

PREFACE

This Handbook represents current policy of the university and is consistent with published policy of the University of Alabama Board of Trustees. Policies at UAH are changed from time-to-time by an accepted process. If you find a policy or procedure with which you disagree, you may suggest a change by putting it in writing and submitting it either to the provost or to your faculty senator. The Faculty Senate will review all requests and will make a recommendation to the Provost. The Provost discusses policy changes with the Council of Deans and senior campus administrators. If changes are wished or concerns are voiced, those are referred back to the Faculty Senate. Following final senate approval, the Provost shall make a recommendation to the President to approve or not approve the document. Final action on the Handbook is then taken by the President.

CHAPTER 1

MISSION, HISTORY, AND SYMBOLS

- 1.1 The Mission of the University of Alabama in Huntsville
- 1.2 History
- 1.3 Symbols of the University
 - 1.3.1 University Name
 - 1.3.2 Institutional Seal
 - 1.3.3 Institutional Colors
 - 1.3.4 Institutional Emblems

1.1 The Mission of the University of Alabama in Huntsville

The University of Alabama in Huntsville is a research-intensive, internationally-recognized technological university serving Alabama and beyond. Our mission is to explore, discover, create, and communicate knowledge, while educating individuals in leadership, innovation, critical thinking, and civic responsibility and inspiring a passion for learning.

1.2 History

The University of Alabama originated in a grant of 46,080 acres of land by the Congress of the United States while Alabama was still a territory. The provision for a "seminary of learning" was confirmed by the Alabama constitutional convention, which assembled in Huntsville to write the

constitution for the new state that was admitted to the Union by congressional resolution on December 14, 1819. A Board of Trustees was created three years later, but the determination that Tuscaloosa would be the site of the university was not made until 1827. The first students entered the University of Alabama in 1831.

Although the University Extension Service was organized in 1919, it was not until after World War II that a successful extension program was established in North Alabama. On January 6, 1950, the Huntsville Center opened with 137 students and five part-time instructors. The curriculum consisted of undergraduate courses in the liberal arts, sciences, business, and engineering. Beginning in 1955, graduate courses were provided under contract to the Army and later to NASA.

Population growth and a rapidly expanding technical community centered on Redstone Arsenal contributed to enrollment increases at the center throughout the 1950s. With the arrival of Wernher von Braun and the German rocket team from Ft. Bliss, Texas, in April 1950, the Army Ordinance Guided Missile Center commenced operations. NASA was created in 1958, leading to the opening of the Marshall Space Flight Center in 1960.

The decade of the 1960s opened with the construction of Morton Hall, the first building on a new campus site donated by the City of Huntsville. Named for an extension program dean, Morton Hall provided classrooms and laboratories for 2,000 students, a library, and offices for faculty and administrators. In 1961, Von Braun, now director of the Marshall Space Flight Center, appealed successfully to the Alabama legislature to pass a bill providing for a three-million dollar revenue bond issue to house the recently established Research Institute. Huntsville and Madison County pledged money for the purchase of the land for the new building that opened in 1964. The Research Institute, by acquiring contracts and grants suitable for academic research, provided the means to support faculty engaged in research activities. Funds from NASA's Sustaining Universities Program and annual supplemental grants offered stability and security for research programs into the 1970s.

In 1963, the university announced degree opportunities in Huntsville at the master's level in mathematics, physics, and engineering, and in 1964 initiated degree programs at the baccalaureate level in English, history, mathematics, physics and engineering. The first master's degree (based on work begun and completed in Huntsville) was awarded in 1964. The first undergraduate degrees were awarded in 1968. Full-time faculty grew from seven in 1960 to 103 in 1968. The following year, the Board of Trustees established the University of Alabama System with three independent, autonomous campuses in Huntsville, Birmingham, and Tuscaloosa. Like the other two campuses, the University of Alabama in Huntsville acquired its own president, who reported directly to the Chancellor and through the Chancellor to the Board of Trustees.

Doctoral programs were initiated in physics and engineering in 1971, and the School of Nursing was established the same year. In 1974, in a component of the Alabama School of Medicine, the first full-time medical students began their core clinical experience in Huntsville. These programs were transferred to direct UAB management in 1995. In the two decades of the 1970s and 1980s, The University of Alabama in Huntsville implemented a broad range of undergraduate degree

programs; established master's programs in the liberal arts, nursing, and administrative science; initiated professional degree programs at both the graduate and undergraduate levels; and inaugurated selected Ph.D. programs in high-technology fields in the sciences and engineering.

1.3 Symbols of the University

1.3.1 University Name

The university's official name, The University of Alabama in Huntsville, is protected by copyright and may be used only for official business of the university. Anyone wishing to use the university's name, or such popular names as "UAH," "UAHuntsville," "Chargers," or the seal, or any other materials implying an official endorsement by the university for commercial purposes or for any non-official business, must receive prior permission from the Office of University Advancement. 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 activities.

1.3.2 Institutional Seal

The three campuses of the University of Alabama System share an institutional seal that shows the Roman Goddess of Wisdom, Minerva, standing within a rope-like band. To her left is an open scroll. The goddess holds an olive branch in her left hand. Her right hand rests on the globe. The sun is depicted in the background to her right. For the university, the words within the band are "The University of Alabama" and "Huntsville".

Insert seal here.

1.3.3 Institutional Colors

Blue and white are the colors of The University of Alabama in Huntsville. For printing purposes the blue is PMS 293.

1.3.4 Institutional Emblems

The university seal should be used for formal representations, including diplomas, notary seals, and certificates.

The university has two graphically distinctive emblems. One is the bold "UAHuntsville" in Arial type, with "The University of Alabama in Huntsville" beneath it in the plain Arial typeface. The other is the bold "UAH" in Times type, with the "University of Alabama in Huntsville" in bold Helvetica type. All university entities are encouraged to use these symbols on stationery, business cards, and other official materials.

CHAPTER 2 EXTERNAL GOVERNANCE AND OVERSIGHT

2.1 The University of Alabama System

2.1.1 Board of Trustees

2.1.2 Chancellor

2.2 Alabama Commission on Higher Education (ACHE)

2.3 Accreditation

2.3.1 Institutional Accreditation

2.3.2 Accreditation of Programs

2.4 External Relationships

2.4.1 The University of Alabama Huntsville Foundation

2.4.2 Alliance for Minority Participation Program

2.1 The University of Alabama System

2.1.1 Board of Trustees

The Board of Trustees of the University of Alabama is the legal entity which governs and manages The University of Alabama System. The Governor of the State of Alabama is the ex officio President of the Board of Trustees, and the State Superintendent of Education is an ex officio member of the Board. The remaining members are elected by the Board itself, subject to confirmation by the Alabama Senate. By law two members of the Board are to be elected from each congressional district, except that the district that is the legal home of the University of Alabama System- is to have one additional member.

The Board of Trustees operates three constituent institutions located at Tuscaloosa, Birmingham, and Huntsville. Each institution has a president appointed by the Board to serve as its chief executive officer. The Board has ultimate approval authority for the policies and goals of the university; academic plans, including new programs and new units; admissions policies; legislative requests for appropriations; annual budgets and other financial matters; compensation policy for faculty and staff; campus master plans and facilities development programs; auditing policies; and architects, engineers, and award of construction contracts. It administers campus programs and affairs through the chancellor and the campus presidents.

2.1.2 Chancellor

The Chancellor is the chief executive officer of The University of Alabama System and is the principal link between the Board's responsibility for policy and each president's responsibility for operations. A full description of the Chancellor's responsibilities can be found in the Board of Trustees Manual, **Article V** The University of Alabama System, **Section 2** Authority and Duties of the Chancellor.

2.2 Alabama Commission on Higher Education

The Alabama Commission on Higher Education (ACHE) endeavors to facilitate coordination among four-year institutions of public higher education in Alabama. The Alabama Commission on Higher Education approves new programs and units of instruction, regulates off-campus course offerings and conducts studies having to do with the classification of institutions of higher education and the development of standards for such classifications. ACHE also develops a unified budget report annually containing recommendations for appropriations for each public institution of higher education. This report is presented to the governor and legislature. The ACHE policy manual, available in the Office of the Provost, contains all Commission policies and procedures.

2.3 Accreditation

2.3.1 Institutional Accreditation

The University of Alabama in Huntsville is accredited by the Commission on Colleges of the Southern Association of Colleges and Schools (SACS) to award bachelors, masters, and doctoral degrees.

2.3.2 Accreditation of Programs

Many university programs are also accredited by their respective accrediting agencies, as of 2012, including:

American Chemical Society – ACS

Accreditation Board for Engineering and Technology – ABET Association to Advance

Collegiate Schools of Business – AACSB

Commission on Collegiate Nursing Education – CCNE

Computer Sciences Accrediting Board – CSAB Accreditation Council for Cooperative Education – ACCE

National Council for Accreditation of Teacher Education – NCATE

National Association of Schools of Art and Design – NASAD National Association of Schools of Music – NASM

2.4 External Relationships

2.4.1 The University of Alabama Huntsville Foundation

The University of Alabama Huntsville Foundation evolved from the 1956 establishment of the Huntsville Industrial Sites, Incorporated, a business corporation formed by a group of community leaders for the acquisition of land. In 1962, when Wernher von Braun proposed a research park complex that could be located on the land that had been acquired, the City Council

approved zoning of the land for the development of a research park. Huntsville Industrial Sites, Inc., was dissolved and replaced by a new incorporated group, Research Sites Foundation, Incorporated as an IRS 501(c) Corporation. The current name was acquired in 1964. The purposes of the Foundation are to promote educational, scientific, research and charitable objectives for the benefit of the University of Alabama in Huntsville.

The trustees, who are industrial and community leaders, comprise the governing group of the Foundation. The Chancellor, the President, the Vice-President for Finance and Administration, and two members of the Board of Trustees from the fifth congressional district serve as ex officio members.

The Foundation supports both current operations and capital needs of the university. Among the activities funded by the Foundation are student scholarships, supplemental expense allowances for university events and functions for which other resources are not available, acquisition of property for the university, assistance with seeking contributions for matching state funds for the Eminent Scholars program, and special support to the President to meet unexpected and unbudgeted needs to sustain the teaching, research and public service missions of the university.

2.4.2 Alliance for Minority Participation Program

The Alabama Alliance for Minority Participation (AMP) includes the university and twelve other colleges and universities whose purpose is to substantially increase the number of minority students completing bachelor's degrees in the sciences, engineering, and mathematics. Sponsored by the National Science Foundation, the university's program provides undergraduate students with scholarships, tutorial and mentoring support, an academic resource center, and summer research internships. AMP also promotes the attainment of graduate of graduate degrees by minority students in the sciences, engineering, and mathematics.

CHAPTER 3 ADMINISTRATIVE ORGANIZATION

3.1 President

3.2 Vice-Presidents

3.2.1 Provost

3.2.2 Vice President for Research

3.2.3 Vice President for Diversity and Student Support Services

3.2.4 Vice President for Finance and Administration

3.2.5 Vice President for University Advancement

3.3 Other Administrative Officials

3.3.1 Chief Information Officer

3.3.2 Dean of Students

The university is administered by a President, a Provost and several other vice presidents in the administrative units: Research, Diversity and Student Support Services, Finance and Administration, and University Advancement.

Details concerning administration under the Provost are given in Chapter 4 and that for Vice President for Research in Chapter 5. Other administrative officers include the Chief Information Officer and the Dean of Students.

3.1 President

The President is the chief executive officer of the university. He or she has the full authority to administer campus affairs and to formulate regulations and orders in accordance with the policies of the Board of Trustees. The President has primary responsibility for strategic planning and overall campus health, including factors that contribute to the quality of the academic and support programs of the campus. He or she also has responsibility for the general supervision of all relationships between students, faculty, and staff, and the various levels of campus administration; financial management of the campus, including creation of a balanced annual budget; human resource management, including employment and termination; determination of compensation and conditions of employment on the campus; and other matters involving the physical plant, fundraising, intercollegiate athletics, and other university operations. The President, in collaboration with all constituent groups, leads a continuous process of evaluating the vision and direction of the institution in light of challenges and opportunities. In carrying out these duties, the President relies upon various administrative officers and faculty bodies to recommend policies and procedures.

3.2 Vice Presidents

3.2.1 Provost

The Provost is the chief academic officer and second-ranking officer of the university. Through delegation from the President, the Provost provides leadership and coordination in the support

and development of the academic and instructional efforts of the university. The Provost provides leadership to the deans, department chairs, faculty, and staff in the development, operation, and improvement of academic and research programs. The Provost develops requirements for operating expenses, equipment, staff, and physical plant needs. The Provost develops budgetary requirements for the academic divisions, departments, and academic support areas. The Provost coordinates all instructional and degree-granting activities in undergraduate, graduate, and professional disciplines within the university, with the System Vice Chancellor for Academic Affairs and with the Alabama Commission on Higher Education. Through delegated authority from the President or in concert with the President, the Provost approves appointments, promotions, tenure awards, sabbaticals, and terms of employment of faculty and staff within all academic units. The Provost reviews and approves consulting contracts or other outside employment of faculty and also reviews and approves faculty leaves and faculty exchanges. Staff officers assist the Provost in planning, budgeting, personnel matters, program administration, new program development, program evaluation, and supervision of support functions. The Provost holds a tenured professorship in an academic department.

3.2.2 Vice President for Research

The Vice President for Research is the chief research officer of the university. Under supervision of the President, he or she provides overall executive leadership and coordination in the support of research within the academic departments and research units of the university. The Vice President for Research is responsible for oversight of all sponsored programs in the university and for the management of resources and services required for the research operations. The Vice President for Research coordinates research programs with the Provost and the deans, department chairs and faculty. The Vice President for Research normally holds a tenured professorship in an academic department.

3.2.3 Vice President for Diversity

The Vice President for Diversity is responsible for promoting and broadening the diversity of the campus in all areas: racial, ethnic, gender, cultural, sexual orientation, and disabilities. The Office of Multicultural Affairs and the Diversity Advisory Committee are part of this division.

3.2.4 Vice President for Finance and Administration

The Vice President for Finance and Administration is the chief financial officer and is a member of the Board of Trustees Investment Committee. The Vice President for Finance and Administration has responsibility for the following areas: Finance and Budgets, Human Resources, Business Services, Facilities and Operations, Public Safety, the Bevill Center, and University Housing.

3.2.5 Vice President for University Advancement

The Vice President for University Advancement is responsible for all aspects of fund raising, including endowment, annual giving, and major gifts. The Vice President for University Advancement provides leadership for planning, administration and implementation of programs relating to development, public relations, alumni affairs, publications, and special events. The

Vice President for University Advancement works closely with the UAHuntsville Foundation to advance the university's interests. Activities of the Vice President for University Advancement include: alumni relations, corporate and foundation relations, gift administration, gift development, annual giving, communications, affinity marketing and sponsored programs, and public affairs.

3.3 Other Administrative Officers

3.3.1 Chief Information Officer

The Chief Information Officer is responsible for managing information technology and computer network services to meet the needs of the faculty, students, departments, and external/commercial customers.

3.3.2 Dean of Students

The Dean of Students is responsible for the SGA, Greek life, Intramurals, weekend and transition programs, ROTC, counseling and student disability services, and student judicial affairs.

CHAPTER 4 ORGANIZATION OF ACADEMIC AFFAIRS

- 4.1 Introduction
- 4.2 Academic Colleges
- 4.3 Responsibilities and Duties of a Dean
- 4.4 Establishment, Review and Dissolution of a Department
- 4.5 Responsibilities and Duties of a Department Chair
- 4.6 An Academic Program Outside the Departmental Structure
 - 4.6.1 Responsibilities and Duties of a Program Chair
 - 4.6.2 Selection and Appointment of a Program Chair
- 4.7 Cooperative, Joint and Shared Programs
- 4.8 Comprehensive Program Review
- 4.9 Selection, Appointment, and Evaluation of an Academic Director
- 4.10 Other Academic Units Reporting to the Provost
 - 4.10.1 Institute for Science Education
 - 4.10.2 Alabama Space Grant Consortium

4.1 Introduction

The Provost and Vice-President for Academic Affairs is the chief academic officer of the university. Reporting to the Provost are the Associate Provost for Undergraduate Studies, the Office of the Ombuds, the deans of the Colleges, , the Dean of Graduate Studies, the Dean of Students, Assistant Vice President for Enrollment Services, and Chief Information Officer (CIO). Academic Directors reporting to the Provost include the Directors of Institutional Research, Library, , Cooperative Education, Professional and Continuing Studies, and the Honors Program.

4.2 Academic Colleges

Within Academic Affairs there are five colleges: College of Business Administration, Engineering, Liberal Arts, Nursing, and Science. Also within Academic Affairs are Graduate Studies and the Library. All colleges, except nursing, have departments headed by chairs who report to the dean. Instead of chairs, the College of Nursing has two associate deans who direct the undergraduate and graduate programs and who report to their dean. Each college administers courses of instruction leading to the baccalaureate degree and furnishes courses of instruction and faculty in support of graduate degrees administered by Graduate Studies. Academic Departments serve the dual functions of administering courses of instruction leading to degrees and of administering faculty, students, and staff.

4.3 Responsibilities and Duties of a Dean

An academic dean is the chief administrative and academic officer of a college. He or she functions under the supervision of the Provost and sits on the Provost's academic council. A dean holds a tenured faculty appointment in an academic department.

A dean is responsible for strategic planning, for the administration of college operations, and for leadership. The dean is the chief operating officer of the college and has overall responsibility for instructional, research, and service programs; college student services; faculty and staff personnel procedures; and budgetary matters. Information concerning the specific responsibilities and duties of a dean as chief operating officer is available in the Office of the Provost.

A dean communicates to faculty and students in the college, university colleagues, alumni, the community, and the disciplines or professions. The dean provides leadership to his/her college faculty and staff in the development, operation, and improvement of academic and research programs; developing and recommending to the Provost budgets for departments and programs; provides comprehensive programs of academic advising that involve the faculty and support the university's student recruitment and retention programs; develops budgetary input for departments, programs, and academic support areas to the Provost; makes recommendations to the Provost for appointments, promotions, tenure, sabbaticals, and terms of employment for faculty and staff within the college; reviews and recommends actions on faculty leaves and faculty exchanges to the Provost. For procedures on selection, appointment, evaluation and reassignment of a dean, see the relevant appendix.

Assistant or associate deans are appointed by the Dean after consulting with the Provost and the faculty of the affected college. Normally the appointment of an assistant or associate dean occurs as the result of an internal search. Assistant/Associate deans help the dean with planning, budget development, personnel matters, student and faculty recruitment and retention, program administration/development/evaluation, and supervision of support functions. An assistant/associate dean normally holds an academic appointment in the college in which he/she serves. See the relevant appendix for procedures on evaluation of assistant or associate deans.

4.4 Establishment, Review, and Dissolution of a Department

A department may be formed only within a college. The department is both an academic unit and an administrative unit of the college. A department has a sufficient number of faculty to be a viable organizational unit and typically offers at least one major or program for an undergraduate or graduate degree.

The performance and relevance of a department are reviewed at least every five years or in conjunction with a department's professional accreditation review cycle, according to the program review description in Section 4.8. Findings and recommendations of review committees are submitted to the Provost. After consultation and agreement with the President, the Provost may recommend that a department be continued, or a proposal to dissolve or reorganize the department may be forwarded to the Board of Trustees for review and approval. (See Section 4.7) Any recommendation to establish, dissolve or reorganize a department or program will follow steps in accordance with AAUP guidelines on program reviews and will involve consultation with the faculty senate.

4.5 Responsibilities and Duties of a Department Chair

A department chair provides academic leadership for the department. He or she is accountable to the dean and the university administration for implementing the plans, goals, and policies of the university. The chair has administrative responsibility for ensuring the quality and effectiveness of the department's instructional, research and service programs. Department chairs have the responsibility to provide leadership in formulating and implementing departmental goals and long-range plans; to represent the department internally within administrative and governance structures of the university and externally with professional and community groups; to ensure that high standards are maintained in curricula, course content, and instruction; to provide a communication link between and among the faculty and the other levels of administration; to prepare course schedules, assign courses and teaching loads, and recommend course scheduling to the dean within the context of meeting student needs; to develop an outstanding faculty of teacher-scholars by encouraging and facilitating their professional development; and to promote an academic environment that is scholarly and humanistic and that affirms the university's nondiscriminatory policies. Department chairs are expected to be active participants in all departmental activities and a visible presence in the department. For procedures on selection, appointment, evaluation, and reassignment of a department chair see the relevant appendix.

4.6 An Academic Program outside the Departmental Structure

Occasionally the university needs to establish an academic program outside the departmental structure, typically for an interdisciplinary program. In such cases faculty from two or more departments staff the program. A program may be formed within a college or between colleges. The program proposal must identify one department as the primary one for administrative purposes. The proposal for a new program must follow the current guidelines approved by the university. A faculty member does not earn tenure in an academic program outside the departmental structure. The administrative officer of the program is the program chair. The program chair reports to a dean who, with the program chair, selects faculty members to form the program committee. The program committee establishes academic policies and procedures and acts on matters requiring faculty decisions. After the program is fully operational, the program faculty or an elected program committee conducts the program.

4.6.1 Responsibilities and Duties of a Program Chair

The program chair provides academic leadership to the program and is accountable to the dean of the college and the university administration for implementing the plans, goals, and policies of the university. The program chair has administrative responsibility for ensuring the quality and effectiveness of the program's instructional, research, and service components.

4.6.2 Selection and Appointment of a Program Chair

A program chair is appointed by the dean of the primary unit with review and final approval by the Provost. The appointment is made after considering the evaluations and advice of the program faculty. The dean meets with the program faculty as a group to discuss the duties and

responsibilities of the position. Candidates are sought from the tenured faculty members in the program. If no suitable tenured candidate exists, a tenure-earning candidate may be appointed. The faculty is given an opportunity to review the c.v.'s of the candidates and to vote on the choices available. The dean chairs all formal meetings to consider a program chair.

Upon completion of the search process, the dean solicits from individual program faculty members a summary of their evaluation and advice on each final candidate. In the event that the dean does not secure the appointment of a chair from the list of candidates who have general faculty support, the search process shall continue until a chair is successfully recruited. Except in extraordinary circumstances, the dean will select a chair from those candidates who have general faculty support. Procedures for the reappointment and reassignment of program chairs will follow those established for department chairs. (See the relevant appendix.)

A program chair normally has a calendar-year appointment and is appointed to a four-year term. The chair will continue to teach on a regular basis but with a reduced teaching load. The extent of the load reduction and the type of appointment is established for each program by the Provost upon recommendation from the Dean, and depends upon the size and scope of the program's activities.

4.7 Cooperative, Joint, and Shared Programs

In keeping with stated policy of the Board of Trustees the university engages in cooperative, joint, and shared programs. Such program shall follow the stated policy of the Board of Trustees and the Alabama Commission on Higher Education Academic Policies/Operational Definitions.

4.8 Comprehensive Program Review

A comprehensive review to evaluate academic programs will be undertaken by the Provost, every five years or in conjunction with the discipline's professional accreditation review cycle. As part of the review process, the unit conducts a self-study. A review committee of faculty along with an external consultant writes reports addressing strengths and weaknesses of the program. Findings and recommendations are submitted to the Provost. Details of the review procedures and follow-up actions are in the *Manual for Comprehensive Academic Program Review* found in the Office of the Provost or offices of the Deans.

4.9 Selection, Appointment, and Evaluation of an Academic Director

When the selection of an academic director, as listed in Section 4.1, becomes necessary, the Provost appoints a search committee to identify and to make recommendations on acceptable candidates. The committee establishes procedures and invites participation in the search process by appropriate faculty, staff, and administrators. When possible, the committee conducts a national search. After the search and screening procedures are concluded and a report forwarded to the Provost, the Provost appoints a director upon recommendation and concurrence of the

President. An academic director normally has a calendar-year appointment. A comprehensive evaluation of an academic director is conducted every fifth year of continuing appointment and includes a review of the incumbent's leadership quality, professional competence, working relationships, and accomplishment of goals. The Provost appoints a committee to conduct the comprehensive review. The committee solicits written evaluations by appropriate faculty, staff, students and academic administrators. The evaluation process requires that all analyses be supported by factual documentation and that the evaluations be based exclusively on professional standards of performance. The committee forwards the evaluation report to the Provost, who meets to discuss the committee report with the academic director under review.

4.10 Other Academic Units Reporting to the Provost

4.10.1 Institute for Science Education

The Institute for Science Education (ISE) was established in 1990 to provide a mechanism to assist in solving problems in precollege science and mathematics education. The institute works cooperatively with the Colleges of Science and Engineering, the Department of Education and the Division of Continuing Education. In carrying out its mission to provide leadership and coordination for projects and programs to effect improvement of precollege science and mathematics education, the ISE works closely with all appropriate elements of business, government, and industry.

4.10.2 Alabama Space Grant Consortium

The Alabama Space Grant Consortium includes seven Ph.D. granting universities, all with space-related research activities. The university is the lead institution. Other members are Alabama A&M University, Auburn University, the University of Alabama, the University of Alabama at Birmingham, Tuskegee University, and the University of South Alabama. The Consortium awards fellowships, scholarships, and research grants, as well as supporting seminars, workshops, and educational outreach programs. There is an active program to recruit individuals from traditionally under-represented groups into careers in aerospace science, technology, and allied fields.

CHAPTER 5 ORGANIZATION OF RESEARCH

- 5.1 Introduction
- 5.2 Research Council
- 5.3 Organized Research Administration
- 5.4 Research Administration Office (Contracts and Grants)
- 5.5 Intellectual Property
- 5.6 Internal Support Opportunities
- 5.6.1 Ongoing Program
- 5.7 Research Units (Institutes, Laboratories, Centers and Consortia)
- 5.8 Establishment, Review, and Dissolution of Research Units
- 5.9 Personnel of Research Units

5.1 Introduction

Scholarly endeavors, research, and creative activities (henceforth, called “research”) are basic missions of the university. The university expects faculty members to conduct research, as broadly defined within the faculty member’s discipline, as part of their academic obligations. Peer-reviewed research plays an essential role for faculty in questions of promotion, tenure, and salary review.

The senior administration of the university should facilitate the success of faculty-led efforts by encouraging, assisting, recognizing, and rewarding research-related endeavors. The Vice President for Research is specifically charged with providing leadership and support of research throughout the university.

The Vice President for Research should also foster the development of working relationships with local, state, and federal governments, as well as with business and industry.

The content and conduct of research is primarily the responsibility of the faculty and research staff. The guidance of students in these projects is considered an important part of faculty research involvement.

5.2 Research Council

The Research Council provides a forum for the interchange of information on research activities of broad interest, coordinates long-term collaborative research venture developments, reviews recommendations for the creation, continuation and dissolution of research units, and periodically reviews the research institute, research administration, and other research-support operations. The Research Council consists of the directors of research units as designated by the Vice President for Research, the director of the research institute, the deans of schools and colleges, and two faculty representatives chosen from a list of four recommended by the Faculty Senate. The Research Council is chaired by the Vice President for Research, who provides a written annual report on the research performance of all units of the university.

5.3 Organized Research Administration

The administration of university research contracts and grants is carried out under the direction of the Vice President for Research and under the management of the Associate Vice President for Research. Several institutes, centers, consortia, and laboratories report to the Vice President for Research. An organization chart is available from the Vice President's office.

5.4 Office of Sponsored Programs

The Office of Sponsored Programs (OSP) provides both pre-award and post-award services in support of sponsored research programs. Pre-award assistance includes identification of potential sponsors and the preparation of non-technical portions (budget preparation and the business/management aspects) of proposals. The research administration staff assists principal investigators in complying with the policies and procedures of the university and the external sponsor. It is the responsibility of this office to review all proposals, as well as to negotiate changes in existing programs. The discipline-specific content of proposals for contracts and grants are the prerogative and responsibility of the faculty and research staff. After a contract or grant is awarded, the OSP staff provides post-award contract administration services, in accordance with sponsor policies and procedures, and assists the principal investigator in resolving administrative problems related to the project. The Research Administration Office works closely with the accounting staff in the Office of the Vice President for Finance and Administration to insure that contract and grant work is accomplished in accordance with the rules and regulations of the sponsor.

5.5 Intellectual Property

UAH encourages the commercial development of intellectual property, including patents, copyrights, and trademarks, that will benefit the public as well as the faculty and staff of the university. The Vice President for Research, acting through the patents and copyright administrator, has general responsibility for the evaluation of inventions in which the university has an interest. Rule 510 of the Board of Trustees and UAH policies set forth the procedures to be followed when an employee develops employment-related inventions or copyrightable material, as well as the guidelines for distributing the revenue from such intellectual property to the employee and the university. (See the relevant appendices for details on the Patent Policy and the Copyright Policy)

5.6 Internal Support Opportunities

The Vice President for Research provides programs for advancement of faculty research capabilities in all academic disciplines.

One of the programs provided by the Vice President for Research is the Junior Faculty Distinguished Research (JFDR) Program, which is designed to encourage growth and development of research talents by members of the faculty. The program supports basic and applied research activities that are motivated by an effort to probe toward and discover new ideas, information or applications. The program is not intended for support of work that is part of a scheduled course, development of course curriculum, on-going sponsored research project, purchase of equipment for non-research purposes, or to satisfy requirements for a student's degree. The program is intended to enhance the individual faculty member's talents, scholarship, and ability to pursue research activities in his or her respective field of study. Hopefully the activities will enable the development of sponsored research from other sources. In this respect, one of the purposes of the program is to provide new faculty with experience in preparing a proposal.

Only full-time UAH faculty members are eligible to apply for grants under the JFDR program. Especially appropriate are research projects of high quality by new faculty members and faculty in disciplines for which extramural funds are less readily available. Members of the awards committee are not eligible to apply for grants as principal investigator or co-investigator.

Awards are made by the Office of the Vice President for Research, based on recommendations by the research mini-grant awards committee. The awards committee consists of the Vice President for Research and one senior faculty member appointed by the dean of each of the colleges or schools, i.e., administrative science, liberal arts, engineering, science, and nursing. Guidelines on content and format of the proposal are available in the Office of the Vice President for Research.

5.7 Research Units (Institutes, Laboratories, Centers and Consortia)

Research units may be formed within colleges or as separate entities with university resources beyond and above those available to chairs and deans. A consortium will typically have strong industrial participation in its operation as well as in allocation of resources. Research units report either through a dean or directly to the Vice President for Research. The reporting route will be established at the initiation of a research unit.

At the end of each fiscal year, research units submit to the responsible administrator a detailed report on research achievements, publications, interaction with faculty and students, teaching provided by center personnel, sponsored research funding, and short-term as well as long-term goals. The responsible administrator appoints for each unit an advisory committee consisting of nationally recognized research leaders and chairs and deans of the pertinent colleges. This committee assists in the identification of research themes and faculty expertise.

5.8 Establishment, Review, and Dissolution of Research Units

Proposals for new research units are submitted through the appropriate chairs and deans, or directors, to the Vice President for Research prior to submission to potential sponsors. Proposals must include the following: a mission statement for the proposed research unit; a discussion of the advantages and disadvantages of establishing the unit, including the potential impact on the university's academic and research programs; and a detailed five-year plan outlining the space, equipment, and budgetary resources required together with existing and potential funding sources.

Proposals for new research units are reviewed by an ad hoc committee appointed by the Vice President for Research and consisting of faculty of the relevant college(s) involved as well as members of the existing research units. The recommendations of this review committee are presented to the Research Council for its consideration and recommendations. The recommendations of the ad hoc review committee along with the recommendations of the Research Council are submitted to the Vice President for Research, who will approve or disapprove the proposal after consultation and agreement with the provost and the president.

Board approval for a new research unit may also be necessary. Board of Trustees Rule 517, Establishment of Designated Centers and Institutes, requires that

any center that has a major involvement in instruction or research must be approved by the Board of Trustees after being reviewed and approved on the campus. Centers that are primarily focused on providing service will follow the same internal campus review and approval procedures but will be submitted to the Board of Trustees as an information item, unless creating them requires a significant commitment of institutional funds and/or physical resources. In that case the proposal for creating the center will be submitted to the Board of Trustees for approval rather than as an information item.

Existing centers are reviewed annually for fiscally sound management and performance. The performance and relevance of each research unit are also comprehensively reviewed at least every five years, following the same procedure as the review of proposals for new units. Findings and recommendations are submitted to the Vice President for Research, who decides on continuation or dissolution after consultation and agreement with the Provost and the President. A report of the findings is made accessible campus-wide.

5.9 Personnel of Research Units

Directors of research units are appointed by the Vice President for Research in consultation with the Research Council and with the concurrence of the Provost and the President. Directors must have demonstrated national research leadership and in the interest of an optimal interaction with faculty should have extensive academic experience. Directors of research units should be eligible for an academic appointment at the associate professor or professor level, but cannot serve simultaneously as department chairs, and should be consulted by the respective chairs and deans in questions of promotion and tenure of faculty associated with their research unit.

In addition to the annual performance appraisal of all university employees, a comprehensive evaluation of the performance of a director of a research unit is conducted every five years, following guidelines similar to those used for the evaluation of deans, under the chairmanship of the Vice President for Research.

In the interest of promoting cooperation and interaction between colleges and research units, a large percentage of the senior research staff employed by research units should be eligible for faculty appointments.

CHAPTER 6

SHARED GOVERNANCE

6.1 [Faculty Participation in Shared Governance](#)

6.2 [Faculty Senate](#)

6.3 [The Graduate Council](#)

6.4 [Staff Senate](#)

6.5 [Student Government Association](#)

6.6 [Boards, Councils and Committees](#)

6.6.1 [Boards, Councils and Committees Reporting through an Administrative Liaison](#)

6.6.2 [Ad Hoc Groups](#)

The Board of Trustees entrusts university administrators, faculty, staff, and students with responsibilities for sharing in the governance of the university. The responsibilities of the Board of Trustees and university administrators are delineated elsewhere in this Handbook.

6.1 Faculty Participation in Shared Governance

Academic excellence is essential to the successful performance of the university's educational mission. Such excellence is achieved in an environment of mutual confidence, collegial participation, effective leadership, and strong academic programs. To foster this environment, it is university policy that the faculty have the opportunity to participate in the selection, appointment, and performance evaluation of deans and department chairs, and that the advice of the faculty be actively and systematically sought.

Final authority over the selection and retention of deans rests with the president, and final authority for the selection and retention of associate deans, assistant deans, and departmental chairs rests with the academic deans, with the concurrence of the provost.

Unit and program direction and quality are evaluated periodically and an important consideration in these evaluations is the views of the faculty.

6.2 Faculty Senate

The structure of the Faculty Senate of the University of Alabama in Huntsville, as well as its relationship to other university bodies, is set forth in the governance system proposed on March 7, 1973, as adopted with amendments by the president of the university on April 3, 1973.

The authority of the Senate derives from the Office of the President of the university, represents a long tradition of shared governance in a university setting, and exists as a feature of the bond of mutual trust that serves as the basis for the general system of governance for the faculty, student body, and administration..

Senators are the voice of the faculty. The Faculty Senate is the permanent body representing the faculty for the formulation of university policy and procedures in matters pertaining to institutional purpose, general academic considerations, curricular matters, research, university resources, and faculty personnel (appointments, promotion, and tenure). Issues of university governance affecting the faculty at large should go before the full Faculty Senate before implementation. By-laws of the Faculty Senate are included in the relevant appendix.

6.3 The Graduate Council

The Graduate Council is an elected body representing the graduate faculty. The Council consists of the Dean of the School of Graduate Studies (non-voting ex-officio chair), the Registrar (non-voting) and a number of full members of the graduate faculty, as specified as follows: each college with masters programs has two representatives, and, in addition, each college with doctoral programs has one additional representative. The term of an elected member is two years.

The Council examines new policies, procedural requirements, new graduate courses and programs, graduate faculty appointments, student petitions, and other matters dealing with graduate studies. Matters dealing with academic policies and substantial changes in catalog are referred by the Graduate Council to the Council of Deans and Provost for approval before implementation.

Full members of the graduate faculty must demonstrate continuing interest in the graduate program, be actively engaged in research, and demonstrate scholarly achievement through contributions to their academic discipline. Nomination to the graduate faculty is made by the department chair and, when appropriate, program director. The nomination is forwarded through the appropriate college dean to the Graduate Dean, who in turn forwards it to the Graduate Credentials Committee of the Graduate Council for recommendation. The Graduate Dean makes the appointment.

Details of the operation of the graduate program are contained in the *Graduate School Handbook*.

6.4 Staff Senate

The Staff Senate is a representative body of eligible staff. Its purpose and charge are to serve an auxiliary, advisory function to the administration in the area of staff personnel matters and to do so in a positive and constructive way. The Staff Senate provides a forum for the exchange of ideas, a resource for evaluating proposals, and a mechanism for expressing suggestions and concerns. In carrying out its role it works to promote

better understanding, cooperation, and communication within the campus community for the benefit and betterment of all.

The Staff Senate is composed of elected members from the staff employees of the university. Its officers are elected by the staff senate from its membership. Rules of procedure, membership, election of members, and committee structure are described in the Staff Senate Bylaws, which are available in the Office of the Vice President for Finance and Administration.

6.5 Student Government Association

The Student Government Association (SGA) is composed of all students enrolled at the university. The SGA promotes the welfare of students in all areas of university life. Its primary purpose is to help improve the educational environment, including promoting academic innovation and working closely with faculty and administrators to bring about desirable changes in institutional policies. It establishes budgets for funds allocated to it and establishes and governs clubs and other student organizations. The SGA is also responsible for developing and sponsoring programs to enhance the cultural, intellectual, and social life of students.

Rules of procedure, membership, elections, and committee structure are described in the Student Government Association Bylaws, copies of which are maintained in the Office of the Vice President for Student Affairs.

6.6 Boards, Councils and Committees

To fulfill responsibilities of shared governance, members of the university may establish collaborative bodies known as boards or committees that are charged with performing specific duties requiring student, faculty and administration involvement. In addition, the administration establishes its own collaborative bodies known as councils. When a council is established, the administration describes its purpose, membership, duties and responsibilities. Boards, councils, and committees are advisory. These bodies change from time to time and current information is maintained by the Office of the President.

University committees consist of members of the faculty, the administration, and the staff. Unless otherwise stated, faculty members are selected by (but not necessarily from) the Faculty Senate and are at least equal in number to the administration and staff representation on each committee. All ex officio members shall be clarified and designated. Ex officio members shall not vote, except for those ex officio members who are committee chairs who may vote only to break ties. In cases where this ex-officio member serves as chairperson, members of the committee shall select a faculty member to serve as co-chairperson. If the ex-officio member calls a meeting but cannot attend, then the co-chair will preside. Where Faculty Senate committees and university committees share common purposes, functions, or charges, members of the Faculty Senate committees are voting members of corresponding university committees. Where required by the nature of the committee's function, university committee structures must

reflect unit representation, including the Library. University committees meet at least once a semester. Any member of the committee may call a meeting. Committees will issue a written report to their administrative liaison and to the Faculty Senate Executive Committee each semester, after meeting. Terms of membership are for two years unless otherwise noted, with arrangements made for staggered terms. The details of procedures are issues that each committee determines.

The administrator through whom a university committee reports, a nonvoting ex officio member of that committee, may initiate calls for committee meetings. Unless otherwise specified, the chair of each university committee is elected from those members of the committee who are not ex officio. The retiring chair is responsible for organizing and conducting the first meeting of the committee, including the election of the new chair.

6.6.1 Boards, Councils, and Committees Reporting Through An Administrative Liaison

The chart below identifies current boards, councils, and committees and their administrative reporting relationships.

Title	Administrative Liaison
ADA Advisory Committee	Dean of Students
Administrative Council	President
Animal Care and Use Committee	Vice President for Research
Campus Planning Committee	Vice President for Finance and Admin.
Campus Priorities and Resources Committee	President
Council of Deans	Provost
Employee Benefits Committee	Vice President for Finance and Admin.
Equal Opportunity/Affirmative Action Committee	President
Executive Safety Advisory Committee	Vice President for Research
Faculty Appeals Committee	President
Faculty/Staff Traffic Appeals Committee	Vice President for Finance and Admin.
Financial Aid Committee	Provost
General Liability Committee	Vice President for Finance and Admin.
Graduate Council	Provost

Honorary Degrees Committee	Provost
Information Services Users Advisory Committee	Vice President for Finance and Admin.
Intercollegiate Athletics Committee	Athletic Director
Library Committee	Provost
Patents and Copyrights Committee	Vice President for Research
Publications Board	Dean of Students
Radiation Committee	Vice President for Research
Research Council	Vice President for Research
Student Affairs Advisory Board	Dean of Students
Student Life Allocation Committee	Dean of Students
University Commencement Committee	Associate Provost
University Judicial Board	Dean of Students
University Review Board	Provost
Use of Human Subjects Committee	Vice President for Research

6.6.2 Ad Hoc Groups

Task forces, study groups, special advisory committees, and other such ad hoc groups formed to solve specific problems or receive assigned tasks are not official governance bodies of the university. All such bodies derive their authority from the boards, councils, committees, or individuals to whom they report. At the time of the formation of an ad hoc group, the appointing authority will put in writing the specific charge and purpose of the group. All ad hoc committees establish operating procedures by consensus of the membership, unless the appointing authority does so in advance of selecting membership. Ad hoc groups may not be appointed to perform the responsibilities of official boards, councils, or committees.

CHAPTER 7

FACULTY PERSONNEL POLICIES AND PROCEDURES

7.1 Definitions

The faculty of the University of Alabama in Huntsville is defined as full-time or part-time members of the University who have been appointed by the University to one of the categories of faculty appointment specified in [Section 7.1.1](#) in accordance with the appointment policies of the University and the Board of Trustees. Faculty members normally have responsibilities for teaching, scholarly and/or creative achievements, and service activities; however, faculty members may be assigned responsibilities for administrative tasks and some full-time administrators may have faculty status.

7.1.1 Categories of Faculty Appointment

There are two categories of faculty appointment: (1) tenured and tenure-track and (2) non-tenure track.

7.1.1.1 Tenured and Tenure-Track Faculty

Tenured faculty members are those who have been awarded tenure by the University in accordance with Board Rule 301 of the Board of Trustees of the University of Alabama (<http://www.uasystem.ua.edu/board/Combined%20Board%20Manual.pdf>). Tenure may be granted at the time of the faculty member's initial appointment to the faculty or following a probationary period in a tenure-track faculty position (See [Sections 7.5.2 and 7.10](#)). Tenure-track appointments are probationary appointments with an explicit provision in the contract or letter of offer for a review for tenure by the end of the probationary period. The four ranks of tenured and tenure-track faculty are, in ascending order: instructor, assistant professor, associate professor, and professor. Tenured and tenure-track faculty members normally have responsibilities in each of the three areas of teaching, scholarly and/or creative achievements, and service activities. Some tenured faculty members may be assigned responsibilities for administrative tasks and some full-time administrators may have tenured faculty status. In rare cases, tenure-track faculty members may be assigned responsibilities for administrative tasks or serve as full-time administrators; such assignments require the agreement of the faculty member as well as the approval of the Department Chair, Dean, and Provost.

7.1.1.2 Nontenure-Track Faculty

Nontenure-track faculty appointments are appointments in which the faculty member has neither been awarded tenure nor is eligible to be reviewed for tenure consideration. There are 4 sub-categories of non-tenure track faculty: (1) research faculty, (2) clinical faculty, (3) library faculty, and (4) fixed-term appointment faculty. Nontenure-track faculty members are ineligible to serve as department chairs or associate chairs. Nontenure-track faculty also are not eligible to serve on the University Review Board; college Promotion and Tenure Advisory Committees (PTAC); any search and appointment committees for tenured or tenure-track faculty; any

reappointment committees for tenure-track faculty; or any departmental promotion or tenure committees for tenured or tenure-track faculty.

7.1.1.2.1 Research Faculty

Research faculty appointments are for a fixed period of time. Because funding of the salaries of research faculty is derived primarily from contracts, grants, and other non-continuing sources of funding, appointments normally are for one year. Reappointments are dependent on annual performance reviews and the availability of funding. The primary responsibility of research faculty is in the area of research or contract-consulting activities. However, those appointed to full-time research faculty positions are expected to participate in the academic programs of the department. The three ranks of research faculty are, in ascending order: assistant research professor, associate research professor, and research professor.

7.1.1.2.2 Clinical Faculty

Clinical faculty appointments are for a fixed period of time, normally ranging from one academic year to three years in duration. There is no limit to the number of times that a clinical faculty member can be reappointed. However, reappointment is based on curricular, enrollment, and financial factors as well as on the individual faculty member's performance. Clinical faculty members normally have responsibilities in each of the three areas: (1) teaching, including supervision of students in clinical or professional settings on- and off-campus; (2) scholarly and/or creative activities, especially related to clinical or professional practice; (3) service; and (4) clinical and professional practice. The four ranks of clinical faculty are, in ascending order: clinical instructor, clinical assistant professor, clinical associate professor, and clinical professor.

7.1.1.2.3 Library Faculty

Library faculty appointments are for a fixed period of time, normally a three-year rolling appointment. There is no limit to the number of times that a library faculty member can be reappointed. However, reappointment is based on curricular, enrollment, and financial factors as well as on the individual faculty member's performance. Library faculty members' primary responsibilities normally are in the area of professional practice of librarianship, but they also may be assigned responsibilities in the areas: (1) teaching,; (2) scholarly and/or creative activities, especially related to professional practice; (3) service; and (4) clinical and professional practice. The four ranks of library faculty are, in ascending order: library instructor, library assistant professor, library associate professor, and library professor.

7.1.1.2.4 Fixed-Term Appointment Faculty

Fixed-term appointments are for a delineated period of time and convey no right or expectation of employment beyond the period stated in the letter of appointment. Term appointments are normally for one semester or for one to three academic years as detailed in a letter of appointment. (Notice of non-reappointment may be provided at any time prior to the end of the specified term). Fixed-term faculty appointments have the title of *lecturer* or *visiting professor*.

Fixed-term faculty members may be eligible for selected university benefits in accordance with Chapter 9. They are expected to participate in the academic programs of the unit.

Lecturer appointments are designed to serve special instructional needs in academic departments. There is no limit to the number of times that a lecturer can be reappointed. However, reappointment is based on curricular, enrollment, and financial factors as well as on the individual faculty member's performance. Lecturers' responsibilities are primarily in the area of teaching; but lecturers have some service responsibilities. Teaching requirements may be adjusted for involvement in important projects or special activities of value to the department and the college.

Visiting faculty appointments are for a fixed period of time, usually for one academic year, and may carry the titles of visiting instructor, visiting assistant professor, visiting associate professor, visiting professor, visiting research professor, etc. The visiting designation is normally used for faculty who are temporarily on leave from other universities or organizations. Visiting faculty members normally have responsibilities in each of the areas of teaching and scholarly and/or creative achievements.

7.1.1.2.5 Adjunct Faculty

Adjunct faculty members have recognized professional qualifications. Their duties, responsibilities, and ranks may vary between departments and colleges, and are specified in the letter of appointment. Letters of appointment for adjunct faculty also define the length of the appointment, which may be for one to three years, with the initial appointment usually for one year. Adjunct faculty are not compensated except when they also are appointed as a temporary faculty member in accordance with [Section 7.1.1.2.6](#) to teach a course or carry out a project on a demand basis.

7.1.1.2.6 Temporary Faculty

Temporary faculty members are appointed to carry out a specific task or tasks and their appointment is for the duration of the task. Usually, the task is to teach a class, serve on a committee, or work on a project. Appointment is on the basis of demand in the academic department making the appointment. The task, associated responsibilities, and compensation are defined upon appointment.

7.1.2 Full-time and Part-time Status

A faculty member's letter of appointment shall specify whether the appointment is to a position with full-time or part-time status. Although normally, tenured and tenure-track faculty, research faculty, clinical faculty, fixed-term appointment faculty, and librarians have full-time status, in some cases such faculty members may have part-time status. Part-time faculty appointments normally are for a specified period of time, such as a semester or an academic year, but in some cases may be continuing appointments. Pay and benefits for part-time appointments may be less than for comparable full-time appointments.

7.1.2.1 Tenured or Tenure-Track Faculty

Normally, tenured and tenure-track faculty have full-time status. In some circumstances, however, a tenured or tenure-track faculty member whose initial appointment was full-time may seek to change to part-time status either to accommodate a disability or because of commitments elsewhere. Such commitments may be personal in nature (e.g., ill health, to care for a family member with a serious medical condition) or professional in nature (e.g., a part-time appointment with another university or a government agency). Tenured or tenure-track faculty on sick leave or parental leave shall retain full-time status.

A full-time tenured or tenure-track faculty member who wishes to change to part-time status may submit a written request for a change to part-time status to his or her department chair. The written request for change to part-time status shall specify the reasons for requesting the change and the duration for which the part-time status is requested. Any change from a full-time tenured or tenure-track position to a part-time tenured or tenure-track position shall require the agreement of the faculty member, as well as the approval of the faculty member's department chair and dean, and the approval of the Provost. In cases involving disability or intermittent leave under the Family and Medical Leave Act, the Office of Counsel shall also be consulted. Part-time tenured or tenure track appointments shall be for a specified period of time, but may be extended at the faculty member's request with the approval of the faculty member's Department Chair and Dean, of the Provost, and where appropriate, the Office of Counsel. At the end of the period for part-time status, if a part-time tenured or tenure-track faculty member does not request an extension of part-time status, the faculty member shall resume full-time status.

A part-time tenured or tenure-track faculty member's salary shall be prorated in proportion to the reduction in the faculty member's workload. To the extent permitted by other university and system policies, a part-time tenured or tenure-track faculty member shall continue to receive employee benefits, although the University's contribution to payment for benefits shall be prorated in proportion to the reduction in the faculty member's workload. A part-time tenured or tenure-track faculty member shall be eligible for merit salary increases and support for scholarly and/or creative activities. A part-time tenured or tenure-track faculty member shall accrue service credits toward sabbatical leave on a prorated basis in proportion to the reduction in the faculty member's workload. (For example, a faculty member who has worked for 2 academic years on a part-time schedule of 50% time would accrue 1 year of service credit toward a sabbatical leave.)

7.1.2.2 Nontenure-Track Faculty

7.1.2.2.1 Research Faculty, Clinical Faculty, Library Faculty, and Fixed-Term Appointment Faculty

Research faculty appointments, clinical faculty appointments, library faculty appointments, and lecturer appointments are normally full-time, but may be part-time. The full-time or part-time status of these sub-categories of faculty is determined at the time of their appointment and may be revised upon reappointment. To the extent permitted by other university and system policies, a part-time research faculty member, clinical faculty member, library faculty member, or fixed-

term appointment faculty member shall continue to receive employee benefits, although the University's contribution to payment for benefits shall be prorated in proportion to the reduction in the faculty member's workload. Part-time clinical, library, or research faculty members and part-time lecturers shall be eligible for merit salary increases.

7.1.3 Special Titles

7.1.3.1 Faculty Holding Prestigious and Named Professorships

Board of Trustees Rule 508 permits the establishment of special academic chairs and the appointment of prestigious and named professorships. All named professorships and academic chairs are established by Board action. Appointments to fill these professorships are made by the Board of Trustees after recommendation by the Provost, the President, and the Chancellor. In order to maintain adequate uniformity and the highest degree of prestige and selectivity in the establishment of chairs and professorships, to assure academic excellence, and to provide the highest honor in the selection of recipients, the Board has adopted policies that recognize classifications of prestigious professorships. See [Appendix C](#).

7.1.3.2 Emeritus Faculty

A tenured faculty member, research faculty member, library faculty member, or clinical faculty member with ten years of full-time service to the university shall be awarded emeritus status at his or her professorial rank upon retirement. The faculty member's Dean shall initiate the process for awarding the Emeritus Professor title.

7.1.4 Joint Appointments

A tenured, tenure-track, clinical, or research faculty member may have a joint appointment with more than one department or unit. For a tenure-track faculty member, one department shall be designated as the faculty member's tenure home. For all other personnel actions, decisions shall be made separately by each department.

7.1.5 Academic and Calendar Years

7.1.5.1 Academic Year

The academic year encompasses the fall and spring semesters. The official beginning of the academic year is noted on the university calendar; on that date faculty members are expected to be available for student advising, departmental and university meetings, or other faculty responsibilities. The academic year concludes with spring commencement.

7.1.5.2 Calendar Year

A calendar year is defined as a period of twelve months. The beginning and ending dates of calendar year appointments are specified in the letter of offer to the faculty member and are not necessarily tied to the academic calendar.

7.1.6 Equivalents to the Department and Department Chair

Throughout the rest of this chapter, in the College of Nursing, the College is the equivalent of the Department and the Associate Dean is the equivalent to the Department Chair; in the Library the Library Dean is the equivalent of the Department and the the Assistant to the Dean of the Library is the equivalent to the Department Chair.

7.2 Types of Contracts

7.2.1 Tenure-Track Faculty Contracts

The provisions of this section apply to both full-time and part-time tenure-track faculty.

7.2.1.1 The Probationary Period

The probationary period is defined as the maximum length of time between the initial appointment as a member of the tenure-track faculty and end of the latest academic year in which tenure may be awarded or denied. For appointees whose initial appointment to the tenure-track faculty begins in the fall semester, the probationary period shall be no more than six years in length, unless extended subject to the provisions stated below in [Section 7.2.1.4](#). For appointees whose initial appointment to the tenure-track faculty begins in the spring semester, the probationary period contract ends no more than six years from the beginning of the first fall semester following the date of initial appointment.

7.2.1.2 Initial Appointment Contracts

Appointment as a tenure-track member of the faculty requires a recommendation by at least a majority of the tenured and tenure-track faculty of the department or program concerned and an affirmative recommendation to the Provost by the Dean of the college. No offer or appointment, either written or verbal, may be extended without the approval of the Provost.

We assume that such appointments are full-time. In rare instances, a temporary period of part-time status may be requested by the candidate. In such cases, this shall be stated in the letter of offer.

The Dean shall inform each new appointee in a written letter of offer of the terms and conditions of the appointment, including but not limited to: (a) the length of the probationary period; (b) the length of the initial appointment; (c) the salary and fringe benefits applicable to the appointment; (d) the policies and procedures applying to reappointment, promotion, and tenure determinations; and (e) in cases of joint appointments, designation of the department that will be the faculty member's tenure home. In cases where the probationary period is less than six years, the letter of offer also shall specify when the faculty member will be reviewed for reappointment in accordance with [Section 7.8.2](#). Otherwise, the initial appointment contract for tenure-track faculty members shall be for three academic years for faculty members whose initial appointment begins in the Fall semester and for three-and-a-half academic years for faculty members whose initial appointment begins in the Spring semester, contingent on the faculty member's completion of all requirements for his or her terminal degree by the end of the first full academic year of the appointment. If a faculty member does not complete all requirements for the terminal degree by the end of the first full academic year of the initial appointment, the contract will end at the end of the second academic year of the probationary period. The multi-year initial contract for a tenure-track faculty member may be terminated by the Provost in response to a recommendation by the faculty member's department chair and dean without

appeal at any time prior to the end of the first full academic year of the contract if the faculty member fails to perform academic duties in accordance with generally accepted norms. After the first year, such contracts may be terminated for cause in accordance with [Section 7.14](#).

7.2.1.3 Reappointment Contracts

Reappointment contracts are offered in accordance with the schedule and procedures specified in [Section 7.8.2](#) until a tenure-track faculty member is: (a) granted tenure, or (b) receives a notice of nonreappointment, (c) is discharged for cause, or (d) is terminated for failure to perform academic duties in accordance with generally accepted norms prior to the end of the first full academic year of the faculty member's initial contract.

7.2.1.4 Extensions of the Probationary Period

The probationary period may be extended in cases where the tenure-track faculty member's productivity is temporarily reduced because of extenuating circumstances, including but not limited to when the faculty member has experienced a serious or chronic illness or short-term disability, the birth of a child, the serious illness of a family member, or extensive involuntary time commitments to duty in the uniformed services. The faculty member shall submit a request for the extension, including a statement of the reasons for the extension, to the Department Chair. Requests for extension must be acted upon by the Chair, the Dean, and the Provost.

The decision of a tenure-track faculty to opt for part-time status shall not automatically result in an extension of the probationary period. An extension of the probationary period shall be automatic for faculty members who require intermediate-term sick leave, long-term sick leave, or family leave. Faculty members whose productivity has been adversely affected by time spent on Family and Medical Leave Act Leave, Uniformed Services Leave, and Short-Term Sick Leave shall also be eligible for an extension of the probationary period.

A faculty member who has been granted an extension of the probationary period may choose to be evaluated for tenure during the last year of probationary period originally specified in his or her letter of appointment by giving notification to his or her department chair of this decision by May 1 in the year preceding the academic year in which the tenure review will occur; such a faculty member shall not be considered a candidate for "early tenure" and shall not have to meet the criteria for early tenure specified in [Section 7.5.2.1](#).

7.2.1.5 Terminal Contracts

A tenure-track faculty member who has been reviewed for reappointment and who has been given a notice of nonreappointment shall be given a terminal contract for one academic year. A tenure-track faculty member who has been denied tenure shall be given a terminal contract for one academic year. A tenure-track faculty member who has been discharged for cause is not entitled to a terminal contract. A tenure-track faculty member who is terminated without appeal at any time prior to the end of the first full academic year of the faculty member's initial contract for failure to perform academic duties in accordance with generally accepted norms is not entitled to a terminal contract.

7.2.2 Tenured Faculty Contracts

Tenure is a means both to protect academic freedom in teaching, scholarly and/or creative, service, and extramural activities and to insure a sufficient degree of employment security to make the profession attractive to men and women of ability. Tenure also serves the interests of

the institution because, in the absence of the employment security that tenure provides, faculty members have an incentive to allocate their time primarily to activities that enhance their marketability at the expense of other activities that serve the institutions interests but do not enhance the faculty member's attractiveness to other employers.

Once awarded, tenure shall be strictly observed in accordance with the guidelines in the *AAUP Policy Documents and Reports (2006)* and consistent with official University of Alabama System policies. UAHuntsville adopts the definition of tenure stated in the University of Alabama System Board of Trustees Rule 301 (as amended, November 14, 2008), which states that:

The definition of tenure used in each institutional policy should recognize that tenure is an affirmative commitment by the Board of Trustees to a faculty member, generally offered after a probationary period of employment, of a right to continuing employment except upon dismissal for cause, retirement, resignation, bona fide financial exigency of the institution or division in which tenure is held, or major curtailment or formal discontinuance of a program or department of instruction.

University of Alabama System Board Rule 301, as amended November 15, 2008, further states that tenure is held by a faculty member "only at the institution in which tenure has been awarded, not in the System as a whole."

A tenure contract is for an academic year and gives the faculty member the contractual right to be employed for succeeding academic years until the faculty member: (1) resigns; (2) retires; (3) is discharged for cause in accordance with the criteria and procedures specified in [Section 7.14](#); (4) is terminated pursuant to bona fide financial exigency of the institution or division in which tenure is held, or a major curtailment or formal discontinuance of a program or department of instruction; (5) becomes permanently disabled and the disability prevents the faculty member from performing the essential functions of the job with or without reasonable accommodation that does not cause undue hardship to the university; or (6) dies. This contract is subject to the terms and conditions of employment that exist from one academic or calendar year to the next, but such terms will not be inconsistent with this policy.

Tenure is normally awarded after a probationary period, but may be awarded to a faculty member at the time of first employment. Criteria and procedures for awarding tenure are specified in [Sections 7.5.2 and 7.10](#), respectively.

7.3 Faculty Search, Appointment, and Orientation Procedures

UAHuntsville is committed to complying with federal and state laws prohibiting discrimination in employment and regulating the employment of non-citizens. Before initiating a search for a faculty position, the Department Chair or other administrative officer responsible for the search must consult and follow carefully the university's affirmative action plan and checklist of affirmative action procedures and must consult with the UAH Security Officer and Immigration Specialist early in the search process about compliance with these laws.

7.3.1 Recruiting, Selection, and Appointment of Tenured and Tenure-Track Faculty

Responsibility for recruiting prospective faculty members lies with the Department Chair and the faculty of the department. If a joint appointment is contemplated, the Chair and faculty of the department that would be the faculty member's tenure home shall have primary responsibility for recruitment, but shall involve the Chair and faculty of other secondary departments with which the faculty member is expected to have a joint appointment (hereafter referred to as the secondary department).

7.3.1.1 Approval to Recruit

Faculty appointment follows a department's (or in the case of joint appointments, the departments') identification of the existence of a need, together with administrative approval of the availability of funds for the position. Prior to initiating a search, the Department Chair must submit a written request and justification for hiring to the Dean and the Provost and must obtain their approval for the search and their authorization of funds for the position.

7.3.1.2 Appointment and Composition of the Search Committee

Once such approval is obtained, the Department Chair is responsible for appointing a faculty search committee. This committee shall include the Department Chair, at least two other faculty members from the tenured and tenure-track faculty of the department, and one tenured or tenure-track faculty member from outside the department. The Department Chair may serve as chair of the committee or may appoint a tenured faculty member in the department and in the discipline in which the new faculty member is being recruited to serve as chair. In multi-disciplinary departments (e.g., Economics and Information Systems), a majority of the members and the Search Committee Chair shall be tenured and tenure-track faculty members in the discipline in which the new faculty member is being recruited. If a joint appointment is being contemplated, the committee also shall include the Chair and at least one other tenured faculty member from each secondary department; however, the Committee Chair and a majority of the members of the search committee must be from the tenure-home department of the prospective faculty member.

7.3.1.3 Recruitment and Selection of Finalists for the Position

The Search Committee is responsible for developing a position announcement and for developing and implementing a plan for recruiting an applicant pool for the position. The position announcement, in addition to describing the position, shall identify required credentials and credentials to which preference will be given in selecting a hire; shall list the information that the applicant must provide to be considered for the position; and shall identify a deadline by which a candidate must provide the search committee with such information. Recruitment activities may include, but are not limited to print and electronic advertising, attending job fairs at professional conferences, and soliciting peer- and self-nominations.

The Search Committee is responsible for gathering information about the applicants. Such information must include, but is not limited to the following: (1) a statement of the candidate's interest, (2) a complete resume, (3) three written references, and (4) a sample of the candidate's

written research or appropriate evidence of the candidate's scholarly and/or creative achievements as specified by the Search Committee. The references must be submitted by the individual writing them for the candidate, and not by the candidate. As a condition of employment, the candidate's official college transcripts also must be submitted to the Dean of the college in which the appointee will have a tenure home. Other sources of information that may be used to screen candidates include, but are not limited to: telephone calls to colleagues of the candidate, telephone interviews of the candidate, "googling" the candidate, background investigations of the candidate, preliminary informal interviews of the candidate at job fairs or professional conferences, a review of the candidate's scholarly and/or creative achievements, evaluations of the candidate's teaching performance at other colleges or universities, and other appropriate means of determining the candidate's suitability for employment as a faculty member at UAHuntsville.

The Search Committee is responsible for using the information gathered about candidates to identify a short list of at least three finalists for the position and presenting this list to the tenured and tenure-track faculty in the tenure-home department, who shall vote on whether or not to accept the finalists; if any of the finalists are rejected, the Search Committee shall propose additional finalists to the aforementioned faculty until a majority approve a list of three finalists to recommend to the Dean. The Dean has the authority to reject a finalist and to request the committee to recommend an alternate proposed finalist. Once the Dean has approved three finalists, the Dean shall seek authorization from the Provost to invite the three finalists to campus for an interview visit.

If an appointment with tenure is contemplated, the Department Chair in the tenure-home department shall begin gathering information required for a tenure review and shall notify both the tenured faculty in the department and the college's PTAC that a tenure review will need to be conducted as soon as a finalist is selected.

7.3.1.4 Campus Interview of Finalists

The Provost's office shall provide funds to bring the three finalists to campus for interviews.

The Search Committee Chair is responsible for managing the finalists' campus interview visits. Each interview visit must include the following:

- (a) Some type of seminar, lecture, or performance to give an indication of the candidate's competence in teaching and in scholarly and/or creative activities;
- (b) An informal gathering to permit all interested faculty to meet the candidate;
- (c) An opportunity for individual discussions between the candidate and his or her prospective colleagues in the tenure-home and secondary departments;
- (d) An opportunity to meet students, either at the seminar or at another appropriate occasion;

(e) Interviews with the Department Chair(s) and Dean(s) in which the individual would have a faculty appointment, and with the Provost or his or her designated representative.

7.3.1.5 Selection and Offer of Appointment

After the campus interview visits, the Department Chair of the tenure-home department for the position shall gather feedback from faculty and other individuals who interacted with each candidate during his or her visit and shall make such feedback available to the tenured and tenure-track departmental faculty, who shall determine by at least a majority vote which of the candidates to recommend for appointment. If none of the candidates are acceptable to the departmental faculty, they may request that the Search Committee identify a second list of candidates to interview. They also may request that the search be extended in an effort to attract more candidates.

Once the department has identified an individual that a majority of the tenured and tenure-track faculty members in the department wish to hire, the Department Chair shall convey the department's recommendation to the Dean of the college. In the case of candidates who would have joint appointments with part of their salaries budgeted to another department, this process shall be conducted in both departments, with both departments conveying recommendations to the Dean or Dean(s). If the Dean(s) approves the departmental recommendation, the Dean(s) shall prepare a letter of offer and submit it to the Provost for approval. If the letter of offer is for a joint appointment, it must specify which department will be the faculty member's tenure-home. The Department Chair in the tenure-home department is responsible for handling negotiations with the candidate pertaining to the specifics of the offer, subject to constraints set by the Provost and Dean(s).

In the event that the Dean or the Provost does not approve the candidate recommended by the department(s), they shall request the department to reconsider the pool of applicants and make an alternate recommendation or to extend the search. In such cases, the administrator responsible for the decision must give the Department Chair a written explanation for the decision.

7.3.2 Recruiting, Selection, and Appointment of Nontenure-Track Faculty:

7.3.2.1 Clinical, Library, and Research Faculty

Each unit employing clinical, library, or research faculty shall develop recruiting, selection, and appointment procedures for such faculty that are similar to the procedures for the appointment of tenured and tenure-track faculty with appropriate modifications given the nature of those appointments. In academic colleges, the college's PTAC shall be responsible for developing proposals for such procedures, which shall be adopted if approved by a majority vote of the tenured faculty. All such procedures must be approved by the Provost. The Provost's office shall post approved policies on the UAHuntsville's Faculty and Staff web page.

7.3.2.2 Fixed-Term Appointment Faculty

Each unit employing fixed-term appointment faculty shall develop recruiting, selection, and appointment procedures for such faculty that are similar to the procedures for the appointment of tenured and tenure-track faculty but expedited by modifications appropriate to the nature of such appointments. In particular, such procedures should take into account that it is often necessary to hire fixed-term faculty in a very short time frame. In academic colleges, the college's PTAC shall be responsible for developing proposals for such procedures, which shall be adopted if approved by a majority vote of the tenured faculty. All such procedures must be approved by the Provost.

7.3.3 New Faculty Orientation

Prior to the beginning of the fall semester, the Office of the Provost shall conduct an orientation for new faculty that provides an opportunity to meet with university administrators and to become familiar with the work of university departments with which they will interact. New faculty should work closely with their Department Chairs to become aware of the expectations and requirements of their departments.

7.4 Faculty Workload

It is recognized that the workload of a tenured or tenure-track faculty member normally includes obligations in three areas of activity: teaching, scholarly and/or creative achievements, and service. The workload of clinical faculty is normally concentrated in the areas of clinical or professional teaching and practice. The workload of library faculty is normally concentrated in the areas of professional practice. The workload of research faculty is normally concentrated on funded projects. For fixed-term appointment faculty, the workload will be in areas of activity specified in their letter of appointment.

Department chairs and deans are responsible for administering faculty workloads in an equitable fashion and for weighing the impact of teaching loads on resources and productivity.

The teaching responsibility for tenured or tenure-track faculty shall be no more than 9 semester hours per semester. Faculty loads could be increased under extraordinary circumstances and shall be agreed upon by the faculty member, the Chairman of the department and the Dean of the college. Lower teaching loads shall be granted under a number of circumstances where the faculty member has unusually high obligations outside of teaching, including when the faculty member's responsibilities include above-average time commitments to service assignments during the academic year; to other special assignments for the department, college, or university; to the supervision of professional projects, theses, or dissertations; to unpaid service work for the university during the summer; to student advising; and to major funded or unfunded research or consulting contracts.

Teaching responsibilities for other categories of faculty may be higher, with a maximum of 12 semester hours per semester, or lower depending on the needs and mission of the department and the obligations of the faculty member.

When the administration above the college-level asks a faculty member to take on a service or administrative activity involving a substantial time commitment, the Provost shall make arrangements with the faculty member's department and college for a commensurate reduction in the faculty member's teaching load and, if needed, should provide funds to replace the faculty member in the classroom.

Full-time tenured and tenure-track academic faculty members may obtain a redistribution from the amount of time allocated to non-research assignments (teaching and service obligations) to research if they are able to charge a fraction of their academic-year salary to either a contract, grant, or research unit. Such arrangements require long-term consultation with and approval by the respective chair, director and dean. In the interest of the quality and continuity of teaching, research assignments should normally be limited to 50% of the usual workload of a faculty member.

7.5 Criteria for Evaluating Faculty

7.5.1 General Criteria for Faculty

Faculty members are evaluated on the basis of their effective performance or potential for effective performance in three areas of activity: (1) teaching, (2) scholarly and/or creative achievements, and (3) service. For clinical faculty members, performance in clinical and professional practice also will be evaluated; for library faculty, performance in professional practice also will be evaluated. These criteria form the basis for evaluating faculty members for appointment, performance reviews, tenure, promotion, and salary increases. Departments and colleges may have additional criteria consistent with these university-wide standards. Departmental and college criteria shall be placed on file with the Provost's office and the appropriate Dean's office.

7.5.1.1 Effectiveness in Teaching

Faculty members are expected to perform effectively in all appropriate teaching settings and situations. Students, colleagues, and administrators should recognize a faculty member's diligence and dedication in a classroom, lecture hall, seminar, laboratory, clinic, or library, and when appropriate, effectiveness in directing the research and creative activities of undergraduate and/or graduate students. Criteria for judging effectiveness in teaching may include but are not limited to the following: thorough knowledge of subject matter; imaginative, efficient, and rigorous methods of presenting course materials and evaluating learning; effectiveness in oral and written communication; active concern for students' advancement in the discipline, in the university, in the workplace, and in the community; ability to engender and nurture values of learning (e.g., curiosity, objectivity, enthusiasm, fairness, and critical thinking) in students; a record of producing students who, by virtue of effective teaching, achieve success throughout their university careers; and pedagogical diligence, dedication, versatility, generosity, and creativity.

7.5.1.2 Effectiveness in Scholarly and/or Creative Achievements

The university encourages a broad spectrum of scholarly and creative activities of the highest possible quality, including basic, applied, clinical, and pedagogical research, as well as a range of artistic activities, across the full range of academic disciplines. The university's commitment to these activities stems from its obligation to advance knowledge, to educate both undergraduate and graduate students, and to serve the economic and cultural needs of society. The value and weight given to specific types of scholarly and creative achievements shall be determined by standards set at the departmental and college levels. Criteria for judging effectiveness in scholarly and creative achievements include but are not limited to the following: (1) the ability to publish research in peer-reviewed outlets or peer and/or professional recognition of the faculty member's scholarly and/or creative work, and (2) the contribution of the faculty member's research to knowledge or the contribution of the faculty member's creative work to the needs of society.

7.5.1.3 Effectiveness in Service

Evaluation of a faculty member's effectiveness in service is based on service to the university, the profession or discipline, and the community (local, state, national and international). University service encompasses service to the faculty member's department and college as well as university-level activities, including but not limited to the following: diligent service on departmental, college, or university committees; membership in the Faculty Senate and its committees; advising student clubs and organizations; and administrative assignments. Professional service activities include but are not limited to the following: service to learned and professional societies and service as an editor or referee for scholarly publications. Community service activities include but are not limited to outreach, services or consultation provided to business, media, government, cultural, educational, political, and health-care organizations.

7.5.1.4 Effectiveness in Clinical and Professional Practice

Clinical faculty members are expected to be excellent clinicians or practitioners in their profession. Criteria for judging effectiveness in clinical and professional practice include but are not limited to the following: demonstrated knowledge and advanced skills in the selected clinical or professional specialty area; evidence of continuing professional development; and evidence of clinical or professional advancement and achievement.

7.5.2 Tenure Criteria

Tenure is granted only to those faculty members who show evidence of substantial achievements and promise of continuing contributions in the areas of teaching, scholarly and/or creative achievements, and service; and who meet the criteria for promotion to associate professor. Professors, associate professors, or assistant professors with tenure-track contracts are eligible for tenure consideration. Except in unusual circumstances, tenure shall be granted only to persons with a terminal degree in an appropriate discipline. In the case of joint appointments, tenure is granted only with respect to the tenure-home department; however, if a tenured faculty member's department is restructured or merged with another department for reasons other than

financial exigency, the faculty member's tenure shall be transferred to the newly formed department. Departments and colleges may establish additional tenure criteria consistent with these university-wide standards and Board of Trustees rule 301 (The Board of Trustees of the University of Alabama, *Board Manual*, REV 6/2009). Departmental and college tenure criteria shall be placed on file with the Provost's office and the appropriate dean's office. Assistant professors applying for tenure must simultaneously apply for promotion to associate professor.

7.5.2.1 Early Tenure

Early tenure review refers to tenure review prior to the last academic year of the tenure-track faculty member's probationary period as defined in [Section 7.2.1.1](#) or as extended under [Section 7.2.1.4](#). Such candidates for tenure must demonstrate exceptionally meritorious achievement in scholarly and/or creative activities in addition to meeting the criteria specified in [Section 7.5.2](#).

7.5.2.2 Tenure at Time of First Appointment

New members of the faculty may be offered tenure at the time of first employment. These faculty members must meet the above criteria for tenure and the criteria articulated in [Section 7.5.3](#) for appointment to their appointed rank. No offer of employment awarding tenure and faculty rank shall be made without securing the explicit recommendation of the tenured faculty in the academic unit(s) in which tenure is being awarded in accordance with the College's procedures and Board Rule 301 (The Board of Trustees of the University of Alabama, *Board Manual*, REV 6/2009).

7.5.2.3 Tenure for Individuals in Administrative Appointments

Board Rule 301 (The Board of Trustees of the University of Alabama, *Board Manual*, REV 6/2009) states that administrative appointments do not carry tenure, but that an administrative officer also may hold an appropriate academic appointment and may earn tenure in that appointment under the criteria and procedures described below. Administrators hired with tenured faculty status must meet the criteria for tenure articulated in [Section 7.5.2](#), [7.5.2.1](#), [7.5.2.2](#) and must meet the criteria articulated in [Section 7.5.3](#) for appointment to their appointed rank.

7.5.3 Specific Criteria by Rank: Tenure-Track and Tenured Faculty

Departments and colleges may establish additional criteria by rank that are consistent with the university-wide standards articulated in this section. Departmental and college criteria by rank shall be placed on file with the Provost's office and the appropriate dean's office.

7.5.3.1 Instructor

Appointment at this rank is reserved for individuals who are candidates for the terminal degree within a pertinent discipline. The appointment is tenure-track with the expectation that subsequent appointment to assistant professor will be made upon the university's receipt of certification that the faculty member has completed all requirements for the terminal degree. An

instructor also must show potential to perform effectively in the three areas of activity on which faculty are evaluated: (1) teaching, (2) scholarly and/or creative achievements; and (3) service. Prior teaching experience is not essential.

7.5.3.2 Assistant Professor

An assistant professor must have the terminal degree in a pertinent discipline, except where the individual has achieved equivalent status through outstanding performance. An assistant professor also must show potential to perform effectively in the three areas of activity on which faculty are evaluated: (1) teaching, (2) scholarly and/or creative achievements, and (3) service. Prior teaching experience is not essential.

7.5.3.3 Associate Professor

An associate professor must have the terminal degree in a pertinent discipline, except where the individual has achieved equivalent status through outstanding performance. An associate professor also must show superior achievement in either teaching or in scholarly and/or creative achievements and high levels of effectiveness in other areas of activity on which faculty are evaluated: (1) teaching, (2) scholarly and/or creative achievements, and (3) service, with a balance consistent with the expectations of the discipline.

7.5.3.4 Professor

A professor must have the terminal degree in a pertinent discipline, except where the individual has achieved equivalent status through outstanding performance. A professor also must have attained authoritative knowledge and reputation in a recognized field of scholarly and/or creative achievements and must have maintained high levels of effectiveness in teaching and in service.

7.5.4 Specific Criteria by Rank: Clinical, Research, and Library Faculty

The responsibilities of clinical faculty and the responsibilities of research faculty vary significantly across colleges and departments. Clinical, research, and library faculty may have responsibilities in one or more of four areas of activity: (1) teaching, (2) scholarly and/or creative achievements, (3) service, and (4) clinical and professional practice. The specific responsibilities of a clinical, research, or library faculty member in each of these areas will be stipulated by the department and college in which the faculty member is employed. The criteria in this section form the basis for evaluating clinical, library, and research faculty members for appointment, performance reviews, promotion, and salary increases. Each college and department employing clinical, research, and library faculty is responsible for developing additional criteria consistent with these university-wide standards and the responsibilities of clinical and research faculty in their unit. Departmental and college policies pertaining to the responsibilities of and criteria for evaluating clinical, library, and research faculty shall be placed on file with the Provost's office and the appropriate Dean's office.

7.5.4.1 Clinical and Library Instructors

A clinical or library instructor must have a master's degree in a pertinent discipline and must meet other criteria for certification and achievement set by the department or college. For library faculty, appointees must hold the MLS degree from an American Library Association (ALA) accredited program; the MLS is considered the terminal degree in practice of academic librarianship. A clinical or library instructor must show potential to perform effectively in the areas of activity (i.e., teaching, scholarly and/or creative achievements, service, and clinical and professional practice) for which the faculty member has responsibilities.

7.5.4.2 Clinical, Research, and Library Assistant Professors

A clinical or library assistant professor must meet all the criteria for clinical or library instructor, respectively. Clinical and research assistant professors must hold a minimum degree in a pertinent discipline (a Master's or doctoral degree, in accordance with requirements set by the department or college); library assistant professors must hold the MLS degree from an American Library Association (ALA) accredited program. Clinical, research, and library assistant professors must also meet criteria established by the college or department in the areas of activity (i.e., teaching, scholarly and/or creative achievements, service, and clinical and professional practice) for which the faculty member has responsibilities.

7.5.4.3 Clinical, Research, and Library Associate Professors

A clinical associate professor must meet all criteria for clinical assistant professor. A research associate professor must meet all criteria for research assistant professor. A library associate professor must meet all the criteria for library assistant professor. In addition, the individual must possess the terminal degree in a pertinent discipline, as required by department and college criteria or have achieved equivalent status by meeting other criteria established by the department or college. The clinical associate professor, the research associate professor, or the library associate professor must show superior achievement in each of the areas of activity (i.e., teaching, scholarly and/or creative achievements, service, and clinical and professional practice) for which the faculty member has responsibilities in accordance with criteria established by the department and college in which the appointment is held.

7.5.4.4 Clinical, Research, and Library Professors

A clinical professor must meet all criteria for the rank of clinical associate professor. A research professor must meet all criteria for the rank of research associate professor. A library professor must meet all criteria for the rank of library associate professor. A clinical, research, or library professor also must have attained authoritative knowledge and reputation in either scholarly and/or creative achievements or in clinical and professional practice and must have maintained high levels of effectiveness in the other areas of activity (teaching and service) for which the faculty member has responsibilities in accordance with criteria established by the department and college in which the appointment is held.

7.6 College Criteria and Procedures Evaluating Faculty

Each college and the Library are responsible for developing college-level criteria for evaluating their faculty and candidates for faculty positions and for developing college-level procedures for evaluating college faculty for reappointment, annual performance evaluations, promotion, tenure, and post-tenure review. Such criteria shall provide greater specificity related to college expectations and processes, but must be consistent with the criteria procedures established in the *Faculty Handbook*.

7.6.1 Procedures for Developing College Criteria and Procedures

The College's Promotion and Tenure Advisory Committee (PTAC) shall be responsible for developing and conducting periodic reviews of college-level criteria and procedures for evaluating faculty and candidates for faculty positions in the College. PTAC shall conduct a review of such college-level criteria and procedures at least once in every five years. PTAC proposals for new or revised college-level criteria and procedures shall be presented to the tenured faculty of the College for consideration. The tenured faculty of the college shall have the final authority to adopt new or revised criteria and procedures by a majority vote.

Each college shall submit copies of its college-level criteria and procedures for evaluating faculty and candidates for faculty positions to the Provost. The Provost's Office shall maintain a website posting such criteria and procedures for each college. All faculty members shall have access to the website.

7.7 Evidence and Faculty Files

Faculty personnel files are maintained in a number of locations, including the department, the Dean's office, the Office of the Provost, and the Office of Human Resources. The official faculty personnel file, including original, official transcripts, is maintained in the Dean's office.

7.7.1 A Faculty Member's Comprehensive Digital File

The Provost is responsible for establishing and maintaining for each faculty member a secure, password-protected electronic site, henceforth referred to as the Comprehensive Digital File (CDF), for depositing electronic copies of all documents used in and generated by performance reviews of that faculty member, including annual performance, reappointment, tenure, promotion, and salary reviews. The faculty member shall place items (e.g., books) that cannot be made available electronically in his or her Departmental Office. Figure 7.7.1 portrays the structure of the CDF.

The faculty member shall have full access to read all documents in the CDF except the contents of the Letters Folder and the Reports and Recommendations Folder. Letters from external peer reviewers for promotion and tenure shall be made available to the faculty member in redacted form in accordance with [Section 7.10.15](#). Departmental (or Faculty) Committee, PTAC, URB, Department Chair's, and Dean's reports and recommendations for promotion and tenure shall be

made available to the faculty member in redacted form in accordance with [Sections 7.10.8, 7.10.11, and 7.10.15](#).

The faculty member's Department Chair and Dean, and the Provost shall have full access to read all documents in the faculty member's CDF. Members of all committees responsible for conducting performance reviews of the faculty member shall have full access to read all documents in the faculty member's CDF for the duration of their period of service on the faculty member's performance review committee.

The Provost shall establish procedures for adding and for modifying documents in a faculty member's CDF. No documents may be added to a faculty member's CDF, and no documents in the folder may be modified without notifying the faculty member.

The faculty member and the Department Chair are jointly responsible for preparing the faculty member's documents for inclusion in the CDF prior to the first review of the faculty member's performance and updating it prior to each subsequent performance review.

The CDF must include, but is not limited to documents and folders described in the remainder of this section and in Figure 7.1.1. The faculty member may supply any additional evidence that appears appropriate to the evaluation.

Insert Figure 7.7.1 here.

7.7.1.1 Cover Page and Index

This document shall be prepared by the faculty member and shall include the following information: (1) the faculty member's name, department, college, and current rank; (2) the faculty member's hire date; (3) the effective dates of promotion and tenure for the faculty member, if applicable; (4) for tenure-track faculty members, the final year in which the faculty member may be reviewed for tenure; (5) for tenure track, clinical, research, and library faculty, the year of the faculty member's next reappointment review; and (6) an index of the contents of the Scholarly and Creative Achievements Folder, the Teaching Folder, the Service Folder, the Clinical and Professional Activities Folder, and the Other Documents Folder.

7.7.1.2 Faculty Member's Statement

This brief document (1-3 pages) shall be prepared by the faculty member and shall summarize the faculty member's past accomplishments and contributions as well as planned future contributions in each of the areas of faculty activity: (1) scholarly and creative achievements, (2) teaching, and (3) service, and for clinical and library faculty, (4) clinical and professional practice. For tenure-track faculty and for faculty under review for promotion or tenure, the discussion of scholarly and creative achievements will cover his or her full career, whereas the

discussion of teaching and service will cover the entire probationary period at UAH. For other faculty, the summary of accomplishments and contributions will focus on the most recent five year period.

7.7.1.3 Curriculum Vita

This document, which shall be prepared by the faculty member, is the faculty member's current curriculum vita summarizing his or her activities and accomplishments.

7.7.1.3.1 Content of the Curriculum Vita

The curriculum vita should have sections and subsections for each of the broad categories of scholarly and creative achievements, teaching, and service delineated below. Clinical and library faculty should have a section for accomplishments in clinical and professional practice.

(1) *Scholarly and/or creative achievements.* This section and the subsections below may be subdivided by subcategories relevant to the faculty member's discipline. Colleges and departments are responsible for developing guidelines for what categories and subcategories to include. It shall include achievements for the faculty member's entire career, with subsections for each of the following categories of achievement that are applicable to the faculty member. Items in each subsection shall be listed in reverse chronological order.

(a) *Publications and work accepted for publication.* This section should include subsections for each of the following categories of scholarly and/or creative achievements that are relevant to the faculty member's work: books, journal articles, book chapters, published conference proceedings, and other categories of publication that are appropriate to the faculty member's discipline. In general, publications in both electronic and print publications should be included. Work that has been accepted for publication but has not yet been published should be designated as "accepted for publication." Copies of correspondence verifying the acceptance of such work must be included in the evidence of scholarly and creative achievements ([Section 7.7.1.5](#)).

(b) *Work in progress.* This section should include subsections for scholarly and creative achievements that are undergoing a peer- or jury-review process, but have not yet been accepted for publication or performance and a subsection describing projects in preparation to be submitted for review.

(c) *Presentations.* This section should include presentations on the faculty member's scholarly and/or creative achievements.

(d) *Performances and exhibits.*

(e) *Musical compositions, arrangements, and recordings.*

(f) *Achievements in the visual arts.*

(g) *Grants supporting research and other scholarly or creative work, grant proposals, and reports to funding organizations.*

(h) *Patents.*

(i) *Awards, prizes, and other forms of recognition of scholarly or creative achievements.*

(j) *Invitations to give presentations, performances, or exhibits.*

(k) *Other forms of scholarly and creative achievements.* Colleges and departments are responsible for developing guidelines for what other categories and subcategories to include.

(2) *Teaching:* This section should report teaching activities and accomplishments for the entire probationary period for tenure-track faculty members and for the last five years for other faculty. It should include the following subsections, with all items in each subsection listed in reverse chronological order.

(a) *Courses taught for UAHuntsville.* This subsection should include courses taught for UAHuntsville during the entire probationary period for tenure-track faculty members and during the past five years for other faculty, enrollments and teaching evaluation scores for those courses organized into a table as follows:

Courses Taught for UAHuntsville															
Term/ Year	Course Prefix/ Number	Credits	Title	Class size	Percent of Class Receiving:					Total Item (N)	SIE				
					A	B	C	D	F		Global Item: % (N) receiving each score:				
											1	2	3	4	5

(b) *Advising and mentoring of undergraduate students.*

(c) *Service on doctoral dissertation committees.*

For each committee, indicate the name of the student, the year(s) the faculty member served, the faculty member's role, the dissertation topic, and the state of the dissertation work (e.g., pre-prelim, completed).

(d) *Service on masters thesis committees.*

For each committee, indicate the name of the student, the year(s) the faculty member served, the faculty member's role, the thesis topic, and the state of the thesis work (e.g., completed).

(e) *Other advising and mentoring of graduate students.*

Specify date(s), student name, and faculty member's role.

(f) *Curriculum development activities.*

(g) *Teaching awards, prizes and other forms of recognition.*

(h) *Guest lectures and presentations on pedagogical topics.*

(i) *Other teaching activities.* Colleges and departments are responsible for developing guidelines for what other categories and subcategories to include.

(3) *Service.* This section should report service activities and accomplishments for the entire probationary period for tenure-track faculty members and for the last five years for other faculty. It should include the following subsections, with items in each subsection listed in reverse chronological order.

(a) *Service to the university.* This section should report service to the faculty member's department and college as well as university-level service activities, including the date(s) of service for each activity listed, with activities in each subsection listed in reverse chronological order.

(b) *Professional service.* This section should list professional service activities, with associated dates, in reverse chronological order. It should include service to learned and professional societies, and service as an editor or referee for scholarly or creative publications, service as a reviewer for funding organizations, and other service to the faculty member's profession.

(c) *Community service.* This section should list activities and accomplishments involving service to the local, state, national and international communities. It should include outreach activities; non-research presentations on professional topics; services or consultation provided to business, media, government, cultural, educational, political, and health-care organizations; as well as other community service activities.

(d) *Service awards, prizes and other forms of recognition.*

(4) *Clinical and professional practice.* Clinical and library faculty shall include this section, which should report activities and accomplishments in clinical and professional practice for the last five years. The Library dean and faculty are responsible for developing guidelines for appropriate categories of activities for library faculty to report. Each college employing clinical faculty is responsible for developing guidelines for appropriate categories of activities to report. There should be a subsection for reporting *awards, prizes and other forms of recognition*. All items in each subsection should be listed in reverse chronological order.

(5) *Consulting.*

(6) *Other.* Colleges and departments are responsible for developing guidelines for what other categories and subcategories to include.

7.7.1.3.2 Organization of the Curriculum Vita

Within each section or subsection, there should be separate listings for achievements that have been subjected to a peer-review or a jury-review process and for achievements that have not been subjected to such review processes. Items within a section or subsection must be listed in reverse chronological order. Listings of co-authored works must identify all co-authors in order of authorships; other collaborative works should list all collaborators. Co-authored and collaborative listings for items in the most recent 6 years must include a short statement summarizing the nature of the faculty member's contribution to the work (e.g., "All co-authors contributed equally to the project." "I was the principal investigator/lead author on this project." "I conducted the data analyses and wrote the empirical results section.").

7.7.1.4 Past Performance Evaluations Folder

This folder shall be prepared by the faculty member's Department Chair and shall include the following documents:

- (1) Copies of annual performance evaluations conducted during the entire probationary period for tenure-track faculty and for the preceding five years for other faculty, as identified in [Section 7.8.1](#).
- (2) Copies of all reports and recommendations for prior reappointment reviews conducted in accordance with [Sections 7.8.1 through 7.8.6](#) for the entire probationary period for tenure-track faculty and for the preceding five years for other non-tenured faculty.

The contents of this folder shall be print-protected.

For tenured and non-tenure track faculty members, by May 1 of each year the Department Chair shall remove reports and recommendations that are more than 5 years old.

7.7.1.5 Scholarly and/or Creative Achievements Folder

This folder shall be prepared by the faculty member and shall include representative evidence of the faculty member's scholarly and/or creative achievements. The evidence should be organized into appropriate subfolders corresponding to the different subsections under "Scholarly and/or Creative achievements" in the faculty member's curriculum vita. This folder also should include a subfolder for copies of correspondence verifying the acceptance of work accepted for publication.

7.7.1.6 Teaching Folder

This folder shall be prepared by the faculty member and shall include representative evidence of the faculty member's activities and performance related to teaching competence and innovation. Where appropriate, the evidence should be organized into appropriate subfolders.

The contents of this folder shall be print-protected.

7.7.1.7 Service Folder

This folder shall be prepared by the faculty member and shall include representative evidence of the faculty member's service to the university, the profession or discipline, and the community (local, state, national and international). Such evidence might include but not be limited to: letters of appointment, correspondence, recognitions, editorial and refereeing responsibilities, service contracts/grants received (agency or foundation, title, dollar amount, time period), university committee assignments, outreach activities, etc. Where appropriate, the evidence should be organized into appropriate subfolders.

7.7.1.8 Clinical and Professional Practice Folder

This folder is required only for clinical and library faculty only. It shall be prepared by the faculty member and shall include representative evidence of the faculty member's activities and performance in the area of clinical and professional practice. Where appropriate, the evidence should be organized into appropriate subfolders.

7.7.1.9 Reports and Recommendations Folder

This folder shall apply only to faculty members under review for reappointment, promotion and tenure. It shall include copies of reappointment, promotion and tenure recommendations and reports from Reappointment Committees, Departmental (or Faculty) Committees, PTAC, URB, the Department Chair or equivalent, and the Dean.

The folder shall be viewable only by the members of Reappointment Committees, Departmental and Faculty promotion or tenure review committees, PTAC, URB, the Department Chair or equivalent, the Dean, and the Provost. The Provost shall erase the contents of this folder for promotion and/or tenure candidates by May 1 of the academic year in which the promotion, or tenure review takes place.

The contents of this folder shall be print-protected.

7.7.1.10 Letters Folder

This folder shall apply only to faculty members under review for promotion and/or tenure and shall include two subfolders. The first subfolder shall include external peer review letters solicited in accordance with [Section 7.10.3](#). The second subfolder shall include other letters of support solicited in accordance with [Section 7.10.4.1](#). The Department Chair is responsible for placing copies of the external peer review letters and other letters of support in this folder.

The folder shall be viewable only by the members of Departmental and Faculty review committees, PTAC, URB, the Department Chair or equivalent, the Dean, and the Provost. The Provost shall erase the contents of this folder by May 1 of the academic year in which the promotion or tenure review takes place, unless an appeal hearing has been scheduled.

The contents of this folder shall be print-protected.

7.7.1.11 Other Documents Folder

This folder may apply to all decisions and shall include other documentation that supports the faculty member's case for reappointment, promotion, or tenure. Where appropriate, the evidence should be organized into appropriate subfolders. The faculty member is responsible for placing other documents in this folder.

7.8 Annual Performance Evaluation and Reappointment Procedures

Each year tenured and tenure-track faculty are evaluated to provide feedback regarding the faculty member's progress toward meeting expectations for promotion and tenure, for salary adjustments, and, in cases where the faculty member's contract is due to expire at the end of the academic year, for reappointment. If the faculty member's contract is not due to expire at the end of the academic year, the review is conducted in accordance with the annual performance evaluation procedure in [Section 7.8.1](#). If the faculty member's contract is due to expire at the end of the academic year, the review is conducted in accordance with the reappointment procedures in [Section 7.8.2](#) for tenure-track faculty, [Section 7.8.3](#) for research faculty, [Section 7.8.4](#) for clinical and library faculty and for lecturers, and [Section 7.8.6](#) for adjunct faculty.

7.8.1 Annual Performance Evaluation Procedure

The Department Chair or equivalent is responsible for conducting annual performance evaluations for all tenured, clinical, and library faculty, as well as for lecturers and for research faculty with appointments in academic departments. For research faculty members who do not have appointment in academic departments, the Dean shall be responsible for conducting a similar annual performance review procedure. The Department Chair or equivalent also is responsible for conducting an annual performance evaluation for each tenure-track faculty member in the department in years in which the faculty member does not undergo a reappointment review in accordance with [Section 7.8.2](#).

Annual performance evaluations will evaluate the faculty member's performance in each of the areas of activity (i.e., scholarly and creative achievements, teaching, service, professional and clinical practice) for which the faculty member has responsibilities, based on the faculty member's record for the entire probationary period for tenure-track faculty and for the past five years for other faculty.

7.8.1.1 Purpose

Annual performance evaluations are developmental in nature and are designed to provide feedback to faculty members that will help them to improve performance and/or maintain effective performance. Annual performance evaluations are also used as a foundation for making decisions pertaining to salary increases. For tenure-track faculty members, annual performance evaluations provide feedback regarding the faculty member's progress toward meeting expectations for reappointment and tenure in years that the faculty member is not under review for reappointment or tenure. Annual performance evaluations also provide feedback regarding the faculty member's progress toward meeting expectations for promotion in rank.

7.8.1.2 Schedule and Procedure

(a) The Department Chair or equivalent shall notify each faculty member by February 1 that the faculty member needs to prepare or update his or her Comprehensive Digital File. For tenure-track faculty, the review shall incorporate written feedback on the faculty member's teaching, scholarly and/or creative achievements, and service from tenured members of the department; procedures for incorporating such feedback shall be adopted by each college in accordance with [Section 7.6.1](#). For research faculty members, the Chair or equivalent shall notify the Director of the Center with which the research faculty member is affiliated to request a written evaluation of the faculty member's performance. The latter shall be made available to the faculty member and added to his or her Comprehensive Digital File.

(b) The faculty member shall update his or her Comprehensive Digital File by April 1. Prior to initiating any performance review, the Chair shall be responsible for updating the Letters Folder, the Reports and Recommendations Folder, and the Past Performance Evaluations Folder, including ensuring that documents have been removed in accordance with [Sections 7.7.1.4, 7.7.1.9, and 7.7.1.10](#).

(c) The Chair shall prepare a written Annual Performance Evaluation, which shall include: (1) a written statement evaluating the faculty member's performance in the three areas of teaching, scholarly and/or creative accomplishments, and service, and for library and clinical faculty, clinical and professional practice; and (2) the Annual Performance Evaluation Rating Form, below.

ANNUAL PERFORMANCE EVALUATION RATING FORM					
	Exceptional Performance	Exceeds Expectations	Meets Expectations	Below Expectations	Unacceptable Performance
Teaching					
Scholarly &/or Creative Achievements					
Service					
Clinical & Professional Practice (clinical & library faculty only)					
Overall					

For tenure-track faculty members, the Chair's written evaluation shall also incorporate any comments and suggestions of other tenured faculty members in the department.

In rating the performance of a department's faculty, the Chair shall not use any forced distribution which limits the number or share of faculty members receiving a given rating, because such forced distributions make artificial distinctions when the variance in actual performance is low. In rating a faculty member's overall performance, the Chair shall weight

teaching, scholarly and/or creative achievements, and service performance consistent with the faculty member's responsibilities in each of those areas of activity.

(d) The Chair shall give the written evaluation and the rating form to the faculty member prior to the annual performance review discussion.

(e) The Chair shall meet with the faculty member by April 30 to discuss his or her performance evaluation. As a basis for the discussion, the Chair shall provide the faculty member with a copy of his or her Annual Performance Evaluation. To assure that the review is a two-way experience, the Chair shall give the person being reviewed a full opportunity to discuss strengths and weaknesses, problems, and ways in which the Department Chair, or other colleagues, might be helpful in improving performance. Following this meeting, the Chair may modify the Annual Performance Evaluation based on information provided by the faculty member during the meeting. The Chair shall provide the faculty member with the finalized copy of the Annual Performance Evaluation.

(e) The faculty member may prepare a written response to the Chair's evaluation. The faculty member shall give any such written response to the Chair within three weeks after the performance review discussion.

(f) After the annual performance evaluation meetings with faculty in the department, the Chair shall provide the Dean with copies of the Annual Performance Evaluation for each faculty member in the department as well as any written responses by the faculty members to the Chair. The Chair shall meet with the Dean to discuss the evaluations.

The Chair's Annual Performance Evaluation of a faculty member and any written responses that may be made by the individual become part of the faculty member's Comprehensive Digital File.

7.8.2 Reappointment of Tenure-Track Faculty

7.8.2.1 Schedule of Reappointment Reviews and Contracts for Tenure-Track Faculty

A tenure-track faculty member whose probationary period, as specified in the letter of offer, is for six years, or in cases where the initial appointment to a tenure-track faculty position began in the spring semester, whose probationary period contract ends no more than six years from the beginning of the first fall semester following the date of initial appointment, shall be reviewed for reappointment in accordance with the schedule of reappointment reviews in Table 7.8.2.1. A tenure-track faculty member whose probationary period, as specified in the letter of offer, is for less than six years, shall be reviewed for reappointment in accordance with timetable established in the faculty member's letter of offer.

Table. 7.8.2.1 Reappointment Schedule for Faculty Members with a Probationary Period of Six or More Years

Appointment & Reappointment Contract Durations	Year in Faculty Member's Probationary Period	Scheduled Reappointment Reviews by Year in Probationary Period	Action/Status if Not Reappointed by Year in Probationary Period
<p>The initial appointment contract for tenure-track faculty members shall be for three academic years for faculty members whose initial appointment begins in the Fall semester and for three-and-a-half academic years for faculty members whose initial appointment begins in the Spring semester, contingent on the faculty member's completion of all requirements for his or her terminal degree by the end of the first full academic year of the appointment. See Section 7.2.1.2.</p>	1 st full year	none	Not applicable
	2 nd full year	<p><i>First reappointment review.</i> In Spring of the second full academic year of the faculty member's initial appointment contract, the faculty member shall be reviewed for reappointment through 4th & 5th academic years in the faculty member's probationary period in accordance with the procedure described in Section 7.8.2.2.</p>	Not applicable
	3 rd full year	Advisory review	<p>If a tenure-track faculty member is not reappointed in the first reappointment review, the third year in the faculty member's probationary period is his or her terminal year of employment as a tenure-track faculty member.</p>
<p>The first reappointment contract for a tenure-track faculty member shall be for two academic years, the 4th and 5th full academic years in the faculty member's probationary period.</p>	4 th full year	<p><i>Second reappointment review.</i> In Spring of the fourth full academic year of the faculty member's probationary period, the faculty member shall be reviewed for reappointment through the 6th & 7th academic</p>	Not applicable

Table. 7.8.2.1 Reappointment Schedule for Faculty Members with a Probationary Period of Six or More Years

Appointment & Reappointment Contract Durations	Year in Faculty Member's Probationary Period	Scheduled Reappointment Reviews by Year in Probationary Period	Action/Status if Not Reappointed by Year in Probationary Period
		years in accordance with the procedure described in Section 7.8.2.2 .	
	5 th full year	none	If a tenure-track faculty member is not reappointed in the second reappointment review, the fifth full academic year in the faculty member's probationary period is his or her terminal year of employment as a tenure-track faculty member.
The second reappointment contract for a tenure-track faculty member shall be for two academic years, the 6 th and 7 th full academic years in the faculty member's probationary period.	6 th full year	None (tenure review year)	Not applicable
	7 th full year	none	Terminal year if not tenured

7.8.2.2 Reappointment Procedure for Tenure-track Faculty.

The Department Chair shall notify the faculty member of the upcoming reappointment review by December 15. At this time the Department Chair shall meet with the faculty member and discusses the reappointment review process. By February 1 the faculty member and the Department Chair shall update the faculty member's Comprehensive Digital File as described in [Section 7.7.1](#).

After consultation with the Dean, the faculty member, and with prospective committee members, the Department Chair shall appoint a Reappointment Review Committee. The Committee shall consist of at least two tenured faculty members in the candidate's department, or equivalent, and at least one tenured faculty member from another department in the candidate's college, or from outside the college in units without departments. In cases where there are not enough tenured faculty members in the department, the Chair shall appeal to the Dean for a variance in the composition of the review committee.

The Reappointment Review Committee shall assess the qualifications of the candidate for reappointment. In its deliberations, it shall consider the contents of the faculty member's Comprehensive Digital File and render a professional judgment on the candidate's strengths and weaknesses. The Committee shall prepare a detailed written report stating its recommendation for or against reappointment and a written rationale including the positive and negative factors that influenced the recommendation made by reviewer(s). The Committee Report shall include a signature page that shall be signed by all committee members and reveal the number of votes for each recommendation. If the votes are not unanimous, the report shall include both majority and minority subsections summarizing the rationales of the majority and minority, respectively. Copies of the Committee's Report must be transmitted to the Chair by March 1.

The Department Chair shall prepare an independent report recommending for or against reappointment and a written rationale for the recommendation. The Chair shall transmit this report and the Reappointment Review Committee's report(s) to the Dean no later than April 1.

The Dean shall review the report with the Provost and discusses possible actions by April 20. The Dean shall notify the faculty member in writing of the reappointment decision by May 1. The letter of reappointment shall include copies of tenure and promotion criteria indicated in Section 7.5.

7.8.3 Reappointment Procedure for Research Faculty

The probationary period for research faculty is from four to seven years, as specified in the letter of appointment and depending upon the qualifications and experience of the individual. All research faculty appointments are for one year. Probationary research faculty members are subject to annual review for reappointment or nonreappointment. This review is conducted concurrently and following the same procedure as the annual performance evaluation (Section 7.8.1). Research faculty members who are reappointed beyond their stipulated probationary period are given an appointment that continues indefinitely without the need for annual reappointment reviews, until such time as support is not generated or notice of termination is issued by the appropriate university official.

7.8.4 Reappointment Procedure for Clinical and Library Faculty and Lecturers

The term of appointment for clinical and library faculty and for lecturers is specified in the letter of appointment. Such faculty appointments are for one to three years and are subject to annual review prior to reappointment or non-reappointment. Reappointment decisions are based on needs, including financial considerations, of the administrative unit in which the faculty member is employed, as well as the prior annual faculty evaluations. Reappointment procedures parallel those for tenure-track faculty.

The Department Chair or equivalent shall notify the faculty member of the upcoming review by December 15. At this time the Department Chair shall meet with the faculty member and discusses the reappointment review process.

During the academic year in which the review is conducted, the faculty member and the Department Chair or equivalent shall prepare the faculty member's Comprehensive Digital File as described in [Section 7.7.1](#) by January 15.

After consultation with the Dean, faculty member, and prospective committee members, the Department Chair or equivalent shall appoint a Reappointment Review Committee. The Committee for clinical faculty members shall consist of at least two tenured faculty members and one clinical faculty member from the candidate's department or, in the case of Nursing faculty, the clinical faculty member's College. The Committee for lecturers shall consist of at least two tenured faculty members and one lecturer from the candidate's department.

The Library Faculty shall develop a proposal for a similar process for appointing a Reappointment Review Committee for library faculty members and shall submit that proposal to the Faculty Senate Executive Committee for approval. Subsequent to obtaining such approval, that process shall be incorporated into relevant sections of the Faculty Handbook.

Committee members should be at a rank equal to or higher than the candidate being reviewed. The Reappointment Review Committee shall assess the performance and qualifications of the candidate for reappointment. In its deliberations, it shall consider the contents of the faculty member's Comprehensive Digital File and render a professional judgment on the candidate's strengths and weaknesses. The Committee shall prepare a detailed written report stating its recommendation for or against reappointment and a written rationale including the positive and negative factors that influenced the recommendation made by reviewer(s). The Committee Report shall include a signature page that shall be signed by all committee members and reveal the number of votes for each recommendation. If the votes are not unanimous, the report shall include both majority and minority subsections summarizing the rationales of the majority and minority, respectively. Copies of the committee report are transmitted to the Chair or equivalent by:

March 1: Faculty beyond the first year of employment

February 15: Faculty in first year of employment.

The Chair or equivalent shall prepare an independent recommendation report. The Chair's report shall take into account not only the candidate's performance but also the curricular needs and financial resources of the college. The Chair shall give both the Chair's and Committee's reports to the Dean by:

April 1: Faculty beyond the first year of employment

February 28: Faculty in the first year of employment.

The Dean shall review the reports with the Provost and discusses possible actions. The Dean shall notify the faculty member in writing of the reappointment decision by:

May 1: Faculty beyond the first year of employment

March 15: Faculty in the first year of employment.

The Department Chair shall meet with reappointed faculty to discuss concerns and to plan objectives for the next year(s).

7.8.5 Reappointment Procedures for Visiting and Temporary Faculty

Visiting and temporary faculty normally are not subject to reappointment processes. However, after serving a successful term of appointment, if demand in the academic department warrants appointment again in the future, they may be appointed again in accordance with appointment procedures in [Section 7.3.2.2](#).

7.8.6 Reappointment Procedure for Adjunct Faculty

Recommendations for reappointment of adjunct faculty are the responsibility of the department in which the faculty member has an appointment. The Department Chair shall appoint a Reappointment Committee consisting of at least three tenured or tenure-track faculty members appointed by the Department Chair. The committee shall write an evaluation of the individual's performance and a statement of the need for his or her continued services. Recommendations for reappointment or nonreappointment are submitted by the Department Chair to the Dean as soon as possible prior to the end of the candidate's current appointment. The Dean, with the approval of the Provost, issues a letter of reappointment or nonreappointment.

As part of the reappointment committee's evaluation, the committee may, at its own discretion, review the rank of the individual and recommend reappointment to a higher rank. A complete written review of the criteria for this recommendation must be included as part of the overall reappointment recommendation. Reappointment at a higher rank shall require an affirmative vote by a majority of the tenured faculty in the department and by PTAC, as well as the approval of the Department Chair and the Dean.

7.9 Post-Tenure Review

All tenured faculty members are subject to annual performance evaluation review in [Section 7.8.1](#). In some cases, a tenured faculty member's performance may warrant a more extensive review by his or her peers.

7.9.1 Purpose

In accordance with the *AAUP Policy and Documents Report*, (2006), the post tenure review is a faculty-developed process carried out by the faculty according to standards that protect academic freedom and the quality of education. The post-tenure review is a system of evaluation that goes beyond the annual performance evaluation procedure and is aimed at faculty development or a commitment to improvement by the faculty member and to the adequate support of that improvement by the institution. The post-tenure review is also a commitment from the UAHuntsville administration and shall be supported by institutional resources for professional development or a change of professional direction.

The post-tenure review process is not a reevaluation or revalidation of the faculty member's tenure. The post-tenure review shall never be used for financial exigency or downsizing. The post-tenure review shall not be undertaken for the purpose of disciplinary actions, including dismissal. Other formal disciplinary procedures exist for that purpose (See [Section 7.14](#)).

7.9.2 Criteria for Post-Tenure Review

In accordance with AAUP guidelines, the basic standard for appraisal shall be whether the faculty member under review discharges conscientiously and with professional competence the duties appropriately associated with his or her position, not whether the faculty member meets the current criteria for the award of tenure, as the latter may have changed since the initial granting of tenure. The Faculty Senate Personnel Committee shall develop the general criteria by which faculty members are evaluated in the post-tenure review, subject to the approval of the Faculty Senate. Such criteria shall be incorporated into the Faculty Handbook and periodically reviewed by the Faculty Senate Personnel Committee. Post-tenure review criteria will be flexible enough to acknowledge different expectations in different disciplines and changing expectations at different stages of faculty careers. Colleges shall develop college-level criteria for post-tenure review in accordance with procedures in [Section 7.6](#) as long as such criteria are consistent with those in the *Faculty Handbook*.

7.10 Promotion and Tenure Procedures for Tenure-Track and Tenured Faculty

For the purpose of this section, administrators who do not have tenure may not participate in the tenure and promotion review processes. College and departmental procedures may not conflict with the procedures specified in this section.

7.10.1 Initiation of Promotion and Tenure Reviews

By April 15 of each academic year the Provost shall provide deans and department chairs with a list of faculty under mandatory tenure consideration during the coming academic year and shall notify all faculty of the May 15 deadline for promotion and tenure applications.

7.10.1.1 Tenure review during the last year of candidate's probationary period

By May 15 of the academic year before the tenure review, the Department Chair or equivalent shall notify the candidate that the tenure evaluation process is to begin. This tenure review process occurs no later than the last year in the candidate's probationary period as defined in [Section 7.2.1.1](#) or by an extension of the probationary period in accordance with [Section 7.2.1.4](#).

7.10.1.2 Early tenure review

A tenure-track faculty member may be considered for early tenure as defined in [Section 7.5.2.1](#) in a year that the faculty member's letter-of-offer specifies that an early tenure review may take place or, in cases where the Department Chair or equivalent believes the candidate meets the

criteria for early tenure specified in [Section 7.5.2.1](#), in a year that is agreed upon by the candidate and the candidate's Department Chair or equivalent. The Department Chair and the candidate for early tenure shall decide by May 15 of the academic year before the early tenure review year that the tenure evaluation process is to begin. A candidate for early tenure may withdraw from consideration at any point in the review process without prejudice to future tenure review.

7.10.1.3 Tenure review of administrative officers

Board Rule 301 (The Board of Trustees of the University of Alabama, *Board Manual*, REV 6/2009) states that an individual holding an administrative appointment may be considered for tenure and requires that administrative officers being considered for tenure be subject to the usual review process set forth in the *Faculty Handbook*. Tenure review procedures for administrative officers shall apply to administrative appointments at the level of department chair and above.

In cases where the administrative officer has a tenure-track faculty appointment, the Department Chair or equivalent shall initiate the tenure review process by May 15 in accordance with [Section 7.10.1.1](#) or with [Section 7.10.1.2](#), whichever is applicable.

In cases where the candidate is seeking tenure at the time of first appointment, the Department Chair (or equivalent) of the department (or college) in which the candidate is seeking a tenured faculty appointment shall initiate the tenure review process. In such cases, the Chair and the search committee are responsible for providing faculty review committees with information that would normally be contained in a tenure candidate's comprehensive file. If the candidate's administrative appointment is outside of the department or college in which the candidate is seeking tenure, the Provost shall request that the Department Chair or equivalent initiate the tenure review process. In such cases, the Provost and the search committee are responsible for providing the Department Chair and faculty review committees with information that would normally be contained in a tenure candidate's Comprehensive Digital File.

To ensure that a thorough review process takes place, if the review process is initiated during the academic year, at least three full weeks (excluding holidays, Fall Break, semester break, and Spring Break) shall be allowed for the review. If the review process is initiated outside of the academic year, at least four full weeks shall be allowed for the review and the Department Chair or equivalent and Dean shall be responsible for developing procedures that ensure that faculty members who are eligible to participate in the tenure evaluation process but are out of town can participate in the review process. In all cases, the candidate shall meet all criteria for tenure articulated in [Section 7.5.2](#) and the tenure-granting process as described in [Section 7.10.2.1](#), as well as additional tenure criteria established by the department and college.

7.10.1.4 Promotion in Academic Rank

A tenured or tenure-track faculty member may apply for promotion in rank by providing written notification to the candidate's department chair or equivalent, or, in a case in which the candidate is a department chair, to the Dean, by May 15 of the year before the promotion review. A

candidate may withdraw from consideration for promotion without prejudice at any time by written request to the Department Chair or equivalent.

7.10.2 Review Levels, Reports, Recommendations, and Decisions

Reviews for promotion and/or tenure take place at six levels in the following sequence: the Departmental Committee, the Department Chair or equivalent, the College Promotion and Tenure Advisory Committee (PTAC), the Dean, the University Review Board (URB), and the Provost. In the College of Nursing, reviews take place at five levels, the Faculty Committee, the Associate Dean, the Dean, URB, and the Provost. Reviews at each level below the Provost are advisory to the Provost, who makes the final decision.

7.10.2.1 Departmental Committee, PTAC, and URB Reports and the Provost's Decision

At each level of review below the Provost, the reviewing body shall conduct a separate review and prepare a written report. Each report must include a written recommendation in accordance with [Section 7.10.2.2](#) and a written rationale including the positive and negative factors that influenced the recommendation made by reviewer(s). The committee report (i.e., the Departmental Committee or Faculty Committee in the College of Nursing, PTAC, URB) shall include a signature page that shall be signed by all committee members and reveal the number of votes for each recommendation (i.e., [Section 7.10.2.2](#)). If the votes are not unanimous, the report shall include both majority and minority subsections summarizing the rationales of the majority and minority, respectively.

7.10.2.2 Recommendations and Decision

7.10.2.2.1 Tenure & Promotion to Associate Professor in Last Year of Probationary Period

Each report must make one of the following recommendations and the Provost must make one of the following decisions:

- (a) That tenure and promotion be granted effective at the beginning of the following academic year;
- (b) That tenure and promotion not be granted.

7.10.2.2.2 Tenure & Promotion to Professor in Last Year of Probationary Period

Each report must make one of the following recommendations and the Provost must make one of the following decisions:

- (a) That tenure and promotion be granted effective at the beginning of the following academic year;
- (b) That tenure be granted effective at the beginning of the following academic year, but that the decision on promotion be deferred.

(c) That tenure and promotion not be granted.

7.10.2.2.3 Early Tenure for Assistant Professors

Each report must make one of the following recommendations and the Provost must make one of the following decisions:

(a) That tenure and promotion be granted effective at the beginning of the following academic year.

(b) That the decision on granting tenure and promotion be deferred.

(c) That promotion be granted effective at the beginning of the following academic year and that the decision on granting tenure be deferred.

7.10.2.2.4 Early Tenure for Associate Professors or Professors

Each report must make one of the following recommendations and the Provost must make one of the following decisions:

(a) That tenure be granted effective at the beginning of the following academic year.

(b) That the decision on granting tenure be deferred.

7.10.2.2.5 Tenure at Time of First Appointment

Each report must make one of the following recommendations and the Provost must make one of the following decisions:

(a) That tenure be granted effective on the first day of employment.

(b) That the decision on granting tenure be deferred.

7.10.2.2.6 Promotion for Candidates Not Being Considered for Tenure

Each report must make one of the following recommendations and the Provost must make one of the following decisions:

(a) That promotion be granted effective at the beginning of the following academic year.

(b) That the decision on granting the promotion be deferred.

7.10.3 External Peer Review

Because external peer review has played a long-standing role in evaluating scholarly and creative achievements, a minimum of three letters from peer evaluators outside the university are required for all promotion and tenure reviews.

7.10.3.1 Qualifications for External Peer Reviewers

Reviewers should have outstanding professional qualifications. Dissertation committee and co-authors of the candidate may not serve as external peer reviewers.

7.10.3.2 Procedure for Selecting External Peer Reviewers

By May 20 in the academic year preceding the promotion and/or tenure review, the Department Chair shall solicit nominations of individuals to serve as external peer reviewers from the candidate and members of the candidate's department who are eligible to serve on promotion and tenure committees. The names of nominees to serve as external peer reviewers, along with supporting documentation of the nominee's qualifications, must be submitted in writing to the Department Chair by June 15. The Department Chair shall select four external peer reviewers from the nominees; two of the four external peer reviewers must be taken from the list nominated by the candidate.

7.10.3.3 Procedure for Soliciting External Peer Reviews

By June 15, the candidate shall provide the Department Chair with a packet of information to send to the external peer reviewers. The packet shall include a curriculum vitae and representative examples of the candidate's scholarly and/or creative achievements.

By July 1, the Department Chair shall contact the external peer reviewers by telephone or email to ascertain their willingness to serve as a reviewer and to submit their review by August 15. If any of those selected decline to serve, the Department Chair shall select a replacement from the remaining nominees.

By July 1, the Department Chair shall send the packet of information to the external peer reviewers along with a letter requesting that they assess the quality of the candidate's scholarly and/or creative achievements.

If fewer than three of the external peer reviewers have returned their reviews by August 15, the Department Chair shall solicit additional reviews from the nominees. By September 15, the Department Chair shall place in the candidate's Comprehensive Digital File: (1) a summary of each external reviewer's qualifications, (2) a copy of the letter sent to the external reviewers requesting their assessment of the quality of the candidate's scholarly and/or creative achievements, and (3) the letters received from the external reviewers. The original letters submitted by external peer reviewers shall be placed in the faculty member's personnel file in the Dean's office.

7.10.4 Other Supporting Documentation

7.10.4.1 Other Letters of Support

The candidate may also solicit up to five secondary letters of support from parties who can provide additional information about the candidate's scholarly and/or creative achievements (e.g., co-authors and other collaborators, former students). By September 15, the Chair shall place such letters in the faculty member's Comprehensive Digital File and shall submit the original letters of support to the Dean; the Dean shall place the originals in the faculty member's personnel file in the Dean's office.

7.10.4.2 Addition of Information to the Comprehensive Digital File

No documents may be added to the Comprehensive Digital File after the review by the Departmental Committee (or equivalent). If the candidate has relevant information to add prior to the completion of the review by the Departmental Committee, the candidate shall provide such information to the Department Chair, who shall place such information in the candidate's Comprehensive Digital File and notify the Departmental Committee of its addition. If the Departmental Committee decides that additional information is needed, the Committee Chair shall request such information from the Department Chair, who shall obtain the missing information, place it in the candidate's Comprehensive Digital File, and notify the candidate that the additional information has been placed in the file.

If the candidate has relevant information to add after the completion of the review by the Departmental Committee, the candidate may provide such information to the Department Chair (or equivalent) and the Dean, who may include it in their reports. If the Department Chair or Dean includes such information in their reports, they shall note in the report when they received it.

7.10.5. Eligibility to Serve on and Selection of Promotion and/or Tenure Committees

7.10.5.1 Eligibility to Serve on Promotion and/or Tenure Committees

Three faculty committees, the Departmental Committee (or Faculty Committee in Nursing), the College Promotion and Tenure Advisory Committee (PTAC), and the University Review Board (URB), participate in promotion and tenure review processes. Administrators who participate directly in the review process at a higher level may not serve on these faculty promotion or tenure committees; all other full-time tenured faculty members are eligible to serve. A faculty member who meets these eligibility criteria and who also is an administrator but not participating directly in the review process at a higher level is eligible to serve on the Departmental Committee. Such administrators must abstain from advising any higher level administrator making decisions in the review process.

University Review Board members must hold the rank of professor or associate professor, be tenured, and have at least five years of full-time academic experience on university faculties. Faculty members who are candidates for promotion and faculty members who hold an

administrative position at the level of department chair or higher are not eligible to serve on the URB. No member of the URB may serve on a PTAC.

7.10.5.2 Composition and Selection of the Departmental Committee (or Faculty Committee in Nursing)

For the College of Nursing, the Faculty Committee will be the equivalent of the Departmental Committee and the Associate Dean will be the equivalent of the Department Chair.

By September 15 and after consultation with the candidate, the Dean, and with the faculty members eligible to serve as departmental committee members, the candidate's Department Chair (or equivalent) shall form the departmental promotion and/or tenure committee for the candidate. If the candidate is the Department Chair, the candidate's dean shall form the committee.

The departmental promotion and/or tenure committee (or equivalent) shall consist of all faculty members in the candidate's department (or equivalent unit) who meet the eligibility requirements specified in [Section 7.10.5.1](#) and one eligible faculty member from another department. The latter member shall be selected by department chair in consultation with the candidate.

The Department Chair does not serve on the departmental committee unless there are fewer than three eligible faculty members within the candidate's department, other than the Chair. In such cases, the Department Chair serves as a voting member of the committee and does not conduct a separate review.

For faculty holding joint appointments, the Department Chair (or equivalent) of the primary department shall form the departmental committee, which shall consist of all tenured faculty members in the primary department and at least one tenured faculty member from the other department(s). The Chair of the primary department shall select the latter person. In cases of joint appointments, the procedures for the primary department shall be followed.

7.10.5.3 Composition and Selection of the URB

The University Review Board (URB) is composed of five faculty members, one from each of the colleges. The term of office for URB members is two years and is staggered among the members.

The Dean of each college is responsible for supervising the election of the college's representative to URB. The Dean shall convene a nominating committee composed of the Dean and all department chairs in the college. By September 5, the nominating committee shall prepare a slate of at least two nominees who meet the eligibility requirements specified in [Section 7.10.5.1](#).

The Dean shall conduct the election and shall notify the faculty of the college and the Provost of the results by September 20. Tenured and tenure-track members are eligible to vote by secret ballot in URB elections. In addition, research and clinical faculty members who have full-time

appointments in the College and who are not on termination notice also are eligible to vote by secret ballot in URB elections.

By November 1, the Provost shall provide URB members with access to the Comprehensive Digital Files of all faculty members in the University who are under review for promotion and or tenure.

7.10.5.4 Composition and Selection of the PTAC

The Dean of each college is responsible for supervising the election of the college's Promotion and Tenure Committee. The Dean shall convene a nominating committee comprised of the Dean and all department chairs in the college.

Prior to October 1, the nominating committee shall prepare a slate of at least ten nominees for PTAC who meet the eligibility requirements specified in [Section 7.10.5.1](#) and the Dean shall announce the slate to the faculty who are eligible to vote on PTAC membership. Whenever possible, the nominating committee shall encourage diversity in slate of nominees.

By October 15, the Dean shall conduct a secret ballot election to select the PTAC membership and shall report the results of the election to the College's faculty and to the Provost. The ballot shall contain the slate of ten nominees chosen by the nominating committee. All tenured and tenure-track faculty members of the college who are not on termination notice have the right to vote in the election. Each voter may vote for five of the nominees.

The five nominees with the most votes shall serve a one year term as regular members of PTAC. The nominees with the 6th and 7th highest number of votes shall serve a one year term as alternate members of PTAC. A PTAC member who has served on a candidate's promotion and/or tenure committee is ineligible to participate in the PTAC review of that candidate and may not participate in the PTAC's discussion or vote on that candidate. In such cases, alternate PTAC members replace the regular PTAC committee members who are ineligible to serve on the candidate's PTAC. Alternate PTAC members also shall replace a PTAC member who is unavailable to serve.

By November 1, the Provost shall provide PTAC members and alternate members with access to the Comprehensive Digital Files of all faculty members in the College who are under review for promotion and or tenure.

In cases where there are not enough eligible faculty to serve on the PTAC for a candidate, the Dean shall consult with the Provost, who shall determine a suitable arrangement for a college-level review for that candidate.

7.10.6 Review by the Departmental Committee (or Equivalent)

The Provost shall make the candidate's Comprehensive Digital File available to the Departmental Committee by September 15. The Department Chair shall call the first meeting of the Departmental Committee by September 15 and shall charge the committee, and then leave to

ensure that the Departmental Committee's review and the Department Chair's review are independent.

By October 15, the Departmental Committee shall meet, discuss and evaluate the candidate's performance, and submit its report to the Department Chair.

The Departmental Committee shall select a committee chair from among its members. The committee shall review information provided in the candidate's Comprehensive Digital File. No new information will be added to the candidate's Comprehensive Digital File except in accordance with [Section 7.10.4.2](#). After the committee has deliberated, it shall choose one or more members of the committee to draft the committee's report in accordance with [Section 7.10.2](#). When all members of the committee have reached consensus on the language of the report, the Departmental Committee Chair shall obtain the signature of all committee members on the committee report and shall submit the report to the Department Chair. By October 20, the Department Chair shall add a copy of the departmental committee's report to the candidate's Digital Comprehensive File and shall place the original report in the faculty member's personnel file in the Dean's office.

In cases in which there are fewer than three eligible faculty members within the candidate's department and the Department Chair shall serve as a voting member of the Departmental Committee, the Departmental Committee Chair shall submit the committee report to the Dean by October 15. The Dean shall add the Departmental Committee's report and a statement indicating why the Department Chair is on the Departmental Committee to the candidate's Comprehensive Digital File. In such cases, there shall be no review by the Department Chair and the next step in the review process shall be review by PTAC.

7.10.7 Review by the Department Chair (or Equivalent).

The Department Chair (or equivalent), providing he or she is not a voting member of the Departmental Committee, shall review the report of the Departmental Committee (or equivalent) and the other materials in the candidate's Comprehensive Digital File. The Department Chair then shall write an independent report prepared in accordance with [Section 7.10.2](#). By November 1, the Chair (or equivalent) shall forward the Chair's report to the Dean. By November 5, the Dean shall place the original report in the candidate's personnel file in the Dean's office and shall add a copy of the Department Chair's (or equivalent's) report to the candidate's Digital Comprehensive File.

7.10.8 Notification of Candidate of Results of Departmental Reviews

The Chair (or equivalent) shall meet with the candidate by November 15 and shall provide the candidate with: (1) a copy of the Departmental Committee's report and (2) the Chair's (or equivalent's) report; the copies of both reports that are provided to the candidate must have all information identifying individual committee members and outside reviewers removed.

7.10.9 Review by the College Promotion and Tenure Advisory Committee (PTAC)

By October 25, the Dean shall call the first meeting of the PTAC.

PTAC shall select a chair from among its members. PTAC shall form a committee of five PTAC members for reviewing each promotion and/or tenure candidate. PTAC members who voted on a candidate at the department level shall not serve on or be present during discussions by that candidate's PTAC committee; alternate members of PTAC shall replace such PTAC members.

The PTAC committee for a candidate shall select a chair and shall review information provided in the candidate's Comprehensive Digital File. PTAC shall assess each candidate's performance using relevant criteria in [Section 7.5](#) and additional tenure and/or promotion criteria developed by the college. After the committee has deliberated, it shall choose one or more members of the committee to draft the committee's report in accordance with [Section 7.10.2](#). Once all members of the committee have reached consensus on the language of the report, the Chair shall submit the report to the Dean by December 5. By December 15, the Dean shall place a copy of the PTAC report in the candidate's Digital Comprehensive File and shall place the original in the candidate's personnel file in the Dean's office.

7.10.10 Review by the Dean

The Dean shall conduct an independent review of the candidate, and shall prepare a report in accordance with [Section 7.10.2](#). By January 15, the Dean shall forward the original report, to the Provost. By January 20, the Provost shall place a copy of the report in the candidate's Comprehensive Digital Filer.

7.10.11 Notification to Candidate of Results of College-Level Reviews

The Dean (or equivalent) shall meet with the candidate by January 20 and shall provide the candidate with copies of the PTAC's report and the Dean's (or equivalent's) report; the copies of both reports that are provided to the candidate must have all information identifying individual committee members and outside reviewers removed.

7.10.12 Review by the University Review Board

7.10.12.1 Review of Promotion and Tenure Candidates

By December 5, the Provost shall call the first meeting of the University Review Board.

The URB shall select a chair from among its members. The University Review Board is responsible for reviewing the Comprehensive Digital Files for all promotion and tenure candidates submitted to the Office of the Provost by the deans. URB shall base its report to the Provost solely upon the recommendations and evidence submitted in the Comprehensive Digital Files. By February 15, URB shall prepare a report and recommendation for each tenure and/or promotion candidate in accordance with [Section 7.10.2](#). In addition, URB is responsible for: (1) ascertaining that there is adequate documentation in each candidate's Comprehensive Digital File to allow determination that the candidate has satisfied the requirements in each of the categories of teaching, scholarly and/or creative achievements, and service; (2) determining that

the review process for each candidate at the department and college levels has been carried out in accordance with posted departmental and college procedures and with the procedures prescribed by the *Faculty Handbook*; and (3) ensuring that the application of criteria for promotion and tenure is consistent throughout the university and consistent with the criteria delineated earlier in [Section 7.5](#).

URB members who voted on a candidate at the department level shall neither be present during the discussion nor vote on that candidate.

7.10.12.2 Review of Criteria and Procedures

By April 1, URB shall review criteria and procedures used by the colleges for consistency with the *Faculty Handbook* and, if any college's criteria and procedures are judged to be inconsistent with the *Faculty Handbook*, shall notify the Provost and the Dean of the College of the inconsistencies.

7.10.13 Review by the Provost

The Provost shall conduct an independent review of each promotion and/or tenure candidate prior to making a final decision in accordance with [Section 7.10.2](#). In conducting the review of each candidate, the Provost shall evaluate all information submitted in the candidate's comprehensive file, including all previous reports. Utilization of professional assessments from appropriate faculty and academic administrators must be documented.

7.10.14 Notification to the Candidate

By March 15, the Provost shall notify all candidates informing them of the final decision on promotion and/or tenure in their individual cases. Subsequent to notifying all candidates, the Provost also shall provide a written general announcement to the faculty listing all individuals who will be awarded tenure or promoted effective at the beginning of the next academic year. A faculty member who receives notification of denial or deferral of tenure /or promotion must be informed in writing by the Provost of the reason(s) for that decision.

7.10.15 Promotion and Tenure Appeals

Any candidate who is not granted promotion or tenure has the right to appeal that decision. The faculty member may file a grievance to the Faculty Appeals Committee in accordance with the faculty grievance procedure in [Appendix E](#). The Provost shall provide unsuccessful candidates with copies of the URB report from which all information identifying individual committee members and outside reviewers has been removed, and with redacted copies of letters written by external peer reviewers. If the faculty member chooses to appeal the decision, the official appeal must be initiated within 45 days after the date of the Provost's letter providing the reasons for denial.

7.11 Promotion Procedures for Research, Clinical, and Library Faculty

For the purpose of this section, administrators who do not have tenure may not participate in the promotion review process. For the purpose of this section, the "Associate Dean" in the College of Nursing is the equivalent of the "Department Chair."

7.11.1 Initiation of the Promotion Review

Research or clinical faculty members who are affiliated with an academic department and library faculty members may apply for promotion in rank by providing written notification to the candidate's Department Chair or equivalent by May 15 of the year before the promotion review. Research or clinical faculty members who are not affiliated with an academic department, but are affiliated with a college, may apply for promotion in rank by providing written notification to the candidate's dean by May 15 of the year before the promotion review. Research or clinical faculty members who are not affiliated with either an academic department or a college, may apply for promotion in rank by providing written notification to the Provost by May 15 of the year before the promotion review.

A candidate may withdraw from consideration for promotion without prejudice at any time by written request to the Department Chair or equivalent.

7.11.2 Review Levels

Reviews for promotion normally take place at six levels in the following sequence: the Departmental Committee, the Department Chair or equivalent, the College Promotion and Tenure Advisory Committee (PTAC), the Dean, the University Review Board (URB), and the Provost. In the College of Nursing, reviews take place at five levels, the Faculty Committee, the Associate Dean, the Dean, URB, and the Provost. For candidates outside of the College of Nursing who are affiliated with a college, but are not affiliated with an academic department, reviews take place at four levels: the College Promotion and Tenure Advisory Committee (PTAC), the Dean, the University Review Board (URB), and the Provost. For candidates outside of the College of Nursing who affiliated with neither a college nor an academic department, the reviews take place at three levels: a Faculty Committee appointed by the Provost, the University Review Board (URB), and the Provost.

The library faculty shall develop a proposal for a similar procedure for promotion reviews and submit their proposal to the Faculty Senate Executive Committee and the Provost for approval. Upon approval, the procedure for promotion reviews of library faculty shall be incorporated into the Faculty Handbook.

Reviews at each level below the Provost are advisory to the Provost, who makes the final decision.

7.11.3 Recommendations and Reports

7.11.3.1 Recommendations

At each level of review, the administrator or Committee must make one of the following recommendations or, in the case of the Provost, decisions:

- (a) That promotion be granted effective at the beginning of the following academic year.
- (b) That the decision on granting the promotion be deferred.

If a Committee does not reach consensus on a recommendation, the recommendation shall consist of the number of votes cast for each option.

7.11.3.2 Reports

At each level of review below the Provost, the reviewing person or body shall prepare a recommendation in accordance with [Section 7.11.3.1](#) and a written report. Committee reports (i.e., the Departmental Committee or Faculty Committee, PTAC, URB) shall include a signature page that shall be signed by all committee members and reveal the number of votes cast for each option. If the vote is not unanimous, the report shall include both majority and minority subsections summarizing the rationales of the majority and minority, respectively.

7.11.4 External Peer Review

A minimum of three letters from peer evaluators outside the university are required for promotion reviews.

7.11.4.1 Qualifications for External Peer Reviewers

Reviewers should have outstanding professional qualifications; otherwise a candidate could be disadvantaged in the review process. Dissertation committee and co-authors may not serve as external peer reviewers. Colleges and departments may choose external peer reviewers who are qualified to assess the specific responsibilities of a clinical, library, or research faculty members in that department and/or college.

7.11.4.2 Procedure for Selecting External Peer Reviewers

Each college or department and the library are responsible for developing procedures for selecting external peer reviewers for clinical, library, and research faculty members in accordance with procedures set forth in [Section 7.6.1](#). By May 20 in the year preceding the promotion review, the Administrator (Department Chair, Dean, or Provost) to whom the candidate applied for promotion review shall solicit nominations of individuals to serve as external peer reviewers from the candidate and from all faculty members in the department (or equivalent) who are eligible to serve on the Departmental Committee (or equivalent). In cases where the candidate has neither a departmental or college affiliation, the Provost shall establish and implement a procedure for nominating external peer reviewers. The names of nominees to serve as external peer reviewers, along with supporting documentation of the nominee's qualifications, must be submitted in writing to the Department Chair by June 15.

7.11.4.3 Procedure for Soliciting External Peer Reviews

By June 15, the candidate shall provide the Administrator (Department Chair, Dean, or Provost) to whom the candidate applied for promotion review with a packet of information to send to the external peer reviewers. For research faculty members, the packet shall include a curriculum vitae and representative examples of the candidate's scholarly and/or creative achievements. For clinical and library faculty members, the packet shall include the candidate's curriculum vitae and evidence of accomplishments in the areas of activity (i.e., teaching, scholarly and/or creative achievements, service, and clinical and professional practice) for which the candidate has responsibilities in accordance with criteria established by the department and/or college in which the appointment is held.

By July 1, that administrator shall contact the external peer reviewers by telephone or email to ascertain their willingness to serve as a reviewer and to submit their review by August 15; if any of those selected decline to serve, the administrator shall select a replacement from the remaining nominees.

By July 1, that administrator shall send the packet of information to the external peer reviewers along with a letter requesting that they assess the quality of the candidate's scholarly and/or creative achievements.

In the event that fewer than three of the external peer reviewers have returned their reviews by August 15, the administrator shall solicit additional reviews from the nominees identified in accordance with [Section 7.11.4.2](#). The administrator shall place a copy of the letter sent to the external reviewers requesting their assessment of the candidate's performance and the letters received from the external reviewers in the candidate's Comprehensive Digital File.

7.11.4.4 Other Letters of Support

The candidate may also solicit up to five secondary letters of support from parties who can provide additional information about the areas of activity (i.e., teaching, scholarly and/or creative achievements, service, and clinical and professional practice) for which the candidate has responsibilities in accordance with criteria established by the department and/or college in which the appointment is held. By September 15, the Administrator shall place such letters in the faculty member's Comprehensive Digital File and shall submit the original letters of support to the Dean; the Dean shall place the originals in the faculty member's personnel file in the Dean's office or, in cases where the candidate does not have a college affiliation, in the Provost's office.

7.11.4.5 Addition of Information to the Comprehensive Digital File

No documents may be added to the Comprehensive Digital File after the review by the Departmental Committee (or equivalent). If the candidate has relevant information to add prior to the completion of the review by the Departmental Committee (or equivalent), the candidate shall provide such information to the Department Chair (or equivalent), who shall place such information in the candidate's Comprehensive Digital File and notify the Departmental Committee of its addition. If the Departmental Committee (or equivalent) decides that additional

information is needed, the Committee Chair shall request such information from the Department Chair (or equivalent), who shall obtain the missing information, place it in the candidate's Comprehensive Digital File, and notify the candidate that the additional information has been placed in the file.

If the candidate has relevant information to add to the CDF after the Departmental Committee (or equivalent) had completed its review, the candidate may provide such information to the Department Chair (or equivalent) and the Dean, who may include it in their reports. If the Department Chair (or equivalent) or Dean includes such information in their reports, they shall note when they received it.

7.11.5. Eligibility to Serve on and Selection of Promotion Committees

7.11.5.1 Eligibility to Serve on Promotion Committees

Three faculty committees, the Departmental Committee (or Faculty Committee in the College of Nursing or for candidates who are not affiliated with a college), the College Promotion and Tenure Advisory Committee (PTAC), and the University Review Board (URB), participate in promotion reviews processes. Administrators who participate directly in the review process at a higher level may not serve on promotion committees. All other full-time tenured faculty members are eligible to serve on promotion committees. A faculty member who meets these eligibility criteria and who also is an administrator but not participating directly in the review process at a higher level is eligible to serve on the Departmental Committee. Such administrators must abstain from advising any higher level administrator making decisions in the review process. The College of Nursing and the Library shall establish additional eligibility criteria for participation on the Faculty Committee evaluating clinical and library faculty members, respectively, for promotion. URB is responsible for developing additional eligibility criteria for serving on Faculty Committees responsible for evaluating promotion candidates who have neither a departmental nor a college affiliation.

Eligibility requirements to serve on PTAC and on URB are specified in [Section 7.10.5.1](#).

7.11.5.2 Composition and Selection of the Departmental Committee (or Faculty Committee in Nursing)

By September 15, and after consultation with the candidate, the Dean, and with the faculty members eligible to serve as departmental (or equivalent) committee members, the candidate's Department Chair (or equivalent) shall form the departmental (or equivalent) promotion committee for the candidate.

The Departmental Committee shall be composed and selected in accordance with [Sections 7.10.5.1 and 7.10.5.2](#).

In the College of Nursing, the Faculty Committee shall consist of all faculty members in the college the eligibility requirements specified in College of Nursing Organizational Bylaws. The

latter member shall be selected by associate dean in consultation with the candidate. The associate dean does not serve on the faculty committee.

For faculty members who do not have either a departmental or a college affiliation, the Faculty Committee shall consist of five faculty members, who shall be appointed by the Provost. At least four of the faculty members on the committee shall be tenured faculty members; one untenured clinical or research faculty member at rank of associate or full professor may be appointed. Where feasible, appointees to such faculty committees will be in the same discipline or a closely associated discipline as the candidate for promotion.

7.11.6 Review by the Departmental or Faculty Committee

The review by the Departmental or Faculty Committee shall follow the procedure specified in [Section 7.10.6](#).

7.11.7 Review by the Department Chair (or Equivalent).

The review by the Department Chair (or equivalent) shall follow the procedure specified in [Section 7.10.7](#).

7.11.8 Notification of Candidate of Results of Departmental Reviews

The Chair (or equivalent) shall meet with the candidate by November 15 and shall provide the candidate with: (1) a copy of the Departmental (or Faculty) Committee's report and (2) the Chair's (or equivalent's) report; the copies of both reports that are provided to the candidate must have all information identifying individual committee members and outside reviewers removed.

7.11.9 Review by the College Promotion and Tenure Advisory Committee (PTAC)

The review by the PTAC shall follow the procedure specified in [Section 7.10.9](#).

7.11.10 Review by the Dean

The review by the Dean shall follow the procedure specified in [Section 7.10.10](#).

7.11.11 Notification to Candidate of Results of College-Level Reviews

The Dean (or equivalent) shall meet with the candidate by January 20 and shall provide the candidate with copies of the PTAC's report and the Dean's (or equivalent's) report; the copies of both reports that are provided to the candidate must have all information identifying individual committee members and outside reviewers removed.

7.11.12 University Review Board

The review by the University Review Board shall follow the procedure specified in [Section 7.10.12](#).

7.11.13 Review by the Provost

The review by the Provost shall follow the procedure specified in [Section 7.10.13](#).

7.11.14 Notification to the Candidate

The Provost shall notify the candidate in accordance with [Section 7.10.14](#).

7.11.15 Promotion Appeals

Any candidate who is not granted promotion has the right to appeal that decision in accordance with [Section 7.10.15](#).

7.12 Summary of Deadline Dates for Tenure and Promotion

Table 7.12 Matrix of Actions by Date and Responsible Party								
Date	Action	Responsible Party						
		Candidate	Dept. Chair	Dept. Committee	PTAC	Dean	URB	Provost
Apr. 15	Deadline for Provost to provide deans and department chairs with a list of tenure-track faculty for whom the next academic year will be the mandatory tenure review year.							X
May 15	Deadline for candidates to apply to be considered for promotion.	X						
May 15	Deadline for candidate for early tenure and department chair to initiate the early tenure evaluation process.	X	X					
	Deadline for Department Chair to notify tenure-track faculty for whom the next academic year will be the mandatory tenure review year that the tenure evaluation process is beginning.		X					
	Deadline for Department Chair to initiate tenure review process for tenure candidates who are administrative officers.		X					
May 20	Deadline for Department Chair to solicit nominations of individuals to serve as external peer reviewers.		X					
June 15	Deadline for candidate and all members of the department who are eligible to serve on promotion and tenure committees to submit nominees for external peer reviewers to the Department Chair.	X						
	Deadline for candidate to provide the Department Chair with an information packet to send to the external peer reviewers.	X						
July 1	Deadline by which Department Chair must have solicited external peer reviewers and sent the candidate's information packet to the external peer reviewers.		X					
Aug. 15	Deadline for Department Chair to solicit additional external peer reviews if fewer than three external peer reviewers have returned their reviews.		X					
Sept. 5	Deadline for Dean to convene nominating committee to select candidates for URB.					X		

Table 7.12 Matrix of Actions by Date and Responsible Party

Date	Action	Responsible Party						
		Candidate	Dept. Chair	Dept. Committee	PTAC	Dean	URB	Provost
Sept. 15	Deadline for Candidate to have updated his/her Comprehensive Digital File.	X						
Sept. 15	Deadline for Department Chair to place copies of external peer review letters and other letters of support in the candidate's Comprehensive Digital File and to submit the originals to the Dean.		X					
Sept. 15	Deadline for Department Chair to form Departmental Committee and convene first Departmental Committee meeting.		X					
Sept. 15	Deadline for Provost to make candidate's Comprehensive Digital File available to Departmental Committee members.							X
Sept. 20	Deadline for Dean to have conducted and announced results of URB election.					X		
Oct. 1	Deadline for Dean and nominating committee to announce slate of candidates for PTAC as well as the set of faculty who are eligible to vote on PTAC membership.					X		
Oct. 15	Deadline for Dean to conduct and announce results of PTAC election.					X		
	Deadline for Departmental Committee to submit its report to the Department Chair (or to the Dean if the Department Chair is a member of the Departmental Committee).		X					
Oct. 20	Deadline for Department Chair to place a copy of the Departmental Committee Report in the candidate's Comprehensive Digital File and the original in the candidate's personnel file in the Dean's office.		X					
	Deadline for Provost to make candidate's Comprehensive Digital File available to PTAC.							X
Oct. 25	Deadline for Dean to convene the first PTAC meeting.					X		
Nov. 1	Deadline for Provost to provide URB members with access to the CDFs of all promotion and tenure candidates that they will review.							
	Deadline for Department Chair to submit his/her report to the Dean.		X					
Nov. 5.	Deadline for Dean to place Department Chair's original report in the candidate's personnel file in the Dean's office and a copy of the report in the candidate's Comprehensive Digital File.					X		
Nov. 15	Deadline for Department Chair to meet with candidate to inform candidate of Departmental Committee and Department Chair's recommendations.		X					
Dec. 5	Deadline for PTAC to submit its report to the Dean.				X			
	Deadline for Provost to convene first URB meeting.							X
Dec. 15	Deadline for the Dean to place a copy of the PTAC report in the candidate's Digital Comprehensive File and the original in the candidate's personnel file in the Dean's office.				X			
Jan. 15	Deadline for Dean to submit his/her report to the Provost.					X		
Jan. 20	Deadline for the Provost to place a copy of the Dean's report in the candidate's Comprehensive							

Table 7.12 Matrix of Actions by Date and Responsible Party								
Date	Action	Responsible Party						
		Candidate	Dept. Chair	Dept. Committee	PTAC	Dean	URB	Provost
	Digital File.							
	Deadline for Dean to meet with candidate to inform candidate of PTAC and the Dean's recommendations.					X		
Feb. 15	Deadline for URB to submit its reports to the Provost.						X	
Mar. 15	Deadline for Provost to notify all candidates informing them of his/her final decision.							
Apr. 1	Deadline for URB to review criteria and procedures and submit its review to Provost and college Deans.						X	
May 1	Deadline for the Provost to erase the contents of the Reports and Recommendations Folder and the Letters Folder in the faculty member's Comprehensive Digital File.							X
NOTES: Dept. Chair denotes Department Chair or equivalent; Dept. Committee denotes the Departmental Committee or equivalent.								

7.13 Voluntary Separations

7.13.1 Resignations

Faculty members are expected to give reasonable notice of their intention to resign from their faculty position. Notices of resignation should be submitted in writing to the Dean(s) of the college(s) in which the individual holds a faculty appointment, with a copy to the faculty member's Department Chair or equivalent. Such notice should, in general, be submitted early enough to obviate hardship to the institution and to provide for continuity of instruction. UAHuntsville encourages faculty members who are resigning to comply with the AAUP "Statement on Recruitment and Resignation of Faculty Members," which states, in part, that absent an emergency situation, faculty members should resign no "...later than May 15 or thirty days after receiving notification of the terms of continued employment for the following year, whichever date is later who resign are encouraged to submit their written notice of resignation by May 15" (AAUP Policy and Documents Report, 2006, p. 178).

7.13.2 Retirement

Faculty members who are eligible to receive retirement benefits under the State Teachers' Retirement System of Alabama (TRSA) should contact the UAHuntsville Human Resources Office at least ninety (90) days before their anticipated retirement date. Timely notification allows for information required by TRSA to be compiled and for benefit options to be evaluated and selected by the faculty member. TRSA requires that the Application for Retirement be submitted between 60 and 90 days before retirement.

Faculty members on an academic year appointment, including tenured faculty members, may retire June 1 of any year (or at the end of the spring semester if they are not working in the summer) even though they will be paid through the academic year. It is to the advantage of

faculty members who are on a calendar year appointment to retire on April 1, because the TRSA considers 9 months as a full year's work in the year of retirement. Therefore, for faculty members who are on a calendar year appointment, the TRSA year of July 1 through March 31 of the next year constitutes 9 months' work.

More detailed information about retirement eligibility and procedures can be found at the UAHuntsville Department of Human Resources website (<http://www.uah.edu/admin/HR/benefits/retireeinfo.php>) and at the TRSA website (www.rsa-al.gov).

7.14 Disciplinary Policies and Procedures

7.14.1 General Policy

The University, acting pursuant to constitutional and statutory authority, has the right to impose disciplinary sanctions upon a faculty member. Such sanctions may only be imposed, however, for adequate cause and in accordance with established procedures, all as set forth more fully in these sections. Sanctions will not be used to restrain faculty members in their exercise of academic freedom or other rights of American citizens

The dismissal of a faculty member or imposition of a major sanction on a faculty member is not purely an administrative decision. Rather, as set forth in the procedures below, it is an action that results from due deliberation of colleagues in the academic community.

In the formal proceedings provided below in which dismissal or other major sanction is sought, the burden of establishing adequate cause for applying such sanction will be on the academic administrator.

University personnel involved in a disciplinary proceeding are to maintain the confidentiality of information regarding the conduct of the faculty member who is the subject of the proceeding and related matters, disclosing such information to others only on a need-to-know basis.

7.14.2 Dismissal

Adequate cause for dismissal of a tenured faculty member or for dismissal of a faculty member during the term of an appointment must relate, directly and substantially, to the fitness of the faculty member to function in the role of teacher, researcher, and colleague in an academic community. Adequate cause for dismissal might include serious professional or personal misconduct; serious failure, without adequate justification and whether due to incompetence or refusal, to perform academic duties in accordance with generally accepted norms; conviction of a crime; serious violations of other law or of University policy; etc.

If the basis for seeking dismissal or suspension involves conduct by the faculty member that is known to the Department Chair or dean and that has occurred over a period of time, there should normally be a record of progressive discipline evidencing an attempt to allow correction of such conduct prior to the initiation of proceedings under this section.

7.14.2.1 Preliminary Procedures

The decision to initiate dismissal proceedings may be made by the faculty member's department chair or dean, with the concurrence of the Provost, or by the Provost. Prior to initiating formal proceedings, however, the department chair or dean shall confer with the faculty member in an effort to achieve, by means of thorough discussions, a mutually agreeable resolution. If such a resolution is achieved, no further proceedings under this policy will occur and no documents relating to dismissal will be retained in the faculty member's personnel records. If these efforts are not successful, a brief, nonprejudicial statement reciting that these informal measures were utilized but were not successful will be placed by the Provost in the disciplinary file.

Formal dismissal proceedings are initiated by furnishing to the faculty member a statement of the charges. The charges must relate to one or more of the recognized grounds for dismissal (as set forth in the discussion of "adequate cause" above) and must be framed with reasonable particularity, indicating in at least general terms the factual basis for the charges. The statement must further inform the faculty member that dismissal is being sought and that the faculty member is entitled to a hearing on the charges, if he/she desires and if the matter proceeds to that stage. If any interim suspension is being imposed, the faculty member should be so informed in the statement. The statement is to be prepared by the department chair or the Dean and approved by the Provost, and it should be served upon the faculty member by personal delivery or by registered mail.

The Provost next appoints one or more faculty members to serve as preliminary action officers (PAOs), providing a copy of the statement of charges with the written notice of appointment. The PAO is to carry out the following duties:

a. Conduct a preliminary investigation of the charges, meeting with the academic administrator bringing the charges and with the faculty member to obtain further information. The PAO may interview other individuals and review documents as deemed helpful in gathering the facts relating to the charges. A written report is then made by the PAO to the Provost setting forth a summary of findings concerning the factual basis for the charges and a recommendation for action to be taken. Two actions may be recommended:

1. Referral of the case for a formal hearing. Such a recommendation is appropriate where, based on credible information acquired during the preliminary investigation and though there may be some doubt, the PAO believes that there is a reasonable basis for concluding that the charges are true and that they constitute adequate cause to warrant consideration of dismissal or other major sanction.

2. Dismissal of the case. Such a recommendation is appropriate in the absence of a "reasonable basis" conclusion, as stated above.

- b. The PAO may attempt to facilitate resolution of the charges through informal consultation with the principal parties, mediation, or other voluntary means. If the principal parties agree to a settlement in this manner, the PAO summarizes the settlement in writing and informs the Provost. The case is then deemed closed.

Upon receipt of the PAO report, the Provost may accept and act on the recommendation (dismissing the charges or referring them for a formal hearing, as recommended), or the Provost may decide not to concur with the recommendation and dismiss the charges or refer them for a hearing as the Provost deems appropriate.

Referral of a case for dismissal proceedings may also be made pursuant to special University procedures established to address claims of discrimination, violation of ethical standards in research and other scholarly activity, and violation of conflict of interest policies.

7.14.2.2 Pre-Hearing Procedures

If a case is to be referred for formal proceedings, the faculty member is so informed and asked to respond to the charges. The faculty member should, in a written response to the Provost, answer the charges and indicate whether a hearing is desired. A statement that a hearing is not desired will be regarded as a waiver of any right to a hearing, and the matter will proceed without a hearing. The faculty member's response should be timely and in any event should be provided within two weeks after receipt of the statement of the charges. The alternative responses of the faculty member and a summary of subsequent proceedings in each case are as follows:

- a. The faculty member may admit or acknowledge the truthfulness of the charges and waive a hearing. The decision regarding dismissal will then be made by the Provost. The faculty member and the department chair or dean may, prior to such decision, confer with the Provost and/or submit to the Provost materials that they respectively contend should bear upon the Provost's decision. A decision by the Provost to dismiss the faculty member may be appealed by the faculty member, within forty-five days, to the President, whose decision will be final.
- b. The faculty member may deny the charges and/or deny that the charges support a finding of adequate cause but waive a hearing. The decision regarding dismissal will be made by the Provost, with right of appeal to the President, in accordance with the general procedure outlined in a. above.
- c. The faculty member may deny the charges and/or deny that the charges support a finding of adequate cause and request a hearing. A hearing will then be held before a faculty panel constituted as set forth below.
- d. A failure to respond will be regarded as a general denial and a request for a hearing.

7.14.2.3 Hearing Procedures

If the faculty member has requested a hearing in a dismissal proceeding, the following procedures will be followed:

- a. The Provost will appoint an individual to act as proponent of the charges. The proponent is to be responsible for developing and presenting the case against the faculty member and handling other appropriate duties. The proponent may be any University employee, including the Department Chair or dean, who is not an attorney.
- b. The faculty member may select an advisor to assist and represent the faculty member during the dismissal proceedings. The advisor may be any University employee who is not an attorney. The faculty member may also consult with an attorney. Such attorney may be present during the dismissal proceedings but may not participate as a representative of the faculty member before the faculty panel. An attorney who disrupts the flow of the proceedings may be excluded by the Hearing Panel.
- c. The dismissal hearing will be conducted by a specially appointed Hearing Panel. The Hearing Panel will include five faculty members selected from among the members, regular or alternate, of the Faculty Appeals Committee (FAC). FAC members with bona fide reason for disqualification, such as bias, conflict of interest, or other cause, may remove themselves from the list of potential Hearing Panel members. A roster of remaining regular FAC members will be presented by the FAC Chair to the faculty member and the proponent, each of whom may request the FAC Chair to remove any FAC member for cause and each of whom may strike up to two FAC members from the list without stated cause. The FAC Chair will then select, by lot, five faculty from the remaining FAC members, and these five faculty will constitute the Hearing Panel. Alternate FAC members may be included on the roster if necessary to allow the operation of the foregoing selection process. The Hearing Panel will elect a chair from its members.
- d. Notice of the date set for the hearing must be given to the parties at least twenty-one (21) days in advance of the hearing date.
- e. The hearing will ordinarily be private, except that the faculty member will have the right, upon request to the Hearing Panel chair and absent compelling considerations involving privacy interests of other parties, to a hearing that is open to the public (barring only witnesses during periods when they are not testifying).
- f. The burden of proof is on the party bringing the charges against the faculty member. This burden will be satisfied only by clear and convincing proof of the charges in the record of evidence, considered as a whole, presented to and received by the Hearing Panel. "Clear and convincing proof" refers to evidence of sufficient quantity and quality as would show that the truth of the charges is highly probable.

g. In the event the faculty member, after requesting a hearing, does not participate in the hearing process or withdraws in writing the request for a hearing, the Hearing Panel will nevertheless be convened without the faculty member to make findings of fact and provide recommendations regarding dismissal, if necessary or appropriate under the circumstances. The Panel may solicit and receive evidence from any source to assist it in developing its findings and recommendations.

h. The Hearing Panel will submit its findings and recommendations in a written report through the Provost to the President. It may conclude that adequate cause for dismissal does not exist, in which case it may recommend no sanctions or a sanction less than dismissal. The Provost will indicate concurrence or nonconcurrence with the report.

i. The final decision will be made by the President. If the President does not accept the recommendations of the Hearing Panel, the President will, within twenty-five (25) working days after receipt of the report, convey in writing to the Hearing Panel his/her position and allow the Hearing Panel an opportunity to respond in writing within five (5) working days. After receipt of any further report from the Hearing Panel, the President will render a final decision. No further right of appeal within the University, such as by use of the faculty General Grievance Procedure (see [Appendix E](#)) will be available to the faculty member.

j. The President will notify the faculty member of the decision in writing, to be hand delivered or sent by registered mail. Copies are to be sent to the Hearing Panel, the academic administrators involved in the case, the proponent, and the adviser. These parties will also be provided a copy of the Hearing Panel's report and any written communications between the President and the Panel. If the President decides on dismissal of the faculty member, an effective date (which may be the date of the notice) must be stated.

k. Except as modified above, the additional procedures set forth in [Appendix E](#) relating to grievance hearings by the Faculty Appeals Committee, are also to be used for dismissal proceedings, as appropriate and as adapted (e.g., the charged party generally relates to the "petitioner" in Appendix E).

All documents related to a disciplinary proceeding, from the preliminary action phase through a hearing, if any, become part of a disciplinary file that is maintained, after the conclusion of the proceeding, in the Provost's office.

7.14.2.4 Interim Suspension

A faculty member may be suspended or assigned to other duties in lieu of suspension pending the final outcome of the dismissal proceedings if, and only if, such action is deemed necessary to protect the faculty member, other members of the University community, or institutional property or processes from immediate harm. A decision regarding such interim suspension is to

be made by the Provost. The faculty member may appeal an interim suspension to the President, whose decision will be final. Ordinarily, salary will continue during such an interim suspension.

7.14.3 Sanctions Other Than Dismissal

7.14.3.1 Other Major Sanctions

If a department chair or dean believes that the conduct of a faculty member may not justify dismissal under the standards set forth above but is sufficiently grave to warrant suspension from employment without pay for a period of one month or more or reduction in salary, formal proceedings may be instituted seeking such action. The procedures set forth in Section 7.14.2 will govern such a proceeding. In the statement of charges, the faculty member should be informed that the proceedings may result in major sanctions, including dismissal.

7.14.3.2 Minor Sanctions

Disciplinary action involving sanctions less severe than dismissal, suspension without pay for one month or more, or reduction in salary may also be imposed. Such minor sanctions may include, without limitation, an oral warning, a letter of reprimand, a revised work assignment, a suspension with pay or a suspension without pay for less than one month, the denial of a merit salary increase, etc. Such actions are within the authority of a department chair and/or dean, except that any suspension may only be imposed by the Provost.

Imposition of a minor disciplinary sanction will occur only for adequate cause, which may include any conduct or performance problem adversely affecting the fitness of the faculty member to function in the role of teacher, researcher, or colleague in an academic community, such as professional or personal misconduct; failure, without adequate justification and whether due to incompetence or refusal, to perform academic duties in accordance with generally accepted norms; conviction of a crime; violations of other law or of University policy; etc.

Procedurally, the faculty member will be given notice of the charge and the intent of the administrator to impose a minor sanction and thereafter will be allowed an opportunity to present a defense to the administrator. The administrator will conduct an investigation and review of the relevant circumstances as may be necessary to determine the validity and assess the seriousness of the charge.

In any instance in which a minor sanction is imposed under these procedures, the faculty member shall have full access to those avenues of appeal and redress afforded by the faculty General Grievance Procedure set forth in [Appendix E](#).

7.15 Faculty Rights and Responsibilities

7.15.1 Equal Employment Opportunity, Nondiscrimination and Affirmative Action Policies

7.15.1.1 Equal Employment Opportunity and Affirmative Action Statement

A. The University of Alabama in Huntsville is committed to making employment opportunities available to qualified applicants and employees and does not unlawfully discriminate on the basis of race, color, national origin, religion, sex (including marital or parental status), pregnancy, sexual orientation, age, disability, citizenship, genetic information, or status as a Vietnam-era, special disabled, or other eligible veteran. All personnel actions and programs shall be administered in accordance with this equal opportunity policy. These actions and programs include recruitment, selection, assignment, classification, promotion, demotion, transfer, layoff and recall, termination, determination of wages, conditions and benefits of employment, etc. It is the intent of the University that, in all aspects of employment, individuals shall be treated without unlawful discrimination on any of the foregoing bases, and that employment decisions shall instead be premised upon a person's ability, experience, and other job-related qualifications.

Additionally, the University is an affirmative action employer of women, minorities, individuals with a disability, and Vietnam-era, special disabled, and other eligible veterans. It is committed to making sustained, diligent efforts to identify and consider such individuals for employment and for opportunities arising during employment.

The University is also committed to equal educational opportunity for all qualified students and does not unlawfully discriminate in its educational policies, practices, programs, or activities on the basis of race, color, national origin, religion, sex (including marital or parental status), pregnancy, sexual orientation, age, disability, citizenship, genetic information, or veteran status. Its admissions, financial aid, athletics, student services, and other programs are administered in accordance with this policy.

Discrimination, under this policy, shall be understood to include harassment carried out through unwelcome verbal or physical conduct directed at one or more individuals on the basis of race, color, national origin, religion, sex, age, or disability. To be unlawful in an employment context, enduring such harassment must become a condition of continued employment or the conduct must be sufficiently severe or pervasive to create a working environment that is intimidating, hostile, or abusive. Abusive use of offensive jokes, objects, or pictures; slurs and epithets; physical threats and assaults; intimidation; insults; etc. are among the actions that may constitute harassment. Potential violations of this policy will be evaluated from the perspective of a reasonable person in the victim's situation, taking into account all the circumstances.

With regard to students, such harassment is unlawful when it unreasonably interferes with or limits the student's ability to participate in or benefit from services, activities, or privileges provided by the educational institution. A violation also occurs when, through such harassment, an educational institution has created or is responsible for a hostile learning environment so severe, pervasive, or persistent that it adversely affects the student's ability to participate in or benefit from the institution's educational program.

Sexual harassment, in addition and more specifically, includes sexual advances, requests for sexual favors, and other conduct of a sexual nature that is unwelcome and is directed toward a person on the basis of that person's sex. It may take one of two generally recognized forms. First, the employee's or student's submission to such conduct is made a condition, explicitly or

implicitly, of access to an employment or academic opportunity; for the employee's or student's submission to or rejection of such conduct is used as the basis for employment or academic decisions affecting the individual, such as, for example, a salary or grade determination, respectively. This kind of harassment is sometimes referred to as "*quid pro quo*" ("something for something") or, alternatively, harassment that results in "tangible employment action." Secondly, hostile environment harassment occurs when the conduct is so severe, persistent, or pervasive that it unreasonably interferes with an individual's performance as an employee or student or creates an intimidating, hostile, or offensive working/learning environment. Examples of actions that might be deemed to create a hostile environment based on sex could include flirtation, vulgar language, sexually suggestive jokes, touching of a sexual nature, abusive displaying or distributing sexually explicit materials, etc. These policies do not restrict Academic Freedom in Teaching as defined in 7.15.2.3 or Academic Freedom in Creative Activities as defined in 7.15.2.2.

The University also prohibits retaliation against employees or students who engage in protected activities. Protected activities include making, in good faith, a complaint of discrimination or harassment, assisting others in making a complaint, otherwise opposing such acts or practices, or participating in an investigation, proceeding, or lawsuit. Threats, intimidation, reprisals, and/or other adverse actions related to one's employment or academic status constitute retaliation if they may dissuade a reasonable employee or student from exercising his/her right to complain about the discrimination or harassment.

In these respects, the University affirms its desire to create a work environment for all employees and a learning environment for all students that is fair, humane, and responsible – an environment that supports and rewards career and educational goals on the basis of such relevant factors as ability and employment or academic performance. A University employee or student who is found, under established University procedures, to have been guilty of discriminatory conduct with respect to another member of the campus community in violation of these policies will be subject to discipline, up to and including possible dismissal or expulsion, by the University.

These commitments are designed to meet nondiscrimination/affirmative action requirements imposed by the following federal and state sources of legal obligation, as amended: Title VI and VII, Civil Rights Act of 1964; Executive Order 11246; Title IX, Education Amendments of 1972; the Rehabilitation Act of 1973; the Americans with Disabilities Act of 1990; the Equal Pay Act of 1963; the Age Discrimination in Employment Act of 1967; the Age Discrimination Act of 1975; the Vietnam Era Veterans' Readjustment Assistance Act of 1974; the Immigration Reform and Control Act of 1986; the Genetic Information Nondiscrimination Act of 2008; the U.S. Constitution; Mental Health Parity and Addiction Act of 2008 Patient Protection and Affordable Care Act of 2010; contract and grant agreements with government agencies; the Alabama Age Discrimination Act of 1997; and the Alabama Constitution of 1901. The University's equal opportunity policies pertaining to its employees and students include specific administrative procedures and implementing measures designed to carry out these pledges and to ensure compliance with the foregoing laws.

Inquiries or complaints concerning the application of this policy or these federal and/or state requirements should be directed to the office of the Vice President for Diversity and Student Support Services. Grievances alleging unlawful discrimination will be resolved according to the discrimination grievance procedures in Appendix F.

B. The university's equal employment/affirmative action (EE/AA) program is comprehensively stated in its Affirmative Action Plan, which is issued annually by the president. A copy of the plan is available for review in the Office of Human Resources; in addition, copies of the plan are distributed each year to all deans and department chairs.

C. The overall responsibility for insuring that the university effectively implements an equal employment/affirmative action program rests with the president. The president is assisted in this responsibility by designated officials. For the faculty, the provost is the appointed EE officer. A faculty member appointed by the provost functions as EE coordinator and is assigned many of the coordinating and monitoring duties in connection with the implementation of the university's EE/AA program in the faculty area. The vice president for finance and administration is the staff EE officer, and the assistant vice president for human resources is the staff EE coordinator. These individuals represent the president in EE/AA matters in their respective areas and are jointly responsible for insuring that the university's obligations are being carried out.

D. The president has appointed a university committee, designated the Equal Opportunity/Affirmative Action Committee, to advise him concerning equal opportunity and affirmative action matters, to identify issues or problems which need to be addressed to make the university's affirmative action plan more effective, and to provide assistance upon request to university officials with responsibilities in this area. This committee includes representatives from each college/school as well as from non-academic units on campus.

E. Grievance relating to discriminatory treatment in violation of the university's EE/AA policy should be addressed to the faculty EE coordinator, the associate provost, who will assist in directing the individual to the appropriate process for resolution. Individuals who have questions or recommendations about EE/AA matters are encouraged to contact the faculty Equal Employment coordinator and/or the chair of the Equal Opportunity/Affirmative Action Committee.

7.15.1.2 Faculty Discrimination Complaints

A faculty member who believes that she or he has been discriminated against on the basis of race, color, national origin, religion, sex (including marital or parental status), pregnancy, sexual orientation, age, disability, citizenship, genetic information, or status as a Vietnam-era, special disabled, or other eligible veteran violation of may file a complaint of discrimination in violation of the policy stated in [Section 7.15.1.1](#) using the procedures set forth in the University's Discrimination Grievance Procedure (http://www.uah.edu/legal/uah_policy_pdfs/Discrimination%20Grievance%20Procedures.pdf).

7.15.1.3 Faculty Responsibilities

All faculty members have a responsibility to adhere to the University's Equal Employment Opportunity, Nondiscrimination, and Affirmative Action Policy ([Section 7.15.1.1](#)) in their interactions with students, prospective students, and other members of the university. Actions by a faculty member that discriminate against another member of the university community in violation of the University's Equal Employment Opportunity, Nondiscrimination, and Affirmative Action Policy may be subject to disciplinary action in accordance with [Section 7.14](#). Disciplinary action against a faculty member for alleged violation of the University's Equal Employment Opportunity, Nondiscrimination, and Affirmative Action Policy ([Section 7.15.1.1](#)) will be implemented in accordance with policies and procedures governing the discipline or dismissal of a faculty member for cause in [Section 7.14](#).

7.15.2 Academic Freedom

Academic freedom of the faculty is indispensable to fulfilling the university's mission. The university therefore adopts the following American Association of University Professors (AAUP) policy statements on academic freedom.

7.15.2.1 Academic Freedom in Scholarship and Research

“Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.” (American Association of University Professors. 2006. “1940 Statement of Principles on Academic Freedom and Tenure with 1970 Interpretive Comments.” *AAUP Policy Documents & Reports, Tenth Edition*, p. 3)

7.15.2.2 Academic Freedom in Creative Activities

“Works of the visual and the performing arts are important both in their own right and because they can enhance our understanding of social institutions and the human condition. Artistic expression in the classroom, the studio, and the workshop therefore merits the same assurance of academic freedom that is accorded to other scholarly and teaching activities. Since faculty and student artistic presentations to the public are integral to their teaching, learning, and scholarship, these presentations merit no less protection. Educational and artistic criteria should be used by all who participate in the selection and presentation of artistic works. Reasonable content-neutral regulation of the ‘time, place, and manner’ of presentations should be developed and maintained. Academic institutions are obliged to ensure that regulations and procedures do not impair freedom of expression or discourage creativity by subjecting artistic work to tests of propriety or ideology.” (American Association of University Professors. 2006. “Academic Freedom and Artistic Expression.” *AAUP Policy Documents & Reports, Tenth Edition*, p. 35)

The University of Alabama in Huntsville is “...not responsible for the views or the attitudes expressed in specific artistic works any more than ...[it] would be for the content of other instruction, scholarly publication, or invited speeches. Correspondingly, those [faculty and

students] who present artistic work should not represent themselves or their work as speaking for the institution and should otherwise fulfill their educational and professional responsibilities.” (American Association of University Professors. 2006. “Academic Freedom and Artistic Expression.” *AAUP Policy Documents & Reports, Tenth Edition*, p. 35)

7.15.2.3 Academic Freedom in Teaching

“Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject. Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of the appointment.” (American Association of University Professors. 2006. “1940 Statement of Principles on Academic Freedom and Tenure with 1970 Interpretive Comments.” *AAUP Policy Documents & Reports, Tenth Edition*, p. 3)

7.15.2.4 Academic Freedom in Extramural Utterances

“College and university teachers are citizens, members of a learned profession and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institution.” (American Association of University Professors. 2006. “1940 Statement of Principles on Academic Freedom and Tenure with 1970 Interpretive Comments.” *AAUP Policy Documents & Reports, Tenth Edition*, pp. 3-4)

If the administration believes that a faculty member’s extramural utterances have not complied with the admonition to “...exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institution....” (American Association of University Professors. 2006. “1940 Statement of Principles on Academic Freedom and Tenure with 1970 Interpretive Comments.” *AAUP Policy Documents & Reports, Tenth Edition*, pp. 3-4), the university may take disciplinary action against the faculty member. Any such disciplinary action must be taken in accordance with [Section 7.14](#) and in accordance with all procedural protections prescribed American Association of University Professors’ “1940 Statement of Principles on Academic Freedom and Tenure with 1970 Interpretive Comments.” (*AAUP Policy Documents & Reports, Tenth Edition*, pp. 3-4). In disciplinary case in which the administration seeks to dismiss a faculty member for external utterances that do not comply with the aforementioned admonitions, “The controlling principle is that a faculty member’s expression of opinion as a citizen cannot constitute grounds for dismissal unless it clearly demonstrates the faculty member’s unfitness to serve. Extramural utterances rarely bear upon the faculty member’s fitness for continuing service. Moreover, a final decision should take into account the faculty member’s entire record as a teacher and scholar. In the absence of weighty evidence of unfitness, the administration should not confer charges; and if it is not clearly proved in the [disciplinary] hearing that the faculty member is unfit to continue...” (American Association of University Professors’ “Committee A Statement on

Extramural Utterances,” *AAUP Policy Documents & Reports, Tenth Edition*, p. 32.), the finding must be that there is not cause for dismissal of the faculty member.

7.15.3 Professional Ethics

The University adopts the following excerpt from the "Statement on Professional Ethics" from the *AAUP Policy Documents and Reports, (2006)* (pp. 171-172):

1. *Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end professors devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although professors may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.*
2. *As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. Professors demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. Professors make every reasonable effort to foster honest academic conduct and to ensure that their evaluations of students reflect each student's true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom.*
3. *As colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas professors show due respect for the opinions of others. Professors acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution.*
4. *As members of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. Professors give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it. When considering the interruption or termination of their service, professors recognize the effect of their decision upon the program of the institution and give due notice of their intentions.*
5. *As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.*

7.15.4 Extramural Professional Activities

UAH recognizes contributions and achievements by its faculty not only through appropriate compensation and promotion, but also by permitting faculty members substantial freedom in arranging their academic lives. Although teaching, research and service to the university are the primary functions of UAH faculty, the university recognizes the desirability of making faculty skills available to outside entities such as business, government, professional societies, and other appropriate groups consistent with their commitment to the university. Providing outside services of a professional nature contributes significantly to the public welfare, offers opportunities for professional challenge and growth, brings recognition to the institution, and contributes to the improvement of teaching and research programs. For these reasons, UAH encourages faculty professional activities outside the university so long as such activity is consistent with the mission and goals of the university and does not compromise the university, or unduly limit the faculty member's ability to fulfill his or her primary obligations to the university.

The university has no interest in setting forth policies and procedures that may interfere with legitimate outside interests of faculty members. Issues of academic freedom are addressed in [Section 7.15.2](#).

By accepting employment with UAH in any categories of appointment, except adjunct faculty appointments and temporary, fixed-assignment faculty appointments, faculty members confirm that their primary professional commitment is to the university and have a responsibility to ensure that extramural professional activities do not interfere with this primary obligation. With the exception of faculty members appointed as adjunct or temporary, fixed-assignment faculty, all faculty members who engage in private business ventures that directly compete against the university or who participate for compensation in a private business that utilizes the faculty member's professional background and qualifications essential to his or her faculty position, including private consulting activities, shall comply with the university's policy on conflicts of interest in [Section 7.15.5](#).

7.15.5 Conflicts of Interest

The purpose of this policy is to set forth guidelines and procedures in identifying and resolving actual and potential conflicts of interest. The policy also pertains to all sponsored projects of conducted by a faculty member through the university.

7.15.5.1 What Constitutes a Conflict of Interest

A conflict of interest exists when a faculty member's responsibility for teaching, scholarly and/or creative activities, or service is threatened or harmed because of an external relationship which directly or indirectly affects the financial interest of the faculty member or the financial interest of a family member or associate of the faculty member. For the purposes of this policy, a "family member" is defined as spouse, domestic partner, children, parents, grandparents, grandchildren, siblings, and other similar relationship in-law; an associate is defined as a business partner. In addition, a conflict of interest exists when a faculty member makes more than a *de minimus* use of university academic, administrative, or other resources, or influences university decisions in

such a way that could or does lead to personal gain or improper personal advantage or advantage to a family member or associate.

All faculty members must insure that their conduct meets high ethical standards. This includes identification and disclosure of actual and potential conflicts of interest. Situations in which concern about possible conflicts may arise include but are not limited to the following:

a. Any situation in which the actions of the faculty member in discharging his or her duties as an employee of the university may directly or indirectly affect the financial interest of a family member or associate.

b. Any situation in which the faculty member provides services or material for the university and receives payment beyond normal compensation as a university employee.

c. Any situation in which a faculty member makes more than a *de minimus* use of university resources (including its students and its name) in such a way that could lead to personal gain, improper personal advantage, or advantage to a family member or associate of the family member.

d. Any situation in which a faculty member or a family member or associate of a faculty member participates in a private business venture that directly competes against the university, especially if the competitive ability of the business can be enhanced as a result of the faculty member's position at UAH.

e. Any situation in which a faculty member, other than an adjunct faculty member or a temporary, fixed-assignment faculty, participates in a private business utilizing his or her professional expertise derived from professional background and qualifications essential to the faculty position in such a manner as to compete with the university, especially in activities that could be done by the faculty member as a funded activity through the university.

f. Any situation in which the faculty member, other than an adjunct faculty member or a temporary, fixed-assignment faculty, teaches for another institution.

g. In situations in which UAH is engaged in or has the intent to engage in a sponsored project with an external commercial organization, a conflict of interest may occur if the faculty member has an existing affiliation with the external commercial organization, or with an organization that has a subcontractor or vendor relationship with that external commercial organization. Such affiliation may include, but not be limited to the following: 1) faculty member is officer, director, trustee, partner, employee, board member or agent; 2) faculty member is owner or beneficial owner of the voting stock or controlling interest; or 3) faculty member receives significant income from the funding organization, a subcontractor or vendor. The Office of Research Administration retains copies of appropriate federal guidelines on acceptable affiliations. Faculty members are expected to comply fully and promptly with all policy components, and principal investigators on sponsored projects must complete the appropriate disclosure form before proposal submission or whenever a potential conflict arises during the course of a sponsored program.

7.15.5.2 Procedures for Disclosing and Resolving Potential Conflicts of Interest

The university and its faculty have the obligation to identify and resolve any potential for conflict of interest. Identification of potential conflict of interest may also be required by state or federal laws and by the regulations of various funding organizations such as the National Science Foundation. Timely disclosure of circumstances that could, reasonably, be perceived as involving conflict of interest, even though no actual conflict of interest exists, can prevent disruptive allegations of misconduct and can better enable the university to protect its faculty against unwarranted allegations of impropriety.

Faculty members with possible conflict of interest, or those engaging in activities that could be perceived as involving conflict of interest that could affect the university, must consult with their chair and dean to seek resolution of the issue. In such cases, if the Chair and Dean agree that there is a potential conflict of interest, the faculty member, Dean, and Chair shall establish a plan of action to provide a course of action to prevent conflicts and shall give a copy of the plan of action to the Provost.

To aid in identifying potential conflict of interest and to insure compliance with the regulations of funding agencies, principal investigators seeking external funding for university approved projects must file a disclosure form with the submission of the project proposal ([Appendix I](#)). While the grant or contract is pending or in place, disclosure must be filed whenever there is a change from the situation described in the latest disclosure form.

All faculty members who have substantial ownership of a private business or corporation and whose activities in that business or corporation make substantial use of the faculty member's professional background and qualifications essential to his or her faculty, must disclose such ownership and activities to their chair and dean, and must obtain approval for any such activities engaged in by the faculty member during the academic year. Such activities must be reviewed at least annually. Disclosure and request for approval of such activities must be processed using the form employed for approval of consulting activities as given in [Appendix J](#)

Sponsors of funded projects such as governmental agencies may have varying disclosure requirements. These requirements may differ from those established in this policy with respect to other disclosure items, amounts, timing of disclosure, and other conflict of interest considerations. In such instances, the legal requirements will prevail.

7.15.5.3 Professional Review Committee

When an alleged or potential conflict arises, the faculty member, in consultation with faculty member's department chair and dean, shall take action to achieve appropriate resolution of the issue. If resolution is not to the satisfaction of the faculty member or the dean, the case may be referred to the Provost by either party. The Provost will refer the file to an ad hoc professional review committee. The professional review committee will be responsible for reviewing the situation and making a timely, written recommendation(s) to the Provost.

The professional review committee (PRC) will consist of five tenured faculty members, three from the faculty member's college and two from outside the college. The members of the committee are appointed by the Provost from a list of twelve eligible faculty members, four each suggested by the faculty member, the faculty member's department chair, and the faculty member's dean. At least one member from each list must be included. The PRC will elect one of its members to serve as chair of the committee. The Provost may appoint additional appropriate ex officio, non-voting members. A simple majority of voting members is required for action. Except in unusual circumstances, deans and other administrators within the academic setting will not serve on the professional review committee. If the faculty member is not satisfied with the professional review committee's recommendations, the faculty member may appeal following the normal grievance procedure specified in [Appendix E](#), beginning with an appeal to the Provost.

After proposed activities have been reviewed and a plan of resolution submitted to and approved by the Provost, the university has the obligation to defend the activity given that the faculty member complies with the plan of action, other appropriate university policies, disclosure requirements, and the law.

7.15.5.4 Procedures for Handling Allegations of Violation of Conflict of Interest Policy

Any allegation of violation, by a faculty member, of the Conflict of Interest or Consultation Policies shall be reported in writing with supporting documentation to the faculty member's chair and dean. The faculty member against whom the allegations are made will be provided a copy of the written allegations at the time of the first review by the Chair and the Dean. If the allegations involve the dean, the allegations are reported to the Provost who assumes the role of the dean in the following process. It is the duty of the Chair and dean to review and discuss the allegations with all parties involved, including the faculty member accused of violating a conflict of interest policy. If the matter cannot be resolved at this level, then an ad hoc professional review committee will be formed in accordance with procedures articulated in [Section 7.15.5.3](#). In such cases, the professional review committee will be responsible for conducting an independent investigation of the allegations of violation of the conflict of interest policy, to make a finding of whether or not the weight of evidence substantiates the allegations, and to make recommendations regarding the resolution of the case. These recommendations may include, but are not limited to, recommending that:

- a. all charges be dismissed,
- b. appropriate sanctions be imposed without specifying the sanctions, or
- c. specific sanctions be imposed.

The committee prepares a report of its findings and recommendations and submits it to the Provost. The Provost communicates his or her decision to the faculty member and includes a copy of the committee report. Sanctions may not be imposed on a faculty member unless

- a. the faculty member agrees, in writing, to accept the sanctions, or

b. the sanctions are consistent with the findings of the professional review committee.

Sanctions may not include long-term suspension or the termination of a tenured faculty member. In extreme cases, however, procedures leading to suspension for more than one month or for the termination of a tenured faculty member may be initiated as a result of the committee's findings, with the committee's report being admissible evidence in these proceedings. In every case, of course, the faculty member has full right to appeal through normal university grievance procedures.

Willful violations of this policy such as failure to disclose an actual or potential conflict, or failure to follow a plan of action established by the appropriate dean or the Provost, will result in sanctions being imposed upon the faculty member.

Throughout the process all persons involved must maintain the highest possible standards of ethics. Confidentiality must be insured to the greatest extent possible consistent with the carrying out of reviews and all involved must strive to maintain impartiality.

Records pertaining to disclosure and professional review committee proceedings are maintained in the Office of the Provost and access will be permitted only to the faculty member, and others who, under existing law, have the right to review such records.

7.15.5.5 Conflict of Interest Pertaining to Family Members

Reasonable restrictions are set on the capacity of all individuals with faculty status employed by the university to function as judge or advocate in specific situations involving members of their immediate family. Faculty members may neither initiate nor participate in institutional decisions involving a direct benefit to a family member, including decisions pertaining to initial appointment, retention, promotion, salary, leaves-of-absence, and other such benefits to family members, as defined in [Section 7.15.5.1](#). No appointing authority may employ or appoint a person related to him or her within the fourth degree of affinity or consanguinity to any job or position within the university.

7.15.5.6 Tutoring

No faculty member is permitted to tutor any UAHuntsville student for compensation except with the permission of the Chair of the department or program in which the student is being tutored and only in those cases where the tutor has no direct connection with the course in which the student is being tutored.

7.15.5.7 Political Activity

Faculty members are authorized to engage in political activity provided that it does not result in a conflict of interest or interfere with their performance of assigned duties at the university or their ethical obligations as teachers and scholars. Public support of a political candidate or cause may be given by faculty members if they clearly indicate that they speak for themselves and not for the university. Faculty members may not lend the name of their university positions or

departments to the political campaigns of public candidates or to any causes that become matters of civic concern.

Faculty members desiring to seek election to public office must first obtain written consent from the chancellor through appropriate reporting channels.

No faculty member may 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 any campaign or organization. Faculty members should not solicit contributions of time or money for political parties or campaigns from students enrolled their classes.

Political activity on the part of a faculty member must comply with Rule 320 of the Board of Trustees of The University of Alabama and existing state and federal laws. Faculty members who have a question about their involvement in such activities should seek guidance and approval from the university's Office of Counsel.

Violations of this policy are grounds for disciplinary action, in accordance with [Section 7.14](#).

7.15.5.8 Service as Bank Director by University Officers

For the purpose of maintaining Board practice and policy and of preventing the appearance of conflicts of interest, no faculty member serving in the capacity of chancellor, president, vice president, financial officer, or any other administrator whose position permits a substantial influence on the nature or extent of banking relations and transactions shall accept appointment or election as a director of a bank or savings and loan association.

No faculty member serving in any position as a campus administrator may accept such an appointment until the president has made, and the chancellor has affirmed, a determination that the position is not one that permits a substantial influence on the nature or extent of banking relations and transactions.

7.15.6 Faculty-Student Relationships

Faculty members shall not initiate or reciprocate a sexual or romantic relationship with a student enrolled in any of their classes or under their supervision. Faculty members entering into such relationships with an existing student are subject to disciplinary action in accordance with [Section 7.14](#).

In cases in which there is prior sexual or romantic relationships between a faculty member and an individual entering a faculty member's class as a student or coming under the faculty member's supervision as a student, the faculty member must disclose the relationship to his or her chair or equivalent and dean in order to avoid or mitigate any potential conflicts of interest and/or sexual harassment claims that might arise as a result of the relationship. Faculty members in such relationships also have a responsibility to act in a professional manner with respect to the student during class hours to avoid conflicts of interest claims that may arise from other students

in the class. Faculty members who do not disclose such prior sexual or romantic relationships with an individual who becomes their student are subject to disciplinary action in accordance with [Section 7.14](#).

CHAPTER 8

INSTRUCTIONAL AND STUDENT POLICIES

8.1 CURRICULUM

- 8.1.1 [UAHuntsville Catalogs](#)
- 8.1.2 Course Numbering System
- 8.1.3 [Changes in Catalog](#)
- 8.1.4 [Changes in Curriculum](#)
- 8.1.5 [Exceptions to Academic Requirements](#)

8.2 CLASSES

- 8.2.1 [Scheduling of Classes](#)
- 8.2.2 [Registration and Advising of Students](#)
- 8.2.3 [Faculty Class Attendance](#)
- 8.2.4 [Student Class Attendance](#)
- 8.2.5 Course Withdrawal Policy
- 8.2.6 [Syllabi](#)
- 8.2.7 [Office Hours](#)
- 8.2.8 [Copyrighted Materials](#)
- 8.2.9 [Field Trips](#)

8.3 GRADING POLICIES AND EXAMINATIONS

- 8.3.1 Grading System
- 8.3.2 [Confidentiality of Student Records](#)
- 8.3.3 Students with Disabilities
- 8.3.4 Make-up Exams
- 8.3.5 Final Exam Policy
- 8.3.6 Final Exam Rescheduling for Students
- 8.3.7 Reporting of Grades
- 8.3.8 Changing of Grades
- 8.3.9 Posting Grades
- 8.3.10 Auditing Courses
- 8.3.11 Class Records

8.4 POLICY ON POLICIES

8.1 CURRICULUM

8.1.1 University Catalogs

Course descriptions and degree requirements are specified in the undergraduate and graduate catalogs, which are published every two years. Instructors should be familiar with the catalog descriptions and prerequisites for the courses they are teaching.

8.1.2 Course Numbering System

Range of Numbers Level of Course

001-099 Refresher (noncredit)

100-199 Freshman

200-299 Sophomore

300-399 Junior (upper level)

400-499 Senior (upper level)

500-599 Graduate credit, with undergraduate credit awarded in some departments

600-699 Graduate

700-above Graduate, Ph.D. level

8.1.3 Changes in Catalog

A change that originates in an academic department or program that involves undergraduate programs and that affects catalog copy will become effective and may be implemented only when the following procedure has been completed: the proposed change has been recommended by the academic department or program, reviewed and approved by the dean of the college, and approved by the provost. Proposed changes will be referred to the Undergraduate Curriculum Committee of the Faculty Senate for review and recommendation. Changes affecting the graduate program originate in an academic department or program. Such changes are reviewed and approved by the dean of the college and the graduate dean and are approved by the provost. Proposed changes will be referred to the graduate dean for consideration by the Graduate Council.

Changes that do not originate within an academic department or program but that do affect undergraduate degree requirements can be proposed to the Undergraduate Curriculum Committee of the Faculty Senate for approval.

8.1.4 Changes in Curriculum

Proposals for undergraduate curriculum changes or new undergraduate programs are initiated in the department or program. The proposals are reviewed by the dean and then forwarded to the Provost with recommendations. Proposals then are referred to the Undergraduate Curriculum Committee of the Faculty Senate. Proposals for graduate curriculum changes or new graduate programs are initiated in the department or program. The proposals are reviewed by the college dean and then forwarded to the graduate dean for consideration by the Graduate Council. The

provost should be notified if a proposal for a new program or degree is being contemplated. All curriculum changes are approved by the provost.

8.1.5 Exceptions to Academic Requirements

For specific general education requirements identified with academic departments (e.g., English composition, western civilization, mathematics, foreign language), refer to the chair of the department responsible for required courses that are involved (e.g., English composition to English Department, western civilization to History Department).

For requirements that are less well-specified or involve combinations of disciplines (e.g., mathematics/science, social sciences, mixed language options), refer recommendations of the student's advisor (and/or department chair) to the appropriate dean. For an exception to be granted, all the deans of colleges involved must concur with the recommendation of the student's advisor and/or department chair.

For exceptions to university-wide regulations applicable to all students such as residence requirements, 30 percent upper-level rule, total hours, grade-point average, etc., recommendations must be made by the chair of the student's major department, concurred in by the dean of the college, and approved by the provost.

8.2 CLASSES

8.2.1 Scheduling of Classes

A timetable of classes for fall and spring semesters is made available prior to early registration. Schedule timetables include the time, room assignment, and instructor for each course. The schedule for each department or program is prepared by the chair or coordinator and forwarded to the dean of the college to allow for resolution of class conflicts between departments. The timetable is then reviewed in the Office of Provost to resolve scheduling problems among colleges and to assure scheduling patterns convenient to students. Deviations from the published schedule (additions, deletions, time changes, etc.) are recommended by the chair or coordinator, with approval of the dean and notice to the provost and the associatevice president for enrollment services.

8.2.2 Academic Advising

Faculty members may be expected to perform advising duties at registration and throughout the academic year. Faculty advising assignments are made by the department or program chair. Faculty members who serve as academic advisors should be familiar with current university requirements and policies. Basic information can be found in the university catalog.

8.2.3 Faculty Class Attendance

Faculty members are expected to conduct each of their classes as scheduled. Notify the Department Chair before missing scheduled classes, in advance, where practicable. Make prior

arrangements for the conduct of a missed class if possible. Classroom work missed because of a faculty member's absence has to be made up as soon as possible and in the manner deemed most appropriate by the instructor in consultation with the chair or coordinator. Planned cancellation of classes requires the prior written approval of the Department Chair.

8.2.4 Student Class Attendance

Each instructor should announce specific expectations concerning student attendance at the first class meeting. Education at UAH depends upon the cooperation of students and faculty. Students are held responsible for the full work of the course in which they are registered, including participation in the discussion and work of the class at each class meeting. A student's final grade in each course is determined on the basis of identified course requirements.

8.2.5 Course Withdrawal

8.2.5.1 Initiating Withdrawal

Through the tenth (10th) week a student may withdraw from any course. After the tenth week a student may withdraw from a course only under extenuating circumstances. The student must initiate a formal request for withdrawal through the Office of the Registrar. The student must file a late withdrawal form and receive approval beginning with the instructor, the student's department chair and the dean of the college in which the student is enrolled. Class non-attendance does not constitute withdrawal nor does notification to the instructor. Any student failing to follow established procedure for withdrawal will continue to be enrolled in the class and may receive a failing grade in that course.

8.2.5.2 Recording Withdrawals

If the withdrawal process is completed during the first two weeks, the withdrawing student's name will not appear on the final rolls of the class from which the student withdrew, and that course will not appear on the student's permanent record. If the withdrawal process is completed after the first two weeks, then the withdrawing student's name will be on the final rolls of the class from which the student withdrew, and that course will be recorded on the student's permanent record with a final grade of W. It is the responsibility of the Office of the Registrar to inform each instructor in a timely manner and in electronic format when a student appearing on the instructor's final class rolls withdraws from that course. The university does not use grades of W to compute grade point averages.

8.2.5.3 Justification and Approvals Needed

The University does not require that the student justify any course withdrawal completed before the end of the seventh week. After the seventh week, the student must give evidence of extenuating circumstances to justify withdrawal from a course. Avoidance of an undesirable grade does not justify course withdrawal. It is the duty of the dean of the college in which the student is enrolled as a major to verify that the circumstances justify withdrawal from a course.

8.2.6 Syllabi

During the first week of a class, the instructor must provide each student with a written outline of the administrative information for the course. Such an outline should include: goals/objectives of the course, course content, text or other materials required or recommended, methods of evaluation (including values of each assignment and mechanisms for determining final course grades), any modifications of student code of conduct, faculty office location and scheduled office hours and location. For the student code of conduct, consult the *Student Handbook* (http://www.uah.edu./student_life/handbook/).

8.2.7 Office Hours

A faculty member is expected to maintain office hours in order to be available to students, other faculty members, and administrative officers at regular places and times. A regular schedule of office hours and electronic availability (email) should be established for each course taught known to students, advisees, and the departmental office. Office hours should be posted in the departmental office and outside the faculty office.

See the department chair or program coordinator for building use policy and availability of keys, locks, lights, office equipment and off-hours heating and cooling.

8.2.8 Copyrighted Materials

The bookstore will assist faculty members in securing copyright clearance for classroom materials to be included in course packs. For information about the practical application of the "fair use" doctrine under federal copyright law, see the pamphlet, *Questions and Answers on Copyright for the Campus Community*, (<http://www.nacs.org/public/copyright/>) available in the Bookstore. Legal advice in this regard is available from the Office of Counsel.

8.2.9 Field Trips

Certain courses lend themselves to field trips for demonstration purposes. In general, such trips are permissible if they do not interfere with attendance in other classes. The proposed trip should be cleared with the department chair (or equivalent) and the dean of the college. For assistance regarding the need for signed releases for participating students, contact the Office of Counsel. Such contact should be made as soon as possible to facilitate timely preparation and completion of releases, if required. All due caution should be taken on such trips to safeguard the students. If car pools are used for transportation, they should be required to return to the campus at the completion of the trip.

8.3 GRADING POLICIES AND EXAMINATIONS

8.3.1 Grading System

The grading system at UAH includes grades of (A, B, C, D, F, I, X, W, S, U, P, AU, and N).

Instructors have the option of augmenting the course grades of A, B, C, and D with the symbols "+" and "-" signifying, respectively, high and low achievement within the assigned letter grade. These augmented letter grades become part of the student's permanent record and appear on transcripts, but augmentation of a letter grade does not affect its value for the purposes of GPA computation.

A Superior achievement. Four quality points given per semester hour.

B Above average achievement. Three quality points given per semester hour.

C Average achievement. Two quality points given per semester hour.

D Passing work. One quality point given per semester hour.

F Failing work. No credit given; no quality points assigned.

I Incomplete. Assigned by the instructor when a student, due to extenuating circumstances, has not satisfied a course requirement. The deadline for a student to remedy a grade I is the last day of class of the next semester enrolled or one calendar year from the date of the grade, whichever occurs first. If the grade of I is on a student's record past the deadline or at the time of graduation, it is treated as an F.

X Excused absence from Examination Assigned by the instructor when a student completes all course requirements except the final examination. This grade becomes an F unless the examination is completed by the time of the announced deferred examination date at the beginning of the semester of the next regular enrollment of the student.

W Withdrawal. Recorded by the Office of the Registrar when a student withdraws from a course.

S Satisfactory work. Applicable to noncredit courses and to some specified credit courses. Will not be counted in the GPA.

U Unsatisfactory work. Applicable to noncredit courses and to some specified credit courses. It will be counted as an F and computed in the GPA for undergraduates, but not graduate students.

P Passing work. Assigned in some courses. See Pass-Fail Option in the Catalog.

AU Audit. No credit given; no quality points assigned.

N No grade. Assigned by the Office of Student Records when a grade is not reported by the instructor.

8.3.2 Confidentiality of Student Records

The Family Educational Rights and Privacy Act of 1974 is a federal law that protects the confidentiality of student educational records. To implement this law, the university has formulated and adopted a written institutional policy governing the handling of these records.

A student's privacy interest in his or her records is further protected by FERPA against unauthorized disclosure. The university may not, without the student's written consent, release educational records or any personally identifiable information contained in them to other individuals or agencies. Disclosure to the following parties, however, is specifically excepted by the Privacy Act from this rule: (a) administrative and academic personnel within an institution who have a legitimate educational interest; (b) officials of institutions in which the student seeks to enroll; (c) persons or organizations to whom the student is applying for financial aid; (d) accrediting agencies; (e) organizations conducting studies relating to tests, student-aid programs or instruction; (f) certain federal and state government officials; (g) any person where the disclosure is required for compliance with a judicial order or proper subpoena; (h) appropriate persons where a health or safety emergency affecting the student exists; and (i) parents of a dependent student. As to some of these parties, additional conditions must be met in order for the disclosure to be allowable in the absence of a written consent from the student. Personally identifiable information will be transmitted by the university to a third party only on the condition that the recipient not permit any other party to have access to it without the student's consent.

The university may release directory information to others without the necessity of obtaining permission from the student. For a description of what constitutes directory information, see the *Student Handbook* (http://www.uah.edu/student_life/handbook/). Questions about the Family Educational Rights and Privacy Act should be directed to the appropriate dean or to the Office of the Provost.

8.3.3 Students with Disabilities

Under the Americans with Disabilities Act and Section 504 of the Rehabilitation Act of 1973, the university must provide reasonable academic accommodations for qualified students with disabilities. Any student who has a documented condition that substantially limits his or her learning activities can request coordination of appropriate academic support services through the university's Disability Support Services (DSS) office. The function of DSS is to collaborate with students, faculty, and staff to ensure appropriate services are provided to students registered with the DSS office. If a student self-identifies to a member of the campus community, the student must be given a referral to DSS.

The university relies on faculty to provide access to all of its programs and activities to student with disabilities. As members of the campus community, you are required to adhere to relevant disability laws. The university accepts only those students who are qualified for admission regardless of their disabilities. Accommodations are provided for eligible students in order to provide equitable access so that students with disabilities have an equal opportunity to succeed in their academic pursuits. Students must submit an application and appropriate medical documentation of disability to be eligible for services.

Instructors are to announce procedures for arranging academic accommodations at the beginning of each semester and include the information in the course syllabus. DSS is available to provide consultations via email or phone to any faculty member. The "Information for Faculty" section of the DSS website has been developed to support faculty as they work with students with disabilities. Legal advice concerning disability laws may be obtained from the Office of Counsel.

8.3.4 Make-up Exams Students who are unable to take announced quizzes and examinations because of illness or extenuating circumstances should report to their instructor. The faculty member may require verification of the illness or extenuating circumstance before administering a make-up examination. Absences from a scheduled final examination without prior arrangement with the course instructor (except in extenuating circumstances) will be classified unexcused, and a failing grade may be assigned. An X is to be assigned as a temporary grade in a course in which the student has an excused absence from a final exam. If the faculty member does not wish personally to conduct the makeup of the final examination, he or she must contact Testing Services and provide a copy of the makeup final examination which will be administered by that office. The date is normally the first Saturday following the beginning of the next semester or summer term and is noted as the Deferred Exam Date on the official calendar.

8.3.5 Final Exam Policy

The university expects each faculty member to give such an examination unless the nature of a particular course precludes the administering of a final examination. The semester calendar distributed to each faculty member specifies the schedule of final exams. Any change to the final exam schedule must be approved in writing and in advance (where practical) by the Department Chair. If changes are approved, the Department Chair will notify the Office of the Registrar of the schedule change.

Students have the right to review their final examinations with faculty members. For this reason, final examination papers must be kept on file for one calendar year. Continuing full-time faculty and graduate teaching assistants may keep these papers in their offices. Part-time faculty should turn in exam papers to the departmental office. In addition to the final examination, other examinations are administered and outside work assigned in a manner deemed appropriate by the instructor. Sufficient work should be assigned and evaluated prior to midterm to permit students to assess clearly their progress in the course.

8.3.6 Final Exam Rescheduling for Students

Any student whose final examination schedule is such that he or she is scheduled to take three examinations during a single day has the right to have the middle examination rescheduled. The date and time of the rescheduled examination must be by mutual agreement between the student and the affected faculty member and must be agreed upon by the end of the thirteenth week of classes. It is the student's responsibility to notify his or her instructor of the conflict, and it is the

instructor's responsibility to verify that the conflict actually exists. If a student is scheduled to take four examinations during a single day, then the same procedure applies except that the student then has to right to have both the second and the third examinations rescheduled.

8.3.7 Reporting of Grades

Final grades are filed electronically by faculty members or designee, as required by FERPA [Faculty](#) must meet the grade report deadline.

Faculty are required to submit mid-term grades for 100- and 200-level courses in the current grading system.

8.3.8 Changing of Grades

A student is permitted to request a change of course grade no later than one semester from the date a grade is assigned. As a rule, grades may be changed only by submission by the instructor of a Change of Grade form containing a written explanation of the error. Grade changes for X or I to a letter grade are also submitted on a Change of Grade Form. The Change of Grade form must be approved by the chair of the department or equivalent and received in the Office of Student Records no later than two semesters from the date the original grade was assigned.

8.3.9 Public Posting of Grades

Instructors are neither required nor encouraged to post grades publically. If they choose to do so, FERPA guidelines must be followed.

8.3.10 Auditing Courses

Students may on occasion desire to register for a course as an “audit.” No credit is given for an audit and no quality points are assigned. Auditing a course gives the student permission to attend classes, to listen to the instructor’s presentations and lectures, to participate in class discussions, as appropriate, and to receive handouts associated with the presentations and lectures. Students auditing a course are permitted to ask to participate in graded activities, such as homework, group projects, laboratories, and exams. The instructor is not required to grade any written assignments that may be submitted by an auditing student. A student who elects to audit a course may not at any point after electing to audit, change to “for-credit,” i.e., graded status. Through the fourth week a student may elect to change the grading status for any course from credit to audit. The student must initiate a formal request for change to audit through the

Office of the Registrar. Any student failing to follow established procedure for change to audit will continue to be enrolled in the class for credit and may receive a failing grade in that course.

8.3.11 Class Records

Faculty members must maintain grade records. Upon termination of services with the university, the faculty member is to turn in grade records to the department chair or program coordinator, who maintains such records in accordance with institutional policy and the federal Family Educational Rights and Privacy Act (FERPA)..

8.4 Policy on Policies

Any unit in the university may develop policies related to its orderly, effective, and efficient internal operation. A policy that directly affects only those individuals within a unit will be approved by the unit's administrator with the consent of the unit's Vice President. A proposed policy that directly affects individuals outside of the unit (such as university-wide policies) will be approved by the unit's Vice President and forwarded for final approval to the Presidential Cabinet, which includes the President, Vice Presidents, and Legal Counsel. The unit's Vice President should ensure that adequate input and review have been sought from relevant constituencies prior to consideration by the Presidential Cabinet and provide a summary of that input. The President of the University retains the power to originate, or veto, existing or proposed policies and changes.

Academic Policies frequently originate in the Faculty Senate, the Office of Academic Affairs, and/or the Council of Deans. In the case of those originating in the Faculty Senate, there is ample opportunity for discussion with the President, Provost, Council of Deans, and Faculty through the Faculty Senate Executive Committee and the full Faculty Senate meetings. If other constituencies could be directly affected by the proposed policy, then their input should also be sought. Those proposed academic policies originating in the Office of Academic Affairs will be provided to the President of the Faculty Senate and to the Council of Deans for input and discussion prior to a vote of the Presidential Cabinet.

Non-Academic Policies may originate from the Staff Senate and/or a variety of sources throughout the university. It is important that input be sought from the university community as a whole or from affected members of the community, as appropriate, prior to the Presidential Cabinet's vote.

The approval of a new policy or change to an existing policy will be communicated *via* email (or in writing) to the university community.

M.

CHAPTER 9 COMPENSATION, BENEFITS, AND FACULTY RESOURCES

9.1 Board Recognition of Faculty and Staff

The Board of Trustees recognizes outstanding accomplishments or long periods of service by members of the faculty or staff by the adoption and implementation of the following forms of recognition.

A. Upon death or retirement of any dean, administrative official, or tenured faculty member, who has served at least ten years in The University of Alabama System or of any other employee rendering exceptional service, a formal resolution of recognition and appreciation containing the individual's biographical information and accomplishments shall be presented to the Board for its consideration, with the recommendation of the applicable president and the chancellor.

B. Upon notice of retirement of any employee who is not recognized in Section 9.1A and who has served at least ten years in The University of Alabama System, the Board on recommendation of the applicable president and the chancellor, may award to the employee a certificate of citation. Presentation of the certificate shall be made by or on direction of the applicable president or the chancellor.

C. Upon recommendation of the applicable president and the chancellor, the Board may also recognize by appropriate resolution, either on termination of employment or at any other time, outstanding accomplishments or any members of the faculty or staff in teaching, research, or service.

9.2 Compensation for Job-Related Injuries and Disabilities

The university provides benefits for employees who are injured during the performance of official duties. The university requires an immediate and formal reporting of accidents and injuries sustained on the job. Occupational injury benefits are generally equivalent to those payable under the Alabama Workmen's Compensation statute, which can be found in greater detail on the state website; however, such payments may be reduced by the amount of health insurance benefits carried by or on behalf of the employee.

As a condition to the payment of health care costs and/or disability benefits, a claim must be filed by the employee and reviewed and approved by the university. Claim forms are available in the Office of Counsel and should be filed with that office when completed. Such claims may be referred by the university to the State Board of Adjustment.

9.3 Consulting

Consulting is a privilege that is encouraged if it is of a non-routine character and at a high professional level and does not entail potential conflicts of interest. Interactions with the public and private sectors advance the university's effectiveness in providing high quality student learning and enhance student employment opportunities. Such activities promote the university's image in the community as a quality institution of higher education and as a partner in economic development.

Within the purview of this policy, consultation is defined as the rendering of professional services for remuneration or reasonable expectation of financial compensation either to the faculty member, a family member, or associate to organizations both outside and within the university. Examples of such compensated activities might include but are not limited to

- (a) one-time or multiple visits to a business for the purpose of offering advice and counsel;
- (b) carrying out investigations or studies which are not university grants or contracts;
- (c) a series of non-university lectures or performances;
- (d) serving as an expert witness; or
- (e) providing specific professional services other than those rendered through the university.

By contrast, providing a single professional talk for a modest honorarium would not normally be considered as a consulting activity for the purposes of this policy. If there is a question regarding whether the activity is consulting, the faculty member should discuss the activity with the appropriate chair and dean.

Endeavors for financial gain may be pursued as long as they do not interfere with the faculty member's primary commitment to the university. Consulting must not interfere with the faculty member's obligations (i.e., teaching, scholarly and/or creative activities, and service) to the university or place the faculty member in a conflict of interest or conflict of commitment situation. Faculty are responsible for insuring that consulting activities are conducted in accordance with the university's policy on conflict of interest as well as the university's policies on disclosure of discoveries and inventions, patents, and computer software.

Consulting and the performance of activities by full-time faculty members for extra compensation within and outside the university should rarely exceed 36 hours a month, non-cumulative, above and beyond the time required to fulfill their primary responsibilities to the university. This restriction does not apply during the summer when faculty members are considered to be on leave unless they are engaged in and being compensated for teaching, research, and/or service for the university. Teaching a course at another institution is normally considered a conflict of interest for a faculty member and hence does not normally fall within the privilege of consulting. Exceptions may be authorized by the dean in consultation with the department chair.

Approval for consulting is discretionary. Requests for consultation are subject to prior approval by the appropriate chair and dean. If appropriate, the chair and dean shall consult with the Vice President for Research, Provost or other specific university administrators on a project-by-project basis. A disclosure and request for approval of consulting form (available from the Office of the Provost) must be submitted and approved prior to the initiation of consulting activities to be performed during periods other than those periods when faculty members are considered to be on leave. The request must be acted upon within 10 working days. If the faculty member's request is denied, the faculty member should work with the appropriate chair and dean to seek resolution. If the dean or the faculty member is not satisfied with the outcome of resolution efforts, the university's professional review committee shall review the situation (following steps identified elsewhere in this document) and make written and timely recommendations to the Provost. If the faculty member is not satisfied with the professional review committee's findings, the faculty member may appeal to the Provost. Of course, the faculty member has full right to appeal through normal university grievance procedures (following procedures identified elsewhere in this document).

9.3.1 Consulting within the University

Faculty may be permitted to perform consulting and other types of service within the university when the individual has specialized training or knowledge essential to the programs and where the performance of these duties is such that it is above and beyond the commitments associated with the faculty appointment. The consulting must be across departmental lines; therefore, a faculty member may not consult for his or her own department.

9.3.2 Consulting Outside the University

The consulting activity must be compatible with the interests of the university as a public academic institution and must not require more than a *de minimus* use of university resources or facilities. Faculty consulting activities that require significant use of university resources (i.e., laboratories, equipment, work by students and staff) must be handled as university grants or contracts. Procedures for such grants and contracts are available in the Office of Sponsored Programs.

When participating in consulting activities other than university grants or contracts outside the university, the faculty member shall provide an explicit statement that the university is not participating in or sponsoring the activity.

9.3.3 Reporting

Faculty members shall report their consulting activities annually during the normal reporting process. The dean shall provide a summary of all consulting activities of the college to the Provost at the end of each semester. In addition, the state of Alabama requires all employees who make more than \$50,000.00 from the state to report their consulting activities on an ethics form annually.

9.3.4 Sponsored Projects

Consulting on sponsored projects must be consistent with the policies of the sponsoring agency and the university. Procedures to implement subcontracts are in place in the Office of Sponsored Programs. Approvals must be obtained on a Consultant Subcontract Approval Request (CSAR) through the vice presidential level.

9.4 Insurance and Retirement Benefits

9.4.1 Insurance Benefits

Group term life insurance, accidental death and dismemberment insurance, and long-term disability insurance (partial salary continuation) are provided by the university at no cost to regular full-time faculty members.

9.4.2 Retirement Benefits

The Teachers' Retirement System of Alabama (TRSA) provides the retirement program required for all full-time regular faculty and for part-time faculty working 50% time or more. Temporary full-time faculty and those at 50% time or more must also participate when they enter their 13th month of employment. Effective October 1, 2011 employees contribute 7.25% , rising to 7.5% effective October 1, 2012, of their gross salary, with a matching contribution being paid by the state, by a grant, or other funds (depending upon the source of funding for the position). This matching contribution varies in amount and is based on an actuarial determination of the funds necessary to provide benefits granted by law for members.

After ten or more years of creditable service, a member has a vested interest in the state retirement fund, which means the member is eligible for deferred retirement benefits. Eligibility is not lost if the employee leaves the employ of the university thereafter, as long as the employee's contributions are not withdrawn. Early retirement is permitted at age 60. Upon attainment of that age, therefore, an employee who has vested may retire and apply for monthly retirement benefits. Members who have 25 years of creditable service may retire with benefits regardless of age.

Approval of the IRS has been obtained to allow contributions to the TRSA on a tax-deferred status. In effect, TRSA contributions are not considered to be wages and therefore are not subject to taxation until they are withdrawn. Withdrawals are normally made at retirement when the tax rate is usually lower for most individuals. Member contributions made before approval of the tax-sheltering plan (January 1, 1982), however, are not taxable when withdrawn because taxes have already been paid on this money. An employee who obtains a refund of contributions upon termination of university employment will be taxed on all tax-sheltered contributions, unless these amount are re-invested in an IRA or other qualified plan. If the amount of the refund is rolled over the refund amount will not be taxed until withdrawn from the recipient IRA or qualified plan. The Retirement System of Alabama will facilitate a direct rollover into an IRA or other qualified plan. In addition, if the withdrawal occurs before the employee reaches age 59

1/2 and if the refund is not reinvested or "rolled over" into an Individual Retirement Account or other qualified retirement plan, any taxable portion will be subject to applicable penalties/withholdings as specified by law. TRSA refund requests may be processed during the check-out procedure.

The amount of retirement income is determined by the number of years of participation, the Earnable compensation (total compensation from employment) (using the best three out of the last ten years' compensation), a retirement factor of approximately two percent per year of service, and the option chosen by the individual at the time of retirement.

The university requires all regular full-time faculty to carry health insurance as a condition of employment. Waiver of this policy may be granted for those who provide evidence of substantially equivalent coverage through another group or through individual policies. The university pays a major portion of the monthly premium for the employee and also shares in the cost for those who insure their dependents.

9.5 Faculty Leave Account

The university shall establish and maintain a centralized Faculty Leave Account to pay the costs of providing substitutes in the classroom for faculty members who are on paid sick leave, parental leave, or sabbatical leave in accordance with Sections 9.9. The Faculty Leave Account shall be administered by the Office of the Provost. The purpose of the fund is to provide Colleges with the resources to hire temporary replacements to cover the classes of a faculty member who is on paid leave or to compensate colleagues who temporarily assume the teaching responsibilities of a faculty member who is on paid leave. The department chair or equivalent and dean of the faculty member who is on leave are responsible for submitting a requisition to the Provost for allocation of funds from the Faculty Leave Account.

9.6 Sick Leave

The university recognizes that decisions regarding the granting of leave for illnesses and short-term disabilities affect the faculty member, his/her family, colleagues, students, and the administrators concerned. Faculty leave procedures are intended to insure that the interests of all these parties are considered and resolved consistently through a fair and orderly process.

As a general principle, faculty members or their designated representatives are to advise their department chair of any illness or injury established by a physician that may result in their absence and inability to carry out their assigned duties. This must be done in as timely a manner as possible so the university may respond with an appropriate arrangement to take care of the faculty member's responsibilities during the period of absence.

All communications and correspondence related to the processing of sick leave requests, the monitoring of sick leave, and the evaluation of the medical condition of faculty members during the period of their sick leave shall be treated as confidential and maintained separately from the personnel file. Access to such materials and medical information about faculty members shall

be restricted to university personnel who have a legitimate need for it in connection with the implementation of the Sick Leave Policy or the performance of their duties.

The university recognizes its obligations under state and federal law, including, but not limited to, the American's with Disabilities Act (ADA), the Rehabilitation Act of 1973 (RA), the Family and Medical Leave Act (FMLA), the Health Insurance Portability and Accountability Act (HIPAA).

9.6.1 Faculty with Fixed-Term Appointments

Adjunct faculty, visiting faculty, part-time lecturers, and full-time lecturers who have been employed by the university for less than one year, and temporary faculty are ineligible for paid sick leave.

The running of fixed-term faculty appointments will not ordinarily be affected by the granting of sick leave status, in the sense that a faculty member with a term appointment will have no right to return to duties after the expiration of that term.

9.6.2 Faculty with 12-Month Full-Time Appointments

Tenured, tenure-track, research, clinical, and library faculty members who are on 12-month appointments and have full-time status throughout the year are eligible for annual/vacation, bereavement, holiday, maternity, personal, sick and uniformed service leave in accordance with policies applicable to other fulltime, 12 month employees of the university.

9.6.3 Faculty with Full-Time, but Less than 12-Month Appointments

Sick leave under this policy is available for tenured, tenure-track, library, clinical, and research faculty who have full-time appointments for less than 12 months or who have full-time appointments during the academic year and part-time appointments during the summer. Sick leave under this policy also is available to lecturers who have been employed by the university in a full-time position for more than one year.

9.6.3.1 Categories of Sick Leave

For the purposes of this policy, sick leave will be categorized as follows: (1) Short-Term: Absence of a faculty member by reason of his/her illness, injury, or other physical or mental incapacity that is projected to continue for thirty (30) calendar days or less where it appears that he/she will, with reasonable accommodations (if appropriate), return to duties at the end of that time; (2) Intermediate-Term: Absence of a faculty member by reason of his/her illness, injury, or other physical or mental incapacity that is projected to continue for more than thirty (30) calendar days but less than 90 calendar days where it appears that he/she will, with reasonable accommodations (if appropriate), return to duties at the end of that time; (3) Long-Term: Absence of a faculty member by reason of his/her illness, injury, or other physical or mental incapacity that is projected to continue 90 days or longer where it appears that he/she will, with reasonable accommodations (if appropriate), return to duties at the end of that time.

For the purposes of this policy, all references to “chair” for the College of Nursing and Library shall mean the responsible administrator within the unit.

9.6.3.2 Advisory Group

To assist in the implementation of these procedures, the Provost shall appoint, in cases of intermediate or long-term leave, an advisory group, which will consist of the university Ombudsperson, a member of the Faculty Senate appointed by the Senate Executive Committee, and one representative from each of the following: (1) the Human Resources Office, (2) the Office of Counsel, and (3) the Office of the Provost.

9.6.3.3 Requests, Approval, and Terms of Short-Term Sick Leave

Requests. A request for Short-Term Sick Leave shall be made by the faculty member, or his/her designated representative, to the department chair. The request may be oral.

Approval. The chair may act on requests for Short-Term Sick Leave without consultation and shall approve such leave to faculty members upon receipt of information substantiating the need for such leave. The chair may require a physician’s verification of the existence of illness, injury, or other physical or mental incapacity. The chair shall inform and consult with the dean if there are indications that there may be (1) an abuse of the leave process through repetitive short-term absences; (2) an underlying medical and/or psychological problem that has not been revealed by the faculty member; (3) a likelihood that the faculty member will not be able to return to duties before the next semester starts; or (4) a steady decline in the physical or mental health of the faculty member.

Coverage of Classes. The faculty member, if able, is responsible for arranging such coverage of classes, in consultation with the chair; otherwise the chair is responsible. To the extent feasible, colleagues will normally cover the classes of a faculty member on Short-Term Sick Leave. If qualified colleagues are not able to provide coverage or if doing so would create an unreasonable burden for such colleagues, it may be necessary to hire temporary faculty as substitutes for the faculty member on leave. Funding for hiring temporary faculty to substitute for the faculty member on leave shall be allocated by the Provost from the Faculty Leave Account (See Section 9.5).

Monitoring Requirements. The chair shall provide updates to the dean in those instances where the chair has informed/consulted with the dean regarding the leave.

Pay Status. Short-Term Sick Leave will be with full pay and benefits, even if designated as FMLA Leave.

9.6.3.4 Requests, Approval, and Terms of Intermediate-Term Sick Leave

Requests. A request for Intermediate-Term Sick Leave shall be made by the faculty member, or his/her designated representative, to the chair in writing. It shall include a medical prognosis from a health-care provider for the projected duration of the absence.

Approval. Upon receiving a request for Intermediate-term Sick leave, the chair shall consult with the advisory group regarding possible Americans with Disabilities Act (ADA) /Rehabilitation Act (RA) implications and the appropriateness of designating the absence as Family and Medical Leave Act (FMLA) Leave. Discussions may also include the possible need for further medical evaluation(s) (immediate and/or future) to acquire additional information about the prognosis for recovery and to help in determining fitness for duty, where appropriate. Long-term disability (“LTD”) insurance implications will also be considered. The chair shall discuss the results of the advisory group meeting with the dean. The chair, in consultation with the dean and with the assistance of advisory group members, shall then make such decisions as may be necessary and appropriate to the particular situation, such as whether further medical evaluations may be required and the timing of such evaluations, whether the absence will be designated FMLA Leave, etc.

The chair shall approve a properly presented and supported Intermediate-Term Sick Leave request and shall inform the faculty member in writing of the terms under which leave is being granted, with a copy provided to the dean and the advisory group. Where appropriate, the chair shall advise the faculty member to consult with the Benefits and Employment Services Office for information about long-term disability (“LTD”) insurance.

Coverage of Classes. The chair is responsible for arranging coverage of the faculty member’s classes, in consultation with the faculty member if the faculty member is able. When feasible, colleagues will cover classes of a faculty member on Intermediate-Term Sick Leave. In such instances, the affected colleagues shall receive either additional pay for increased teaching or a reduction of teaching obligations during the next academic term commensurate with the additional workload. If colleagues are not able to provide coverage, or if doing so would create an unreasonable burden for such colleagues, it may be necessary to hire temporary faculty as substitutes for the faculty member on leave. Funding for compensating colleagues or hiring temporary faculty to substitute for the faculty member on leave shall be allocated by the Provost from the Faculty Leave Account (See Section 9.5).

Monitoring Requirements. At 30-day intervals from the date of the written Intermediate-term Sick Leave approval, the chair shall provide the dean, the advisory group, and the Provost with brief written summary updates regarding the then-current medical condition of the faculty member, the prognosis for recovery, the likely date of return to duties, and other information pertinent to long-range planning to ensure fair treatment for the faculty member, colleagues, and students. Updated summaries shall also be provided by the chair at any time changes in the faculty member’s condition justifies.

Pay Status. Intermediate-Term Sick Leave will be with full pay and benefits, even if designated as FMLA leave.

9.6.3.5 Requests, Approval, and Terms of Long-Term Sick Leave

Requests. A request for Long-Term Sick Leave shall be made in writing by the faculty member, or his/her designated representative, to the chair. It shall include a medical prognosis from a physician for the projected duration of the absence.

Approval. The dean is the approving authority. Requests for leave qualifying as Long-term Sick Leave will be handled as follows:

- a. Upon receiving a request for Long-Term Sick Leave, the chair shall forward that request to the dean along with a written summary of pertinent information known to the chair. The chair also shall provide copies of this correspondence to the advisory group, the Provost, and the faculty member or his or her designated representative.
- b. The dean and the chair shall meet with the advisory group to discuss any ADA/RA implications, the appropriateness of designating the absence as FMLA leave, etc. They shall also address the issue of whether there is a need for further medical evaluation(s) (immediate and/or future) to acquire additional information about the prognosis for recovery and to help in determining fitness for duty, where appropriate. LTD insurance implications will also be considered. If the university requires additional medical evaluations it will be at the expense of the university.
- c. After meeting with the advisory group, the dean shall make such decisions as may be necessary and appropriate to the particular situation, such as whether further medical evaluations may be required and the timing of such evaluations, whether the absence will be designated FMLA leave, etc.
- d. The dean shall approve a properly presented and supported Long-Term Sick Leave request and shall inform the faculty member in writing of the terms under which leave is being granted, with a copy provided to the Provost and the advisory group. Where appropriate, the dean shall advise the faculty member to consult with the Benefits and Employment Services Office for information about LTD insurance.

Coverage of Classes. The chair is responsible for arranging coverage of the faculty member's classes, in consultation with the dean and the Provost and with the faculty member if the faculty member is able. In some cases, it may be feasible for colleagues to cover the classes of a faculty member on Long-Term Sick Leave. In such instances, the affected colleagues shall receive either prorated pay for teaching an overload or a reduction of teaching obligations during the next academic term commensurate with the additional workload. If colleagues are not able to provide coverage or if doing so would create an unreasonable burden for such colleagues, it may be necessary to hire temporary faculty as substitutes for the faculty member on leave. Funding for compensating colleagues or hiring temporary faculty to substitute for the faculty member on leave shall be allocated by the Provost from the Faculty Leave Account (See Section 9.5).

Monitoring Requirements. At 30-day intervals from the date of the written sick leave approval, the chair shall provide the dean, the advisory group, and the Provost with brief written summary updates regarding the then-current medical condition of the faculty member, the prognosis for

recovery, the likely date of return to duties, and other information pertinent to long-range planning to ensure fair treatment for the faculty member, colleagues, and students. Updated summaries shall also be provided by the chair at any time changes in the faculty member's condition justifies.

Pay Status. Long-Term Sick Leave shall be granted as leave with full pay and benefits, even if designated as FMLA leave, provided that such leave does not exceed six months for the same illness or injury.

9.6.3.6 Extension of Tenure Clock

When a tenure-track faculty member is granted Intermediate-Term or Long-Term Sick Leave, an automatic one-year extension in that faculty member's probationary period shall be granted in accordance with Section 9.6.3.5. Faculty members who are granted Short-Term Sick Leave may request a one-year extension in their probationary period, but in such cases, the extension of the probationary period is not automatic.

9.6.4 Appeals

A request for sick leave that is denied may be appealed through the general grievance procedure available to faculty, except that administrator responses to the grievance shall be expedited.

9.7 Parental Leave

Parental leave is designed to serve two purposes. On one hand, it allows faculty members to take care of the substantial responsibilities and health issues related to child birth or the placement of a child for guardianship or adoption. On the other hand, offering such leaves benefits the university by facilitating the attraction, retention, and long-term productivity of high-quality faculty.

Eligibility. A full-time faculty member with at least one academic year of service to the university is eligible for parental leave in the event of: (1) the birth of his or her child, (2) the birth of a child to the domestic partner of the faculty member, or (3) the placement of a child under the age of 7 with the faculty member for guardianship or adoption. If both parents of the child are faculty members of the university, only one parent may take the entire 15 weeks of full-time parental leave (or an equivalent amount of leave on a part-time basis) for a given child. An individual requesting leave under these circumstances will provide documentation that he/she will be the primary care giver during the leave period. With the approval of the Provost, the two parents may split the leave. Parental leave is not granted for pregnancy-related disability preceding the birth of a child, which is granted in accordance with the sick leave policy (Section 9.6) and shall not affect a faculty member's eligibility for parental leave for the birth of that child.

Timing and duration of leave. A parental leave must commence within 4 months of the birth of the child or the placement of the child for guardianship or adoption for a faculty member taking parental leave, except in cases where both parents are faculty members and split the leave. Full-

time parental leave consists of 15 weeks of full-time leave from all faculty responsibilities. An equivalent amount of part-time leave may be substituted for full-time leave; the latter will be referred to as “flexible parental leave.” For example, under flexible parental leave, a faculty member whose leave commences near the end of spring semester, could elect to take one-third of the leave as five weeks of full-time leave to finish out the spring semester, followed by taking the remaining two-thirds of the leave by working part-time the following fall semester. For faculty on academic year appointments, the summer will not count toward the 15 weeks of full-time leave (or equivalent) to which the faculty member is entitled.

In cases where both parents of the child are faculty members eligible to take parental leave, the parents may choose to have one parent take the full 15 weeks of full-time equivalent leave or may submit a request to split the leave between them (e.g., one parent could take 10 weeks and the other five weeks of full-time leave). In such cases, the parent who takes the leave first must begin the leave within four months of the birth of the child or the placement of the child for guardianship or adoption for a faculty member taking parental leave.

Parental leave also is not granted for periods of medical disability resulting from child birth but extending beyond the 15 weeks of full-time leave (or equivalent). Under such circumstances, the faculty member may apply for sick leave (Section 9.6).

The first 12 weeks of any parental leave, or of the combined periods of sick leave for pregnancy-related disability preceding the birth of a child plus parental leave, or of combined periods of parental leave plus sick leave for disability resulting from child birth are deemed to be leave under the Family and Medical Leave Act of 1993 (FMLA).

Request and approval. In order for the university to make adequate provision for instruction, a faculty member who plans to take parental leave must notify his or her department chair or equivalent in writing of his/her intent to take parental leave, with copies to the dean and Provost. Such notification must be made within three months of confirmation of a pregnancy or as soon as practicable after learning of the placement of the child for guardianship or adoption. The faculty’s written notification must include a proposal for when the leave will begin and, if the faculty member is requesting flexible parental leave, a proposal for how the leave will be taken. The exact terms of the flexible parental leave will be negotiated between the faculty member and the department chair, who shall submit a written summary of the terms of the leave to the dean and the Provost.

In cases where both parents are faculty members who are eligible for parental leave and the parents want to split the 15 weeks of full-time leave or equivalent between them, both faculty members shall submit a request detailing how they propose to split the leave to the Provost and their respective department chairs, with copies to their respective deans. The Provost or his/her designated representative is responsible for consulting with the department chairs and determining the terms of a split leave.

The Provost has final authority for approving parental leave requests and shall grant all requests for parental leave from faculty members who meet eligibility requirements for such leave.

However, the Provost may modify the specific terms of flexible parental leaves and split leaves requested if the initial request is not practicable.

Pay Status. The faculty member will receive his or her full normal salary and benefits during the leave period, even if designated as FMLA leave. Faculty members on academic year appointments will not receive parental leave pay in the summer.

Coverage of classes. If replacements are needed to carry out the instructional responsibilities of a faculty member on parental leave, the compensation for those replacements shall be allocated by the Provost from the Faculty Leave Account (See Section 9.5).

Extension of tenure clock. When a tenure-track faculty member is granted parental leave, an automatic one-year extension in that faculty member's probationary period clock shall be granted in accordance with Section 9.6.3.6.

9.8 Family and Medical Act Leave and Uniformed Service Leave

The university is committed to complying with the provisions of the FMLA and with all federal and state statutes regulating leave and re-employment rights of employees who are absent from work for the purpose of voluntary or involuntary duty in the uniformed services.

The FMLA entitles employees to take up to 12 weeks of job-protected, unpaid leave during any 12-month period for the following reasons: 1) birth and care of the eligible employee's child, or placement for adoption or foster care of a child with the employee; 2) care of an immediate family member (spouse, child, parent) who has a serious health condition; or 3) care of the employee's own serious health condition. Additionally, eligible employees may take FMLA *qualifying exigency leave* "[b]ecause of any qualifying exigency (as the Secretary [of Labor] shall, by regulation, determine) arising out of the fact that the spouse, or a son, daughter, or parent of the employee is on active duty (or has been notified of an impending call or order to active duty) in the Armed Forces in support of a contingency operation" (Defense Authorization Act for FY 2008 (NDAA), Section 585(a)). The NDAA also provides that an eligible employee who is the spouse, son, daughter, parent, or next of kin of a covered service member is entitled to *military care-giver leave* of up to 26 weeks of leave during a [single] 12-month period to care for the service member.

Under the National Defense Authorization Act for Fiscal Year 2010, eligible employees may also take *qualifying exigency leave* for service on active duty in any regular component of the Armed Forces who are deployed in a foreign country; eligible employees may take *military caregiver leave* for a covered family member undergoing treatment for, or recuperating from, a serious injury or illness incurred in the line of duty while on active duty; and eligible employees may take leave to care for any former member of the Armed Forces, National Guard or Reserves during the first five years following his or her discharge from uniformed service if the veteran is undergoing treatment for, or is recuperating from, a serious injury or illness incurred in the line of duty while on active duty.

Faculty members who are called up for "uniformed service duty" shall be granted leave in accordance with the provisions of the Uniformed Services Employment and Reemployment Rights Act (USERRA), as well as any other federal or state statutes regulating leaves and reemployment rights of employees in the uniformed services. The uniformed services include duty in the Army, Navy, Marine Corps, Air Force, Coast Guard, and Public Health Service commissioned corps, as well as the reserve components of each of these services; federal training or service in the Army National Guard and Air National Guard; active duty, active duty for training, inactive duty training (such as drills), initial active duty training, and funeral honors duty performed by National Guard and reserve members, as well as the period for which a person is absent from a position of employment for the purpose of an examination to determine fitness to perform any such duty. Under the Public Health Security and Bioterrorism Response Act of 2002, certain disaster response work (and authorized training for such work) is considered "service in the uniformed services".

FMLA leave is unpaid, but in accordance with the FMLA, the university shall continue to pay its share of the employee's group health benefits during the leave. A faculty member seeking to take such leave must complete an "FMLA Request for Leave Form" and provide certification of eligibility for leave. For details, faculty members should contact Human Resources.

USERRA leave is unpaid; employees should consult with Human Resources regarding their eligibility to continue group health insurance benefits while on USERRA leave.

Faculty members taking paid sick and disability leave under Section 9.6 or paid parental leave under Section 9.7 that also qualifies for FMLA leave are deemed to be on FMLA leave. Such employees will not qualify for an additional 12 weeks of unpaid FMLA leave during the same 12-month period as the paid sick and disability leave or the paid parental leave.

9.8.1 Extension of Tenure Clock

When a tenure-track faculty member is granted FMLA Leave or Uniformed-Service Leave, the faculty member may request a one-year extension in his or her probationary period clock in accordance with Section 9.6.3.6. (Leaves of very short duration may not qualify.)

9.9 Sabbatical Leave

Sabbaticals leaves for tenured faculty are provided so that faculty members may devote a substantial period of time, at the university or elsewhere, to activities that contribute to their professional development. Sabbatical leaves are an investment in the university's human capital stock and, as such, advance the teaching, research and service missions of the university by helping to ensure that the knowledge base of the faculty remains at the cutting edge.

9.9.1 Eligibility and terms of leave

Only full-time tenured faculty members are eligible for a sabbatical leave. Faculty on sabbatical leave have no duties except those activities related directly to their sabbatical proposal. A sabbatical may be granted for one or two semesters according to the following schedules:

Schedule 1. At the end of six or more years of full-time service since the faculty member's appointment to a tenured or tenure-track faculty position or since the faculty member's last sabbatical, a faculty member is eligible for (a) a one semester sabbatical at full salary, or (b) two semesters sabbatical at one-half salary.

Schedule 2. At the end of eight or more years of full-time service since the faculty members' appointment to a tenured or tenure-track faculty position or since the faculty member's last sabbatical, a faculty member is eligible for two semesters sabbatical at two-thirds salary. Sabbatical leaves for two semesters must be taken consecutively, either fall and spring semesters of the same academic year or spring semester of one academic year and fall semester of the subsequent academic year.

9.9.2 Application Process and Criteria for Approval

It is the university's policy to encourage faculty members to take sabbaticals when they become eligible to do so. Therefore, department chairs shall not ask faculty members to delay applying for sabbatical leaves. However, approval is not automatic. An eligible faculty member is responsible for submitting a sabbatical application consisting of: (1) a Sabbatical Leave Application Form and (2) a sabbatical proposal (details available from the Office of the Provost) to his or her department chair (or equivalent) by December 15 of the academic year preceding the beginning of the requested leave. In the sabbatical proposal, the applicant shall provide a reasonably detailed plan of activities that will be pursued during the sabbatical and describe how the planned activities will enhance the applicant's professional development in one of more of the following ways: (1) by enriching and expanding the faculty member's understanding of his or her field(s), (2) by increasing the faculty member's effectiveness as a teacher, and/or (3) by providing the faculty member with the time to devote to significant scholarly and/or creative projects.

By January 5, the chair shall forward the sabbatical application, along with a written recommendation to the applicant's dean for review, and shall provide the applicant with a copy of the chair's recommendation. By January 15, the dean shall forward the application and chair's recommendation, along with a written recommendation, to the Provost. When completed, a copy of the dean's recommendation shall be sent to the applicant.

The final approval of the sabbatical proposal rests with the Provost, who shall make one of the following decisions:

1. Approval of the sabbatical proposal for the time period requested by the faculty member.
2. Approval of the sabbatical proposal, with a deferral of the starting date.
3. Denial of the request for the sabbatical.

The Provost shall inform the candidate of the decision by February 15.

Maintaining and enhancing faculty knowledge and skills are essential to the research and teaching missions of the university. For this reason, a sabbatical proposal shall be approved if the activities proposed by the faculty member are feasible and if they can reasonably be expected to enhance the faculty member's professional development in one or more of the three ways described above. Sabbatical proposals shall not be denied due to financial or staffing constraints, but may be deferred for financial or staffing constraints. In general, if a university's faculty is intellectually active, it is reasonable to expect that approximately one-sixth of the tenured faculty will be on sabbatical during any given academic year; restrictions on the number of faculty members in a unit who may be on sabbatical at the same time should be consistent with this expectation. If replacements are needed to carry out the instructional responsibilities of a faculty member on sabbatical leave, the compensation for those replacements will be paid out of the Faculty Leave Account in accordance with Section 9.5. Except in unusual circumstances, deferrals shall not be for more than one academic year. A faculty member whose sabbatical is deferred shall not be penalized in terms of their eligibility for a subsequent sabbatical. For example, faculty members, who, because of these reasons, take a Schedule 1 sabbatical in their eighth year (rather than their seventh), shall be eligible for their next sabbatical after 13 years of permanent, full-time service. Academic and budgetary heads who request such deferrals or delays shall do so in writing and shall send copies of the request to both the faculty member and the Provost.

In cases where the proposed sabbatical is denied, the Provost shall give the faculty member a written explanation of the reasons for the denial; copies of this explanation shall be provided to the faculty member's department chair and dean. This explanation shall explicitly state why the faculty member's proposed sabbatical activities do not meet the criteria of feasibility and/or contributing to the faculty member's professional development. Because of the importance of sabbaticals to faculty development, in such cases, the department chair shall work with the faculty member to help develop a proposal that meets these criteria for submission in a future year.

9.9.3 Benefits, Salary Increases, and Promotions during Sabbaticals

While on sabbatical, premium deductions for such benefits as health, dental, life, and accident insurance, as well as for savings bond and United Way contributions, will continue as if the faculty member were at full salary. This means that those benefits matched by the university continue to be matched, and those benefits fully paid by the university continue to be fully paid (e.g., life/accidental death insurance, long-term disability benefits).

TIAA-CREF contributions will continue at the same rate as chosen by the faculty member prior to the sabbatical. For example, a five-percent faculty contribution to TIAA-CREF would be applied to a reduced sabbatical salary, as would the university's matching percentage.

Benefits from the Teacher's Retirement System of Alabama are affected as follows. Faculty members who take two semesters of sabbatical at half or two-thirds of their normal academic year salary receive prorated salary and service credit for their time on sabbatical. For example, faculty being paid one-half of their nine-month academic salary for an academic year of sabbatical will receive one-half of a year's service credit and one-half of that year's salary credit.

Refer to the sabbatical leave schedule above. Faculty members interested in knowing exactly how their benefits accrue while on sabbatical should meet with a representative of the Office of Employee Benefits.

Faculty on sabbatical are eligible for salary increases and promotion as they would be were they not on sabbatical.

9.9.4 Compensation from Other Sources

During a sabbatical leave, a faculty member may receive income from sources other than the university to supplement salary from the university and to cover sabbatical travel costs and/or a higher cost-of-living at the location(s) where the sabbatical is taken. These sources may include but are not limited to remuneration for teaching part-time at another university or being partially paid by a scholarly research center at which the faculty member is taking the sabbatical.

Because the reason for a sabbatical is professional development, not augmentation of income, consulting and other professional activities while on sabbatical are governed by the same regulations as those applicable to faculty not on sabbatical.

9.9.5 Other Requirements and Reporting

Recipients of paid sabbatical leaves are required either to return to the service of the university for a period equal to the sabbatical period or to reimburse the university for all salary received from the university while on sabbatical. Not later than the end of the first semester following return from a sabbatical, the recipient must submit a report summarizing the activities performed during the sabbatical and the achievements accomplished. The report should be submitted and forwarded through the same channels as the original application for sabbatical.

While on sabbatical leave, faculty remain bound by all rules and regulations of the university. During the sabbatical period, faculty members retain their rights to participate and vote in faculty matters as if they were not on sabbatical, provided they are available or can be reached in a reasonable period of time. Faculty members on sabbatical are discouraged, however, from service activities and from involvement in routine activities of their unit. Administrators and committee chairs shall not request faculty members on sabbatical leave to undertake service assignments.

9.10 Vacation

Faculty members on twelve-month appointments are entitled to twenty-two (22) days of vacation with pay per year, based on an accrual rate of 14.67 hours per month. The maximum number of vacation leave days that may be carried forward into the next employment year is the number of days earned in one year. Accrued vacation days in excess of maximum accrual at the beginning of an employment year are converted to sick leave. There is no payment for accumulated vacation time, except in the case of a terminating faculty member who is serving in a 12-month appointment at the time of termination. Upon such termination, a 12-month appointee will be paid for unused accumulated vacation, not to exceed the number of days earned in one year.

In the case of a change from a 12-month appointment to an academic year appointment, any unused vacation leave will be transferred to the sick leave balance to be retained and reinstated upon the eventual return to a 12-month appointment, or retained for retirement credit with the State Teachers' Retirement System. Faculty members on an academic year appointment do not accrue vacation leave.

9.11 Unpaid Leave of Absence

Unpaid leaves of absence for faculty members may be granted for a period of one year or less for further study and other activities that enhance professional capacities or stature. In unusual circumstances, unpaid leave may be extended for an additional year. All leaves must be approved by the appropriate chair, by the dean, and by the Provost. Where possible, a request for voluntary leave should be filed at least three months in advance.

9.12 Liability Insurance

The University of Alabama System insurance program provides coverage to the university employees who are sued for employment related activities. This coverage includes both a “defense benefit,” under which the employee is entitled to be defended by university-designated counsel; and an “indemnity benefit,” under which an adverse judgment against the employee is paid on his/her behalf. Some activities, such as intentional wrong-doing or criminal acts, are not covered by this program.

Any university employee who is sued or who believes that a lawsuit is imminent should contact the Office of Counsel without delay.

9.13 Other Policies

The *Staff Handbook* should be consulted for additional policies that are applicable to all the university employees but are not repeated in this Handbook. These include, but are not limited to, policies on the following:

- Alcohol and Other Drugs
- Acquired Immune Deficiency Syndrome (AIDS)
- Firearms and Other Weapons
- Automobile/Vehicle Registration
- Solicitation Protection
- Use of University Equipment
- Severe Weather
- Smoking

9.14 Property Control Procedure

The university permits the loan of its property to the faculty and staff for off-campus use, provided the budget unit head concurs and the use benefits the university. A standard formalized agreement is signed by the borrower and the budget unit head, which identifies the property, its

location, and reason for being on loan. The agreement is retained by the budget unit head and is made available to authorized personnel making property audits.

9.15 Payroll Policy and Procedures

Faculty members who are appointed on an academic year (9 month) basis whose salaries are not supported by grants and contracts during the academic year may elect to be paid over the 9 month academic year or to be paid over 12 months, with the total annual deductions distributed equally over the 12 months. Such election will be made only once each academic year during an annual sign-up period.

Faculty members who are appointed on an academic year (9 month) basis who are supported partly by grants and contracts during the academic year will be paid their academic year salaries as they earn them over the 9 month period.

Payroll checks shall be distributed on a bi-weekly schedule. An electronic statement of earnings for the pay period showing the gross earnings, itemized deductions, and the net sum of the check is also provided. Faculty members who are employed for one semester receive half of their academic year salary.

9.16 Summer Teaching and Research

Faculty members may be given opportunities to teach at the university during the summer term, but summer teaching is not guaranteed. A schedule of course offerings for summer is developed early in the academic year by the department chair or program coordinator.

Full-time faculty members teaching summer courses are paid 10% of their academic year salary for a three-semester-hour credit course, with a maximum rate of \$5,775.00 per three-hour course. Thus, the pay rate for summer classes is 3.33% per credit-hour with a maximum amount per credit-hour of \$1,926.67.

Summer pay for faculty working on contracts is based on a 37-week academic year model. A faculty member fully supported by a contract can earn 2.70% (1/37) of the regular academic-year salary per week of employment. This translates into a maximum earning of 40.5% of the academic-year salary if the faculty member works all fifteen weeks available in the summer. Requests to choose the fifteen-week option must be authorized by the department chair and dean and should be submitted in writing before the end of the Spring Semester. The fifteen-week model does not include vacation or leave time except official university holidays. For those faculty who wish to mix teaching and research and give a 100% effort during the summer, the 40.5% limit must be observed.

9.17 Tax-Sheltered Annuity

Regular full-time faculty members are eligible for participation in the Teachers' Insurance and Annuity Association and the College Retirement Equities Fund. (TIAA/CREF) The university matches the member's contributions up to a maximum of 5%. Faculty members may elect to

reduce their salary by a specified amount within certain limitations and have such contributions applied toward the purchase of a tax-deferred annuity. Such amounts will not be subject to federal or state income tax until they are received as benefits at retirement when the individual's applicable tax rate is generally lower. The option to reduce income under this plan does not change the base salary with regard to TRSA contributions, social security coverage, pay on contracts, or summer school compensation. Full details on all university-administered benefit programs may be obtained through various brochures and pamphlets available in the Office of Human Resources.

The university participates with the other campuses of The University of Alabama System to provide members of the faculty and staff the best available benefits at the least possible cost. Programs are studied by the Employee Benefits Committee and are subject to approval by the president.

9.18 Travel Reimbursement

The university reimburses eligible faculty and staff members for approved travel according to university policies.

9.19 Tuition Assistance

Tuition grants can be made to all active and retired full-time, permanent faculty and staff and to their spouses and unmarried dependent children. Unmarried dependents of deceased, full-time, permanent faculty and staff are also eligible for tuition assistance. Under this program the university provides payment for tuition for one course each semester and each of two summer terms for eligible employees and one-half of the tuition for credit courses for any eligible dependent. Special fees, books, and supplies are not covered and must be paid by the student. Members of the faculty with the rank of instructor or above may not pursue work toward an advanced degree or other program of study in the department or related unit in which their appointment is held.

Faculty members who wish to apply for tuition grants for themselves or their eligible dependents should make application to the Office of Human Resources according to the following schedule: For students registering during early registration, the application form must be received in the Office of Human Resources on or before one week prior to the date bills are due. For students registering during regular or late registration, the completed application form must be received in the Office of Human Resources no later than one week before registration.

9.20 University Resources of Interest to the Faculty

The university provides many services and facilities to assist faculty in their professional pursuits and in their personal development. A few of the more important services and facilities are described in the following paragraphs.

9.20.1 Library Services

The M. Louis Salmon Library serves the university campus community with information access and research support. Faculty can borrow books and can use most electronic resources, including electronic journals and databases, from anywhere on or off campus. The library website is a gateway to all of the library's resources, providing access to records of print and electronic materials as well as online forms and information about a variety of services. Additional information on any of the following services will be available on the website.

Services Available to Faculty

The descriptions below are intended only as a general overview. Please see the Salmon Library Handbook for faculty and graduate students, located under the Services menu on the library web site, for more complete information about these and other services.

Borrowing books and other materials

To check out materials, the faculty identification Charger card must be brought to the Circulation Desk to activate all library privileges including remote access to online resources. All the university Faculty/Staff and Students use the Charger Card I.D., issued by the University, as their Library I.D. card. The Library User Record remains active for the duration of employment with the university. To view ones library record, one should click My Account at the library catalog website.

Reserving materials for course use

Guidelines for reserving materials for class use as well as submission forms for books, e-reserves, and videos are available at the library's website. The User Services Desk in the library can be contacted for answers to specific questions (256-824-6530).

Course specific subject guides

The library can create custom library guides for specific courses. These guides can present in one place all of the library resources pertinent to a specific class or subject matter.

Document Delivery

The Document Delivery and interlibrary loan service obtains books, dissertations, journal articles, reports, and other materials not available on campus.

Reference/Research Assistance

Librarians at the reference desk offer general and specialized assistance in the use of electronic and print sources and document retrieval. In addition to working with faculty at the reference desk, reference librarians also assist users via telephone, email, online, and IM. Chat.

Instructional Services and Resources for Classes and Labs

Librarians offer a range of services to faculty and their students, including workshops, creation of course-related Web pages, collaborating with crafting assignments and preparation of subject guides.

9.20.2 Bookstore

The University Bookstore, located on the lower level of the University Center, is a full-service college bookstore operating for the needs and convenience of the university community and offers a discount on book purchases by the faculty. The University Bookstore provides a variety of services to the university faculty and staff members.

9.20.3 Intercampus Interactive Telecommunication System

The Intercampus Interactive Telecommunication System (IITS) offers expanded opportunities to meet and teach within The University of Alabama System. IITS is a communications vehicle consisting of electronically-linked conference rooms located at UA, UAB, the university, and other sites. Each campus has a telecommunications room equipped with cameras, video monitors, microphones, fax machines and other equipment necessary for interactive sessions. Anyone using this system can offer two-way interactive classes or meetings among all sites. Participants can see, hear, and speak to individuals at each site. Video tapes, slides, overheads, and other visual aids may be employed as needed to enhance a presentation. Although courses taught on the IITS have priority use of the system, meetings may be scheduled as time is available.

9.20.4 Credit Union

The Alabama Credit Union is a cooperative savings and loan facility owned and operated by its members. Membership is open to all employees of the university through the purchase of shares. Loans are made to members for all types of consumer needs, with net earnings from loans distributed to members in the form of dividends. The Credit Union is a full service, consumer-oriented financial institution. Branch locations and further information regarding the Alabama Credit Union can be found at the credit union's website.

9.20.5 Athletic Facilities

Information regarding the Athletic Facilities at the university can be found at the university's website.

9.20.6 University Preschool Learning Center

The University Preschool Learning Center offers child care for students, faculty, and staff. It is licensed by the State of Alabama and managed by the University Preschool Parents Association, a non-profit corporation. Parents are automatically members of the Association when their child is enrolled. During the nine-month school year, the Preschool Learning Center serves children ages three to five years. The summer program accepts children three through twelve years old. The Center is open daily, except when the university is closed for holidays or inclement weather. A child's schedule is flexible and revolves around the university class schedules: two, three, and five day a week schedules are available for half days and all day care.

9.20.7 Bevill Center

The Tom Bevill Center is the university conference center and also serves as the national headquarters for the Army Corps of Engineers' Training Management Division. Located on the university campus, the Center offers hotel, restaurant and catering facilities. Catering and the restaurant are open to the public, and hotel rooms can be reserved, based upon availability.

9.20.8 University Center

Information regarding the University Center at the university can be found at the university's website.

9.20.9 Motor Pool

The university owns several cars and vans that are available to employees for local and out-of-town travel on official business, such as meetings, training seminars, etc. A written application for use of a university vehicle is required and some charges may apply.

DRAFT REVISION OF SENATE BY-LAWS Apr. 19, 2012

I. THE ROLE OF THE SENATE IN THE GOVERNANCE SYSTEM

A. The basic structure of the UAH Faculty Senate, as well as its relationship to other UAH bodies, is set forth in the Governance System proposed on March 7, 1973, as adopted with amendments by the President of the University on April 3, 1973. These by-laws set forth the specific mechanisms by which the Senate carries out its task under the Governance System.

B. The authority of the Senate derives from the Office of the President of the University and exists as a feature of the bond of mutual trust which serves as the basis for the general system of governance for the faculty, student body, and administration.

C. The Faculty Senate is the permanent body representing the faculty for the formulation of university policy and procedures in matters pertaining to institutional purpose, general academic considerations, curricular matters, university resources, and faculty personnel (appointments, promotion, and tenure). All issues of university governance affecting the faculty at large should go before the full Faculty Senate before implementation. Senators are the voice of the faculty.

D. Issues of the faculty at large may be presented to the Faculty Senate by: its own members and committees, the University Administration, the student governance body, faculty petition, the Graduate Council, the Staff Senate, and any other appropriate University body. The Provost will serve as the primary point of contact and conduit of information between the Faculty Senate and the University Administration. It is expected that the Faculty Senate will also enjoy direct and open communication with all other officers of the University, including the President.

E. It is expected that most recommendations of the Faculty Senate will be sent directly to the Provost for further action by the University administration. The Senate reserves the right to communicate with and submit recommendations to any university official or committee it deems appropriate, including the President of the University. The Senate expects a timely response to its actions as elaborated later in this document. When recommendations from the Faculty Senate require the review and / or approval of other university personnel or bodies (e.g., VP's, Council of Deans), the Senate expects to be given suitable opportunity to provide its own representatives to meet with these persons or bodies to discuss the Senate's

recommendations and to respond to any concerns, questions, or suggestions regarding the recommendations.

F. The Faculty Senate may at its option delegate initial review of matters to committees of the Faculty Senate. Such committees are subordinate to the Senate. At its option, the Faculty Senate may create such committees as are necessary to facilitate its work. The Senate is self-regulating with respect to its structure and purposes, responding to changes within the University in a manner which it finds appropriate. An annual review of the governance system will be a function of the Senate.

G. The Faculty Senate will participate in the selection of academic administrators and in alterations of the academic administrative structure as well as be notified of proposed changes (in a timely manner) in all other university governance structures (including changes in position).

II. MEMBERSHIP

A. Provost Status: The Provost will be, ex officio, a non-voting member of the Senate.

B. Eligibility – *Senate-eligible faculty* definition

1. Any tenured, tenure-earning, clinical faculty, or research faculty member, including department chairs, not on termination notice will be eligible to be elected to membership in the Senate.
2. Administrators, both interim and permanent, above the level of department chair are not eligible to serve. For example, research center directors and directors, both interim and permanent, of university programs that report to a Dean, the Vice-President for Research, the Provost, or the President are not eligible to serve. Also, deans, associate deans, vice presidents, provosts of any level, and the President are considered, for the purposes of this document, to be above the level of department chairs.

C. Distribution

1. Each college unit with a sufficient number of Senate-eligible faculty (as defined later in this document) will have senate representation. These college units currently include:

- College of Liberal Arts
 - College of Science
 - College of Engineering
 - College of Business Administration
 - College of Nursing.
2. Each of the college units described in C.1. will have a number of Senate members which will assure that the unit has one member for each seven tenured, tenure-earning, clinical, or research faculty members, or major fraction thereof. College units will not have representation until they have at least four tenured, tenure-earning, clinical or research faculty members.
 3. Each college unit described in C.1. which has formally recognized departments will elect its senators as follows: within the unit each formally recognized department will elect one member of the Senate for each seven tenured, tenure-earning, research or clinical faculty in the department, or major fraction thereof.
 4. If necessary, each college unit described in C.1. will elect sufficient at-large members to bring the total unit membership (including departmental selections) up to the number required to achieve the 1:7 ratio.
 5. College units described in C.1. which have no formally recognized departments will elect one senator for each seven tenured, tenure-earning, research or clinical faculty in the unit, or major fraction thereof.
 6. Every year, the secretarial staff of the Senate will verify the number of members to which each unit and department is entitled. The number shall be based on the average head count of tenured, tenure-earning, research, and clinical faculty over the previous three (3) years. In the event that any unit or department is entitled to additional members, they will be elected immediately according to the election process outlined in Section IV. In the event that any department or unit suffers a decrease in the seats to which it is entitled, the terms of the requisite number of senators from that department or unit, beginning with the senator with the shortest service in the Senate and proceeding in order of length of service, shall end immediately

D. Length of Term

1. Members of the Senate shall be elected by the faculty in each department by March 1 of each year for service beginning on the first day of the coming

academic year, following the procedure in Section IV. The term of office will be two years with provisions for staggered terms.

2. If a member of the Faculty Senate is absent without proxy for three consecutive and regularly scheduled meetings, the president of the Faculty Senate may declare that member's place vacant and direct the secretarial staff to notify the appropriate dean department chair, or director that the member's term has ended and the vacancy be filled by another eligible faculty member, following the procedure listed in Section IV.

III. OFFICERS AND STAFF OF THE FACULTY SENATE

A. Officers of the Senate

1. The officers of the Faculty Senate are the president, president-elect, and ombudsperson.
2. The President and President-Elect are considered members of the Faculty Senate during their term in office and represent the senate in all matters. The Ombudsperson serves both as a senator and an officer of the Senate. As an officer, the Ombudsperson represents the university faculty on the Faculty Senate Executive Committee. As a senator the Ombudsperson represents their department or unit at general Senate meetings.

B. Term

Term of office for the president and the president-elect and the ombudsperson will be one year beginning on the first day of the Fall semester of each year. The president-elect will assume the office of Senate president at the end of the president's term of office.

C. Duties of Senate Officers

1. The Faculty Senate President presides at meetings of the Senate, serves as the official spokesperson for the Senate to the University community, and performs such other duties as are customarily performed by presidents of similar bodies or as the Senate may direct. The president also serves as chair of the Senate Executive Committee. The president will also be the faculty representative to the University of Alabama Board of Trustees and the UAH Executive Administrative Council. It is expected that the Provost will provide

the Faculty Senate President release time from at least one course for each semester of service plus teaching support.

2. The Faculty Senate President-elect performs the duties of the president when the latter is absent or unable to serve. In addition, the president-elect serves as the recorder for the Senate and the Executive Committee: receiving legislation from committees or members, and reviewing and managing the correspondence of the Senate. Secretarial support is provided by the Provost, however it is the duty of the president-elect to review all minutes and maintain all records of actions on resolutions. The president-elect also is the Senate representative to the Campus Priorities and Planning Committee. It is expected that the President-Elect will be provided with release time from one course for each semester of service.
3. The Faculty Ombudsperson shall report to the Senate president during regular meetings at the time of committee reports. The ombudsperson shall promptly record and acknowledge receipt of written requests from faculty, exhaust all possible means of satisfying them, and report the outcome to the petitioner, maintaining confidentiality where reasonably desired. The ombudsperson is a member of the Senate Executive Committee.

D. Other Appointments and Staff

1. The parliamentarian of the Faculty Senate shall be appointed by the president from among the members of the Senate learned in parliamentary law. He/she serves at the pleasure of the president and advises the president and Senators on parliamentary procedure. The parliamentarian shall be appointed on an annual basis.
2. The Office of the Provost is obligated under the Governance System to provide all necessary secretarial support and does so in consultation with the president and president-elect of the Senate.
3. The immediate past-president of the Faculty Senate shall be considered a non-voting member of the Executive Committee and is to be included in all meetings and deliberations of same. The past-president is permitted the honorary title of Faculty Senate Past-President during the year following his or her Presidency.

Comment [E1]: moved to meeting section

IV ELECTIONS AND RECALLS OF SENATE MEMBERS AND OFFICERS

A. Senate Member Regular Elections

1. In January of each year, the Senate Governance and Operations Committee will notify deans/chairs of the units/departments of the number of senators that unit/department must elect.
2. The dean/chair of the unit/department will contact their faculty and conduct the elections as follows:
 - (a) The dean/chair will request nominations of eligible (see Section II.Part B.) faculty to serve as Faculty Senators. The dean/chair should provide written instructions for how nominations are received and should accept nominations for at least five (5) business days.
 - (b) Nominees willing to serve on the Senate shall be placed on the election slate.
 - (c) The dean/chair will forward the slate of potential Senators for a vote by the Senate-eligible faculty of the unit. The vote must be taken by secret ballot with absentee balloting available for those who cannot be present at the time of the election. Only those faculty who are eligible for senate service are allowed to vote. There must be advance notice of at least three (3) days of the slate to allow time for consideration by faculty and time for absentee ballots to be solicited and received.
 - (d) The dean/chair will report the results of the election to their faculty and to the Senate Governance and Operations Committee. The elections process should be complete no later than first day of March of each year.

B. Senate Member Midterm Elections

1. If a senator must vacate his or her seat prior to the end of their term, the senator will notify the Senate Governance and Operations Committee in writing.
2. The Senate Governance and Operations committee will notify the dean/chair of this senator's unit/department of the vacancy and ask that the unit/department elect a new senator to finish out the term. The election is to be carried out according to the procedures in Section IV, Part A.

C. Other Senator Elections for Special Circumstances

1. If a member of the Faculty Senate is absent without proxy for three consecutive and regularly scheduled meetings, the president of the Faculty Senate may declare that member's place vacant and direct the Senate Governance and Operations Committee to notify the dean/chair of the vacancy and request that a new senator be elected. The election is to be carried out according to the procedures in Section IV, Part A. The attendance records used as the basis for this procedure shall be those kept by the secretarial staff of the Faculty Senate
2. If a senate member goes on a sabbatical leave or otherwise needs a replacement for a limited part of their term, the senate member may select an appropriate proxy of a Senate-eligible faculty member from their unit to serve in his or her place in Senate and committee. Alternatively, the senate member may request that his or her unit/department elect an appropriate proxy (according to the procedure in Section IV Part A) to serve on the senate until the member can return. The senator should notify the secretarial staff of the Senate if a proxy is to be utilized.

D. Senate Member Election Review

1. Faculty who believe that one or more of the Senate election procedures has been violated for a member (not officer) election should contact the Faculty Senate Ombudsperson immediately and in writing.
2. The Faculty Senate Ombudsperson will perform an initial review and give a report to the Senate.
3. If the Senate agrees, by majority vote, that a unit/department election violated the procedures outlined in Section IV, the Senate Governance and Operations Committee will hold a special election according to senate election procedures.

E. Election of Senate Officers

1. After the regular senate election results are reported, the Senate Governance and Operations Committee will request nominations from the Senate membership (currently seated and newly elected) for candidate(s) for president-elect and ombudsperson. The Senate Governance and Operations Committee will provide the faculty with written instructions for how nominations are received and should accept nominations for at least five (5) business days. Only currently seated and newly elected members of the

- senate may run for senate office, but any faculty member may nominate a candidate. Self-nominations are acceptable.
2. The nominees will be contacted by the Senate Governance and Operations Committee to verify their willingness to run for a senate office. A senate member may only run for one office in a single year.
 3. The Senate Governance and Operations Committee will forward the slate of potential Senate officers for a university-wide vote by the Senate-eligible faculty. The vote must be taken by secret ballot with absentee balloting available for those who cannot be present at the time of the election. Only those faculty who are eligible for senate service are allowed to vote for senate offices.
 4. The Senate Governance and Operations Committee will report the results of the election to Faculty Senate. The elections process should be complete no later than first day of April of each year.
 5. As the president-elect represents the faculty senate, the department/unit from which the president-elect is selected will elect another senator to represent the department/unit and complete the term. The election will be carried out according to the procedures in Section IV, Part A.

F. Recall of Senate Officers

1. Recall of any of the Senate Officers can occur at any time given that the following conditions are met:
 - (a) A petition from 1/3 of the sitting senators requesting an officer recall will go to the Senate Past-President.
 - (b) Upon receipt of the petition, the Senate Past-President will call for a vote of the entire senate using a secret ballot, with the vote to occur within 20 days. A majority vote of the entire senate is required to recall an officer.
2. In the event of recall the Senate Governance Committee will institute a university wide election according to the procedures in Section IV, Part D to replace the removed officer. If the President is recalled, the President-elect will serve as interim President until the replacement election is completed. If the President-elect is recalled, the President will assume the duties of the President-elect until the replacement election is completed. If the Ombudsperson is recalled, the President-elect will serve as interim Ombudsperson until the replacement election is completed. In all cases, the replacement officers serve out the remainder of the recalled officer's term.

G. Special Senate Officer Elections

1. If a senate officer must vacate his or her seat prior to the end of their term, the officer will notify both the Senate Executive Committee and the Senate Governance and Operations Committee in writing.
2. The Senate Governance Committee will institute a university wide election according to the procedures in Section IV, Part D to replace the officer. If the President vacates, the President-elect will serve as interim President until the replacement election. If the President-elect vacates, the President will assume the duties of the President-elect until the replacement election. If the Ombudsperson vacates, the President-elect will serve as interim Ombudsperson until the replacement election.

V. SENATE COMMITTEES

A. The Standing Committees of the Faculty Senate are:

1. The Executive Committee
2. The Governance and Senate Operations Committee
3. The Senate Personnel Committee
4. The Senate Undergraduate Curriculum Committee
5. The Faculty Finance and Resources Committee
6. The Senate Scholastic Affairs Committee
7. The Senate Faculty Development Committee

B. Membership Requirements/Procedures for Standing Senate Committees

1. Each Faculty Senate member shall serve on one standing committee. Prior to the start of the new senate term, the Governance and Operations Chair will request committee preferences from the senate membership. Committee assignments will be made by the faculty member's preferences on a first come basis.
2. Each standing committee, with the exception of the Executive Committee, should have at least one senate-eligible member representing each academic unit. Specific requirements are listed below for each committee.
3. College units which do not have enough senators to place one member on each committee will elect another senate-eligible faculty to serve on any standing

senate committees for which they lack a Senate member (excepting the Executive Committee). In this document, such individuals shall be called committee delegates.

4. Members of the standing committees shall serve one year terms, unless the resolution creating the committee specifies a shorter term.
5. The Standing Committees shall elect a chair for the coming Senate year from among their senate membership on the last Senate meeting of the current Senate year. Standing committee chairs serve on the Senate Executive Committee.
6. Minimum attendance requirements of standing committee members will be determined by each committee at the first meeting of the Senate year.
7. The standing committee chair may request of the Senate president the replacement of any committee member when minimum attendance requirements are not met. The replacement of a committee member will not be in violation of Senate by-laws or required composition of any standing committee.

C. Standing Committees: Charges and Responsibilities

1. Executive Committee

Charge:

- Receive all resolutions from the president-elect and conduct the first reading of a bill.
- Prepare the agenda for Senate meetings.
- Construct and distribute a tentative calendar for regular Senate meetings for the year.
- Coordinate activities of Faculty Senate committees.
- Disseminate Senate business to appropriate committees.
- Advise and consult with the Faculty Senate president on those matters requiring attention during periods in which the full Senate cannot be called into regular session.
- Meet before the academic year begins to smooth the transition between the old and the new Executive Committees.

Membership:

- The Faculty Senate president, president-elect, ombudsperson, parliamentarian, past-president, and chairs of all standing

committees shall comprise the membership. The Provost shall be ex-officio non-voting.

- The Faculty Senate president shall call and chair the meetings.
- A quorum shall consist of one officer and three committee chairs.

2. Governance and Operations Committee

Charge:

- Review annually the Senate bylaws and prepare recommendations (resolutions) for revisions of and addition to the bylaws.
- Conduct Faculty Senate officer elections. This includes requesting nominations, screening candidates, preparing ballots, counting votes and certifying election results.
- Conduct faculty elections to University Committees. That includes screening candidates to appear on ballots following rules applicable to the individual committees. See also (6) below. Requests for membership from faculty to university committees should be collected by April 1 and ballots prepared for the election meeting of the Senate. A Senator may need to be placed ex-officio on a University committee if there is no other Senate representation on that committee.
- Designate a senator to act as liaison with each university committee. This senator would be ex-officio unless he/she were elected by the Senate as the faculty member to that committee.
- Maintain an updated roster of all Senate and university committees and distribute to all faculty in the university.
- Conduct an annual review of the governance system of the university and make recommendations for needed change.

Membership:

- One eligible Senate member (or committee delegate) from each college unit described in C.1 with fewer than 10 senators. College units with 10 or more senators shall have one additional member.

3. Personnel Committee

Charge:

- Shall be responsible for monitoring the quality of the academic and professional environment relative to its impact on faculty at The University of Alabama in Huntsville.
- Monitor policies and procedures for faculty appointments, promotions, award of tenure, sabbatical and other leaves, retirements, terminations due to financial exigency and discontinuation of an educational program, faculty evaluations, and salary adjustments.
- Monitor the contents of the UAH Faculty Handbook through annual review, updating and editing.
- Shall be responsible for collecting and disseminating information pertaining to faculty personnel policies and procedures. Specifically, the chairperson of this committee will deliver a report to the Senate on matters under its jurisdiction.
- This committee shall be responsible for recommending modifications or changes in all personnel policies.
- Shall also be responsible for recommending modifications or changes in all matters under its consideration.

Membership:

- One eligible Senate member (or committee delegate) from each college unit described in C.1 with fewer than 10 senators. College units with 10 or more senators shall have one additional member.

4. Undergraduate Curriculum Committee

Charge:

- Shall be responsible for monitoring the quality of curriculum at the University of Alabama in Huntsville.
- Shall serve in an advisory capacity to the Provost in matters related to curriculum planning, development, change, and evaluation.
- May initiate and shall review any proposed changes affecting programs, basic degree requirements, and the creation or elimination of academic programs.
- Shall also be responsible for collecting and disseminating information pertaining to the planning, development, change, or evaluation of any academic program.

- Specifically, the chairperson of this committee shall deliver a detailed report, including recommended changes, to the Senate during the academic year that will include the status of: (a) all degree programs, (b) any plans to change or add to existing degree programs, (c) any academic programs being planned including, but not limited to any new degree programs, departments, majors, minors, and degree/program options, (d) any new or proposed courses within existing curricula, and (e) any contemplated or recommended eliminations of existing academic programs, including degree and non-degree programs and department.
- Shall be responsible for recommending modifications or changes in all curricular policies.

Membership

- One eligible Senate member (or committee delegate) from each college unit described in C.1 with fewer than 10 senators. College units with 10 or more senators shall have one additional member.
- The committee may request additional resource personnel (e.g., deans, registrar, directors, college curriculum committee representatives, etc.) according to proposals being considered.

5. Faculty Finance and Resources Committee

Charge:

- Shall review, assess, and make recommendations concerning
- The mission, goals, role, and scope of the university.
- The objectives and plans of the major budget units.
- The information base and planning procedures utilized in budget preparation.
- The annual budget request and annual operating budget.
- Campus planning and allocations of space and funding.
- Faculty research priorities, funds, and projects.
- Shall also be responsible for recommending modifications or changes in all matters under its consideration. The Committee also shall be responsible for collecting and disseminating information pertaining to the acquisition, availability, and apportionment of university resources among faculty.

Membership:

- One eligible Senate member (or committee delegate) from each college unit described in C.1 with fewer than 10 senators. College units with 10 or more senators shall have one additional member.
- The Vice President for Finance will serve as a resource to this committee.

6. Scholastic Affairs Committee

Charge:

- Shall monitor policies and procedures for all admissions, withdrawals, scholastic probation, grading systems, academic good standing, and any other scholastic issue determined by the committee as relevant to student academic quality.
- Shall review, access, and make recommendations concerning issues related to:
 - Student retention
- Shall hear appeals for undergraduate admission and readmission.
- Review any proposed changes in the academic criteria for awarding any scholarship/financial aid.
- Shall also be responsible for collecting and disseminating information relative to the development, change or evaluation of procedures or standards for admission, progression, and/or graduation.
- Specifically the chairperson of this committee will deliver a report to the Senate during the academic year that will include (a) the status of standards and procedures for admission, progression, and graduation and (b) the status of academic criteria for the awarding of all scholarships and other forms of financial aid at UAH.
- Shall be responsible for recommending modifications or changes in all policies relative to its jurisdiction.

Membership:

- One eligible Senate member (or committee delegate) from each college unit described in C.1 with fewer than 10 senators. College units with 10 or more senators shall have one additional member.

- The Provost or the Provost's designated representative will be an ex-officio, non-voting member. The committee may designate other ex-officio, non-voting members depending upon the issues/policies being considered.

7. Faculty Development Committee

Charge:

- Shall review, access, and make recommendations concerning issues related to:
 - Faculty retention
 - Academic Integrity
 - Faculty orientation/mentoring programs
 - Research development and support
 - Teaching development and support
 - Student policies affecting faculty
 - Sabbatical and other faculty development opportunities
 - Faculty support services
- Shall be responsible for recommending modifications or changes in all matters under its consideration.

Membership:

- One eligible Senate member (or committee delegate) from each college unit described in C.1 with fewer than 10 senators. College units with 10 or more senators shall have one additional member. The Provost and the Dean of Students will serve as resources to this Committee.

D. Ad-Hoc Faculty Senate Committees

1. The Faculty Senate may form ad-hoc committees as necessary to address various issues that cannot be addressed by one or more of the standing senate committees or university committees.
2. When an ad-hoc committee is formed, the following information should be clearly documented and entered into the official records of the Faculty Senate: (a) charge of the committee, (b) membership requirements and procedures including chairperson election, (c) term of the committee, and (d) reporting requirements of the committee.

E. University Committees.

1. University standing committees consist of members of the faculty and members of administration/staff. Unless otherwise stated, faculty members shall be selected by (but not necessarily from) the Faculty Senate and shall at least equal in number administration/staff representation on each committee. All ex-officio members shall be clarified and designated. Ex-officio members shall not vote, except for those ex-officio members who are committee chairpersons who may vote only to break ties. In cases where this ex-officio member serves as chairperson, members of the committee shall select a faculty member to serve as co-chairperson. If the ex-officio member calls a meeting but cannot attend, then the co-chair will preside. When faculty representatives on the committee do not happen to include a Faculty Senator, then a Senator should be placed (ex-officio) on the University committee as a reporting senator to the Faculty Senate.
2. When Faculty Senate Committees and University Committees share common purposes, functions, or charges, the chairpersons of the Faculty Senate standing committees, or their designees shall be voting members of corresponding University Committees.
3. Where required by the nature of the committee's function, the university committee structure shall reflect academic unit representation, including the Library. University committees shall meet at least once a semester. Any member of the committee may call a meeting. Committees will issue a written report to their administrative liaison and to the Faculty Senate Executive Committee each semester, after meeting.
4. Committees will report either directly to the President or through the Provost, the Vice President for Finance and Administration, or the Dean of Students, as designated below. The terms of membership shall be for two years unless otherwise noted with arrangements made for staggered terms. Frequency of meetings and the details of procedures are issues which will be determined by each committee. However, committees will issue a written report to their administrative liaison and to the Faculty Senate Executive Committee each semester.
5. University committees for which a faculty election is conducted by the Senate:
 - Faculty Appeals Committee

- Employee Benefits Committee
- Intercollegiate Athletics Committee
- Library Committee
- Campus Planning Committee
- Information Services Users Advisory Committee
- Patents & Copyrights Committee
- Radiation Committee
- Financial Aid Committee
- Publications Board Committee
- Student Affairs Advisory Board
- University Judicial Board
- Commencement Committee
- Student Life Allocations

VI. MEETINGS OF THE SENATE AND ATTENDANCE

A. Senate Meeting Practices

1. The Senate secretary will propose a calendar that includes scheduled meetings (i.e. dates, times and locations) for the Senate Executive Committee, the full Faculty Senate, and the Faculty Senate Standing Committees. The incoming Senate Executive Committee will review the calendar, make any necessary changes and will distribute the calendar to all senate members, as well as to the President's Office, the Provost's Office, all college deans and departmental chairs, at the beginning of the Fall semester.
2. The full Faculty Senate will normally meet for regular business on every third Thursday during the Fall and Spring semesters. The starting time of the meetings will normally be 12:45 PM. Each meeting will last up to (90) ninety minutes, unless the Senate extends the duration of the particular meeting for a specified length of time by a 2/3 vote.
3. The Executive Committee normally meets on the Thursday preceding the meeting of the full Senate and Senate Committees normally meet on the Thursday following the meeting of the full Senate. The starting time of the Executive Committee meetings will normally be 12:45 p.m. The starting time of the standing Senate Committees will be decided by the committee members

4. Summer meetings may be called by the president (or president-elect in the president's absence) under the conditions specified later in these bylaws
5. The senate president may call special meetings if the business of the Senate requires it. Special meetings may also be called at the written request of one-fifth of all senators. Such meetings shall be scheduled at times that will ensure maximum attendance. All senators must receive notice of such meetings two days in advance.
6. Regularly scheduled meetings may be canceled by the president if no items are on the agenda seven days prior to the meeting.
7. The first meeting of the Faculty Senate in the Spring semester shall be known as the Annual Meeting. The President of the Faculty Senate after consultation with the Senate shall invite any appropriate persons from the chancellor's office and from the central administration at UAH to speak to the Senate at its Annual Meeting on matters directly related to planning for the coming academic year as well as to planning of longer range.
8. As per standard parliamentary rules, debate on Senate bills is the province of the Senate membership.

B. Meeting Attendance and Proxy Policies

1. Faculty Senate members are expected to attend all regularly scheduled meetings including Executive Committee meetings and standing committee meetings where appropriate.
2. Any senator unable to attend either a regular Senate meeting or a Senate committee meeting may send a substitute with a written proxy. The written proxy must be either submitted electronically to the President of the Faculty Senate by no later than one (1) day prior to the meeting or be submitted in writing at the meeting. This substitute must be a senate-eligible faculty member from the same college unit. No substitute may have more than one proxy.

C. Full Senate Meeting Quorum

A quorum for any meeting of the full senate shall be a majority of the votes (whether represented by senators or their proxies) that are entitled to be cast.

D. Visitor Attendance at Senate Meetings

1. Senate (both full and committee) meetings are always open to the University community.
2. Visitors who attend full senate meetings or executive committee meetings may make short reports at the discretion of the Faculty Senate President.
3. Visitors who attend Senate standing committee meetings may take part in discussion at the discretion of the committee chair.

VII. SUBMISSION OF BUSINESS TO THE SENATE

A. Business may be submitted for consideration at plenary meetings of the Senate by senators, Senate committees, and those parts of the University community empowered to do so by the Governance System. All business shall be submitted in the form of bills to the President-Elect which state clearly and in detail all actions to be taken and the agencies intended to take these actions. Items which do not conform to this format shall be returned to their originators. Submitted bills are to either be sent to a Senate committee or passed at first reading by the executive committee (and then placed on the agenda for the full faculty senate meeting).

B. Senate committees shall submit written reports of actions taken, and shall submit their recommendations, if any, in the form of resolutions.

C. All resolutions shall be submitted in writing to the president-elect of the Senate.

D. The president-elect shall number all new resolutions in order of receipt, and shall identify by proper notations amended or substitute resolutions reported by committees. The president-elect shall list all resolutions as received. Seven days before each meeting of the Senate the list shall be closed and transmitted to the Executive Committee. Copies of all resolutions newly added to the list shall be sent by the secretarial staff to each senator.

E. The president-elect shall forward received bills to the Faculty Senate President upon receipt to be placed in the next Faculty Senate Executive committee meeting materials.

F. In order for bills to be considered for first reading by the faculty senate executive committee, the bills must be received no later than 5pm on the Tuesday prior to the regularly

scheduled executive committee meeting on the following Thursday. Bills received after this deadline will be considered at the next executive committee meeting.

G. The Senate may, by a majority vote, direct the Senate Executive Committee to place on the Agenda at Second Reading at the next meeting any resolution referred to the committee.

H. If at any time the Senate Executive Committee finds no items ready to be considered at a meeting, it shall certify this fact to the Faculty Senate President.

VIII. ORDER OF BUSINESS IN MEETINGS OF THE SENATE

A. No resolution shall be passed by the Senate unless read three distinct times. Action by the Senate Executive Committee or emergency introduction shall constitute the first reading. The second and third readings shall occur on the floor of the Senate, and shall be on distinct days, unless the Senate shall determine by a two-thirds vote, following the second reading of a resolution, to move directly to a third reading of the resolution. If any item shall receive a unanimous vote on Second Reading, the presiding officer may rule, if there is no objection from the floor, that it has been immediately and automatically adopted at Third Reading.

B. The Senate Executive Committee shall place items on the Agenda for Second Reading. During the consideration of an item on the floor at second reading, it shall be in order to move that the item pass to third reading and if a majority vote in favor, the item shall be automatically placed at the foot of the Agenda for Third Reading.

C. The preferred order of business in meetings of the Senate should be:

1. Correction and adoption of the Journal for the previous meeting;
2. Administrative reports and report by the Provost on administrative responses to Faculty Senate resolutions;
3. Elections, officer reports, reports of committees, and general discussion;
4. Business on the Agenda for Third Reading;
5. Business on the Agenda for Second Reading.

Items 1, 2, and 3 should be limited to a combined duration of thirty (30) minutes.

D. At the discretion of the Senate, the Provost may be requested to submit a report in writing for inclusion in the permanent records of the Senate when the substance of the report shall make this desirable. Such a request may be made by motion after the oral report, and shall be voted on by the Senate without debate.

E. Following adoption of the Journal, the report of the Provost, and general business, the president shall read the agenda item by item, beginning with the first resolution on the Agenda for Third Reading. The item read shall then be on the floor for consideration, but a motion to pass over without prejudice shall be in order immediately following the main motion for passage to the next stage. Following the passing over of consideration of a resolution, the procedure shall be repeated for the second resolution on the agenda, and so on. When the Agenda for Third Reading has been read once, the procedure shall be repeated for the Agenda for Second Reading. Items remaining on the agenda at adjournment (including resolutions passed over) carry over to the next meeting in the same order.

F. At any time during agenda business when there is no other motion on the floor, a senator may move that the Senate proceed immediately to emergency floor consideration of a resolution not on the agenda nor before committee. This motion is in order only if the proponent of the motion has on hand copies of the resolution for all senators plus two file copies. The motion may be debated for five (5) minutes and requires a two-thirds vote of those present for adoption. Any senator wishing, by emergency action, to bring a new (unpublished) matter before the Senate for action, and to move it through all readings on the same day, must present ample evidence of the urgency of the matter, of the need for immediate action, and of the likelihood that delay would seriously impair the effectiveness of the Senate's response.

G. If the Senate shall adjourn while considering a resolution, that resolution is considered before the call of the agenda at the next meeting. Prior to the call of the agenda, motions to take from the table resolutions tabled at earlier meetings are in order.

H. When a Senate resolution is passed at third reading, the resolution is numbered and recorded in the Senate records. Then, the president-elect of the Senate will forward the resolution to the Provost within 5 business days. The Provost is to forward the resolutions to the President of the University. The President of the University will either approve the resolution, suggest changes or decline to approve the resolution. In any case the University President will present the decision to the Senate Executive Committee at their next meeting

following the decision. If there are suggested changes, the Executive Committee will place the resolution on the agenda of the next Senate meeting at third reading. It is the responsibility of the Office of the Provost to apprise the Senate president at every Executive Committee meeting of the progress of resolutions; the Senate president will then inform the senators at every meeting. Final decisions on resolutions shall be made by the administration with all due speed (that is, within 20 business days). If the Senate determines that a resolution is blocked in an administrative bureaucracy, it may ask the Provost for a written explanation. The Senate also is responsible for offering clarifications of the intent of a resolution if there are questions from the administration. Resolutions that do not require administrative approval are: “Sense of the Senate” resolutions and those resolutions that only affect Senate structure and functioning.

I. At any time during a Senate meeting a senator or a Senate committee may be recognized to call for a “Sense of the Senate” resolution. These resolutions are to be distributed to the Senate in writing along with a verbal explanation of the need for the action. A “Sense of the Senate” resolution requires only a single reading, will be voted on upon the floor of the Senate, and requires unanimous vote. The purpose of this procedure is to expedite non-controversial matters such as recognition of significant contributions to the university, to encourage political action, etc. It is not the purpose of this procedure to bypass adequate debate or constituency input on any resolution of policy substance.

IX. RECORDS OF THE SENATE

A. The file of resolutions and written reports and the Journal of the Senate are the only official records of Senate proceedings. These records are exclusive. All resolutions are complete as recorded. No debate or testimony of intent may be construed as modifying or expanding the actions of the Senate.

B. Files of all resolutions and written reports of the Senate as submitted shall be retained by the secretarial staff under the direction of the president-elect. The Senate may adopt rules regulating the access of members of the University community to these records.

C. The secretarial staff under the direction of the president-elect shall prepare the Journal. No debates shall be entered in the Journal, but it shall be a complete record of attendance,

motions, votes, and other proceedings. At the request of two-thirds of the members present, the names of senators shall be recorded beside their votes on a particular motion.

D. In order that the Journal may be accurate, no motion affecting the substance of a resolution shall be seconded until submitted in writing to the president-elect.

E. Copies of the Journal shall be distributed as the Senate may direct. Responsibility for this distribution rests with the secretarial staff under the direction of the president-elect.

X. MISCELLANEOUS PROVISIONS

A. The parliamentary law of the Senate shall be the current edition of Robert's Rules of Order Newly Revised as modified by these By-Laws. Meetings will be conducted according to these rules.

B. Amendments to these By-Laws and supplements to Robert's Rules of Order Newly Revised may be effected only through resolutions regularly placed on the agenda, and require a two-thirds vote of those present for adoption. Such resolutions may not be voted on at called meetings.