehabilitation Act of 1973, the Vietnam Era Veterans Readjustment Assistance Act of 1974, the Age Discrimination in Employment Act of 1967, the Age Discrimination Act of 1975, the Immigration Reform and Control Act of 1986, and the Americans with Disabilities Act of 1990. Inquiries concerning this policy may be directed to Dr. Kay Staub, Room 321 Wilson Hall, Room 201 Rose Administration, Box 870300, The University of Alabama, Tuscaloosa, Alabama 35487-0300; 205/348-5855 (Voice/TDD).

TO: All Faculty, Staff, and Students

FROM: Roger Sayers

President

SUBJECT: Smoking Policy

The University of Alabama is committed to providing a safe environment for its employees and students. Because of the health hazards associated with tobacco smoke, the University Health and Safety Committee has recommended and I have approved the following policy for implementation effective November 21, 1991:

Smoking is prohibited in all buildings on campus except in designated areas in Coleman Coliseum, the Ferguson Center, and residential buildings. Smoking is permitted in Coleman Coliseum only in the lobby and concourse areas. Smoking in the Ferguson Center is permitted only in areas clearly marked as smoking areas. Smoking is permitted in residential buildings only in private rooms and private apartments.

In compliance with Southeastern Conference policy, smoking is prohibited at intercollegiate athletic events in all stadia except in designated areas in each stadium.

TO: All Faculty, Staff, and Students

FROM: Roger Sayers

President

SUBJECT: Statement of Principles Supporting Cultural Diversity

The University of Alabama is committed to equal opportunities in education and employment and supports an environment of ethnic, religious and cultural diversity. The University neither endorses nor tolerates statements, behavior, tokens, or insignias which deride or disparage an individual or group because of race, ethnicity, creed, or personal lifestyle, when such actions, statements, or signs fulfill no educational goal.

(December, 1995)

CHAPTER ONE

GENERAL INFORMATION

I. Introduction

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 sixteen 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'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 University of Alabama is the result of that donation. The State of Alabama was not established until 1819, thus in a sense the University is older than the State.~~ 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 [*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. It houses a set of 25 bronze bells beginning in size of three feet in diameter and 305 small bells making up a complete campanile carillon. There is an automatic player for musical programs and the striking every quarter hour as well as a manual keyboard that can be played by a carillonneur.~~

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 1969 and 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 Board of Trustees by-laws~~ *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 vice presidents of the major functional areas, deans of the divisions, and other administrative staff.

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 Academic Vice President directs, coordinates, and facilitates development of the University's academic programs in instruction, research, and public service. ~~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 Academic Vice President 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 ~~Academic Vice President~~ 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 ~~Vice President~~ 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 ~~Academic Vice President~~ 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 for ~~Educational~~ Development

The Vice President for ~~Educational~~ Development administers programs that encourage financial support for the University from individuals, foundations, corporations, support groups, and private businesses. One function of the office is to develop public understanding of the educational mission of the University and of changing directions for the institution. This office provides memoranda of agreement between the University and private donors of restricted gifts of all types, and drafts resolutions for the Board of Trustees which recognize endowments and other significant contributions.

The Assistant Vice President and the Director of Alumni Affairs perform administrative duties assigned by the Vice President for ~~Educational~~ Development or the President. The staff of the Office for ~~Educational~~ Development is augmented from time to time by the appointment of temporary staff members to assist in special capital campaigns.

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, a Director of Physical Planning and Facilities, a Director of Personnel Services, a Director of Business Services and Purchasing, a Director of Engineering Services, a Consulting Engineer, and also supervises the University Police Department. *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 coordinates student services and provides leadership in the development of programs that supplement classroom experiences and enrich the quality of campus life. *The Vice President is assisted by an Associate Vice President and Assistant Vice Presidents.*

The Office for Student Affairs consists of six major organizational units: Student Services; Housing and Residential Life; Student Life; Student Health Services; Student Financial Aid and Scholarships; and University Recreation. Student Services provides assistance and support to students in academic and career matters and in personal development. It includes the Career Center, the Counseling Center, the Learning Skills Center, International Student Affairs, National Student Exchange Program, Special Services Program, University Child Care Services, and Veterans Affairs.

Housing and Residential Life seeks to provide a living environment conducive to students' academic, social, and personal growth. A variety of residence halls and apartments accommodate approximately 4,000 students.

Student Life offers a wide variety of activities to enrich campus life. Responsibilities of this office include operation of the Ferguson Center, Union Programs, advising and supporting recognized student groups and organizations including the Greek systems, and administering the student code of conduct.

Student Health Services provides primary health care for students and includes in-patient care, an out-patient clinic, pharmacy, X-ray and laboratory services, physical medicine and rehabilitation, gynecology, and mental health services as well as health education programs.

Student Financial Aid and Scholarships offers financial assistance information and aids students in applying for grants, loans, work-study programs, and scholarships, and also supervises Student Publications and Disabled Student Services. Student Publications offers an opportunity for students to work on publications and also provides information to the University community. Publications include the [*Crimson-White, Tusk, Corolla*], the [*Black Warrior Review*], the [*Southern Historian*], and the [*Bama Video Yearbook*]. Disabled Student Services provides assistance and support for handicapped or disabled students and serves as a liaison to the State of Alabama Department of Vocational Rehabilitation.

University Recreation provides recreational opportunities for students, faculty, and staff. Recreational Sports includes the Student Recreation Center, the Intramural Program, the Outreach Fitness Programs, the tennis courts, and group recreational opportunities. The Aquatic Center includes the three swimming pools and a weight room.

H. Office for External Affairs

The Vice President for External Affairs establishes working relationships with local, State, and Federal governments. As a part of this effort the office seeks to generate public support for the institution's instructional, research, and service programs. It is engaged in developing and maintaining cooperative relationships with business and industry that enhance the research and instructional programs of the University. Also, the office represents the institution through an active public information program.

Hf. Divisions of the University

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

The chief administrative officer of a division is a dean or director. The dean or director, 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 College prepares individuals ~~for careers as professional practitioners of nursing through study in the natural and social sciences and in the humanities~~ *to engage in the professional practice of nursing through study in the humanities and the natural, social, and nursing sciences*. The program leads to the Bachelor of Science in Nursing degree. Opportunities for ~~graduate~~ *master's* study are available through ~~cooperative arrangements with the University of Alabama School of Nursing in Birmingham~~ *a Modified Outreach Program with The University of Alabama School of Nursing, The University of Alabama at Birmingham*.

2. College of Arts and Sciences

The college prepares students in natural sciences, social sciences, humanities, and fine arts, and provides basic education in liberal arts and sciences for all other University divisions. The College also offers a pre-major studies program as well as preprofessional programs in medicine, law, and other fields. It offers programs of instruction in the following areas: American Studies; Anthropology; Applied Mathematics; Applied Music; Applied Physics; Art; Art History; Astronomy; Audiology; Biochemistry; Biology; Chemistry; Classics; Communicative Disorders; Computer Cartography Graphics; Computer Science; Creative Writing; Criminal Justice; Dance; Economics; English; Experimental Statistics; French; Fuels and Mineral Resources;

General Studies; Geography; Geology; German; Greek; Health Care Management; History; International Relations; Latin; Latin American Studies; Marine Science; Mathematics; Mathematical Statistics; Medical Technology; Microbiology; Music; Music Administration; Philosophy; Physics; Political Science; Portuguese; Psychology; Public Administration; Public Archaeology; Regional and Urban Planning; Religious Studies; Romance Languages; Russian and East European Studies; Russian Language and Literature; Sociology; Spanish; Speech-Language Pathology; Studio Art; Theatre; Women's Studies; and World Literature. Programs in the College lead to the following undergraduate degrees: Bachelor of Arts; Bachelor of Science; Bachelor of Fine Arts; Bachelor of Music; and Bachelor of Science degrees in Chemistry, Medical Technology, Microbiology and Geology. Certificate programs are available in Regional and Urban Planning and Teacher Education. The College offers graduate instruction leading to the Master of Arts, Master of Fine Arts, Master of Music, Master of Public Administration, Master of Science, Educational Specialist, Doctor of Musical Arts, and Doctor of Philosophy degrees.

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 principal objective of the College of Commerce and Business Administration is to give students a thorough scientific and professional education that will prepare them for technical and managerial positions in business, industry, and public sector organizations. The College also provides an appreciation and understanding of the problems and relationships of social and economic institutions. Academic units within the College which offer degree programs are: School of Accountancy; Economics, Finance, and Legal Studies; Management and Marketing; and Management Science and Statistics. The College offers undergraduate programs leading to the degree of Bachelor of Science in Commerce (with a major field). The College offers graduate instruction leading to the following degrees: Master of Arts (with a major field), Master of Accountancy, Master of Science (with a major field), Master of Tax Accounting, and the Doctor of Philosophy in Business Administration (with a major field).

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, established in 1972, educates and trains primary care physicians to meet the needs of non-urban 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. The major graduate program is the Family Medicine-Practice Residency. Faculty members of the College participate in undergraduate and graduate teaching of health related curricula in several of the colleges in the University. Consultation, research, and service programs extend throughout the state and region and to several overseas areas.

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; Cooperative Education Program; Division of Professional and Management Development Programs; Division of Instructional Programs; Independent Study Department; Law Enforcement Academy; Paul W. Bryant Conference Center; and The University of Alabama--Gadsden Education and Research Center and Educational Telecommunications.

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. Some of these programs provide opportunities for participating faculty members to earn additional compensation.

(a) Division of Environmental and Industrial Programs

This Division provides University-based training, research, and assistance in such areas as engineering, applied science, industrial technology, energy, occupational safety and health, environmental control, and other technical areas related to regulatory compliance, loss control, and economic growth and development.

(b) Cooperative Education Program

This Program locates temporary employment and internships in business, industry, and government for students who want to combine academic preparation with on-the-job experiences.

(c) Division of Professional and Management Development Programs

This Division offers a variety of business programs including the Certified Public Accountant Review and the Human Resources Management Conference. In addition, programs are offered to meet the special educational needs of professional organizations, trade organizations, and governmental agencies. These programs enable participants to obtain information about recent developments in their fields and to acquire new skills in areas such as communications, information systems, and management.

(d) Division of Instructional Programs

This Division administers Weekend College, the Adult Student Office, the Child Development Associate Training Program, Institutes for secondary school teachers, and coordinates off-campus offerings. The Child Development Associate Training Program trains Head Start staff members and other pre-school workers and staff members throughout Alabama; the Program offers credit courses which can lead to a certificate in Child Development.

(e) Independent Study Department

This Department coordinates correspondence courses as an alternative to on-campus enrollment at the high school and college level.

(f) Law Enforcement Academy

The Academy provides basic, advanced, and reserve training for peace officers throughout the state. Approximately 1100 students are enrolled each year.

(g) Paul W. Bryant Conference Center

The Center is a premier conference and meeting facility featuring advanced media technologies, flexible meeting space, and full-service professional conference management.

(h) The University of Alabama Gadsden Education and Research Center

This Center, established in 1946, is an off-campus program of The University of Alabama. It assists residents of northeast Alabama by arranging graduate-level coursework for credit, supplying testing services, by providing information about the University's main campus, and by serving as a liaison with the main campus.

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

The College is the oldest engineering school in the state of Alabama and one of the oldest in the nation. It prepares students for professional careers in engineering and computer science. Programs of instruction are offered in the following areas: Aerospace, Chemical, Civil, Electrical, Industrial, Mechanical, Metallurgical and Materials, and Mineral Engineering; Computer Science; Engineering Science and Mechanics; Engineering Graphics; and Environmental Engineering. These programs lead to Bachelor of Science degrees in each of the eight areas of engineering listed above and in computer

science. The college offers instruction in designated areas which leads to the Master of Science in Engineering, the Educational Specialist in Engineering, and the Doctor of Philosophy degrees.

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 Business Administration~~; 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. School of Library and Information Studies

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. New College

The College offers individualized curricular plans leading to the Bachelor of Science or the Bachelor of Arts degrees. The College emphasizes academic advising and a core of interdisciplinary seminars in the natural sciences, the social sciences, and the humanities. Students complete their depth studies (majors) using courses taught in other University divisions. The Computer-Based Honors Program and the External Degree Program (for adults) are part of the New College.

12. ~~School~~ College of Communication

The ~~School~~ 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 Broadcast~~ and Film; Journalism; and Speech Communication. ~~University Television Services~~ *The Center for Public Television and Radio*, ~~University Radio Services~~, and the ~~Communication Research and Service Center~~ *Institute for Communication Research* are components of the ~~School~~ College. Programs of instruction lead to the Bachelor of Arts, Master of Arts, and Doctor of Philosophy degrees.

13. 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.

14. School of Mines and Energy Development

~~The School is an interdisciplinary research and service division which coordinates and supports University efforts in the areas of mining, mineral resources, energy, and related activities. Units incorporated in the School include the Mineral Resources Institute, the Natural Resources Center, and the State Mine Experiment Station. The Director of the School reports to the Academic Vice President.~~

14. School of Social Work

At the bachelor's and master's levels, the School prepares social workers to ~~deliver, administer, plan~~ *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 ~~emphasizes research which develops~~ *prepares graduates to develop and impart* knowledge to advance the profession. ~~Research activities also enrich educational programs and meet special needs in the state and region. The faculty of the School engage 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.~~

15. University Libraries

~~The University Libraries include the Main Library and specialized divisional libraries which serve Commerce and Business Administration, Community Health Sciences, Education, Engineering, Law, and the Sciences. The libraries maintain open stacks for students and faculty. The libraries offer a full range of reference and information services; are a regional United States Documents Depository; provide library instruction for all students and faculty; and supply photocopy, Interlibrary Loan, and microfilm services. The University's Office of Records Management, which surveys records in all offices of the University, is administered through the Special Collections Library.~~

~~The William Stanley Hoole Special Collections Library, housed in the Main Library, contains collections on Southern history and culture, rare book and map collections, historical manuscripts, the University archival collections, and the Archives of American Minority Cultures.~~

~~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 J. 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 K. 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: ~~University Professor; named Chairs and Professorships; Research Professor; Professor Emeritus. *Professor Emeritus; Research Professor; University Professor; and named 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. Appendix A contains "Policies and Guidelines for Faculty Participation in the Selection and Evaluation of Deans and Departmental Chairpersons and in the Review of Academic Programs."~~

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.)

A. Committees

The University maintains a number of University Standing Committees to assist the administration in reaching decisions and to ensure representation of appropriate segments of the University. These committees make recommendations on issues important to the University community and are notified of the results of their recommendations. University Standing Committees are described in memoranda which are distributed annually to every department and area and are available in the Office of the President and in the Office for Academic Affairs.

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

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 which 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.

A Core Curriculum Oversight Committee monitors the Core Curriculum, interprets policies when necessary, and recommends changes. The Committee consists of twelve faculty members chosen by the Office for Academic Affairs after consultation with the Academic Affairs Committee of the Faculty Senate, plus one representative of the Faculty Senate appointed by that body, plus two students appointed *annually* each year by the Academic Reform Committee of the Student Government Association.

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 judgments on issues of policy, development, and operations by:~~

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

~~The Faculty Senate is requested each year to recommend a member to serve on each appropriate Standing Committee of the University. The constitution and by-laws of the Faculty Senate appear in Appendix H.~~

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 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 Southern Association of Colleges and Schools. *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.

December, 1995

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

CHAPTER TWO

FACULTY PERSONNEL POLICIES

I. Introduction

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

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

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

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

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

II. Criteria and Standards for Appointments

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

Faculty members who have not been awarded tenure have one of two types of appointments: probationary or temporary. Probationary faculty members are employed with the understanding that performance at appropriate levels during a probationary period may result in the award of tenure. Employment as a temporary faculty member conveys no right or expectation of continued employment beyond the period specified in the letter of appointment.

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

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

A. Instructor

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

B. Assistant Professor

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

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

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

C. Associate Professor

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

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

D. Professor

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

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

E. Endowed Chairs and Professorships

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

E.F. Temporary Ranks

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

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

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

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

F.G. Joint Appointments

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

G.H. Non-Faculty Research Appointments

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

III. Criteria and Standards for Promotion

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

A. Promotion From Instructor To Assistant Professor

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

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

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

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

- (a) Evidence of effective performance by the candidate in the classroom and/or other instructional settings and evidence of the degree of the candidate's commitment to instructional excellence, including judgments by members of the departmental promotion committee and the departmental chairperson.
- (b) Student opinions regarding the candidate's classroom performance, together with their opinions concerning the quality of the course.
- (c) Any available evidence that the candidate has made contributions (beyond those included in responsible academic citizenship) to improving the quality of the instructional programs in his/her academic area. Such contributions may include improving the presentation of course materials,

developing effective instructional aids, developing new courses or programs, strengthening the content of existing courses, preparing useful and current course syllabi, assisting in student recruitment and career placement, performing meritoriously in adult and professional continuing education programs, providing curricular or instructional leadership, and obtaining or participating significantly in grants and contracts which enhance the University's instructional efforts.

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

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

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

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

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

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

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

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

B. Promotion From Assistant Professor To Associate Professor

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

While meritorious performance in an administrative and/or service capacity substantially enhances a candidate's case for promotion, such performance

generally cannot be the primary basis upon which a faculty member receives promotion from Assistant Professor to Associate Professor. Promotion to the rank of Associate Professor is awarded principally on the basis of academic merit, as evidenced by a candidate's academic credentials, teaching effectiveness, instructional contributions, and record of research, publication, creative activity, and scholarly achievement.

C. Promotion From Associate Professor To Professor

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

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

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

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

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

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

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

- (a) articles published in refereed journals in the candidate's discipline;
- (b) books and book-length research monographs;
- (c) invited or juried or reviewed exhibitions, presentations, or performances;
- (d) chapters in books and edited collections of readings;
- (e) research reports submitted in connection with research grants or contracts;
- (f) participation in research contract or grant activities;
- (g) papers published in the proceedings of meetings of professional associations;
- (h) articles in non-refereed periodicals;
- (i) papers presented at professional meetings;

- (j) appointment as a referee, or as a member of an editorial board, or as an editor of a scholarly academic or professional journal;
- (k) any other types of scholarly publications and creative efforts which contribute to the candidate's fields of specialization;
- (l) important professional activities which contribute materially to the individual's professional stature and to the University's mission.

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

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

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

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

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

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

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

IV. Criteria and Standards for Awarding

Tenure to Probationary Faculty

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

A. Criteria and Standards

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

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

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

- (a) Evidence of effective performance by the candidate in the classroom and/or other instructional settings and evidence of the degree of the candidate's commitment to instructional excellence, including judgments by members of the departmental tenure committee and the departmental chairperson.
- (b) Student opinions regarding the candidate's instructional performance together with their opinions concerning the quality of the course.
- (c) Any available evidence that the candidate has made contributions (beyond those included in responsible academic citizenship) to improving the quality of the instructional programs in his/her academic area. Such contributions may include improving the presentation of course materials, developing effective instructional aids, developing new courses or programs, strengthening the content of existing courses, preparing useful and current

course syllabi, participating effectively in the supervision of research efforts of graduate students, assisting in student recruitment and career placement, performing meritoriously in adult and professional continuing education programs, providing distinguished curricular or instructional leadership, and obtaining or participating effectively in grants and contracts which enhance the University's instructional efforts.

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

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

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

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

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

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

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

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

Usually, faculty members who have made sufficient progress toward achieving the professional status required for tenure will already hold the rank of Associate Professor or Professor. However, there are times when it may be appropriate for Assistant Professors to be considered simultaneously for both tenure and promotion to Associate Professor. There may arise exceptional cases where it is appropriate to award tenure to a person who holds the

rank of Assistant Professor *or Instructor* and has not been recommended for promotion; in these instances the candidate must satisfy conditions 3 and 4 and, in addition, must present convincing evidence of **outstanding** instructional performance and effectiveness. While tenure may be awarded in unusual cases to faculty members who are Instructors or Assistant Professors, any subsequent promotion of such individuals to a higher academic rank requires that they meet the performance expectations regarding research, publication, creative activity, and scholarly efforts in their disciplines and fields of specialization.

B. Duration of Probationary Status

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

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

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

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

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

C. Initial Appointment with Tenure

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

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

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

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

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

VI. Preparation of Dossiers; Subsequent Additions

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

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

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

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

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

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

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

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

VII. Progress Reviews of Probationary Faculty

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

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

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

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

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

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

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

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

VIII. Procedures for Making Tenure Recommendations

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

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

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

A. Departmental Tenure Recommendations

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

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

B. Divisional Tenure Recommendations

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

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

C. University Tenure Decision

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

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

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

IX. Procedures for Making Promotion Recommendations

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

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

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

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

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

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

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

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

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

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

XI. Employment of Members of the Same Family

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

XII. Resignations

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

XIII. Retirement

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

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

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

~~XXX~~ XIV. Termination and Severance

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

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

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

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

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

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

~~XXXX~~ 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 J describes the salary conversion and leave policies followed when administrative status is changed to faculty status.

~~December, 1995~~

CHAPTER THREE

FACULTY CONDUCT AND COMPENSATION

~~XIV~~. I. Academic Freedom

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

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

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

Any faculty member may speak freely as a private citizen, but should make it clear that the views stated represent personal opinions and do not necessarily represent the position of the institution. In expressing opinions in public, faculty members should realize that the public may judge the

teaching profession, as well as the University, on the basis of statements made by individual faculty members.

xxv. II. Code of Conduct

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

A. Introduction

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

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

B. The Statement

1. The professor, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognizes the special responsibilities placed upon him. His primary responsibility to his subject is to seek and to state the truth as he sees it. To this end he devotes his energies to developing and improving his scholarly competence. He accepts the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. He practices intellectual honesty. Although he may follow subsidiary interests, these interests must never seriously hamper or compromise his freedom of inquiry.
2. As a teacher, the professor encourages the free pursuit of learning in his students. He holds before them the best scholarly standards of his discipline. He demonstrates respect for the student as an individual, and adheres to his proper role as intellectual guide and counselor. He makes every reasonable effort to foster honest academic conduct and to assure that his evaluation of students reflects their true merit. He respects the confidential nature of the relationship between professor and student. He avoids any exploitation of students for his private advantage and acknowledges significant assistance from them. He protects their academic freedom.
3. As a colleague, the professor has obligations that derive from common membership in the community of scholars. He respects and defends the free inquiry of his associate. In the exchange of criticism and ideas he shows due respect for the opinions of others. He acknowledges his academic debts and strives to be objective in his professional judgment of colleagues. He accepts his share of faculty responsibilities for the governance of his institution.
4. As a member of his institution, the professor seeks above all to be an effective teacher and scholar. Although he observes the stated regulations of the institution, provided they do not contravene academic freedom, he maintains his right to criticize and seek revision. He determines the amount and character of the work he does outside his institution with due regard to his paramount responsibilities within it. When considering the interruption or termination of his service, he recognizes the effect of his decision upon the program of the institution and gives due notice of his intentions.
5. As a member of his community, the professor has the rights and obligations of any citizen. He measures the urgency of these obligations in the light of his responsibilities to his subject, to his students, to his profession, and to his institution. When he speaks or acts as a private person he avoids creating the impression that he speaks or acts for his college or university. As a citizen engaged in a profession that depends upon freedom for its health and integrity, the professor has a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

xxvi. III. Participation in Political Activities

(originally under XVI. Faculty Work Loads and Assignments)

Board of Trustees Rule 320 governs the rights and obligations of University personnel who seek or hold public office. The Rule recognizes the civil and political rights and responsibilities of University personnel and encourages them to fulfill their responsibilities as private citizens. The Rule prohibits the

use, or appearance of use, of the University name or resources in support of a political campaign or organization, and imposes two limitations on University personnel who expect to retain their connection with the University while holding public office. These limitations are:

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

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

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

~~THE UNIVERSITY OF ALABAMA BOARD OF TRUSTEES~~

~~RULE 320~~

A. Political Activities of University Personnel

1. Application of Rule

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

2. Policy

The Board hereby reaffirms its historic position that the institution shall neither endorse nor support any candidate for nomination or election to any public office of the State of Alabama or any other political entity. Employees of the University do not surrender their civil and political rights and responsibilities, however, by virtue of their employment. Indeed, the Board of Trustees encourages the officials and employees of the University to fulfill their civic responsibilities as private citizens. But the Board shall continue to require that, consistent with state law, no University employee shall use or permit to be used University resources, time, or property for or on behalf of any political candidate, campaign, or organization or for any contribution or solicitation of any contribution to a political campaign or organization; nor shall any University employee lend or appear to lend the support of the University in connection with any contribution or solicitation of any contribution to a political campaign or organization. (Nothing in this rule is intended to discourage the impartial use of University facilities as a public forum, however.)

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

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

3. Report to the Chancellor

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

~~XXVIII. IV. Policy on Contributions~~

The University cooperates with the United *Way of West Alabama* ~~Fund of Tuscaloosa County~~ by sponsoring a *voluntary* University-wide solicitation campaign for the United *Way* Fund. Other groups wishing to solicit funds on campus must obtain prior approval from the ~~University Director of~~

~~Personnel Services Assistant Vice President for Human Resources. The University of Alabama subscribes to the principle that only voluntary contributions shall be sought.~~

~~xxxix.~~ 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.

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

A. Work Load and Full-time Equivalent

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

B. University Convocations

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

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

~~C.~~ Tutoring

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

~~xxxiii.~~ VII. Supplemental Compensation Policy

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

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

~~THE UNIVERSITY OF ALABAMA~~

~~POLICY ON SUPPLEMENTAL COMPENSATION~~

~~Preamble~~

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

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

~~A. Definitions~~

~~1. "Faculty and Staff," as used in this document, refers to all Faculty, Academic Deans, Executives, and Administrative/Professional Staff who by nature of their work are exempt from the timekeeping and overtime provisions of the Fair Labor Standards Act. "Faculty" includes faculty members on sabbatical leave.~~

2. "Internal supplemental compensation" is any compensation paid through the University to any faculty or staff member in addition to his or her base pay.
3. "External supplemental compensation" is any salary or wages not paid through the University which a faculty or staff member receives for currently performed professionally related services.
4. "Supplemental compensation" refers to both internal and external supplemental compensation.
5. An academic year appointment covers the nine-month period beginning on August 16 and ending on May 15. A twelve-month appointment begins August 16 and concludes on the following August 15.
6. "Appropriate administrative officer" refers to that individual who determines the faculty or staff member's conditions of employment. The "appropriate administrative officer" for a faculty member normally is the dean of the school or college or division director. Reports and requests for approval from faculty members will be transmitted to the dean or director by the appropriate departmental chairperson and will include the chairperson's recommendation. If the faculty or staff member is a dean, or vice president, or other executive, the "appropriate administrative officer" is the person to whom the individual reports.

B. Supplemental Compensation

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

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

1. (a) Each faculty member at the University is expected not only to be an effective teacher and to maintain an ongoing program of research and scholarly effort but also to exercise responsible academic citizenship; this typically includes advising students, serving as faculty advisor to student organizations, actively participating in professional associations, and engaging in other university activities where faculty participation is normal. Because supplemental compensation activity may infringe on these responsibilities, the faculty member is required to get prior approval from the dean or the dean's designated representative for any such activity. Deans, on their part, will respond with approval (or disapproval) promptly and normally will respond within one working day of receiving the request. The faculty member may proceed with the activity after receiving oral approval, but the dean will make a written record of the approval and will supply a copy to the faculty member. If the proposed activity is not approved, the dean will give the faculty member written notice of reasons for disapproving. Factors to be considered by the dean when deciding whether to approve supplemental compensation activities may include possible conflicts of interest, the amount of time the activity will require, and the appropriateness of arrangements to meet the faculty member's responsibilities.

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

2. Faculty members on academic year appointments may have no more than 39 supplemental compensation days (excluding weekends and holidays) during any academic year.
3. Faculty and staff on twelve-month appointments must make arrangements with the appropriate administrative officer in order to receive supplemental compensation. Their maximum number of supplemental compensation days is 28 (excluding holidays, weekends, and annual leave) in any 12-month appointment period.
4. Faculty members with a full-time Interim Term assignment may not exceed three days of supplemental compensation during that period. Faculty members with a full-time summer assignment may not exceed five days of supplemental compensation in any summer term.
5. A full-time University faculty or staff member may not hold an academic appointment with any other institution of higher education without written approval from the ~~Academic Vice President~~ *Provost/Vice President for Academic Affairs*.

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

C. Internal Supplemental Compensation

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

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

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

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

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

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

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

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

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

D. Reporting Procedures

1. Deans and directors of academic units will submit an annual report by October 1 to the ~~Academic Vice President~~ *Provost/Vice President for Academic Affairs* summarizing supplemental compensation activities for their division. Other directors will provide annual summaries of supplemental compensation activities to their vice presidents by October 1.

2. Each division of the University has developed a process for reporting and summarizing supplemental compensation activities. Faculty and staff members must follow the procedures of the division to which they are assigned.

E. Conflict Provisions

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

~~IX.~~ **VIII. Sabbatical Leaves**

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

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

1. Conducting research that leads to publication.
2. Conducting research or study that leads to improving teaching, to a new area of teaching or research expertise, or to curriculum development.

3. Engaging in activities to revitalize or retrain the faculty member, such as association with distinguished persons in the field.

A. Eligibility

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

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

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

B. Term of Leave and Compensation

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

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

Faculty members on sabbatical leave have the same right to earn supplemental compensation as faculty members who are not on sabbatical leave (see ~~Appendix E~~ *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 vitae and the names of two references who can supply informed judgments about the applicant's proposed project.

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

D. Administration

As far as possible, divisional programs and schedules should be planned to enable faculty members to propose sabbatical leaves when eligible to apply.

However, continuity of divisional programs may require leaves to be scheduled in other than a seventh year of service. A faculty member whose application for leave is refused solely because of needs of the department or division should be encouraged to submit an application for the following year; in such cases, efforts will be made to arrange to make leave possible.

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

E. Reporting

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

~~xx.~~ IX. Faculty Exchange

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

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

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

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

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

~~xiii.~~ X. Support for Research

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

A. Departmental Support

1. Reassigned Time

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

2. Expenses for Faculty Professional Travel

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

Prior arrangements for reimbursement for travel must be made with the departmental chairperson or area head. The University publishes details and procedures for travel

reimbursement from time to time; the published information controls all expense reimbursement. Copies of the current policy may be obtained from departments, deans offices, and the Office for Academic Affairs.

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

B. Divisional Support

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

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

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

C. Support from the Office for Academic Affairs

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

1. Research Grants Committee

The Office for Academic Affairs supports and coordinates awards recommended by the Research Grants Committee. This faculty committee recommends grants for specific research projects proposed by faculty members. Normally these projects emphasize worthwhile research for which little outside money exists or for which initial support may lead to outside funding. The grants support needed research components such as compensation for research workers and clerical assistance, expenses for research-related travel, operating expenses, equipment expenses, and summer stipends. The Research Grants Committee announces an application deadline each fall and each spring semester. Information about deadlines and about procedures for filing applications can be obtained from the ~~Coordinator of the Research Grants Committee~~ *Office for Academic Affairs*.

2. Sponsored Programs

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

3. Computer Services

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

xxiv. XI. Conflict of Interest

A. Government Sponsored Research

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

B. Textbook Selection

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

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

~~xxv~~ 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 JG).

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

~~xxvi~~ XIII. Copyright Policy

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

~~xxvii~~ XIV. Reproduction of Copyrighted Materials

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

~~xxviii~~ XV. Academic Calendar and Compensation Periods

A. Calendar

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

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

B. Compensation Periods

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

~~XXVH.~~ XVI. Summer Session and Interim Term Program

A. Summer Session

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

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

B. Interim Term Program

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

Faculty members interested in teaching during the Interim Term an Interim Program course begin by submitting a proposal to their departmental chairperson. The proposal is reviewed by the chairperson and dean, who recommend for or against approval, and then is forwarded to the Interim Term Program Advisory Board Committee for further review. The Board Committee makes a recommendation to the director. Final decisions on courses to be taught during through the Interim Term Program are made following a the March telephone pre-registration period. Guidelines for proposing Interim Term Program courses are distributed each fall. These guidelines include current information about compensation for teaching during in the Interim Term Program.

~~XXI.~~ XVII. Internal Degree Candidacy

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

December, 1995

CHAPTER ~~THREE~~ FOUR: FACULTY BENEFITS

I. Retirement, Insurance, and Other Group Benefits

The Benefits Office maintains current information concerning policies of all benefit programs. ~~Each new faculty member should arrange a conference with someone from the Benefits Office as soon as possible after arriving on campus. 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 and professional staff members are required by state law to participate in TRSA. ~~The only exceptions to this requirement are is for temporary personnel employed for a period of one year or less, and for individuals who have attained age 61 prior to appointment and have not previously held membership in TRSA or the State Employees' Retirement System.~~ Faculty and staff members contribute five percent of their total compensation to TRSA; the State of Alabama contributes appropriate funds calculated by a formula. ~~The member's contributions of those who participate is 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.

~~In the event a member resigns from employment with the State of Alabama before vesting in the program or before qualifying for retirement, the individual is entitled to receive his or her accumulated contributions plus a portion of the accrued interest.~~

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, and professional staff members who meet criteria of the Wage and Hour Law for exempt status, 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 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

Faculty or staff members have the option of purchasing annuity contracts through salary reduction agreements. Subject to Internal Revenue Service regulations, federal *and state* tax on those contributions may be deferred. Participation in salary reduction agreements has no effect on contributions to TRSA, Social Security, and group insurance coverages. ~~Members may choose to place funds from salary reduction agreements in Supplemental Retirement Annuities (SRA) of any annuity company which meets conditions specified by the University. If the contribution is tax deferred, the choice of the amount contributed cannot be changed more than once each year.~~

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 are covered by the University's group term life insurance and accidental death and dismemberment insurance as of the date of active employment with the University. This benefit, which is provided without cost to the individual, is not available to part-time employees or to persons holding temporary appointments. The individual must complete enrollment papers within the first 30 days of service. The Benefits Office maintains a current schedule of the amount of coverage provided. Individuals who are covered by these policies may purchase additional voluntary term life insurance and additional voluntary accidental death and dismemberment insurance through group insurance arrangements. Personnel in the Benefits Office can furnish further details and enroll faculty members.~~

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.

~~C.~~ D. Medical Insurance

All full-time faculty and regular part-time faculty are eligible to participate in the University's group-sponsored medical insurance program(s). The faculty member must make a decision and inform the Benefits Office of that decision during the first 30 days of employment. Those who decline to participate must complete a statement of waiver. A decision not to participate can be changed by enrolling in the program in any subsequent November or December for coverage beginning the following January 1. The University contributes the premium of the individual employee; the employee can extend the coverage to eligible family members by paying the additional premium required. When a husband and wife are both employees who are eligible for coverage, they may obtain family coverage by paying the difference between the cost of family coverage and that of two individual premiums. Participation does not require proof of insurability. Qualified faculty may opt for family coverage in the first 30 days of an appointment, or at the birth of a child, or within 30 days of marriage. Qualified faculty also may opt during the months of November or December for family coverage beginning the following January 1.

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 Off-set 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 group medical insurance program specifies a number of events which make the employee and/or members of the employee's family ineligible for regular participation in the program. These events include death of the employee, termination of employment or a change to part-time employment ~~ineligible employment status~~, commencement of Medicare coverage, divorce or legal separation, and ~~marriage of a dependent child who no longer meets requirements for dependency or, if age 19-24, is no longer a full-time student~~. Persons becoming ineligible for regular participation because of any of these events (except the employee who commences Medicare coverage or whose employment is terminated for adequate cause) ~~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 case*) 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. Spouses of deceased faculty members may be eligible to continue health care coverage indefinitely.~~*

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 ~~assist in preparing~~ provide forms for insurance claims, but filing claims is the responsibility of each employee or, ~~in some cases,~~ 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.

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

~~Probationary or tenured faculty members who have two calendar years of consecutive service (excluding summer sessions) with the University, and all of their eligible dependents, are entitled to receive tuition grants at The University of Alabama. This entitlement extends to eligible dependents of qualified retired or deceased faculty members. These grants cover fifty percent of the usual tuition (exclusive of any special fees). Eligible dependents consist of the individual's spouse and any unmarried dependent children under the age of 24. The Benefits Office administers this program.~~

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 ~~the~~ 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. ~~Sick Leave or Maternity~~ *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.

(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 ~~for further study or for other activities which contribute to professional development.~~ 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 Academic Vice President Provost/Vice President for Academic Affairs grants approval for~~ *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 Academic Vice President 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 want leave as specified by FMLA should consult the University Compliance Officer. That Officer, after consulting with the Compliance Officer of the faculty member's division, will assist in obtaining any appropriate leave.

5-6. 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. *Calendar year faculty also earn one day of sick leave per month; there is no*

maximum accrual rate for sick leave.

~~IV. Academic Benefits~~

(previously mentioned in Chapter Three)

~~A. Financial Assistance for Research~~

~~IV. Financial Assistance for Research~~

~~The University provides financial and other assistance to faculty members engaged in research. Additional time for research may be provided through a reduced teaching load when departmental or divisional resources permit. The Research Grants program provides some grants-in-aid to faculty members. The Office for Sponsored Programs assists faculty members in identifying contract and grant opportunities and in developing proposals requesting research funds from governmental agencies and from private agencies and foundations.~~

~~B. Publication of Faculty Textbooks and Manuals~~

~~Faculty members may arrange to have their text materials printed and sold through the University Supply Store. The University of Alabama Press welcomes scholarly manuscripts of faculty members; publication decisions are made by the University Press Committee on the basis of a rigorous peer review process.~~

∇ IV. Emergency Medical Care for Job-Related Injuries

The University provides limited emergency medical treatment at the University Health 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 local emergency facilities.

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. 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 local emergency rooms. Detailed procedures are available in academic offices or by calling Human Resources at 348-6692.

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 *in Rose Administration Building* 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 ~~townspeople~~ *local residents*, are included in the groups. The Center is administered by the Department of Human Development and Family ~~Life 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 a ~~Director responsible to University Housing~~ *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, ~~located in the Music and Speech Building~~, 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.

VIII. 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 as 75~~ 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 a minimum of ten 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 has two radio stations: WUAL-FM, 91.5, WQPR, 88.7, and WAPR, 88.3 (Selma station), all 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

A faculty member may purchase a season ticket for football games and/or a season ticket for basketball games at reduced prices. A limited number of additional tickets may be purchased on a priority basis. Generally, admission to all other sports events on campus sponsored by the Athletic Department is free to faculty members and their dependents. University identification cards for faculty members and dependents may be required for free admission. Additional information can be obtained by calling the Athletic Ticket Office.

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.

IX 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

~~Purchasing/Business Services Office~~ *Office of Land Management.*

B. Parking Privileges

Each faculty member who wishes to park a vehicle on campus must register the vehicle with the ~~University Police~~ 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 ~~Transportation Department~~ *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 ~~University Police Station~~ *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.

December, 1995

CHAPTER FOUR FIVE

~~STUDENT-FACULTY RELATIONS~~

FACULTY AND STUDENT INSTRUCTIONAL GUIDELINES

I. Faculty Responsibilities *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 general requirements of effective teaching and good academic citizenship include the following more specific duties of faculty members and of others who teach at 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 B).

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. Office Hours and Advising~~

~~All instructors must maintain regular office hours to answer questions from students and to advise students on academic matters. The schedule of office hours must be posted and must be available in the departmental office.~~

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.

~~B.C. Registration~~

~~Faculty members may be required to assist in the registration process each term. 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.

~~E. Notice of Policies and Requirements~~

Faculty members are required to give their students written notice at the start of each course of relevant policies and requirements. Items to be covered include: course syllabus; attendance policy; the approximate number of major tests and assignments; grading policy; the policy for make-up tests; and required texts.

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 expected to provide the departmental chairperson with accurate syllabi for the courses they teach. The chairperson is responsible for maintaining a file of current course syllabi and for ensuring that the official course descriptions published in University catalogs give an adequate description of the material to be covered.

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 ~~successfully~~ complete the course successfully.

~~B. Textbooks~~

Individual academic units have differing processes for selecting textbooks. The books selected must be reported on the textbook ~~order~~ 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 standards 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

~~F.A. Assignments and Tests~~ Evaluations

Faculty members are required to give an appropriate number of assignments and periodic tests in order to assess the progress of their students. Students must be given timely information about the results and must have an opportunity to discuss the results with their instructor.

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.

~~F.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. ~~Except for laboratory tests which are omitted from the Final Examination Schedule, the University prohibits all tests and extended assignments during this week. 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.~~

~~F.C. Final Examinations and Evaluations~~

Systematic evaluation of students' work is an important part of the teaching-learning process. Evaluation may take many forms and these may vary in number and scope, depending on the objectives and purpose of the course. While evaluation details are properly left to individual faculty members and their departments, a final evaluation, except where specifically exempted as outlined below, is required for all students enrolled in undergraduate courses at The University of Alabama.

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. Each faculty member must inform the class in writing at the beginning of each semester as to the nature and schedule of major evaluations, including the final evaluation. It is the chairperson's responsibility to ensure that proper evaluations are conducted.

Any new courses will be assumed to require a final evaluation unless a petition for a variance is included as part of the course proposal.

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 ~~make~~ 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

~~G.~~A. Class Records

Faculty members are expected to maintain ~~adequate~~ grade records for all registered students. Faculty members may use any system they choose for keeping such records ~~since no official grade book exists~~. 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.

~~H.~~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 ~~as needed~~. 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).

~~I.~~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 ~~instructor faculty member~~ should arrange to have the grade report delivered to the Records Office to guard against loss or delay. ~~Instructors may inform students of final grades prior to the official notification by the University, but public posting of grades should occur only for those students who request it and only as permitted by rules of privacy.~~

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.

~~IV.~~ Student Responsibilities

Students are partners in the teaching-learning experience. Their active participation in class discussion, and effective use of the instructor's time during office hours, can help the instructor adjust to special needs of the class. Regular class attendance is essential, even if not required by the instructor.

Students must also recognize that grades are an integral part of academic evaluation and that fairness in grading requires the detection and suppression of dishonesty in academic work. The University policy on academic misconduct (see Appendix C) describes the process to be followed when

~~misconduct appears to have occurred; the academic grievance policy describes the process to be followed by students who believe they have been treated unfairly (see Appendix D).~~

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.