

# **FACULTY HANDBOOK**



**Alabama Agricultural and Mechanical University**

**Normal, Alabama 35762**

**Motto: "Service Is Sovereignty"**

**Effective November 2018**

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**This Handbook contains existing policies, new, and revised policies approved by the Board of Trustees. This handbook supersedes all previous editions.**

## **APPROVAL OF HANDBOOK**

Pursuant to Section 16-49-23 of the Code of Alabama and the policies of the Board of Trustees of Alabama Agricultural and Mechanical University, this handbook has been approved for the use of the employees of the University. **This *Faculty Handbook* is not a contract. It is a collection of policies and procedures that govern action uniquely pertaining to the Alabama Agricultural and Mechanical University faculty.** These are policies, procedures, and pertinent information in effect as of November 28, 2018, and are subject to change. To see the latest revision, check the electronic version of this handbook at web site: [www.aamu.edu](http://www.aamu.edu).

Approved by: \_\_\_\_\_ Date: November 28, 2018  
Andrew Hugine, Jr., Ph.D., President

## ACKNOWLEDGEMENT

I hereby acknowledge that I have accessed the electronic version and printed a copy, if desired, of the University's Faculty Handbook as published on the University's website, [www.aamu.edu](http://www.aamu.edu), Human Resources, as revised through \_\_\_\_\_. I understand that I am charged with knowledge of the content of this Handbook, and I agree to comply with all policies and procedures contained herein as well as University Procedures. I also understand that if I have any questions regarding this handbook, I should discuss them with Human Resources or the designated office as outlined herein.

I acknowledge that the policies and procedures are subject to change and do not constitute a contractual agreement or a contract of employment. Unless dictated otherwise by statute, by virtue of being a tenured member of the faculty, or stipulated in a written employment agreement signed by the employee and President, employment by the University is not for a definite term and may be terminated by the University or employee at any time for any non-discriminatory reasons as employees are at will. No supervisor or representative of the University, except the President, has any authority to enter into any agreement of employment for any specified period of time, or to make any agreement inconsistent with this acknowledgement.

I further understand that this statement does not constitute a contract between the University and its employees, and should not be construed as such. The policies of the University may be changed or amended at any time, with or without notice.

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Employee (name printed)

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Employee (signature)

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Date

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A-Number



## ***FOREWORD***

This publication will provide faculty and administrative offices with policies, procedures, and other pertinent information and guidance relative to Alabama Agricultural and Mechanical University (AAMU), herein recognized as “the University,” its mission, goals, organization, policies, and operational procedures. This Faculty Handbook, herein recognized as “Handbook,” is designed to facilitate harmony, uniformity in the day-to-day operations of the University and to serve as a guide for decision making, for reporting requirements and reporting protocol, and for University expectations of its faculty and academic administrators. This document is a compilation of services, policies, regulations, and procedures that especially apply to faculty, academic units, and those offices administratively assigned to the Division of Academic Affairs. Specifically, this document is intended for particular use by deans, department chairs, academic program directors/coordinators, and faculty. Any employee who does not have faculty rank or an academic assignment will be governed by the services, policies, regulations, and procedures found in the Alabama Agricultural and Mechanical University Staff Handbook.

The Alabama Agricultural and Mechanical University Faculty Handbook addresses the joint and distinct responsibilities for campus governance—effective teaching, quality research, and constituent services/extension—shared by faculty, the administration, and the Alabama Agricultural and Mechanical University Board of Trustees. Faculty must adhere to all Alabama Agricultural and Mechanical University procedures, policies, and processes applicable to University personnel. If there is a conflict between the provisions of an Alabama Agricultural and Mechanical University procedure or policy and the Handbook, then the Alabama Agricultural and Mechanical University procedure or policy shall supersede the provisions of the Handbook. The Handbook does not constitute a contract of employment. The employment relationship between a faculty member and the University is governed by a written agreement/letter of appointment unless expressly stated in the written agreement or letter of appointment.

Although every effort has been made to ensure that the information presented is current and accurate at publication, the reader is cautioned that all details, policies, and procedures that are covered are subject to change as and when the University deems appropriate in its sole and exclusive discretion. The Handbook contains policies approved by the Board of Trustees and will be revised to reflect Board approved policy changes as they become effective. In order to make certain that the document remains current, it will be reviewed at least every two years or as the need arises to reflect changes in policies, procedures, and practices of the University. Proposed modifications in policies and the introduction of new policies often occur as a result of conformity to new criteria in accreditations, changes in state and federal laws, standards for institutional effectiveness, recommendations in academic best practices, recommendations for institutional improvement emanating from faculty, students, and other University stakeholders, the Faculty Senate, and so forth. Policies are set by the Board of Trustees; therefore, changes in such require final approval by the Board of Trustees. When policy changes are enacted by the Board of Trustees, they are effective immediately unless otherwise specified in the board-approved policy. The responsibility for keeping faculty and other academic personnel abreast of modified or emerging University policies rests with the Office of the Provost and Vice President for Academic

Affairs and Research and such notification shall be provided to the appropriate constituents electronically as addendums to the Handbook and posted on the webpages of the Office of the Provost and Vice President for Academic Affairs and Research, Faculty Senate, and Office of Human Resources.

As a result of the aforementioned, from time to time, a revision of the handbook will be necessary to ensure that it is current. The protocol of revision of the handbook is prescribed below:

- I. The revision of the Handbook will be initiated by the Provost and Vice President for Academic Affairs and Research or his/her designee. A standing Faculty Handbook Committee was established for the sole purpose of updating the Faculty Handbook to ensure that the Handbook reflects the University's most current organizational structure and practices; provides adequate descriptions of central administrators and of key academic personnel; includes those policies enacted between publications; conforms to regional accreditation standards; conforms to state and federal guidelines, as appropriate; presents academic policies and procedures of particular interest to faculty, details regulations and policies governing faculty to include, but not limited to rights, responsibilities, and expectations for the attainment of tenure and post-tenure status; and delineates current employee benefits.
- II. The Faculty Handbook Committee will be comprised of the following:
  - A. The Faculty Senate President, Vice President and one elected member from the Faculty Senate;
  - B. Two faculty representatives from each college, one at the rank of associate professor or professor and one at the rank of assistant professor or instructor. The faculty within each college will elect one faculty member and the Dean will appoint the other one. A senior faculty member (professor or associate professor) shall serve as Vice Chair of the Handbook Committee and will be appointed by the Provost and Vice President for Academic Affairs and Research from the elected members;
  - C. The chair will be appointed by the Provost and Vice President for Academic Affairs and Research;
  - D. The Provost and Vice President for Academic Affairs and Research will serve as an ex-officio member of the committee.
- III. The Provost and Vice President for Academic Affairs and Research will notify deans, chairpersons, and faculty of the establishment of the standing Faculty Handbook Committee, publish the list of Committee members, and invite and encourage faculty to provide input for the Handbook (e.g. commentary, with rationale and proposed modification(s), on any policies that are unclear or ambiguous, any outdated policy that conflicts with discipline-specific accrediting standards and concerns regarding the inclusion or exclusion of a policy impacting

faculty welfare) through their respective departments/colleges.

IV. Proposed revisions reviewed and/or drafted by the Faculty Handbook Committee will be disseminated to the faculty (through departments) and the Faculty Senate for feedback. The following reviews and approvals are required when components of the most current Handbook being revised constitute a new policy or modification of an existing policy:

- A. Review and/or approval of the Academic Standards and Curriculum Committee and the Graduate Council, as appropriate;
- B. Review and approval of the Provost and Vice President for Academic Affairs and Research;
- C. Review and approval of the University President; and
- D. Review and approval of the Board of Trustees.

## **SECTION 1. HISTORY, MISSION, ROLE, AND SCOPE**

### ***1.1 HISTORY***

Alabama Agricultural and Mechanical University is the official 1890 Morrill Act Land-Grant institution in the state of Alabama. It traces its roots to an act of the Alabama Legislature in 1873 which permitted the establishment of a normal school in Huntsville, Alabama. As a result, on May 1, 1875, William Hooper Council founded the “Huntsville Normal School,” later Alabama Agricultural and Mechanical University, with an appropriation of one thousand dollars per year to meet the needs of its first class of sixty-one students and two teachers. The institution reached a pivotal moment in its history in 1891 when it received designation as a land-grant college by the State Legislature under the terms of the Morrill Act of 1890. With authorization from the Legislature, the school changed its name to “The State Agricultural and Mechanical College for Negroes” in 1896. The institution moved from Huntsville to Normal in order to have greater expansion and development of its trade and agricultural programs.

On January 14, 1948, the name of the institution became “Alabama Agricultural and Mechanical College.” It was fully accredited by the Southern Association of Colleges and Schools in 1963. In June 1969, after the implementation of a graduate program, the Alabama State Board of Education adopted a resolution changing the name to “Alabama Agricultural and Mechanical University.”

In 1975, the Legislature of the State of Alabama passed legislation which provided that the University was constituted as a body corporate under the name of “Board of Trustees for Alabama Agricultural and Mechanical University” and was expressly given all the autonomy of any other public university in the state with all rights, privileges and franchises necessary to the promotion of its creation.

### ***1.2 VISION AND MISSION***

The Vision and Mission of Alabama Agricultural and Mechanical University is consistent with the Strategic Plan of the University, 2015 - 2025: Into the Future.

#### **Mission:**

Alabama Agricultural and Mechanical University is a public, comprehensive 1890 Land-Grant institution, committed to access and opportunity, and dedicated to intellectual inquiry. The application of knowledge and excellence in teaching, research and service is responsive to the needs of a diverse student population and the social and economic needs of the state and region. The University offers contemporary baccalaureate, master’s, educational specialist, and doctoral level degrees to prepare students for careers in the arts, sciences, business, engineering, education, agriculture, and technology. As a center of excellence, the University is dedicated to providing a student-centered educational environment for the emergence of scholars, scientists, leaders, and critical thinkers, who are equipped to

excel through their contributions and leadership in a 21<sup>st</sup> century national and global society.

Vision:

The vision of Alabama Agricultural and Mechanical University is to be recognized as the premier Land-Grant institution of choice for students, faculty, staff, and future employers of its students. The University will be recognized nationally and internationally for excellence in teaching, research, outreach, exceptional academic programs and globally competitive students.

### ***1.3 ROLE***

Alabama Agricultural and Mechanical University's role remains consistent with the vision and mission. The role is encompassed in the land-grant tradition legislated by the Morrill Acts of 1862 and 1890. These acts created land-grant universities that differed from the traditional American university based upon the European system oriented toward a liberal arts education. This new concept in American higher education combined the liberal arts with agricultural and vocational education to enhance the development of students to build a strong America.

The land-grant mission is founded upon three basic educational principles – teaching, research, and extension. The role of Alabama Agricultural and Mechanical University, as a land-grant institution, must, therefore, be consistent with its vision and mission.

The following functions are described, consistent with the related educational principles:

**Teaching** - To provide the options of arts, natural and social sciences, engineering, business, education, agricultural sciences, vocational education or a combination of these;

**Research** - To seek new knowledge through both basic and applied research which support both the teaching and extension functions through:

- Funded agricultural research;
- Institutional research; and
- Research grants and contracts.

**Extension** - To provide outreach education through Cooperative Extension to deliver and interpret research findings and recommendations to the public. Other public services include continuing education and international development.

### ***1.4 SCOPE***

As a comprehensive University, Alabama Agricultural and Mechanical University offers degree programs at the baccalaureate, master's, educational specialist, and doctoral levels. Major emphasis is placed on programs designed to meet the economic, social and related needs of the State. In addition, the University seeks to prepare students to meet the needs of the larger society. Thus, the

University's programs are designed to meet the needs of local, state, national and international students. With a changing global market, it is the desire of the University to provide electronic access to its academic offerings through distance learning. Program offerings fall under two broad areas: undergraduate and graduate.

While major emphasis is placed on the undergraduate program, of equal importance and a priority for development are programs at the master's and doctoral levels. Programs designed to meet the changing needs of society and reflecting new technology will continue to be emphasized. Teacher education; agricultural and environmental sciences; engineering and technology; medical and allied health fields; social, natural, and physical sciences; art, business and the humanities, recreation-leisure education as well as other programs to meet future needs, will continue to be enhanced and developed at the University. Particular emphasis will be placed on programs which are designed to address the special interests of minorities and women in the aforementioned areas.

Through dynamic curriculum structuring, program specializations reflect a strong liberal arts and general education foundation and current state-of-the-art technology, research and knowledge. Program quality is demonstrated through the accreditation, approval and/or recognition of most programs by state, national and international professional societies and organizations.

The University combines the liberal arts tradition with career-oriented and professional programs in order to enhance the intellectual, social, civic and personal development of its students. The initial priority of the University is to provide a core curriculum for the first two (2) years of matriculation consisting of courses in language, literature, the humanities, the natural and physical sciences, the social/behavioral sciences, military science, and physical education/health sciences. These core courses are designed to assist students in developing the flexibility to engage in analytical and critical expression. Courses in the major areas of concentration are also considered a high priority. These courses are designed to augment the core curriculum and help prepare students to become creative and productive members of their professions and society.

Alabama Agricultural and Mechanical University participates in the Statewide Transfer and Articulation Reporting System (STARS), a computerized articulation and academic credit transfer planning system designed to provide students who attend Alabama community colleges, counselors, and educators with information on which transfer decisions can be made. While maintaining its traditional role of meeting the needs of capable students who have experienced limited access to education, the University also places emphasis on meeting the needs of non-traditional students. Instructional programs with alternative education delivery systems to accommodate the needs of traditional and non-traditional students are provided. Research at Alabama Agricultural and Mechanical University has a three-fold purpose: enhancement of instructional quality and basic and applied research designed to expand existing knowledge; develop new knowledge; and contribute to economic development. As master's and doctoral level programs are enhanced and expanded, the University will continue to conduct and expand basic and applied research in the physical, social, behavioral, natural, biological, and agricultural sciences. Research programs include but are not limited to remote sensing, forestry, wildlife, ecology, environmental science, plant tissue culture, molecular genetics, sensory evaluation, nutritional

biochemistry, applied human nutrition, rural development, robotics, artificial intelligence, cytogenetics, statistical classification, improvement of uniform random number generation, computer-assisted instruction, biomass fuels, optics, materials science, microgravity crystal growth, infrared thermometry, reading and early intervention strategies in special education. Research is carried out through center-based and interdisciplinary activities.

## **SECTION 2. GOVERNANCE AND ORGANIZATION**

### **2.1 BOARD OF TRUSTEES**

The governing board of Alabama Agricultural and Mechanical University is the Board of Trustees as established in the *Charter of the Board of Trustees of Alabama Agricultural and Mechanical University* and granted by the Legislature of Alabama, as amended August 7, 1975. “There is created a Board of Trustees to manage, control and maintain Alabama Agricultural and Mechanical University, a state land-grant institution at Huntsville hereinafter known as the ‘Board.’”

#### **2.1.1 POWERS AND DUTIES OF THE BOARD**

The Board of Trustees has exclusive jurisdiction, power, and authority with regard to the supervision, management, and control of Alabama Agricultural and Mechanical University. As set forth in Section 16-49-23 of the Code of Alabama, the Board shall not engage in activity that interferes with the day-to-day operation of the University. The primary responsibility of the Board of Trustees is to set policy for the University and prescribe rates of tuition and fees. The Board organizes the University by appointing a President who shall be responsible for the execution of policies of the Board. In addition to policy approval, the Board approves the mission, vision, and strategic plans of the University; new academic programs and majors and significant modifications or elimination in existing programs and majors; the names of buildings and other structures; all gifts where restrictions are indicated, such as a requirement for the naming of a structure; all loans, borrowing, and issuance of bonds; campus master plans, facilities development programs, and capital development programs; the construction of new buildings and the major renovation of existing buildings. Further, the Board reviews and provides concurrence with the organizational structure of the University as modified and altered by the President from time to time.

Current listing of members of the Board of Trustees of Alabama Agricultural and Mechanical University may be accessed at Alabama Agricultural and Mechanical University’s web page ([www.aamu.edu](http://www.aamu.edu)) or by contacting the Office of Information and Public Relations.

### **2.2 CENTRAL ADMINISTRATION**

The academic and administrative units at Alabama Agricultural and Mechanical University are presented in the following sections. Some of the roles, responsibilities, and reporting arrangements may change over time. When changes occur, such changes shall be published electronically and made available to university personnel.

#### **2.2.1 THE PRESIDENT**

The President by virtue of overall responsibility shall be the chief executive officer of the University and shall be responsible and accountable for all of the administrative activities, day-to-day operations, and affairs of the University. As chief executive officer, the President shall be responsible for the execution of policies of the Board and performing all those matters necessary to carry out the ends



and purposes for which the University was established. Pursuant to Section 16-49-23 of the Code of Alabama, the President of the University “shall appoint a corps of instructors who shall be styled the faculty and such other instructors and officers as the interests of the University may require, remove faculty, and/or other such instructors or officers, fix their salaries or compensation, and define the authority or duty of such instructors or officers. As highest executive officer, the President may regulate, alter, and modify the organization of the University, subject to review and concurrence of the board. The President shall prescribe courses of instruction within academic programs that have been approved by the Board. The President may confer academic degrees and such honorary degrees as are usually conferred by institutions of similar character upon the recommendation of the faculty.” The President also recommends policies and goals of the University to the Board for approval; implements and achieves those policies and goals as directed; evaluates policies periodically and reports results to the Board for possible revision or refinement; the mission, vision, and strategic plan of the University; serves as the official and sole spokesperson for the University; approves tenure and promotion; recommends budgets and legislative agenda, academic programs, campus master plans, and capital development programs.

Other principal duties and responsibilities of the President include initiating a capable program to facilitate academic excellence, developing a climate for continuous improvement of public understanding, representing the University to its constituency, the general public and special groups and developing and establishing institutional policy.

The President serves at the pleasure of the Board of Trustees for such term and compensation as the Board may prescribe.

Alabama Agricultural and Mechanical University complies with criterion 3.2.6 of the Southern Association of Colleges and Schools Commission on Colleges (SACS-COC) regarding *Governance and Administration, Board/Administration Distinction* (The Principles of Accreditation: Foundations for Quality Enhancement, Commission on Colleges, 2010 Edition). The criterion states: “There is a clear and appropriate distinction, in writing and practice, between the policy-making functions of the governing board and the responsibility of the administration and faculty to administer and implement policy.” According to SACS-COC, Alabama Agricultural and Mechanical University’s Board of Trustees is the governing body responsible for policy development and the Board has delegated the power to execute these policies to the President/Administration.

Members of the President’s Cabinet are the Provost and Vice President for Academic Affairs and Research, the Executive Vice President and Chief Operations Officer, the Senior Vice President for Finance and Administration, the Vice President for Student Affairs, the Vice President for Marketing, Communications and Advancement, the Chief Information Officer, the Athletics Director, and General Counsel.

### ***2.2.2 PROVOST AND VICE PRESIDENT FOR ACADEMIC AFFAIRS AND RESEARCH***

The Provost and Vice President for Academic Affairs and Research is the chief academic officer of the University and the second ranking officer in the administrative hierarchy. Unless otherwise specified in writing by the President, the Provost and Vice President for Academic Affairs and Research will act on the President's behalf on all academic and research related matters during the President's absence. The Provost is responsible to the President for the effective leadership and conduct of all matters pertaining to Academic Affairs and other day-to-day operations of academic support units as assigned. As chief academic officer, the Provost administers all academic programs involving instruction and is responsible for advising the President on matters relating to overall planning, allocation of resources, and the development and evaluation of these programs, including program productivity. The chief academic officer is charged with maintaining quality instructional programs, quality academic leadership (deans, chairs, directors) and quality faculty; guiding decisions affecting University faculty in such areas as recruitment, employment, promotion, tenure, post-tenure, retention, and termination; ensuring faculty growth and development as teachers, scholars and practitioners; providing input to the President on the salary and wage structure for faculty, monitoring compliance with accreditation criteria—both regional and discipline-specific, chairing the Academic Council; facilitating compliance with the University's Affirmative Action Policy in the hiring of faculty and other personnel in Academic Affairs, supervising the allocation and expenditure of funds for summer term instruction; representing the University on appropriate state-wide committees and councils; serving as the official institutional representative to the Alabama Commission on Higher Education, and keeping the academic community informed of emerging University policies or changes in policies enacted by the Board of Trustees. The Associate Vice President, Faculty and Undergraduate Studies, the Associate Vice President, Dean of Graduate Studies, and the deans of the varied colleges report to the Provost and Vice President for Academic Affairs and Research.

The position of Provost and Vice President for Academic Affairs and Research is not a tenured position; however, an employee occupying the position must have faculty status and may have tenure in an academic department of the University. When an administrator is considered for a rank (associate professor or higher) and/or tenure at the time of appointment, he/she must meet the same qualifications as full-time faculty members for such rank or tenure. Prerequisite requirements for appointment to the position of Provost and Vice President for Academic Affairs and Research are—the attainment of a doctoral degree from a SACS-COC or an equivalently accredited institution, the attainment of the rank of associate professor or higher and tenure at a SACS-COC or equivalent accredited institution, and a minimum of five years of experience as an academic administrator at the dean's level or higher in the academic administrative chain-of-command. The Provost and Vice President for Academic Affairs and Research is an at-will employee, and, as such, serves at the pleasure of the President.

### ***2.2.3 EXECUTIVE VICE PRESIDENT AND CHIEF OPERATING OFFICER***

The Executive Vice President and Chief Operating Officer provides general oversight and monitoring for University operations, reports to the President, and is responsible to the President. In his/her capacity as Executive Vice President and Chief Operating Officer, he/she provides leadership and guidance to ensure accountability in personnel policies and procedures, and the systemic processes

associated with the University's technology infrastructure and telecommunications. Other duties of the Executive Vice President and Chief Operating Officer include representing the President on all issues with the exception of academic and research related issues, working collaboratively with the Vice President for Business and Finance to ensure effective budgeting and planning, as related to University operations ensuring that Human Resources' policies and procedures manuals are current, forging partnerships with varied constituents in the state to enhance university operations and better serve the community, and performing other such duties as may be required by the University and assigned by the President. The University's Director of Human Resources report to the Executive Vice President and Chief Operating Officer, and the Assistant Vice President for Budget and Planning report jointly to the Executive Vice President and Chief Operating Officer and the Vice President for Business and Finance. In addition, the Executive Vice President and Chief Operating Officer have joint supervisory responsibility with the President for the following positions: Vice President for Business and Finance, Vice President for Student Affairs and Vice President for Marketing, Communications and Advancement. The Executive Vice President and Chief Operating Officer is an at-will employee and, as such, serves at the pleasure of the President.

#### ***2.2.4 THE VICE PRESIDENTS***

The chief officers and administrative heads of the major organizational divisions in the University are the Vice Presidents. The Vice Presidents report directly to the President and are members of his/her cabinet. The position of Vice President is not a tenured position; however, a vice president may have faculty status and tenure in an academic department of the University. When and if an administrator is considered for a rank and/or tenure at the time of appointment, he/she must meet the same qualifications as full-time faculty members for such rank or tenure. The vice presidents serve in at-will positions, and, as such, serve at the pleasure of the President.

##### ***2.2.4.1 THE SENIOR VICE PRESIDENT FOR FINANCE AND ADMINISTRATION***

The Senior Vice President for Finance and Administration is the chief fiscal officer of the University and serves as the third ranking member of the President's Cabinet. The Senior Vice President for Finance and Administration provides effective management and administration of all business operations, finances, preparation of the budgets, accounting and reporting operations, maintenance of buildings and grounds, inventory, public safety and auxiliary enterprises. The Vice President also assists in the development of the University budget as required by various state entities and in the preparation of financial reports as required by the President, Board of Trustees, State Legislature, State Administration, and agencies of the Federal Government. The Senior Vice President for Finance and Administration reports to the President and the Executive Vice President and Chief Operating Officer. The Assistant Vice President/Comptroller and the Director of Physical Facilities and Grounds report to the Senior Vice President for Finance and Administration. The Assistant Vice President for Budget and Planning reports jointly to the Senior Vice President for Finance and Administration and the Executive Vice President and Chief Operations Officer. The Senior Vice President for Finance and Administration is an at-will employee and, as such, serves at the pleasure of the President.

#### ***2.2.4.2 THE VICE PRESIDENT FOR MARKETING, COMMUNICATIONS, AND ADVANCEMENT***

The Vice President for Marketing, Communications, and Advancement provides executive leadership in the areas of fund-raising; alumni, corporate and foundation relations; and for development, marketing and external relations. He/she recommends and administers University fund-raising policies; allocates and monitors advancement budgets; and hires, supervises and evaluates advancement staff. The Vice President for Marketing, Communications and Advancement directs activities aimed at securing private gifts and grants for the University, plans and coordinates a program of public relations, develops and executes an annual giving program, and designs and implements programs/activities that cultivate support of the professional, governmental, foundation, and business communities. This University official reports to the President and is responsible for the effective execution of the aforementioned duties. The Assistant Vice President for Development, Management of Telecommunications, the Director of Marketing and Public Relations, and the Director of University Publications report to the Vice President for Marketing, Communications, and Advancement. The Vice President for Marketing, Communications, and Advancement is an at-will employee and, as such, serves at the pleasure of the President.

#### ***2.2.4.3 THE VICE PRESIDENT FOR STUDENT AFFAIRS***

The Vice President for Student Affairs is responsible for developing and maintaining programs and activities that support, enhance and address the social, cultural, physical, financial and spiritual needs of students at the University. The Vice President for Student Affairs reports to the President, as well as the Executive Vice President and Chief Operations Officer, for the executive conduct of student affairs to include admissions, retention, registration, financial aid, student life and housing, student activities, health services, cooperative education, international programs, and job counseling and placement. The Assistant Vice President for Enrollment Management, the Director of Residential Life and Housing, Management of Placement and Cooperative Education, Management of Veteran Affairs, the Chief of Public Safety, Management of Student Activities and Leadership, and the Assistant Vice President for Student Affairs report to the Vice President for Student Affairs. The Vice President for Student Affairs is an at-will employee and, as such, serves at the pleasure of the President.

### ***2.3 OTHER CABINET MEMBERS***

#### ***2.3.1 THE GENERAL COUNSEL***

The General Counsel is responsible for interpreting the constitutional, statutory and regulatory framework in which the University operates, managing all outside counsel and litigation and agency complaints, and providing legal and policy advice in a variety of areas within the University, including employment law, student legal issues, intellectual property, real estate, contracts, organizational governance, affiliated entities, sponsored research, disabilities, drug-free workplace requirements, computer and information technology issues, copyright issues, defamation issues, civil rights, sexual harassment, promotion and tenure peer review processes and fundraising. It is required that the General Counsel is a member of the Alabama State Bar. The General Counsel reports to the President of the University and is a member of the President's Cabinet. The General Counsel is an at-will employee and,

as such, serves at the pleasure of the President.

### ***2.3.2 THE CHIEF INFORMATION OFFICER***

The Chief Information Officer (CIO) is a member of the President's Cabinet and serves in his/her administrative position at the pleasure of the President. He/she provides leadership, integrative management, and direction for the University's shared information systems, to include institution-wide strategic planning, budgeting for information technologies, and coordination and integration of all University Information Technology (IT) matters. The Chief Information Officer recommends IT policy at the highest level and serves as the University's senior spokesperson on issues related to administrative, student, clinical, and academic information systems. The Chief Information Officer is an at-will employee and, as such, serves at the pleasure of the President.

### ***2.3.3 THE ATHLETICS DIRECTOR***

The Athletics Director oversees all of the athletic programs at the University. The Director ensures that the athletic programs comply with applicable National Collegiate Athletic Association (NCAA), Southwestern Athletic Conference (SWAC), State and Federal rules and regulations. The Athletics Director provides leadership and establishes programs that enhance the student-athlete's development academically as well as in other areas of professional growth. Such programs as the Academic Skills Enhancement assist the University in meeting the prescribed standards for retention and graduation rates of student-athletes. The Director is also responsible for the management of all athletic facilities and reports to the President. The Athletics Director is an at-will employee and, as such, serves at the pleasure of the President.

## ***2.4. OTHER POSITIONS REPORTING TO THE PRESIDENT***

### ***2.4.1 THE 1890 ALABAMA COOPERATIVE EXTENSION SYSTEM (ACES) ADMINISTRATOR***

The primary role of the 1890 Alabama Cooperative Extension System (ACES) Administrator is to assure that the viability and visibility of Alabama Agricultural and Mechanical University as a full participant in the Alabama Cooperative Extension System (ACES) is duly recognized and institutionalized by providing outreach education through Cooperative Extension and delivering and interpreting research findings and recommendations to the public. Other public services include continuing education and international development. The 1890 ACES Administrator is designated as the University's official liaison to ACES on all matters of organizational/administrative structure, program planning, development, implementation, evaluation and reporting, fiscal and personnel resources development and implementation. The 1890 ACES Administrator reports to the President or his/her designee.

### ***2.4.2 ACADEMIC ADMINISTRATORS***

Academic Administrators at Alabama Agricultural and Mechanical University include the Provost and Vice President for Academic Affairs and Research, the Associate Vice President, Faculty

and Undergraduate Studies, the Associate Vice President, Dean of Graduate Studies, deans, chairs, and directors. The position description of the Provost and Vice President for Academic Affairs and Research is presented in Section 2.2.2. Position descriptions of other academic administrators follow:

### ***2.4.3 ASSOCIATE VICE PRESIDENT, FACULTY AND UNDERGRADUATE STUDIES***

The Associate Vice President, Faculty and Undergraduate Studies reports to the Provost and Vice President for Academic Affairs and Research and is responsible for assisting in the facilitation of faculty and program matters at the undergraduate (bachelor's) level. The Associate Vice President, Faculty and Undergraduate Studies provides broad oversight for the University College and monitors, develops, and implements policies, procedures, and practices designed to ensure the effective delivery of academic programs at the baccalaureate level. He/she is responsible for assisting freshmen and sophomores in succeeding in college by providing overall management and supervision for academic programs and services administered through University College which include the core curriculum, the Academic Advising Program, Testing Services, Student Orientation, Developmental Education, the Honors Program, Academic Assistance Program, the Computer Assisted Instruction Laboratory, Special Programs, Educational Opportunity Center Campus Program, and the Academic Retention Program. Directors and Coordinators of these programs report to the Associate Vice President, Faculty and Undergraduate Studies. Other duties include working very closely with deans and academic chairs in preparing program self-studies for onsite reviews and evaluations by the Alabama Commission on Higher Education and accrediting bodies, monitoring University compliance with faculty credential requirements of the Southern Association of Colleges and Schools, serving as Vice Chair of the Academic Council, and coordinating the recruiting/employment procedures for the employment of full- and part-time undergraduate faculty.

The position of Associate Vice President, Faculty and Undergraduate Studies is not a tenured position; however, an employee occupying the position must have faculty status and may have tenure in an academic department of the University. When an associate vice president (in Academic Affairs) is considered for a rank (associate professor or higher) and/or tenure at the time of appointment, he/she must meet the same qualifications as full-time faculty members for such rank or tenure. Prerequisite requirements for appointment to an associate vice presidency in Academic Affairs are—the attainment of a doctoral degree from a SACS-COC or an equivalently accredited institution, the attainment of the rank of associate professor or higher and tenure at a SACS-COC or equivalently regionally accredited institution, and a minimum of three years' experience as an academic administrator at the chair's level or higher in the academic administrative chain-of-command. The Associate Vice President, Faculty and Undergraduate Studies is an at-will employee, and, as such, serves at the pleasure of the President.

### ***2.4.4 THE ASSOCIATE VICE PRESIDENT, DEAN OF GRADUATE STUDIES***

The Associate Vice President, Dean of Graduate Studies reports to the Provost and Vice President for Academic Affairs and Research and is responsible for assisting the Provost and Vice President for Academic Affairs and Research in ensuring quality graduate programs, quality graduate faculty and quality online and distance learning courses and/or programs. He/she provides broad oversight for Graduate Academic Programs and monitors, develops, and implements policies,

procedures, and practices designed to ensure the effective delivery of Academic Programs at the master's, educational specialist, and doctoral levels. The Associate Vice President, Dean of Graduate Studies provides leadership and coordination of the recruitment and admission of graduate students. Other duties include serving as the chair of the Graduate Council, working in collaboration and consultation with the Provost and Vice President for Academic Affairs and Research, the Associate Vice President for Faculty and Undergraduate Studies, the Registrar, the Director of Admissions, the deans, the chairs, the Director of University Publications, and an appointed university *ad hoc* committee to produce the university catalogs and completing other administrative duties, as assigned by the Provost and Vice President for Academic Affairs and Research. The Director of the Learning Resources Center, the Director of Instructional Technology, Distance Learning and Extended Studies, and the Director of the State Black Archives and Museum report to the Associate Vice President, Dean of Graduate Studies.

The position of Associate Vice President, Dean of Graduate Studies is not a tenured position; however, an employee occupying the position must have faculty status and may have tenure in an academic department of the University. When an associate vice president in Academic Affairs is considered for a rank (associate professor or higher) and/or tenure at the time of appointment, he/she must meet the same qualifications as full-time faculty members for such rank or tenure. Prerequisite requirements for appointment to an associate vice presidency in Academic Affairs are the attainment of a doctoral degree from a SACS-COC or an equivalently accredited institution, the attainment of the rank of associate professor or higher and tenure at a SACS-COC or equivalent regionally accredited institution, and a minimum of three years of experience as an academic administrator at the chair's level or higher in the academic administrative chain-of-command. The Associate Vice President, Dean of Graduate Studies is an at-will employee and, as such, serves at the pleasure of the President.

#### **2.4.5 THE ASSOCIATE VICE PRESIDENT FOR RESEARCH AND SPONSORED PROGRAMS**

The Associate Vice President for Research and Sponsored Programs, formerly known as Vice-President for Research and Development, provides oversight and supervision of a comprehensive program of research, economic development, land-grant initiatives (including extension), and intellectual property. The Associate Vice President for Research and Sponsored Programs reports to the Provost and Vice President of Academic Affairs and Research and is responsible for proper coordination and administration for research and leadership in securing and executing research programs and grants by acting as a liaison to colleges and departments in project/program development, disseminating information on potential funding sources, assisting in proposal preparation and submission, negotiating grants and contracts, ensuring compliance, and assisting in project monitoring and reporting, management/managing of Sponsored Programs. Prerequisite requirements for appointment to the position of Associate Vice President for Research and Sponsored Programs include the attainment of a doctoral degree from a SACS-COC or an equivalently accredited institution, the attainment of the rank of associate professor or higher and tenure at a SACS-COC or equivalently accredited institution, and a minimum of five years of experience as an academic administrator at the dean's level or higher in the academic administrative chain-of-command. The Associate Vice President for Research and Sponsored Programs is an at-will employee and, as such, serves at the pleasure of the President.

## **2.4.6 THE ACADEMIC DEANS**

Academic Deans head every College in the University and are considered upper level administrators with academic rank. They are responsible for the overall management and supervision of all academic and related programs, activities, and support services in their College. Some specific duties include long- and short-range planning, goal setting, college assessment, assessment of student learning outcomes (Quality Enhancement Plan (QEP)), strategic planning and follow-up, ensuring program productivity/viability in accordance with state and Alabama Commission on Higher Education (ACHE) guidelines, staffing, directing, evaluating, budget development and management, and facilities management. Academic Deans are responsible for ensuring their respective colleges, departments, and individual academic programs attain, maintain and sustain the accreditation requirements of SACS-COC, ACHE and specific disciplinary accrediting bodies. Deans report to the Provost and Vice President for Academic Affairs and Research and serve in their respective at-will positions as upper level academic administrators at the pleasure of the President. Associate deans, chairpersons of the academic departments, directors, and coordinators at the college level report to the Dean.

The position of dean is not a tenured position; however, an employee occupying the position must have faculty status and may have tenure in an academic department of the University. When a dean is considered for a rank (associate professor or higher) and/or tenure at the time of appointment, he/she must meet the same qualifications as full-time faculty members for such rank or tenure. Prerequisite requirements for appointment to an academic deanship are—the attainment of a doctoral degree from a SACS-COC or an equivalently accredited institution, the attainment of the rank of associate professor or higher and tenure at a SACS-COC or equivalent regionally accredited institution, and a minimum of five years' experience as an academic administrator at the chair's level or higher in the academic administrative chain-of-command.

Deans are expected to provide leadership in the overall direction and development of the College and its departments/units and to execute effectively the following general duties:

1. Review and take appropriate action on curricula and semester schedules of the departments within the College;
2. Establish communication within the College to ensure the dissemination of information and to ensure timely feedback on requests from the Office of the Provost and Vice President for Academic Affairs and Research and varied constituents of the University;
3. Prepare an annual budget and report for the college in accordance with the University accountability measures;
4. Supervise chairpersons in the performance of their duties to ensure quality instruction;
5. Approve faculty assignments and workloads;
6. Conduct or arrange in-service training sessions on new and innovative methods of teaching, managing, and supervising to ensure the continued viability of faculty, as well as the existence of effective management and accountability systems within the College;
7. Review and act on recommendations/requests from the chairpersons and/or varied college committees (when appropriate) regarding appointments, re-appointments, dismissals, promotions, tenure, salary increases, and other academic matters in the College;
8. Provide planning and monitoring, in collaboration with the chairs, for continuous evaluation and upgrading of curricula in the College in light of institutional objectives, current



educational trends, and student and societal needs;

9. Represent the College at formal functions and in public relations efforts; and

10. Perform such other duties as may be required by the University and assigned by the Provost and Vice President for Academic Affairs and Research.

#### ***2.4.7 THE DIRECTOR OF THE LEARNING RESOURCES CENTER***

The Director of the Learning Resources Center (LRC) reports to the Associate Vice President, Dean of Graduate Studies and serves in this at-will administrative position at the pleasure of the President. The Director of the LRC is responsible for the efficient and effective operation of the LRC, also known as the University Library. In conjunction with the staff of the LRC, the Director serves as the liaison between the LRC and the administration, faculty, staff, and students. The Director establishes and maintains an effective working relationship within the LRC and among the academic deans, departmental chairpersons, and faculty members to ensure quality service and enhanced library resources. Specifically, the Director of the Learning Resources Center performs the following general responsibilities:

1. Executes the affairs of the organization to meet the mission of the LRC;
2. Supervises all library personnel matters, including evaluation, professional development, continuing education, and compensation in accordance with University policies and procedures;
3. Manages and coordinates library services to ensure that they adequately and effectively support instructional and research programs (both on campus and distant);
4. Oversees and monitors development of the library collection, including consideration of access and ownership;
5. Ensures that library and information resources (e.g. books, periodicals, search engines, etc.) adequately support the University's academic programs and research and satisfy standards of accreditation (SACS-COC and discipline-specific accrediting agencies), as related to quality and quantity;
6. Formulates and monitors the library's budget in collaboration with library staff, the Associate Vice President, Dean of Graduate Studies, and fiscal management;
7. Oversees the library's facilities plant, including maintenance and space utilization;
8. Represents the library on the local, state, and national levels; and
9. Performs such other duties as may be required by the University and assigned by the Associate Vice President, Dean of Graduate Studies.

Prerequisite requirements for appointment to this administrative librarian position are the attainment of a terminal degree from a SACS-COC or an equivalently accredited institution, a minimum of five years' experience as a librarian in a higher education setting, with at least three years' service as an administrative librarian.

#### ***2.4.8 THE DEPARTMENT CHAIRPERSONS***

The chief administrator of each academic department is the chairperson who reports to the dean of his/her respective college and serves in his/her at-will position as an academic administrator at the pleasure of the President. In consultation with the dean and the faculty, the chairperson is responsible for organizing and directing the work of the department including instruction, research, extension, budget development and management, and ensuring that the department is in compliance with the

requirements of SACS-COC, ACHE, and discipline-specific accrediting bodies.

The office of chair is not a tenured position. Tenure as a faculty member is a matter of separate privilege. When a chair is considered for a rank (assistant professor or higher) and/or tenure at the time of appointment, he/she must meet the same qualifications as full-time faculty members for such rank or tenure. Prerequisite requirements for appointment to chairperson are the attainment of a doctoral degree from a SACS-COC or an equivalently accredited institution, the attainment of the rank of associate professor or higher at a SACS-COC or equivalent accredited institution and a minimum of three years academic experience in Higher Education.

Chairs are expected to provide leadership in the overall direction and development of the department and its program units and to execute effectively the following general duties:

1. Review and take appropriate action on curricula and semester schedules of the department;
2. Establish communication within the department to ensure the dissemination of information and to ensure timely feedback on requests from the Dean and varied constituents of the University;
3. Prepare an annual budget and report for the department in accordance with University accountability measures;
4. Supervise faculty, directors, and coordinators in the performance of their duties to ensure quality instruction, program productivity, and effective service to students;
5. Assign courses and faculty workload after consultation with the faculty;
6. Provide planning and monitoring, in collaboration with the faculty, for continuous evaluation and upgrading of curricula in the department in light of institutional objectives, current educational trends, and student and societal needs;
7. Recommend through appropriate administrative channels, appointments, promotions, tenure, salary increases, and non-reappointments for the departmental faculty and staff;
8. Ensure the professional orientation of new faculty;
9. Approve textbooks and other materials to be used for courses offered in the Department, in accordance with Alabama Agricultural and Mechanical University regulations;
10. Supervise and objectively evaluate the performance of the faculty, directors, coordinators, and other non-academic staff in the department;
11. Teach two (2) undergraduate courses per semester (six (6) semester credit hours) or equivalent; and
12. Perform such other duties as may be required by the University and assigned by the Dean.

#### ***2.4.9 THE ACADEMIC COORDINATORS AND CENTER DIRECTORS***

Academic Coordinators and Center Directors report directly to chairs and provide leadership. The Academic Coordinator provides leadership for some graduate degree-granting programs. Center Directors provide leadership for major research activities in some departments. The positions of Academic Coordinator and Center Director are not tenured positions in office. Tenure as a faculty member is a matter of separate privilege.

### ***2.4.9.1 ACADEMIC COORDINATORS***

Degree-granting academic programs within departments are led by Academic Coordinators who are responsible for providing leadership and directing the instruction, research, and activities of the academic unit. Academic Coordinators are appointed by the chair with approval by the dean and Provost of Academic Affairs. In formal consultation with faculty, the Coordinator's primary duty is to ensure the unit is in compliance with SACS-COC, ACHE, and discipline-specific accrediting bodies. Academic Coordinators assist the chair with goal setting, long-and short-range planning, recruiting, outcome assessments, student advising, recommendations of faculty and staff to fill vacancies, updating the curriculum, and preparing teaching assignments and course offerings. Academic Coordinators are either tenured or tenure-track faculty with the rank of Assistant Professor or higher who report to the department chair. Formally classified as faculty members with limited administrative duties, coordinators may be granted up to 25% release time per semester. When a faculty member ceases to serve as an academic coordinator, he/she returns to his full time teaching/research duties, and his/her contract is reverted to nine months. Academic coordinators are not considered administrators in regards to committee assignments.

### ***2.4.9.2 CENTER DIRECTORS***

Center Directors are tenured or tenure-track faculty leaders with the rank of Assistant Professor or higher who lead Research, Teaching or Outreach Centers or Institutes established and funded to support research, teaching or outreach initiatives, such as the Center for Forestry Ecosystems Assessment, the Agricultural Research Station. Center Directors usually have joint appointments with a significant proportion of their time spent on Center activities; as such, they report on faculty matters to the department chair and on Center matters to their supervisor within the organizational structure established for that entity. Center Directors are in most cases 12-month faculty who work as Directors at the pleasure of the President. Center Directors with faculty status are generally required to teach six (6) semester credit hours per semester. When a faculty member ceases to serve as a Center Director, he/she returns to his/her full time teaching duties, and his/her contract is reverted to nine months.

## ***2.5 THE PROFESSIONAL STAFF***

Professional staff members are employed by the University with significant management, supervisory, technical program and/or teaching responsibilities. Unless specifically designated by contractual agreement, individuals within this category do not carry academic rank or tenure.

This category includes all administrative/management staff responsible for developing and implementing University operating policies and procedures. Nothing in this section should be construed as guaranteeing that any employee will receive or be eligible to work a fixed number of hours per week. The University expressly reserves the right to schedule an employee's work hours according to the University's educational, business, and financial needs, as well as other relevant circumstances, which relate to its decision concerning scheduling employee work hours. Positions in this category include the title of director or coordinator. Unless specifically designated by contractual agreement, individuals within this category do not carry academic rank or tenure.

### ***2.5.1 THE DIRECTOR OF ADMISSIONS***

The Director of Admissions reports to the Assistant Vice President for Enrollment Management and is in charge of admitting all undergraduate students to the University. The Director, upon request, supplies prospective applicants with the data and forms necessary to matriculate at the University; receives applications, recommendations and transcripts for admission; evaluates these data; and determines whether the applicant qualifies for admission to the program sought. Additionally, he/she is responsible for coordinating all recruitment activities for the University. The Director also evaluates and approves transfer credit from other institutions in the STARS system.

### ***2.5.2 THE REGISTRAR***

The Registrar reports to the Assistant Vice President for Enrollment Management and is in charge of registering students at the University and maintaining all academic records. He/she coordinates student registration with the Office of Academic Affairs, Business Office, and Computer Center, consults with administrators in all colleges of the University, prepares enrollment materials and releases copies of student records, with the student's consent, to properly authorized agencies.

### ***2.5.3 THE DIRECTOR OF INSTITUTIONAL EFFECTIVENESS/INSTITUTIONAL RESEARCH***

The Director of Institutional Effectiveness/Institutional Research reports to the Associate Vice President for Research and Sponsored Programs. Principal responsibilities of the Director of Institutional Effectiveness/Institutional Research include the following: coordinates data collection and analysis for strategic planning, yearly planning and budget allocations, learning outcomes assessments, and institutional effectiveness, as well as specialized requests for institutional or unit specific data; monitoring daily operations of all departments/functions of the University to ensure compliance with the standards (criteria) of the Commission on Colleges of the Southern Association of Colleges and Schools (SACS-COC); working with the President and division heads (vice presidents) to ensure that appropriate corrections in areas of non-compliance are made in a timely manner; issuing all documents, including self-studies and response reports, that are to be sent to accrediting bodies, having reviewed them for appropriateness, accuracy, completeness, etc.; establishing the format for the annual reports of the divisions of the University and housing such reports in the Department of Institutional Effectiveness for accountability measures; maintaining copies of essential regulatory documents (from accrediting bodies); coordinating and administering on-going outcome assessments and issuing quality enhancement plans; monitoring the implementation of the annual institutional effectiveness calendar and, in consultation with the Provost and other pertinent vice presidents, the University's Quality Enhancement Plan (QEP); supervising personnel in Institutional Effectiveness and executing such other duties as may be required by the University and assigned by the Associate Vice President for Research and Sponsored Programs.

### ***2.5.4 THE DIRECTOR OF INTERNATIONAL PROGRAMS***

The Director of International Programs reports to the Assistant Vice President for Student Affairs and is in charge of incorporating an international dimension into the teaching, research, and extension services of the University.

### ***2.5.5 THE DIRECTOR OF TITLE III***

The Director of Title III is responsible for securing and managing two annual federal strengthening grant programs from the U. S. Department of Education. These funds are administered to priority activities at the University that address objectives in the University's strategic plan. The Director is in charge of program development and management for all Title III activities in concert with the appropriate individual activity leaders and unit supervisors. Individual activity directors in various units make progress reports to the Director of Title III. The Director of Title III reports to the President.

### ***2.5.6 THE DIRECTOR OF VETERANS AFFAIRS, DISABILITY SERVICES, AND ACCESS TO LEARNING (ADA)***

The Director of Veterans Affairs and Disability Services provides guidance services and administrative support to veterans and their dependents in securing educational benefits from the Veterans Administration. Professional counseling assistance is also available to veterans and dependents enrolled at Alabama Agricultural and Mechanical University.

This office also oversees all Disability Services and Access to Learning matters. "Access to Learning" identifies the University's program for providing equal access to all educational programs, and ensuring compliance with applicable laws, including Section 504 of the Rehabilitation Act of 1973, and the applicable titles of the Americans with Disabilities Act (ADA) of 1990. Questions that may arise regarding University compliance with Section 504 of the Rehabilitation Act, eligibility for the program or filing complaints should be directed to this office and the administrator of the Access to Learning Program, Alabama Agricultural and Mechanical University, Normal, AL 35762. A manual describing the program and complaint procedures has been distributed to the Learning Resources Center and all offices on campus, and it is available for review upon request. The Director of Veteran Affairs, Disability Services, and Access to Learning (ADA) reports to the Vice President for Student Affairs.

### ***2.5.7 THE DIRECTOR OF INSTRUCTIONAL TECHNOLOGY, DISTANCE LEARNING AND EXTENDED STUDIES***

The Director of Instructional Technology, Distance Learning and Extended Studies is responsible for developing and delivering credit, noncredit, traditional and non-traditional courses/programs that fulfill the learning needs of professionals, their support personnel and other adults and non-traditional students seeking to further their education. The Director is also charged with the following: providing leadership in the development, monitoring and marketing of online and distance education courses, facilitating conferences and workshops that meet community and societal needs, providing technology training for faculty in such areas as online course design, mass testing, and maintaining an electronic course record book. The Director is also expected to work with academic leadership in creating educational initiatives that generate funds for the University and help to sustain the unit. The Director of Instructional Technology, Distance Learning and Extended Studies reports to the Associate Vice President, Faculty and Undergraduate Studies.

### ***2.5.8 THE DIRECTOR OF HUMAN RESOURCES***

The Director of Human Resources reports to the Executive Vice President and Chief Operations Officer and is responsible for facilitating the employment process as related to announcements, advertisements, interviews, personnel action forms, employment offers, and employment documents/contracts, as appropriate. Other duties of the Director of Human Resources include serving as the Affirmative Action/Equal Employment Opportunity Compliance Officer, preparing salary manifests, keeping employees abreast of personnel policies and procedures through the publication of Human Resources manuals (e.g. Staff Handbook, Organizational Structures Handbook), and maintaining and housing complete personnel files on non-exempt and exempt employees of the University, with the exception of the credentials portion of faculty files. The credentials portion of faculty files and faculty contracts will be processed, maintained and housed in Academic Affairs.

### ***2.6 THE FACULTY SENATE***

The Faculty Senate is the elected, representative body of the faculty. The President of the Faculty Senate is a non-voting member of the Board of Trustees. Representatives of the Faculty or Faculty Senate should be present on all major University-wide committees. One senator is selected every other year to a two-year term to represent each of the degree-granting units. An important role of a Faculty Senator is conducting the election of faculty members to serve on promotion and tenure committees at all levels including departments, colleges, and University. The most important role of the Faculty Senate is ensuring the participation of faculty in shared governance at all levels of the institution.

### ***2.7 UNIVERSITY ORGANIZATIONAL CHART AND STRUCTURE***

The Board of Trustees has the legal and exclusive statutory jurisdiction, power, and authority with regard to the supervision, management and control of Alabama Agricultural and Mechanical University. This role is executed through the policy-making responsibilities of the Board of Trustees. The Board in turn employs a president as the chief executive officer and delegates to the President the responsibility for executing the policies developed by the Board in concert with appropriate University faculty, staff, and administrators. Through Board of Trustees policies and statutory authorizations, there is a clear and appropriate distinction in writing and in practice between the policy-making function of the Board of Trustees and the responsibility of the administration and faculty to administer and implement the policy. Section 16-49-23 revised of the Alabama Code further defines this distinction. According to the statute, the Board shall not engage in activity that interferes with the day-to-day operation of the University. The primary responsibility of the Board of Trustees is to set policy for the University and prescribe rates of tuition and fees. The Board also has the power to organize the University by appointing the President. The President shall appoint the faculty, staff, and officers of the University, and regulate, alter, and modify the organization of the University, subject to review and concurrence of the Board.

The organizational structure of the University adheres to the requirements of the Southern

Association of Colleges and Schools Commission on Colleges (SACS-COC) relative to delineation of responsibilities for policy and administration and clearly defines the legal authority and operating control for related foundations, other entities, athletics, and fundraising. The organizational structure also facilitates the accomplishment of the University's mission, goals, and vision as reflected in the University's Strategic Plan, 2015-2025: Into the Future. Under the current organizational structure of the University, the ultimate legal authority for the University rests with the Board of Trustees with the President reporting directly to the Board and certain key administrative units/officers reporting to the President. The organizational structure provides for programs and functions relating to academics and research reporting to and through the Provost and Vice President for Academic Affairs and Research. Non-academic, administrative operations report to and through the Executive Vice President and Chief Operating Officer. The Provost and Vice President for Academic Affairs and Research, the Executive Vice President and Chief Operating Officer, the Senior Vice President for Finance and Administration, the Vice President for Student Affairs, the Vice President for Marketing, Communications, and Advancement, the 1890 Alabama Cooperative Extension System (ACES) Administrator and the Chief Information Officer comprise the President's Cabinet. The Cabinet is the structure for the formulation of policies and procedures, and the administration and execution of policies approved by the Board of Trustees. The University's organizational chart shows the administrative hierarchy and structure of the University. It is found in appendix A of this handbook.

## **SECTION 3. EMPLOYMENT AND APPOINTMENT PROCEDURES**

### ***3.1 GENERAL INFORMATION***

The University utilizes the traditional channels of recruitment (employment services, professional and trade journals, the Internet, newspapers, technical colleges, and other post-secondary institutions). The official medium for posting all vacancy announcements is the University's website at [www.aamu.edu](http://www.aamu.edu). Recruitment activities are centralized in the Office of Human Resources. This includes dissemination of notices of all vacancies and new positions. Each announcement will circulate for not less than ten (10) workdays. The Director of Human Resources, in consultation with the Provost, may waive or shorten the posting time of a position when extenuating circumstances exist which would adversely affect the operation of the University.

Applicants are screened and evaluated by supervisors or by search committees appointed by the President, Provost, Executive Vice President or Vice Presidents as appropriate. Once the screening process has been completed, the name of the selected candidate will be provided to the Office of Human Resources. Notification to the applicant recommended for employment will be made by the Director of Human Resources.

Pre-employment interviews may be granted to applicants considered qualified to fill a position, but such interviews are not mandatory. Each applicant is considered on the basis of skills, knowledge, and abilities. Any evaluation criteria used to determine the qualifications of applicants seeking employment for a certain position will be used for the evaluation of all applicants seeking that position. For clarification on the recruitment and hiring process, see Section 4 of this handbook.

#### ***3.1.1 HOURS OF OPERATION***

The University's administrative offices generally operate from 8:00 a.m. – 5:00 p.m., Monday through Friday, including the lunch hour, and may be extended during registration. Classes are scheduled to serve the curricular needs approved by the University and may be changed as appropriate in meeting these needs. The library and other University services will be open to meet the needs of the faculty and students on a regularly scheduled basis. Appropriate support units shall be available to accommodate faculty and student needs during all class hours.

### ***3.2 FACULTY APPOINTMENTS***

A basic appointment refers to the initial full-time appointment in an academic assignment where overload, release time, or other assignments may reduce the academic (teaching) duties. Full-time appointments with an annual assignment of fifty percent (50%) or more in an instructional program are eligible for tenure. All faculty members will receive one of the following appointments upon employment at the University:



- A. Regular Full Time: Employment of an unspecified duration with no predetermined separation date.
- B. Regular Part Time: Employment that is expected to continue indefinitely on a part-time basis. Employees are expected to work at least 20 hours but less than 35 hours per week and are not eligible to receive any fringe benefits.
- C. Temporary: Employment on an as needed basis.

Joint appointments are those appointments between/among academic units and other units of the University. The holders of such appointments whose basic or initial assignments are with the instructional program may be considered for tenure, if the instructional assignment is at least fifty percent (50%).

Part-time faculty appointments, such as adjunct faculty, are those individuals who are employed less than 100% of the time by the University. The total number of part time faculty for each academic unit will normally not exceed fifteen percent (15%) of the total instructional full-time faculty. These individuals are not eligible for faculty benefits. All administrative, untenured faculty, and non-tenured faculty appointments whether categorized as regular full-time, regular part-time, temporary, or otherwise may be ended by action of the employee or the University, with or without cause.

### **3.2.1 FACULTY CREDENTIALS**

In accordance with the SACS-COC Comprehensive Standard 6.2.a (The Principles of Accreditation: Foundations for Quality Enhancement Commission on Colleges, 2017 Edition), Alabama A&M University “Standard 6.2.a For each of its educational programs, the institution justifies and documents the qualifications of its faculty members.”

Moreover, the University seeks to maintain compliance with the Commission on Colleges’ *Faculty Credentials Guidelines* as approved by the College Delegate Assembly, 2006 and updated for the revised principles in April 2018: “Faculty teaching general education courses at the undergraduate level: doctorate or master’s degree in the teaching discipline or master’s degree with a concentration in the teaching discipline (a minimum of 18 graduate semester hours in the teaching discipline). Faculty teaching baccalaureate courses [are required to have earned a] doctorate or master’s degree in the teaching discipline or [a] master’s degree with a concentration in the teaching discipline ([a] minimum of 18 graduate semester hours in the teaching discipline).” In rare instances, persons who achieve eminence in a field may be considered for a faculty appointment (e.g. Scholar/Artist-in-Residence). Appointments to teach at the undergraduate and graduate levels are primarily based upon consideration of the highest degree earned in the discipline. In order to teach on the bachelor’s level, full-time and part-time faculty, must have a minimum of a master’s degree or equivalent.

To teach “graduate and post-baccalaureate course work, full-time or part-time, [faculty must have] earned doctorate/terminal degree in the teaching discipline or a related discipline.” (Commission on Colleges’ *Faculty Credentials Guidelines* as approved by the College Delegate Assembly, 2006 and updated for the revised principles in April 2018). The verification of educational credentials (e.g. official transcripts, letter of application, work experience, licensure and certifications, as appropriate, curriculum vita, and letters of recommendations) are housed in the Division of Academic Affairs. Graduate teaching

assistants are also to be hired in accordance with the Commission on Colleges' *Faculty Credentials Guidelines* as approved by the College Delegate Assembly, 2006 and updated for the revised principles in April 2018: The requirements for graduate teaching assistants are a "master's in the teaching discipline or 18 graduate semester hours in the teaching discipline, direct supervision by a faculty member experienced in the teaching discipline, regular in-service training, and planned and periodic evaluations."

Alabama Agricultural and Mechanical University's Board and Administration embrace the belief that the selection, development, and retention of both undergraduate and graduate faculty are of major importance to the educational quality of the Institution. Consequently, the policies of the University are formulated to encourage and perpetuate the attainment of quality faculty, faculty growth, faculty participation in governance, and faculty security and academic freedom. Thus, appointments to the faculty and the promotion of the faculty reflect consideration of all SACS-COC criteria pertaining to faculty.

### **3.2.1.1 TENURE TRACK APPOINTMENTS**

Tenure track appointments may be assigned to faculty members who, because of professional achievement, have earned a doctorate or appropriate terminal degree and demonstrated their aptitude in tenure-track lines for becoming tenured members of the faculty. Only non-research track faculty with full-time appointments and permanent positions with an assignment of 50% or more in an instructional program are eligible for tenure track appointments. Joint appointments are those appointments between/among academic units and other units of the University; holders of such appointments whose basic or initial assignments are with the instructional program (at least 50%) are eligible for tenure. All appointments prior to the awarding of tenure are probationary and governed by appropriate regulations. Faculty members at this stage are considered untenured.

At the beginning of the sixth year of service and by August 31, tenure-track faculty at the rank of Assistant Professor or higher must submit application for tenure. If unsuccessful, the applicant shall receive a one-year terminal contract for the seventh and final year of service at the University as a tenure track faculty. It should be noted that tenure may not be granted at the rank of Assistant Professor or Instructor.

Tenured appointments may be awarded to faculty members during the probationary period in accordance with University policy upon the approval of the President.

### **3.2.1.2 TENURE APPOINTMENTS**

In rare circumstances, individuals may be granted tenure as a condition of employment. These individuals must meet the criteria for tenure as outlined in the University's tenure and promotion policies, and have held tenure at the previous institution. Appointments with tenure are for regular full-time faculty with the academic rank of Associate Professor or higher and approved by the President. Tenure appointments include the assurance of continued employment for the academic year (indeterminate); however, such appointments are subject to termination for cause, the discontinuance of a program or degree by the University, per the closure of an academic program for non-viability/productivity by the Alabama Commission on Higher Education (ACHE) or as a result of a

declared financial exigency pursuant to Section 6.4, as otherwise provided in detail herein.

### ***3.2.1.3 NON-TENURE TRACK APPOINTMENTS***

Non-tenure track faculty are not eligible for tenure, but are eligible for promotion. Non-tenured faculty members are at-will employees of the University who may be terminated upon three (3) weeks prior notice. The term, if any, of a non-tenured faculty member will be stipulated in an Official Offer of Employment Notification or Appointment Letter and may be for any period of time.

### ***3.2.1.4 ADJUNCT FACULTY APPOINTMENTS***

Adjunct faculty appointments are limited to faculty who normally are practitioners in a profession whose main base is another institution. This title may also include retired professionals and retired faculty from Alabama Agricultural and Mechanical University and other institutions.

### ***3.2.1.5 VISITING FACULTY APPOINTMENTS***

Visiting faculty appointments are limited to faculty who are normally based at another institution of higher education or who are normally employed with another agency but temporarily transfer from the home base to the University. The visiting title may be used with any of the professorial ranks.

### ***3.2.1.6 EMERITI APPOINTMENTS***

Emeriti appointments are conferred upon the recommendations of the Provost and Vice President for Academic Affairs and Research and approved by the President, providing: the faculty member must have completed ten (10) or more years of service to the university or retired after ten (10) years or more of service; holds the rank of full professor; has a reputation as a scholar in research and publications; and has a successful record as a teacher contributing fully to the University through service on committees and otherwise. A recommendation may originate at the departmental level and be submitted to the Honorary Degree/Professor Emeritus/Distinguished Professor Committee. In each case, the professorial rank will be conferred in the Emeritus title as the one held as a member of the Alabama Agricultural and Mechanical University faculty. Persons with the Emeritus title are extended privileges which entitle them to be included in the faculty lists printed in official publications; library privileges; and desk, office and laboratory space as available and needed for the continuance of professional endeavors in the academic atmosphere.

### ***3.2.1.7 DISTINGUISHED PROFESSOR APPOINTMENTS***

Distinguished professor appointments are conferred upon scholars who have achieved highly eminent status within their discipline. These appointments are conferred upon recommendation of the Provost and Vice President for Academic Affairs and Research and approved by the President. Recommendation may originate at the departmental level and be submitted to the Honorary Degree/Professor Emeritus/Distinguished Professor Committee.

### ***3.2.1.8 ENDOWED PROFESSORSHIP/EMINENT SCHOLAR***

Endowed Professors/Eminent Scholars may be newly employed or designated from within the ranks of University faculty; they are paid either fully or substantially from the endowed chair accounts/funds established by the University to finance such appointments to recognize highly eminent

status within their discipline. Such appointments will be based on the recommendations of the faculty within the discipline and will be endorsed by the respective department, college or President. The recommendations are forwarded for approval through all channels of the academic hierarchy (Provost and Vice President for Academic Affairs and Research, President and Board of Trustees) for final action by the Board of Trustees.

### ***3.2.2 ADMINISTRATIVE FACULTY***

Administrative faculty members are administrators with faculty rank. This category of faculty may include the President, Provost, Vice Presidents, Associate Vice Presidents, deans, associate deans and chairpersons. Such appointments to faculty rank will be approved on an individual basis by the Provost and Vice President for Academic Affairs and Research and the President. These appointees must meet the requirements for rank as established in Section 3.3 of this handbook. Unless otherwise specifically approved, administrative appointments with faculty rank will neither constitute tenure nor tenure track status. Administrative appointees with tenure track status are required to complete the tenure process from their academic unit during the appropriate probationary period, like all other incoming faculty of similar rank. Denial of tenure as a faculty member requires modification of faculty rank and/or appointment status, but not the administrative assignment which is at-will. Chairs will have fifty percent (50%) administrative duties and fifty percent (50%) teaching/research duties. Compensation will be negotiated within the salary range for that position when the individual is reassigned to faculty, unless otherwise specified via written agreement. The salary will be commensurate with rank with consideration given to any potential increases, promotions or adjustments.

#### ***3.2.2.1 REVERSION OF ADMINISTRATORS TO FACULTY RANK***

In those instances, where an administrative appointee with faculty rank and tenure reverts to his/her faculty status, the salary shall be based on the current salary scale for a faculty of similar rank and years of service in rank, unless specified otherwise by written agreement.

### ***3.2.3 GRADUATE FACULTY***

The Graduate Faculty is composed of those members of the general faculty of the University (full-time teaching, research or extension) who have applied to the Graduate Council and have met the requirements based on academic qualifications, experience on graduate committees, teaching of graduate courses, and research attested by scholarly publications or other proof of creativity, and professional excellence. Full (five-year term) or associate (three-year term) member appointments are made by the Graduate Dean upon recommendation of the Graduate Council based on the requirements set forth in the Graduate Bulletin. In some cases, outside experts (non-Alabama Agricultural and Mechanical University employees) are appointed to the Graduate Faculty as Special Graduate Faculty Members for a fixed duration. The Graduate Faculty directs work and research towards graduate degrees and serves in an advisory capacity to the Graduate Council.

#### ***3.2.3.1 ASSOCIATE GRADUATE FACULTY MEMBERS***

Those with terminal degrees but not yet qualified to be full members on the Graduate Faculty may be granted associate membership based on the requirements as set forth in the Graduate Bulletin. These members assume the responsibility and exercise the privileges of full membership except they

may not direct doctoral committees. They can chair master's level committees and serve on doctoral, educational specialist, and master's level thesis committees. An associate member is appointed for three (3) years during which time application for full membership may be initiated when the faculty member believes qualifications have been met.

### ***3.2.3.2 SPECIAL GRADUATE FACULTY MEMBERS***

Special graduate faculty membership is reserved for scientists, scholars, artists and other highly qualified individuals from other universities, federal and state agencies or international bodies that are willing to serve on graduate student advisory committees or teach a course or conduct a workshop. The lengths of these appointments are specific to the duration of the task for which the person is appointed.

### ***3.2.3.3 GRADUATE FACULTY QUALIFICATIONS***

Applicants to the Graduate Faculty must hold the terminal degree in their teaching or research discipline and meet the relevant professional accrediting agency's faculty qualification standards, if any. In certain disciplines where the accrediting bodies recognize the master's level degree as the terminal degree (examples: MFA, MLS), that degree is considered as the terminal degree. The applicant must have three years experience of participating regularly in the graduate program at Alabama Agricultural and Mechanical University, or at another equivalently accredited institution of higher education, or have demonstrated in some outstanding manner ability to direct graduate level research. If the faculty member is denied status, he/she may appeal to the Dean of Graduate Studies who will act on the advice of a six-person appeals panel. The panel is comprised of current full-time graduate faculty members, from each of the colleges and the Faculty Senate, who were not serving on the Graduate Council at the time of denial.

### ***3.2.3.4 REAPPOINTMENT TO THE GRADUATE FACULTY***

Full members of the graduate faculty are required to submit an application to the Graduate Council in order to be considered for re-appointment for each additional five-year term. Lack of evidence of scholarly accomplishments since the last appointment may result in the denial of re-appointment. Those denied appointment as Graduate Faculty may appeal by letter to the Dean of Graduate Studies. The Dean will act on the advice of a six-person appeals panel, comprised of current full-time graduate faculty members, from the colleges and the Faculty Senate, who were not serving on the Graduate Council at the time of denial.

## ***3.3 FACULTY RANK, APPOINTMENT, AND MINIMUM QUALIFICATIONS FOR EACH RANK***

The terms and conditions of each initial appointment and of each reappointment to the faculty, including any special terms and conditions, shall be set forth in each written appointment. All faculty appointments are recommended to the President by the Provost and Vice President for Academic Affairs and Research. For each academic rank, the following minimum qualifications will be required.

### **3.3.1 INSTRUCTOR**

To qualify for the rank of instructor, one must hold an earned master's degree from a recognized accredited institution, meet the relevant professional accrediting agency's faculty qualification standards, if any, and show definite promise of teaching ability. Teaching experience is preferred although not required. In very special circumstances, holders of the bachelor's degree in professional areas of instruction (e.g., art, music, and other four- (4) or five- (5) year professional degree areas) may be appointed to this rank. These candidates must have clearly established superior records in their area of instruction (e.g. research, the performing arts, or other specialized areas). The rank of instructor is not eligible for tenure-track.

### **3.3.2 ASSISTANT PROFESSOR**

To qualify for the rank of assistant professor one must hold an earned doctorate or appropriate terminal degree in the area of specialization from a recognized accredited institution and have met the relevant professional accrediting agency's faculty qualification standards, if any. The candidate must show the ability to produce professional and scholarly contributions in teaching, creative work, and/or research as well as hold active membership in at least one learned society. When the initial appointment is the rank of tenure-track assistant professor, the probationary tenure-track term of up to six (6) academic years will be specified in the offer of employment based on the candidate's prior teaching experiences or the equivalent at the college or University level. By May 15<sup>th</sup> of the fifth (5<sup>th</sup>) year of the probationary appointment, the Office of Academic Affairs must notify the candidate of the requirement to apply for tenure in the next academic year. Candidates must apply for tenure at the beginning of the sixth (6<sup>th</sup>) year. For clarification in the Promotion and Tenure process, see the following sections in this handbook: 4.4.1 *Tenure and Promotion Application Procedures*; 4.4.2 *Departments and Colleges*; and 4.4.3 *University Promotion and Tenure Committee*. Tenure cannot be granted at the rank of Assistant Professor. Faculty not approved for tenure will be notified that their next year will be their terminal year as a tenure track faculty. Both tenure and non-tenure track faculty members may apply or re-apply for promotion when they have met the minimum requirements for Associate Professor rank.

### **3.3.3 ASSOCIATE PROFESSOR**

To qualify for the rank of Associate Professor, one must hold an earned doctorate or appropriate terminal degree in the area of specialization from a recognized accredited institution; meet the relevant professional accrediting agency's faculty qualification standards, if any, have five years of successful teaching experience or the equivalent at the college or University level, have shown evidence of scholarly research and/or publications in his/her academic field and/or artistic activities or creative works; have provided effective service, and hold active membership in at least one learned society. When a faculty member's initial appointment by the institution is to the rank of tenure-track Associate Professor, the appointment is for a probationary term of up to four (4) academic years. By May 15<sup>th</sup> of the third (3<sup>rd</sup>) year of the probationary appointment, the Office of Academic Affairs must notify the candidate of the requirement to apply for tenure in the next academic year. Candidates must apply for tenure at the beginning of the fourth (4<sup>th</sup>) year. For clarification in the Promotion and Tenure process, see the following sections in this handbook: 4.4.1 *Tenure and Promotion Application Procedures*; 4.4.2 *Departments and Colleges*; and 4.4.3 *University Promotion and Tenure Committee*. Faculty not approved for tenure will be notified that their next year will be their terminal year as a tenure track

faculty. Both tenure and non-tenure track faculty members may apply or re-apply for promotion when they have met the minimum requirements for the Professor's rank.

### **3.3.4 PROFESSOR**

To qualify for the rank of professor, one must hold an earned terminal degree in the area of specialization from a recognized, accredited institution; meet the relevant professional accrediting agency's faculty qualification standards, if any, have acquired widely recognized eminence in a specific academic discipline or profession or have demonstrated superior scholarship, artistic activities, and/or creative works, professional ability and/or teaching competence; have active membership in at least one learned society in the field; show evidence of scholarly research and publication(s) in the field; and have ten (10) years of successful experience at the college or University level or equivalent experience. When a faculty member's initial appointment by the institution is to the rank of professor, the appointment is for a probationary term of two (2) years. For clarification in the Promotion and Tenure process, see the following sections in this handbook: 4.4.1 *Tenure and Promotion Application Procedures*; 4.4.2 *Departments and Colleges*; and 4.4.3 *University Promotion and Tenure Committee*. Faculty not approved for tenure will be notified that their next year will be their terminal year as a tenure track faculty.

### **3.3.5 ENGLISH AS A SECOND LANGUAGE (ESL)**

All faculty must be able to communicate clearly and effectively in English. Faculty who have English as a second language are expected to demonstrate adequate proficiency in both written and spoken English to carry out their teaching obligations at the time of their initial appointment. As a part of the initial interview, all teaching faculty who have English as a Second Language must be assessed by the Department of Communicative Sciences and Disorders (CSD) or another venue approved by the University to determine their functional levels of spoken English.

If deficiencies in English language skills are noted during the faculty member's annual reviews, he/she shall be referred to the Department of Communicative Sciences and Disorders for intensive instruction in oral communication skills including but not limited to pronunciation, informal and formal conversation and oral presentation techniques. The CSD program will determine the length of the remediation program and when the faculty member has developed adequate mastery of spoken English. Results will be, and are required to be, submitted to the University through appropriate channels.

## **3.4 FACULTY SEARCH/EMPLOYMENT PROCEDURES**

The University actively and affirmatively places emphasis on the recruitment and screening of all applicants. In addition, the University avails itself of the traditional channels of recruitment, which include the Alabama State Employment Service, advertisements in newspapers and professional journals, and recruitment at community and technical colleges. All University advertisements must describe that the University is an "Equal Opportunity Employer." The official medium for posting all vacancy announcements is the university website at [www.aamu.edu](http://www.aamu.edu). The Offices of Human Resources and Academic Affairs shall maintain current and accurate records of all approved positions. Such listings must be used when requests to fill vacant positions are approved. Only approved positions will be

processed for filling vacancies.

### ***3.4.1 FACULTY SEARCH/EMPLOYMENT PROCEDURES***

In conjunction with Section 3.4.2, the following steps will be followed:

1. Position descriptions and position classifications will be developed prior to establishment of new positions or revising existing positions;
2. To accomplish either action, the appropriate unit administrator will complete those sections of the Position Profile Form that describe the title and nature of the position and the section that requires budget information;
3. If necessary, budget managers should attach a document justifying the need for the position and a job description;
4. Once completed, the Position Profile Form will be forwarded to the Office of Human Resources for confirmation of the job description and position title;
5. The appropriate official must secure approval to proceed with a search by completing and submitting Human Resources Form OP 100, to the Office of Human Resources;
6. Approved requests will be advertised and vacancies shall be posted for a minimum of ten (10) business days;
7. Candidates must provide a completed application, a current CV, two official transcripts (one for the Office of Human Resources and the Office of Academic Affairs), other documents as defined and must pass all required background checks;
8. The Provost and Vice President for Academic Affairs and Research in consultation with the dean and/or department chair and/or appropriate unit administrator, shall fill the vacancy from the available applicant pool with consideration given to the recommendation of the search committee;
9. With appropriate consultation, an offer of employment shall be made by the President; and
10. An Official Announcement of Appointment and Employment Agreement is issued to new employees. Approved and accepted offers shall be formalized by execution of the documentation of employment by both the University and employee. The University issues a Notice of Continuing Employment to each faculty member that states the position, salary, duration of employment (academic year), and assignment and other relevant terms and conditions determined by the administration. Faculty selected to perform administrative responsibilities (e.g., coordinators, directors, chairs) shall normally receive a separate appointment notation for these assignments. Extraordinary assignments falling outside normal teaching, service or research responsibilities require a separate letter of appointment stipulating the remuneration attached to the duties. All conditions of employment shall be subject to and governed by the policies of the Board of Trustees as spelled out and specifically delineated in the Faculty Handbook. All employment relationships are between the University and the faculty member. The President through the Provost and Vice President for Academic Affairs and Research is authorized to execute such documents on behalf of the Board. To authorize pay, an Electronic Personnel Action Form (EPAF) will be completed for each employee. The EPAF is not a contract. The indication of a date does not change the at-will status of the employee's employment which may be terminated at any time for any reason or no non-discriminatory reason at all, unless otherwise specified in writing or tenure status.



### ***3.4.2 FACULTY SEARCH COMMITTEE***

A search committee will be established when filling approved faculty vacancies. The selection process shall follow the process below:

1. A search committee will be convened by the unit administrator. A committee member must meet the relevant professional accrediting agency's faculty qualification standards, if any. The search committee may select a committee chair to delineate the roles and responsibilities within the search committee.
2. The search committee in cooperation with the unit administrator is charged to establish selection criteria, assist with announcing and advertising the position in a manner appropriate to the nature of the search, provide the opportunity for constituent groups to participate, review, and evaluate the credentials of the potential candidate(s). The search committee will create interview schedules in consultation with the administrative supervisor to accommodate discussions with the Provost and Vice President for Academic Affairs and Research, members of the search committee, individual faculty, students, and others as deemed appropriate to the nature of the search. The search committee will be authorized to continue its task until a suitable candidate is found.
3. Furthermore, the search committee is charged to list the top three (3) candidates as evaluated by the established selection criteria and submit a summary for each candidate's strengths and weaknesses to the appropriate unit administrator.

After the search committee has completed its charges, all documents must be returned to the Office of Human Resources. Upon approval of the recommendation by the President and/or appropriate Vice President, the Office of Human Resources will forward a Formal Notice of Employment to the successful candidate.

### ***3.5 INTERIM AND ACTING APPOINTMENTS***

During the interim period, the administrative supervisor in concurrence with the President and/or the appropriate Vice President may appoint someone as interim or acting in the vacant administrative faculty position when necessary after formal consultation with faculty. An interim appointee may be involved in the search, review and hiring processes to fill the vacant administrative position provided he/she has not applied for the position. Interim appointments by their nature are intended to be temporary and, as such, every effort should be made to fill the position on a permanent basis as soon as possible. Interim appointments should not exceed two (2) years except in extraordinary circumstances as approved by the President.

An acting appointment is enacted when a unit administrator will be absent for a specified period of time or a specified reason. With faculty input, the unit administrator will select an individual to serve in the role of the acting appointment and the individual serves at the pleasure of the unit administrator.

### ***3.6 POLICIES AND PROCEDURES FOR THE HIRING, REVIEW AND RETENTION OF ADMINISTRATIVE FACULTY***

Faculty will be afforded the opportunity to participate in the selection, review and retention

processes for all administrative faculty including the President, Provost, Vice Presidents, deans, associate deans, and chairpersons. The opinions and expressed concerns of the faculty are actively sought and acknowledged in a systematically approached process as follows:

### ***3.6.1 THE SELECTION PROCESS***

1. The Board of Trustees, in accordance with State of Alabama statutes, has the authority to organize the University by appointing a president. When the position of University president becomes vacant, the Board of Trustees shall constitute the search and selection committee, whose responsibility it shall be to identify candidates for the presidency. At its discretion, the Board may rely upon the assistance of one or more advisory committees composed of Trustees, Alabama Agricultural and Mechanical University faculty and students, Alumni Association members, and others, as the Board may deem appropriate.
2. The appointment, review and retention of Vice Presidents rests with the President. Faculty and/or staff input, as appropriate, in these decisions is encouraged; however, the specific process for seeking such input will be determined by the President.
3. Deans are appointed by the President upon recommendation of the Provost and with the advice of search committees whose composition should reflect the primacy of faculty interest in the position. The faculty members on such search committees should be selected so as to ensure broad representation of the programs in the college, as well as other interests within the University.
4. The selection of all other administrative faculty - academic directors/coordinators, and chairpersons - rests with the administrative supervisor - chairperson, dean or Vice President, respectively - of that academic unit. Appointments of department heads/chairs are made by the Dean with input of the faculty and the approval of the Provost and President.
5. A decision by the administrative supervisor shall be made upon review of the search committee's summative evaluations of the named top candidates. If the administrative supervisor's decision differs from the opinion or advice of the majority of the faculty, this decision along with a rationale must be conveyed to the unit faculty no later than five (5) days following the completion of the evaluation. Following this, the faculty and administrative supervisor will inform the relevant Vice President of the lack of concurrence.

All qualified candidates (outside or inside persons) must go through the same process of review and selection. Candidates may be subjected to background checks as presented in section 5.18 of this handbook.

### ***3.6.2 THE SEARCH COMMITTEE***

1. A search committee will be appointed by the administrative supervisor of the unit. A committee member must meet the relevant professional accrediting agency's faculty qualification standards, if any.
2. The search committee in cooperation with the administrative supervisor and appropriate constituent groups should establish selection criteria, announce and advertise the position in a manner appropriate to the nature of the search, and provide the opportunity for the faculty to participate, review, and evaluate the credentials of the potential candidate(s). Interview schedules of the top candidates arranged by the search committee in consultation with the administrative supervisor should allow for discussions with the Provost and Vice President for Academic Affairs and Research, members of the search committee, individual faculty, students, and others as deemed appropriate to the nature of the search.
3. Recommendations for each final candidate will be made by the search committee to the

administrative supervisor with both a summary of the evaluations and opinions received from departmental faculty, adhering to confidentiality in regard to individual identities. The administrative supervisor may make a recommendation from the final names submitted by the search committee or request the committee to submit additional candidates for consideration.

An administrative faculty position is not a tenured position in office. Tenure as a faculty member is a matter of separate privilege. Continuation in an administrative faculty position will be contingent upon obtaining satisfactory review by the administrative supervisor.

### ***3.7 FREEDOM AND RESPONSIBILITY IN THE ACADEMIC COMMUNITY***

Alabama Agricultural and Mechanical University is dedicated to the transmission and advancement of knowledge and understanding; therefore,

- A. The University supports and encourages freedom of inquiry for faculty members and students to responsibly pursue these goals through teaching, learning, research, service, discussion and publication, free from internal or external restraints that would unreasonably restrict their academic endeavors;
- B. The University will protect faculty and students in their responsible exercise of the freedom to teach, to learn, and to otherwise seek and speak the truth; and
- C. Faculty and students of Alabama Agricultural and Mechanical University share the responsibility for maintaining an environment in which academic freedom flourishes and the rights of each member of the academic community are respected.

Faculty members are expected to recognize that accuracy, forthrightness and dignity befit their association with the University and their position as scholars. The faculty should not represent themselves, without authorization, as spokespersons for Alabama Agricultural and Mechanical University.

#### ***3.7.1 STATEMENT ON COLLEGIALITY***

Collegiality is an essential element for achieving a positive and productive atmosphere at Alabama Agricultural and Mechanical University. A collegial spirit entails mutual understanding, respect, and trust and promotes dialogue that will best serve the interests of the University community as a whole and successfully promote the University's mission.

In a collegial environment, each member of the University community should adhere to the following:

- Promote a collaborative culture;
- Participate in consensus-building problem solving;
- Appreciate opposing viewpoints and individual diversity within and outside the department and college;
- Work within the University's organizational structure in conflict resolution; and
- Adhere to the principles of intellectual freedom.

### ***3.8 FACULTY WORK LOAD AND SCHEDULE***

All faculty members teaching six (6) or more credit hours must maintain a minimum of ten (10) office hours per week during each academic semester. Faculty members teaching five (5) or fewer credit hours must maintain a minimum of five (5) office hours per week during each academic semester. It is understood that on occasions regarding activities such as recruiting, research, outreach, student activities etc. faculty members may be asked to perform activities beyond the normal University operating hours. All faculty/instructors who teach courses for credit will be evaluated for instructional performance. This includes adjunct, part-time, and Military Sciences personnel. In addition, faculty members are required to participate in fall and spring commencement as well as founder's day and honor's day ceremonies. The Faculty Workload Equivalencies form is located in the Appendix of this document.

#### ***3.8.1 FACULTY OFFICE HOURS AND ACCESSIBILITY***

Faculty members are required to file the office hours with the department chairperson, college dean, and Provost and Vice President for Academic Affairs and Research. Faculty members must post their class schedule and office hours per week on their office door and syllabi each academic semester. Faculty members are expected to be accessible to students by responding to email messages and telephone calls within a reasonable time. Moreover, faculty members shall adhere to work and office hour obligations for the full nine (9)-month contract (example – August 15<sup>th</sup> through May 15<sup>th</sup>) and/or summer contract period.

#### ***3.8.2 FACULTY CLASS ATTENDANCE***

Faculty members are required to meet all assigned classes promptly and to make full use of the time allotted beginning with the official date for class instructions to begin and shall adhere to work and office hour obligations for the full nine-month contract. Regularly scheduled classes should not be left without professional supervision. In the event of an emergency and classes must be cancelled, every effort should be made to make up for time missed by the faculty member in order that stated course requirements/objectives are met. It is the responsibility of the faculty member working with the department chairperson to make arrangements for classes. If an emergency occurs, the chairperson should be informed as soon as possible so that appropriate arrangements can be made.

#### ***3.8.3 TEACHING LOAD***

Full-time faculty of Alabama Agricultural and Mechanical University are required to be actively engaged in a variety of activities including teaching, pursuing scholarly activities, service, serving on committees, advising students, and performing administrative and related tasks. Full-time faculty on the tenure track promotional sequence are expected to teach a minimum of six (6) credit hours in each of the two academic year semesters along with other release time efforts. The teaching load policy recognizes that credit hours taught, number of different preparations, laboratories, class sessions, advisees, number of students taught, level of classes, theses/dissertations supervised, extracurricular activities, and committee assignments all contribute to a full teaching load.

The full teaching load for faculty in the undergraduate program is twelve (12) credit hours and two hundred and forty (240) student credit hours (SCH) per semester, recognizing that a productive faculty member may engage in regular classroom instruction, independent study, and directed research.

Faculty with fifty (50) or more undergraduate advisees may be awarded release time, up to 25%.

The teaching load for faculty in a graduate program is nine (9) credit hours with one hundred and eighty (180) SCH per semester for master's and educational specialist courses and six (6) credit hours with one hundred and twenty (120) SCH for doctoral courses. Advisors of graduate students enrolled in thesis or dissertation courses may be awarded release time of up to six percent (6%) and ten percent (10%), respectively, per student, with a maximum of thirty (30%). Faculty with twenty (20) or more graduate non-thesis/dissertation advisees may be awarded release time of up to twenty-five percent (25%).

Any changes to this policy in procedure or practice at the department and or college level(s) must be approved by the Academic Standards and Curriculum Committee and the Faculty Handbook Committee after review and input from the Faculty Senate. Proposals for change should be submitted to committees and faculty at the department and college levels as well as to the appropriate dean with approval from the Graduate Council.

One laboratory course credit hour will constitute two contact/instructional credit hours when a minimum of 20 students are enrolled.

Each faculty member must submit The Faculty Load Form for approval by the end of the third week of each semester. This requirement holds true whether the faculty member is one hundred percent (100%) teaching and or one hundred percent (100%) research, or a combination of the two, including others, such as administration or advising. The faculty load is developed in agreement with the EPAF (Section 3.4.1) and will allow for the approval by faculty and chair. Faculty load calculations should follow the format of the Guidelines for Faculty Load Equivalencies in the Appendix of this document. All faculty load forms are subject to the final approval of the Provost.

The faculty load policy is based on the premise that the teaching, research, and service load reflects the documented assignment. Faculty teaching loads will be determined by the chairperson with consideration of the following factors. The guidelines below are useful in applying the faculty load policy:

- I. Whether the faculty member also serves as a departmental advisor (academic and/or research);
- II. The number of courses assigned;
- III. The amount of release time approved; and
- IV. Course enrollment.
  - A. Faculty load assignment for teaching should not exceed twenty-four (24) contact hours.
  - B. Faculty with a full assignment (Section 3.8.3), to include course and student credit hours, will not be required to teach more than three (3) separate preparations per semester without additional compensation. If faculty courses are under enrolled or the faculty is under assigned additional remuneration may not apply.
  - C. Faculty load assignment may be adjusted by the department chair and dean to be approved by the Provost in circumstances where there are courses with high enrollment or

under enrollment. Enrollment size and adjustments are course or college specific and will be decided by the department chair with approval from the dean and Provost.

D. When a course that is a regular part of the curriculum is scheduled for the evening or weekend, it is to be treated as a normal part of the affected faculty member's workload.

E. Undergraduate courses are required to have a minimum of ten (10) students enrolled. Graduate courses are required to have a minimum of five (5) students enrolled for master's and doctoral courses. Undergraduate practicum and intern courses may be allowed with an enrollment of six students.

F. University assignments above the norm of four (4) committees in addition to the full spectrum of teaching, research and service will receive special consideration.

### **3.8.4 FACULTY RELEASE TIME**

Release time from teaching responsibilities up to nine (9) semester hours (six (6) semester hours in the graduate program) may be approved under the following conditions:

A. Fifty percent is computed for administrative work as head of a major academic unit below that of dean. Chairpersons should have teaching load with a minimum of two three (3) hour preparation courses per semester. This may include one (1) independent study course or the equivalent. Committee work, student counseling, incidental academic counseling and supervision, and other administrative-related work are considered to be normal and associated expectations for a faculty member unless these require substantial, regular, and extended work, in which case consideration is made in developing the faculty member's schedule;

B. Fifty percent up to six (6) hours of sponsored research or the equivalent; and

C. Fifty percent up to six (6) hours for special projects/assignments or the equivalent which require more than normal amounts of time, including the President and Secretary of the Faculty Senate. In certain limited situations, a faculty member may be permitted to teach fewer than six (6) semester hours per term.

A faculty member applying for grants who wishes to include release time in the grant is required to request the full amount of the faculty member's salary if it is expected that an additional full-time equivalent (FTE) faculty member will need to be added to the department in order that the normal teaching activities of the department are carried out.

Faculty requests by Electronic Personnel Action Form (EPAF) for release time from teaching may be made to the respective chair and dean preceding any term. The dean will make an appropriate recommendation to the Provost and Vice President for Academic Affairs and Research, who will make the final decision regarding the request. The following procedure should be followed when faculty members are to be placed on release time.

A. The percentage of release time for other than those specified above should be agreed upon by the faculty member, department head and college dean, and approved by the Provost and Vice President for Academic Affairs and Research;

B. Approved release time should be conveyed to the Office of Sponsored Programs by the college dean prior to the actual beginning of the arrangements, if reimbursement for the release time is to come from outside funds or is to be used to meet cost-sharing obligations. This notice should include the percentage of release time spent on other than normal

responsibilities; and

C. The Office of Sponsored Programs will verify whether adequate funds are available from outside sources as indicated above.

### **3.8.5 OVERLOAD SUPPLEMENTS**

Participation in programs, projects and activities administered or conducted by the University and supported by special agreements, grants, or other types of agreements with other agencies shall be considered a part of the faculty member's responsibility to the University. Whenever a full time faculty member is employed by the University, whether on a nine-month, twelve-month or other time-based appointment, the University shall be entitled to full and complete services with regard to work expectations appropriate to the job description and relative to University activities. If a faculty member participates or serves in an externally or specially funded program, project or activity within the University, whether in a primary or different department or work unit, an appropriate portion of the faculty member's regular salary shall be provided by the budget of the program, project or activity. Under the above circumstances, no increase in the faculty member's base compensation shall be allowed.

Faculty are allowed an overload maximum rate of 133% of base salary as supplement in the academic calendar.

The University recognizes that there are certain irregular, short-term University conducted activities which, because of their nature, frequency of occurrence, the associated lack of prior knowledge, and recognition of the demand for services, may need to be handled on an exceptions basis. Extra compensation will be allowed in such cases only if all of the following six conditions are met:

- A. The work is performed in addition to a normal full load;
- B. No qualified person is available to perform the work as part of the normal load;
- C. The project, program, or activity budget includes sufficient funds to cover such compensation;
- D. Spending guidelines provided by the funding agency permits such compensation, or explicit written permission is granted particularly for overload and supplemental pay;
- E. The additional duties of the faculty member shall not constitute a load so heavy as to interfere with the performance of regular duties; and
- F. Prior approval is obtained from the department chair, college dean, and Provost and Vice President for Academic Affairs and Research. The Office of Sponsored Programs verifies availability of funds. Funded programs and projects that are approved with release time are expected to be implemented according to the grant agreement. Approval to convert release time to overload or supplementary pay must be approved and will only be approved in extenuating circumstances.

### **3.9 SUMMER APPOINTMENTS**

#### **3.9.1 SUMMER EMPLOYMENT/TEACHING ASSIGNMENTS**

Summer school at Alabama Agricultural and Mechanical University operates independently of the regular academic year and addresses the matriculation needs of students who need specific additional courses in order to complete their course of study in a timely manner or for educational enhancement. Since summer school is to be self-sufficient with regards to instructional and infrastructural support, it is not expected to provide employment to all faculty members who desire to teach. The courses to be offered during summer school are subject to approval by the Provost and Vice President for Academic Affairs and Research.

Appointments of faculty for the summer session will be made by the Provost and Vice President for Academic Affairs and Research on recommendations made by department chairpersons through their respective deans, on the basis of teaching requirements of the summer program. Tentative appointments will be made by April 15<sup>th</sup>.

Each department shall work out a plan for summer employment taking into consideration the availability of funds, demand for courses, rank, qualifications, and teaching/professional experience of the departmental faculty members. Preference will be given to faculty members who have met the relevant professional accrediting agency's faculty qualification standards, if any. The teaching full load for faculty teaching during the summer in a graduate program is six (6) credit hours and faculty teaching in an undergraduate program is nine (9) credit hours. In order for a class with less than 15 students to be offered, approvals must be granted at each level (chair, dean and Provost and Vice President for Academic Affairs and Research) otherwise remuneration will be based on the enrollment. A teaching load of less than 9 credit hours and 135 student credit hours is not considered a full load. Compensation for teaching less than the prescribed student credit hours will be proportionally based (1/135) on a divisible basis of the number of student credit hours and/or other bona fide assignments made by the University on an equivalent basis.

Compensation for teaching a full load nine (9) contact hours for undergraduate faculty and six (6) contact hours for graduate faculty with the requisite enrollments during the summer shall be 2/9 of the nine-month salary. Guidelines for Summer Teaching Loads and Compensation are included in the Appendix of the Handbook.

#### **3.9.2 SUMMER EMPLOYMENT/OUTSIDE FUNDS (GRANTS & CONTRACTS)**

University faculty may be supported part-time through funded release time during the academic year and full-time in the summer by outside-funded research or other activities. Based on the University academic year work calendar (nine months), faculty members on an academic year appointment may work for three (3) months in the summer without conflicting with their academic year obligations to Alabama Agricultural and Mechanical University.

All nine-month faculty are eligible for three (3) months full-time employment on outside-funded projects provided this arrangement does not conflict with guidelines of the funding agency. Approval



must be granted by appropriate administrative officials, in advance, and funds for up to three (3) months employment must be available under the grant/contract agreement.

### **3.10 PERSONNEL FILES**

The Vice President for Academic Affairs and the Office of Human Resources are authorized and shall maintain official transcripts and current curriculum vitae of faculty. These documents are maintained in an Official Personnel File (OPF) in the Office of Human Resources which contains the following kinds of documents pertaining to employees:

- A. Application for employment;
- B. Biographical informational sheet;
- C. Official copies of transcripts certifying degrees and certificates received or documents certifying licenses received;
- D. Current resume or *curriculum vitae* (updated yearly during faculty evaluation period);
- E. Employment history at the University;
- F. Benefit plans in which the employee and dependents are enrolled;
- G. Record of annual leave, sick leave, and other leaves taken;
- H. Personnel action forms;
- I. Reports of disciplinary actions taken, including written reprimands, disciplinary probations, suspensions and terminations;
- J. Reports of grievance and appeals hearings;
- K. Performance evaluations; and
- L. Final actions related to promotion and tenure.

There is only one OPF for each employee. This file is stored in the Office of Human Resources where it is secured in a locked file cabinet. Confidentiality of all files is maintained and no anonymous materials can be placed in an official personnel file.

Employees must advise the Office of Human Resources and unit supervisors whenever there are changes in home address, marital status, number of dependents, or University insurance beneficiaries. Additional education or training should be entered into the employee's OPF within thirty (30) working days of the presentation of supporting documentation.

In compliance with the Americans with Disabilities Act, medical records and files covered by the Act and related information will be maintained separate and apart from the official personnel files, and access shall be limited as required by the Act.

#### **3.10.1 ACCESS TO PERSONNEL FILES**

Personnel files are confidential, containing sensitive information, and must be treated as such by University personnel. Employees will have access to their OPF during regular office hours. A request to review a file must be made in writing at least twenty-four (24) hours in advance, to the Director of Human Resources, and reviewed by appointment. Under no circumstances will the employee remove the OPF from the office, and access to the file will be in the presence of the director or a designee. Upon written request, employees have the right to one duplicate copy of all materials placed in their official files. After review, an employee may submit a letter of grievance challenging the contents of any material

found therein, that were included without the employee's knowledge.

In addition to the employee, only the President (or a designee), Provost and Vice President for Academic Affairs and Research, legal advisor to the University, dean, director/program coordinator, department head, and the director of Human Resources have access to the OPF without written notice to the employee. If information inside the file is pertinent to an official investigation, the Chief of Department of Public Safety may have access to OPF. Under no circumstances will the OPF be removed from the Office of Human Resources by the referenced persons, and access to the file will be in the presence of the Director of Human Resources or a designee.

If the official personnel file is duly subpoenaed in accordance with law, efforts will be made to notify the employee within twenty-four (24) hours of receipt of the subpoena by the Office of Human Resources. The University will comply with valid legal processes unless relieved of the obligation to do so by the court or other lawful authority. Unauthorized disclosure, securing unauthorized disclosure or receipt of unauthorized disclosure of the contents of any personnel file will be grounds for disciplinary action, including suspension or termination.

### ***3.11 EQUAL EMPLOYMENT OPPORTUNITY PROCEDURE***

Alabama Agricultural and Mechanical University is an equal opportunity employer and does not discriminate in employment, but rather is committed to the full compliance with all applicable federal, state, and local laws. All personnel actions will be administered in a lawful and nondiscriminatory manner, including recruitment, selection, assignment, classification, promotion, demotion, transfer, reduction-in-force, termination, determination of wages, conditions and benefits of employment, etc., will be administered in a lawful and nondiscriminatory method. An employee who has job-related concerns about treatment inconsistent with the University's equal opportunity procedure must immediately bring those concerns to the attention of his or her immediate supervisor and/or the Director of the Office of Human Resources/ Equal Employment Opportunity (EEO).

The University's policy is to ensure equal employment opportunity consistent with applicable federal, state, and local laws. The Director of Human Resources is responsible for coordination of all activities to ensure equal opportunity/affirmative action in all University programs and activities and for monitoring their effectiveness.

The University commits itself to the following:

- A. Ensuring that promotion decisions are in accordance with equal employment opportunity requirements by imposing only valid, job-related requirements for promotional opportunities;
- B. Ensuring that all personnel actions relating to compensation, benefits, transfers, terminations, training, and education are administered in a nondiscriminatory manner; and
- C. Ensuring that non-U.S. citizens employed by the University have legal proof of a right to work in the United States as indicated by an approved VISA or work permit.

The University's commitments are designed to meet nondiscrimination/equal employment opportunities in compliance with the following federal and state sources of legal obligation, as amended:

*Title VI and VII, Civil Rights Acts of 1964; Title IX, Education Amendments of 1972; the Rehabilitation Act of 1973 and 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; and the Alabama Constitution of 1901.*

### **3.12 HARASSMENT**

Alabama Agricultural and Mechanical University is firmly committed to providing an environment that is free of conduct that degrades employees and students. The University prohibits all forms of harassment and will thoroughly investigate complaints.

#### **3.12.1 SEXUAL HARASSMENT**

Sexual harassment is strictly prohibited in all forms. Sexual harassment includes unwelcome sexual advances, requests for sexual favors, and any verbal or physical conduct of a sexual nature when (1) submission to such conduct is explicitly or implicitly made a condition of an individual's employment or academic evaluation, (2) an individual submission to or rejection of such conduct is used as the basis for employment or academic decisions affecting such individual, and/or (3) such conduct that unreasonably interferes with an individual's work performance or creates an intimidating or hostile working or educational environment.

#### **3.12.2 COMPLAINT PROCEDURE**

An employee or student who believes that he or she has been the victim of harassment, as identified in sections 3.11 and 3.12, shall notify the Director of Human Resources/EEO within 30 working days of the incident. The notification may be oral or written; however, individuals are encouraged to submit written complaints.

When the complaint is received, the Director of Human Resources/EEO will contact the respondent (i.e. accused person) to advise him/her of the charges and the opportunity to make written response to the charge(s) within ten (10) working days of the date of the notification.

When the Director of Human Resources/EEO receives the respondent's response, the Director/EEO will investigate the charge(s), decide if harassment has occurred, and provide in writing a confidential summary of the complaint, the response, the facts of the investigation, and his/her written decision to the Provost and Vice President for Academic Affairs and Research.

The Provost will review all of the documents received, including any notes from interviews performed by the Director of Human Resources and will either concur or disagree with the Director of Human Resources findings. If the Provost concurs with the determination by Human Resources, the Provost will notify all parties included of the decision, and any disciplinary action, if needed, which may include dismissal. If the Provost disagrees with the determination by the Director of Human Resources, the entire file will be submitted to the Office of General Counsel, whose determination of whether the harassment occurred will be final. In any event, the Provost will notify all parties of the outcome and

impose any discipline. In certain instances, the accused may be entitled to termination hearings or the grievance process, if applicable.

### ***3.12.3 APPEALS ON DISCIPLINARY ACTIONS UNDER THE HARASSMENT PROCEDURE***

If a faculty member wants to appeal the decision of the Provost and Vice President for Academic Affairs and Research in terms of any disciplinary action taken, the faculty member may appeal the decision to the President. The President shall review the investigation file and recommendation to make a determination regarding the appeal. The President's decision is final.

### ***3.12.4 RELATIONSHIPS***

As used in Section 3.7.7, the term "faculty" or "faculty member" means all those persons (full- or part-time) serving the University in a teaching or research capacity. The University's educational mission is promoted by professionalism in faculty-student relationships. Professionalism is fostered by an atmosphere of mutual trust and respect. Actions of faculty that harm this atmosphere undermine professionalism and hinder fulfillment of the University's educational mission.

Amorous relationships, whether consensual or otherwise, between faculty members and students are prohibited when the faculty member has professional responsibility for the student, such as a student enrolled in a course being taught by the faculty member or whose academic work, including work as a research/teaching assistant, is being supervised by the faculty member. Any faculty who enters into a relationship in violation of University policy shall be subject to disciplinary action.

## ***3.13 ANTI-DISCRIMINATION POLICY***

Alabama Agricultural and Mechanical University conducts business without discrimination on the basis of race, color, gender, age, ethnic or national origin, religion, disability, and any other non-job related legally protected category. The University is committed to the goal of freedom from all forms of discrimination in its work and learning environment and to ensuring that individuals and groups are not disadvantaged because of non-job related characteristics.

The University is committed to maintaining an environment which is free from all forms of unlawful discrimination under applicable federal and state law. Such laws include but are not limited to the following enactments: Title VII of the Civil Rights Acts, the Equal Pay Act, and Age Discrimination in Employment Act, the Americans with Disabilities Act, the Pregnancy Discrimination Act, the Vocational Rehabilitation Act, and the Vietnam Veteran's Readjustment Act. Discrimination against students, staff, faculty, and members of the general public will not be condoned on University premises at any time.

## ***3.14 ANTI-NEPOTISM POLICY***

Alabama A&M University's Nepotism Policy operates in accordance with the State of Alabama's nepotism statute, mandating "No officer or employee of the state or of any state institution shall appoint, or enter a personal service contract with, any person related to him/her within the fourth

degree of affinity or consanguinity to any job, position or with any of its agencies.” Alabama Code, Section 41-1-5 (1975)

This statute applies to all Alabama A&M University employees and prohibits the permanent or temporary employment of an individual from the “immediate family” of a University employee who would have a “direct supervisory relationship” that may influence the “terms and conditions of employment” with the corresponding relative. Individuals who are related by blood, marriage, or reside in the same household are permitted to work in the same University department, provided no direct reporting or supervisor to subordinate relationship exists. That is, no employee is permitted to work within “the chain of command” when one relative’s work responsibilities, salary, hours, career progress, benefits or other terms and conditions of employment could be influenced by the other relative.

Alabama A&M University reserves the right to make corrective actions when conflicts of interest arise in violation of this policy.

Exceptions to this policy must be requested in writing to the Office of Human Resources. Exceptions may only be granted if a position can be structured to ensure no prohibited working relationship exists among family members.

#### **DEFINITIONS**

1. Immediate Family is defined to the “fourth degree of affinity or consanguinity” which includes spouses, children, parents, siblings, grandparents, grandchildren, aunts, uncles, first cousins, corresponding in-laws, “step” relatives, and any members of the University Employee’s household.
2. Direct Supervisory Relationship is defined by the direct influence on the “terms and conditions of employment” of a University employee.
3. Terms and Conditions of Employment include, but are not limited to, an employee’s work responsibilities, salary, schedule, career progress, benefits, performance evaluation, or other workplace factors.

## **SECTION 4. PERFORMANCE, PROMOTION, AND TENURE**

Alabama Agricultural and Mechanical University is committed to ensuring faculty and administrators perform at the level of excellence commensurate with its reputation as a leading land grant institution with a significant research, teaching, and service mission. The University recognizes the dynamic and changing nature of higher education and strongly promotes and provides an ongoing professional development of the faculty as teachers, researchers and scholars. As such, faculty members are expected to develop and carry out a plan for their individual professional development. This plan should be connected to the faculty members' annual performance objectives. All instructional faculty (adjunct, visiting, part-time, military sciences, etc.) will be evaluated for their teaching effectiveness by their program coordinator or department chair for the instructional period.

### ***4.1 ANNUAL COMPREHENSIVE EVALUATION OR APPRAISAL***

The University has established an instructional (annual or term) and research evaluation system. Each faculty shall be provided a Faculty Load Form every semester (fall, spring, and summer) which will be used by the program coordinator/department chair/unit administrator in the evaluation system. Individual performance goals and objectives will be used along with the respective programs/departments/units and institutional goals and objectives as the basis for this review process. An institutional evaluation instrument will be used to evaluate and document the level of performance achieved and the amount of any merit pay increase due. The evaluator will compare the adjusted semester assignment to the submitted Faculty Load Form. The comprehensive evaluation of faculty shall consist of application of the institutional evaluation instrument, course evaluations, and a self-assessment. All faculty/instructors, who teach courses for credit, will be evaluated for instructional performance. This includes adjunct, part-time, and Military Sciences personnel. The performance evaluation process shall be conducted as follows:

#### **A. Faculty**

The faculty will be evaluated/reviewed annually by the following instruments or entities:

1. Self-Assessment - Performance appraisal, appropriately documented (same instrument as chairs);
2. Department Chair and Peers - Performance appraisal, appropriately documented;
3. College Dean - The dean shall review and sign the faculty member's evaluation conducted by the chair. The dean may add comments to the evaluation but may not change or alter the chair's rating;
4. Students - Course instruction performance appraisal (fall, spring, and summer as needed), appropriately documented;
5. Pre and Post Tenure Review Process - for Tenured and Tenure-Track Faculty; and
6. Faculty Load Form - every semester, including summer.

#### **B. Administrative Faculty**

The administrative faculty will be evaluated annually:

1. The President will be evaluated by the Board of Trustees. At its discretion, the Board may request input from Vice Presidents, deans, program directors/coordinators, chairpersons, faculty and other constituents in the manner deemed appropriate by the Board.

2. The Provost and Vice President for Academic Affairs and Research and other Vice Presidents will be evaluated by the President. At the discretion of the President, input may be requested from deans, program directors/coordinators, chairpersons, faculty, and other constituents in a manner deemed appropriate.
3. The Associate Vice Presidents will be evaluated by the Provost and Vice President for Academic Affairs and Research.
4. Deans will be evaluated by Provost and Vice President for Academic Affairs and Research. At the discretion of the Provost, input may be sought from department chairpersons and faculty, appropriately documented.
5. Department chairs will be evaluated by the dean with input from the faculty.
6. Program directors/coordinators will be evaluated by their immediate supervisor.

Each of the above components will use the prescribed instruments and procedures established for such purpose.

## ***4.2 CRITERIA FOR ADMINISTRATIVE FACULTY EVALUATION***

The comprehensive evaluation of administrative faculty will take place annually and is due in the Office of the President or appropriate Vice President by July 1<sup>st</sup> each year. Annual evaluations are based upon an assigned set of written and measurable performance objectives developed annually between the employee and the supervisor at the beginning of the annual rating period. The following items provide the focus of evaluation at all levels;

1. Creativity in planning, budgeting, and organizing;
2. Implementing, monitoring, and assessing programs;
3. Leadership, interpersonal and communication skills;
4. Fairness, ethics, and integrity;
5. Assumption of responsibility;
6. Demonstrated long -term vision;
7. Productivity;
8. Resource development (i.e. grant writing);
9. Promotion of scholarship;
10. Faculty & staff development;
11. Student welfare;
12. Recruitment & retention;
13. Community services;
14. Accomplishment of specific tasks or assignments; and
15. Consultation with faculty before making important decisions.

### ***4.2.1 CRITERIA FOR FACULTY EVALUATION***

The comprehensive evaluation of each faculty member will take place annually and is due in the Office of Academic Affairs by May 15<sup>th</sup> of each year. Annual evaluations are based upon a set of written measurable performance objectives developed annually between the faculty member and his/her immediate supervisor at the beginning of the annual rating period. The criteria listed in the following paragraphs are to be used as guidelines for the evaluation process. Each of the components of the comprehensive evaluation process is designed to address various aspects of the criteria. Each faculty

shall be judged with respect to rank and duties, considering performance in the following areas:

- i. Teaching and instructional pedagogy, student advisement and mentoring, and recruitment and retention;
- ii. Research, presentations, performances, publications, art exhibits, or other creative works, grant writing and grant management, academic reviewing: (such as done for proposals and professional referred journals), and thesis and dissertation advising;
- iii. Service to the instructional unit, department, college, the University, public service and committee work related to academic expertise;
- iv. Professional Development: Faculty members are expected to develop and carry out a plan for their individual professional development. This plan should be connected to the faculty member's annual performance objectives; and
- v. Communication Skills: All faculty members are expected to communicate clearly and effectively in English. This includes oral and written communication. Such communication must be adequate to assist students in understanding course content and if skills are inadequate refer to Section 3.3.5.

In evaluating the faculty within these areas, reasonable flexibility should be exercised, balancing where the case requires, more demanding commitments and responsibilities in one area against less demanding commitments and responsibilities in another. Flexible weights should be established for each of the primary areas (teaching, research and service) totaling 100%. Each faculty is expected to be engaged in a program of work that is both sound and productive. In the case of a pre-tenure faculty, it is the responsibility of the immediate supervisor (in conjunction with the faculty member) to establish a program of work which will allow him/her to successfully negotiate the tenure process. All faculty members should collaborate with their immediate supervisor in establishing a program of work which will allow them to successfully negotiate the promotion and tenure processes. For example, faculty with heavy teaching load should seek release time through grant writing, research and service. Alternatively, faculty with heavy research or service release time should seek to develop or assume more teaching responsibilities.

#### **4.2.1.1 TEACHING**

Effective teaching is a criterion essential to advancement or the awarding of tenure. In evaluating the effectiveness of faculty teaching, criteria such as the following should be considered:

1. Command of the appropriate subject;
2. Continuous professional growth and development;
3. Ability to communicate effectively, organize materials and present with logic that facilitates learning;
4. Capacity to awaken in students an awareness of the relationship of the subject to other fields of knowledge;
5. The creativity, spirit, and enthusiasm which vitalize learning and teaching;
6. Ability to arouse curiosity and to stimulate creative work;
7. Personal attributes as they affect teaching and students;
8. The extent and skill of participation in the general guidance and advising of students;
9. Integration of appropriate technology, and
10. The ability to help students develop and use critical thinking skills.

It is the responsibility of the department chairperson and faculty to submit evidence of the



faculty's teaching effectiveness at lower-division, upper-division, and graduate levels of instruction commensurate with the faculty's assigned teaching responsibilities. No single set of satisfactory measures can be prescribed. The following are among the significant types of evidence of teaching effectiveness (not ranked ordered):

- i. Syllabi specific requirements (rubric/method of assessment, student learning outcome, course learning outcomes) as designated by the accrediting body;
- ii. Evidence of student learning and course outcomes;
- iii. When sought, peer evaluations, based on class visitations, or attendance at public lectures, or lectures before professional societies, or on the results of the faculty's teaching in courses prerequisite to those of other members of the department;
- iv. Student evaluations appropriately documented and accompanied by interpretative information;
- v. Development by the faculty of new and effective techniques of instruction and instructional materials, particularly when evidenced by acceptance at other universities;
- vi. Publications, presentations or creative works by the faculty on instruction within the appropriate discipline;
- vii. Recognitions or awards for distinguished teaching and related activities; and
- viii. Successful infusion of internationalization and technology into the instructional program.

#### **4.2.1.2 RESEARCH AND CREATIVE WORKS**

Evidence of productivity and creativity should be sought in the faculty's published research, presentations, performances, publications, artistic exhibits, architectural or engineering designs, plays, concerts, visual art, and electronic technology. Research and other creative accomplishments should be evaluated, not merely enumerated. There should be evidence that the faculty member is continuously and effectively engaged in creative activity of high quality and significance. Work in progress should be assessed whenever possible. When published work in joint authorship (or other product of joint effort such as concerts, plays, exhibits) is presented as evidence, it is the responsibility of the faculty member and department chair to establish as clearly as possible the role of the faculty in the joint effort.

Account should be taken of the type and quality of creative activity normally expected in the faculty's field. Appraisals of publications, reviews of creative works or other contributions in the scholarly and critical literature provide important testimony. Textbooks, reports, circulars, newsletters, booklets, quarterlies and similar publications normally considered evidence of teaching ability or public service should be considered creative work when they present new ideas or incorporate scholarly research.

In evaluating artistic creativity, an attempt should be made to define the faculty member's merit in light of such criteria as originality, scope and depth of creative expression. It should be recognized that distinguished performance, scholarly analysis, literature, art, music conducting, drama directing and dance choreography constitute evidence of a faculty member's creativity in research. Creative works require proof of quality in the evaluation by peers in the field. Some activities to consider in evaluating scholarly activities are as follows:

- A. Publications (printed or electronic documents)
  - a. Refereed journals

- b. Non-refereed journals and publications
- c. Published abstracts
- d. Published proceedings
- B. Oral or Poster presentations
  - a. Invited presentations
  - b. In-house technical seminars and workshops
- C. Grantsmanship
  - a. Proposals written and submitted
  - b. Proposals funded
  - c. Project reports to public agencies
- D. Academic Service
  - a. Reviewer of papers, proposals, and programs in academic field
  - b. Organized or moderated sessions at professional conferences
- E. Research Leadership
  - a. Project leadership
  - b. Graduate student advising

#### **4.2.1.3 SERVICE**

The faculty should play a vital role in the administration of the University at all levels and in the formulation of its policies. Recognition should, therefore, be given to scholars who contribute to the effectiveness of the University through significant committee work, who prove themselves to be able administrators, and who participate effectively and imaginatively in the Faculty Senate, and the formulation of departmental, college, and University policies.

Public service by members of the faculty to the community, state, and nation in their special capacities as scholars should likewise be recognized. Similarly, contributions to recruitment and retention of students, student welfare through service on student-faculty committees and as advisers to student organizations should be acknowledged.

The faculty's professional activities should be scrutinized for evidence of achievement and leadership in his/her field. The faculty should demonstrate new development or use of new approaches and techniques for the solution of professional problems. It is the responsibility of the individual faculty member and the department chairperson to provide evidence of the quality of the service rendered. Examples of the type of services are:

- i. Committee membership on departmental, college and University Committees;
- ii. Membership on Boards or Advisory groups;
- iii. Membership and leadership of professional organizations;
- iv. Organization and presentations at workshops, seminars, etc.;
- v. Membership on community awards, fund raising and activities committees;
- vi. Technical assistance to individuals, organizations and / or communities;
- vii. Recruitment and retention of graduate and undergraduate students; and
- viii. Faculty advisor of student organizations or activities.

### **4.3 FACULTY PROMOTION AND APPOINTMENT REQUIREMENTS**

Each applicant for promotion or appointment, including new faculty and administrative faculty

hires, must meet the minimum qualifications/requirements set for his/her respective rank.

#### **4.3.1 REQUIREMENTS FOR PROMOTION OR APPOINTMENT TO THE RANK OF ASSISTANT PROFESSOR**

An Assistant Professor must have the terminal degree within the discipline or closely related area or in those rare instances where the individual has achieved some professionally recognized eminence. The applicant must have met the relevant professional accrediting agency's faculty qualification standards, if any. The applicant must submit and provide the following:

- A. Letter of application by the candidate;
- B. Current *curriculum vita*;
- C. Earned doctorate or appropriate terminal degree diploma within his/her instructional discipline or a closely-related discipline from a recognized accredited University or significant evidence of professionally recognized eminence;
- D. Annual performance evaluations from department chairs, directors or equivalents, college and institutional review committees from the last three (3) years, if applicable;
- E. Active membership in learned society(ies) in area of specialization;
- F. Three (3) years of post-secondary teaching, research, and service experience at the Instructor level or above, a terminal degree in the discipline or closely related area and/or closely related academic experience, if applicable;
- G. Demonstrated proof of performance relevant to the discipline:
  - 1. Teaching competence;
  - 2. Service on University committees;
  - 3. Service to the community; and
  - 4. Research and/or grant writing.

#### **4.3.2 REQUIREMENTS FOR PROMOTION OR APPOINTMENT TO THE RANK OF ASSOCIATE PROFESSOR**

An Associate Professor must have the terminal degree in the discipline or closely related area or except in those rare instances where the individual has achieved significant professionally recognized eminence. The candidate must have met the relevant professional accrediting agency's faculty qualification standards, if any. The candidate must submit and provide documentation for the following:

- A. Letter of application by candidate;
- B. Current *curriculum vita*;
- C. Earned doctorate or appropriate terminal degree diploma within his/her instructional discipline or a closely-related discipline from a recognized accredited University or significant evidence of professionally recognized eminence;
- D. Annual performance evaluations from department chairs, directors or equivalents, college and institutional review committees from the last three (3) years, if applicable;
- E. Active membership in learned society(ies) in area of specialization;
- F. Five (5) years of post-secondary teaching, research and service experience at the Assistant Professor level or above or closely academically related experience, if applicable;
- G. A minimum of three (3) scholarly products (refereed, juried and/or peer reviewed) and/or competitively funded grants, where the applicant is Primary Author or Primary Investigator is required since the last promotion. Scholarly products include: publications in professional

and refereed journals, scholarly books, chapters in scholarly books, presentations at scientific/professional meetings, competitively funded research projects, juried creative works, and other activities related to high performance in one's discipline. Evidence of peer-review editorial policy for each of the papers must be provided. If the works are creative, evidence is required to demonstrate a juried process or significance in that field of endeavor.

H. Demonstrated proof of performance relevant to the discipline:

1. Teaching competence;
2. Service on University committees; and
3. Service to the community.

### **4.3.3 REQUIREMENTS FOR THE PROMOTION OR APPOINTMENT TO THE RANK OF PROFESSOR**

A professor must have the terminal degree in the discipline or closely related area or except in those rare instances where the individual has achieved professionally recognized eminence. The candidate must have met the relevant professional accrediting agency's faculty qualification standards, if any. A professor also must have demonstrated authoritative knowledge and achieved reputation in a recognized field of research or creative achievements; additionally, the professor must have maintained high levels of effectiveness in teaching and in service. The candidate's dossier must include and provide documentation for:

- A. Letter of application;
- B. Current *curriculum vita*;
- C. Earned doctorate or appropriate terminal degree diploma within his/her instructional discipline or a closely-related discipline from a recognized accredited University or significant evidence of professionally recognized eminence;
- D. Annual performance evaluations from department chairs, directors or equivalents, college and institutional review committees from the last three (3) years, if applicable;
- D. Active membership in learned society(ies) in area of specialization;
- E. Ten (10) years of post-secondary teaching, research and service experience at the Assistant Professor level or above or closely academically related experience;
- F. A minimum of five (5) scholarly products (refereed, juried and/or peer reviewed) and/or competitively funded grants, where the applicant is Primary Author or Primary Investigator is required since the last promotion. Scholarly products include: publications in professional and refereed journals, scholarly books, chapters in scholarly books, presentations at scientific/professional meetings, competitively funded research projects, juried creative works, and other activities related to high performance in one's discipline. Evidence of peer-review editorial policy for each of the papers must be provided. If the works are creative, evidence is required to demonstrate a juried process and high significance in the field of endeavor.
- G. Demonstrated proof of performance relevant to the discipline:
  1. Teaching competence;
  2. Service on University committees;
  3. Service to the community; and
  4. Significant contribution to field or discipline.

## **4.4 TENURE CRITERIA**

The American Association of University Professors (AAUP) states:

“Tenure is a means to certain ends, specifically, (1) freedom of teaching and research and of extramural activities, and (2) a sufficient degree of economic security to make the profession attractive to men and women of ability. Freedom and economic security, hence, tenure is indispensable to the success of an institution in fulfilling its obligation to its students and society”

Alabama Agricultural and Mechanical University concurs with this statement and believes that the granting of tenure must adhere to the highest levels of ethics, integrity, fairness and professionalism.

Alabama Agricultural and Mechanical University is a leading teaching, research, and extension University in the region, nation, and world. Tenure is granted to those faculty members who show evidence of substantial productivity, have met the relevant professional accrediting agency’s faculty qualification standards, if any, and who demonstrate the potential for continued performance and future growth. Eligibility for tenure shall be limited to those faculty members in tenure-track appointments at the rank of Associate Professor and above. A minimum of three (3) scholarly products, where the applicant is Primary Author or Primary Investigator is required since the last promotion or at the time of promotion to Associate Professor. Scholarly products include: publications in professional and refereed journals, scholarly books, chapters in scholarly books, presentations at scientific/professional meetings, competitively funded research projects, juried creative works, and other activities related to high performance in one’s discipline. Evidence of peer-review editorial policy for each of the papers must be provided. If the works are creative, evidence is required to demonstrate a juried process and high significance in the field of endeavor.

Newly hired faculty may be appointed with tenure but must meet the qualifications of Associate Professor and must have held tenure at a previous institution. New faculty may negotiate time toward tenure: up to a maximum of one (1) year for Associate Professor and three (3) years for Assistant Professor.

Tenure is based upon approval of the President, who is guided by the recommendation of the Provost and Vice President for Academic Affairs and Research and the University Promotion and Tenure Committee. Tenure must be granted before the end of the probationary period associated with the initial appointment as noted below.

**Probationary Period by Rank:**

<i><b>Rank</b></i>	<i><b>Probationary Period</b></i>
Assistant Professor	Six (6) Years
Associate Professor	Four (4) Years
Professor	Two (2) Years

The probationary period is designed to provide time for the faculty member to demonstrate a level of performance and productivity worthy of tenure. While faculty are encouraged to use the entire probationary period in preparing to apply for tenure, they may submit an application at any time during the probationary period, provided they meet the required criteria and the request is approved by the chair, dean, Provost and President. In extremely rare circumstances, the maximum probationary period may be extended upon written recommendation and justification requested by the dean and the department chair. Such requests must be submitted prior to the tenure and promotion application procedure dates and approved by the Provost and Vice President for Academic Affairs and Research. The written

justification must demonstrate that the faculty member has made clear progress in teaching, research and other areas of appropriate scholarly or creative productivity. Extension of the initial probationary period shall be for no more than a maximum of two (2) years. Applicants for tenure must meet the employment requirements set forth for each rank in addition to the specific performance criteria established by each college. If a faculty member does not wish to apply for tenure they must make a formal written request to their department chair before the tenure probationary period concludes to be placed on non-tenure track status. The request is subject to the approval of the Provost and Vice President of Academic Affairs and Research based upon a written request with clear rationale and strong justification from the chair and dean, if they concur. If not, the chair and/or dean shall communicate their decision to the applicant. After the probationary period has concluded the faculty member will be evaluated based upon his/her tenure application.

#### **4.4.1 TENURE AND PROMOTION APPLICATION PROCEDURES**

The Office of the Provost and Vice President for Academic Affairs and Research is responsible for providing written notice to those individuals who are required to apply for tenure during the next academic year. This notice will be provided no later than May 15<sup>th</sup> of the academic year preceding the year they must apply for tenure.

The application for tenure, promotion, or both concurrently must be submitted using the established Tenure and Promotion Application Form and must adhere to the following steps and time lines in the following chart (Figure 1):

<b>Promotion and Tenure Time Line</b>	
Provost notifies candidates required to apply for tenure or promotion process	May 15 <sup>th</sup> *
Candidates submit applications/ materials to the Department Promotion and Tenure Committee	August 31 <sup>st</sup>
Department Promotion and Tenure Committee and chair's evaluation submitted to the College Promotion and Tenure Committee	September 15 <sup>th</sup>
University Promotion and Tenure Committee will be convened and charged by the Provost	October 1 <sup>st</sup>
College Promotion and Tenure Committee and dean's evaluation submitted to Office of Academic Affairs and the University Promotion and Tenure Committee along with candidates' application materials and college/department criteria	October 15 <sup>th</sup>
Provost will release the applications to the University Promotion and Tenure Committee	November 1 <sup>st</sup>
University Promotion and Tenure Committee forwards recommendations to the Provost and Vice President for Academic Affairs and Research	February 1 <sup>st</sup>
Provost submits recommendation to President	March 15 <sup>th</sup>

Applications that were not recommended by the University Promotion and Tenure Committee and/or the Provost and/or President will be notified	April 14 <sup>th</sup>
Applicants with denied requests may submit to the University Appeals Committee	April 30 <sup>th</sup>
University Appeals Committee's recommendation submitted to the President	May 15 <sup>th</sup>
Applicants notified of final decision	May 30 <sup>th</sup>
* Year preceding final probationary year	

**Figure 1: Promotion and Tenure Time Line Chart**

Note: Applicants may withdraw an application for promotion at any time in the process.

#### **4.4.2 DEPARTMENTS AND COLLEGES**

Each academic department shall develop explicit qualitative and quantitative performance criteria specifying the standards which must be met for tenure and promotion at each rank. These criteria should reflect consistency with disciplinary standards, the relevant professional accrediting agency's faculty qualification standards, if any, and must include specific performance elements in the three areas of faculty responsibility: teaching, research and service. In preparing an application for tenure or promotion, applicants must meet these criteria as well as those outlined in other sections of this Handbook. Applicants should develop, in consultation with the chair and dean, weights for each of the three areas of faculty responsibility, teaching, research, and service. The cumulative value of these weights should equal 100%. Each faculty member should consult with his/her department chair in determining the weights for each category (teaching, research, and service); consideration for the mission of the University and department must be given in determining these values. Final approval of these rests with the dean and Provost and Vice President for Academic Affairs and Research. As the application for promotion and/or tenure proceeds through the process from the department to the dean's office to the Office of Academic Affairs to the President's office, the evaluations and assessments by all reviewers at each level of review must accompany it. Thus, evaluations and assessments done by all committees, the department chair, dean, and Provost must be available at each successive level including the President, who makes the final decision on all promotion and tenure.

A. The application forms for tenure and/or promotion may be requested from the department chair, the dean, or the Office of Academic Affairs. A sample form is included in the Appendix.

B. Each department must establish a Promotion and Tenure Committee. This committee must consist of a minimum of three (3) full-time faculty members. Only tenured faculty at the rank of Associate Professor or above are eligible to serve on the committee. The department chair solicits nominations and faculty within the department vote for the committee members. In small departments, where there are insufficient faculty who meet the criteria for serving on this committee, qualified faculty from a closely related discipline may be utilized. Applications are submitted first to the departmental committee which reviews the application materials for promotion and tenure and forwards its recommendation to the department chair.

C. Each college must establish a Tenure and Promotion Committee. This committee must consist of a minimum of five (5) full-time faculty members. Only tenured faculty at the rank

of Associate Professor or above with at least five (5) years of service to the University are eligible to serve on the committee. The dean of each college solicits nominations of faculty within his/her college and the Faculty Senate Representatives from the college to conduct an election for committee members.

D. No administrator, current applicant or family member of an applicant should serve on a Promotion and Tenure committee at any level to review the application.

E. Faculty members cannot serve on Promotion and Tenure or Appeals Committees at different levels (department, college, University) during the same academic year.

#### **4.4.3 UNIVERSITY PROMOTION AND TENURE COMMITTEE**

This committee shall be composed of twelve (12) tenured full-time faculty members at the rank of Associate Professor or above with at least five (5) years of service to the University who meet the relevant professional accrediting agency's faculty qualification standards, if any. No chairperson, dean, associate dean, director, administrator or applicant or family member of an applicant for promotion or tenure may serve on this committee. The faculty from each college will elect two members to the University Promotion and Tenure Committee. Each college must have two representatives serving at all times. Service will be for a term of no more than two consecutive years. In addition, two at-large members shall be selected by the Faculty Senate and each will serve for a term of one year.

A. The chairperson of the University Promotion and Tenure Committee will be elected each year by vote of the members of the committee. A quorum consists of seventy-five (75) percent of committee membership who must be present for conducting of business.

B. In evaluating the application materials of a candidate for tenure or promotion, each member of the committee is expected to review the candidate's complete application packet and the evaluations and assessments by the departmental committee, the college committee, the chair and the dean. These documents should be used as the basis upon which the committee's evaluation and recommendations are to be made.

C. The recommendations of the University's Promotion and Tenure Committee shall be the result of a vote by a quorum of the committee. A favorable vote by 75% or more of the quorum will be required for promotion or tenure. The Committee's recommendation will include the final vote and a detailed narrative of the rationale used to support the decision as it relates to the established college criteria. The Committee's recommendation will be made to the Provost and Vice President for Academic Affairs and Research. The Provost will review these and make a recommendation to the President.

#### **4.4.4 OFFICE OF THE PROVOST AND VICE PRESIDENT FOR ACADEMIC AFFAIRS AND RESEARCH**

A. The Office of Academic Affairs will not accept applications which have not followed the procedures outlined in Section 4.4.

B. Applicants who have applied for tenure during the year prior to the termination of their probationary period and do not receive a favorable decision shall be notified in writing of the basis for this decision and given a one-year terminal notice. These individuals may appeal this denial by following the Promotion and Tenure Due Process procedures contained in section 4.6 of this Handbook.

C. Applicants receiving a favorable promotion or tenure decision will be notified of this in writing and will have such notification placed in their official personnel files.



## 4.5 ADDITIONAL TENURE GUIDELINES

- A. A faculty member may apply for tenure and promotion in the same year. The tenure application will be considered first, unless applying for promotion to Associate Professor, at which time promotion is first. If tenure is denied, the promotion application will not be considered.
- B. Non-tenure track faculty are not eligible for tenure.
- C. If the applicant's documentation is determined to be incomplete at the department level or does not contain the minimum requirements as stipulated by the criteria stated in this Handbook, the department promotion and tenure committee chair should advise the dean and Provost of this determination and notify the candidate in writing of what is missing. The candidate will have one (1) week to submit the missing materials. Failure to meet this deadline will result in a decision being rendered on the materials as submitted and no additional documents will be accepted.
- D. A faculty member who applies and receives promotion in rank during his/her initial probationary period must still apply for and receive tenure by the end of the original period unless an extension of the probationary period is approved by the Provost and Vice President for Academic Affairs and Research.
- E. Tenure track faculty must maintain a fifty percent teaching load during their probationary period and maintain a departmental home in the academic program unit.

### 4.5.1 REQUIREMENTS FOR TENURE

In addition to meeting the criteria for tenure established by each academic college, an application for tenure must include at a minimum the following:

- A. A letter of application;
- B. At least two letters of recommendation;
- C. The weights given to each of the three areas of faculty responsibility (teaching, research and service (extension));
- D. A current *curriculum vitae*;
- E. Verification of years of service and probationary period by the Office of Human Resources;
- F. Documentation of continuous membership in a professional learned society to include the last three (3) years at a minimum;
- G. Teaching/Advisement Portfolio containing:
  - 1. Course syllabi reflecting student learning outcomes and course objectives, faculty evaluations, and student evaluations for all courses taught from the last three (3) years;
  - 2. Demonstration of the use of innovative pedagogical methods and materials such as development of new courses, infusion of technology into the instructional program, major revision and updating of courses to reflect changes in the field;
  - 3. Proof of attendance at professional development activities designed to improve teaching effectiveness;
  - 4. Proof of student advisement and mentoring practices;
  - 5. Assessment of student learning and efforts to modify courses based on these results.
- H. A minimum of three (3) scholarly products (refereed, juried and/or peer reviewed) and/or competitively funded grants, where the applicant is Primary Author or Primary Investigator within the probationary period. Scholarly activities include publications in professional and refereed journals, scholarly books, chapters in scholarly books, presentations at scientific/professional meetings, funded research projects, juried creative works, and other activities related to high performance in one's discipline. Evidence of peer-reviewed

editorial policy for each of the papers must be provided. If the work is creative, evidence is required to show they were juried or highly significant in the field of endeavor; and

I. Evidence of having made a contribution to the University through service as outlined in Section 4.2.1.3. This may include, but is not limited to, serving as a member or as chair of various committees or in any administrative role at the University, chairing of graduate thesis/dissertation committees, serving on student advisory committees, or as a mentor for student research.

## ***4.6 PROMOTION AND TENURE DUE PROCESS***

Recommendations on the awarding of promotion or tenure are vested in the faculty through a comprehensive and collegial peer review process. While the faculty who serve on the committees reviewing tenure and promotion matters are provided absolute discretion in making recommendations to the Provost and President, it is expected that adherence to the established criteria for such decisions and the rights of individual faculty will serve as the foundation for these decisions. Tenure is reserved as an earned privilege of faculty who meet or exceed prescribed performance criteria.

The Promotion and Tenure Due Process procedures are a separate and distinct review from that of the grievance procedures outlined in Section 6.5 of this Handbook. Applicants denied promotion or tenure may only appeal such decisions by following the procedures contained in Section 4.6. Applicants must submit a formal letter of appeal to the Provost and Vice President for Academic Affairs and Research following the timeline as outlined (4.4 Promotion and Tenure Timeline). The appeal letter must specify the factors upon which the appeal is based. Applicants who intend to file a promotion or tenure appeal may under no circumstances remove their application materials from the Office of Academic Affairs, nor are they permitted to add/remove or alter any materials.

Violation of these requirements voids the appeal process and will result in the original decision remaining in effect.

### ***4.6.1 APPEAL PROCESS***

The University Promotion and Tenure Appeals Committee will evaluate the applications that are denied by the President.

The appeals committee's deliberations may include review of the original application materials, recommendations of the University committee, the college committee, the department committee, the chair, and dean but will focus only on the material related to the denial of the application. The scope of the review may consider both procedural and substantive matters related to the applicant's materials submitted for approval.

The recommendation of the University Promotion and Tenure Appeals Committee will be forwarded to the President. The appeal process must be conducted in a timely manner and will be in accordance with the timeline as stated in section 4.4 Promotion and Tenure Timeline. The decision of the President is final.

## 4.7 PRE-TENURE REVIEW

In keeping with the mission of the University to ensure excellence in the areas of teaching, research and service, the following process for pre-tenure review has been established. The pre-tenure review process is designed to assist new tenure track faculty in determining their progress and preparedness toward earning tenure and to assist them in identifying deficiencies in their performance that must be addressed prior to applying for tenure. Pre-tenure review will be advisory in nature; therefore, the findings of the pre-tenure review committee will not be subject to appeal by the faculty. The faculty member will have the right to submit a response to such findings if he or she disagrees with the content of the report.

Faculty subject to pre-tenure review hold probationary appointments at the rank of Assistant Professor, Associate Professor, and Professor in tenure-track positions. Pre-tenure review will take place at the end of the probationary period for that position. Once an applicant begins the pre-tenure review process he/she is unable to be transferred to the non-tenure track. If an individual desires to not be in a tenure-track position he/she must submit a request to his/her chair before the beginning of the pre-tenure review process. The chair should request approval by the dean and Provost before beginning the pre-tenure review process. As applicable the pre-tenure review committee is composed of the same individuals as the promotion and tenure committee at the department level.

### Process

1. At the beginning of the last designated probationary academic year (Assistant in 3<sup>rd</sup> year, Associate in 2<sup>nd</sup> year, Professor in 1<sup>st</sup> year), but not later than May 15<sup>th</sup>, the Provost and Vice President for Academic Affairs and Research will generate a list of all tenure-track faculty members who must undergo a pre-tenure review. Such a list will be made available to all deans and department chairs who have faculty in their unit who must undergo the review. The Office of Academic Affairs will also notify all faculty who must undergo this review process.
2. The pre-tenure review process must be conducted in a timely manner and will follow the timeline in Section 4.4.
3. The pre-tenure review portfolio will contain the following materials:
  - A. Letter of application;
  - B. Evaluation or comments, from department chair, departmental review committee(s), college review committee(s) and dean
  - C. The weights given to each of the three areas of faculty responsibility (teaching, research and service);
  - D. A current *curriculum vitae*;
  - E. Documentation of continuous membership in a professional learned society to include the last three (3) years at a minimum;
  - F. Teaching/Advisement Portfolio Containing:
    - a. Course syllabi reflecting student learning outcomes and course objectives, faculty evaluations, and student evaluations for all courses taught from the last three years;
    - b. Demonstration of the use of innovative pedagogical methods and materials such as development of new courses, infusion of technology into the instructional program, major revision and updating of courses to reflect changes in the field;
    - c. Proof of attendance at professional development activities designed to improve teaching effectiveness;

- d. Proof of successful student advisement and mentoring practices; and
  - e. Assessment of student learning and efforts to modify courses based on these results.
- G. A minimum of three (3) scholarly products (refereed, juried and/or peer reviewed) and/or competitively funded grants, where the applicant is Primary Author or Primary Investigator is required since the last promotion. Scholarly products include: publications in professional and refereed journals/proceedings, scholarly books, chapters in scholarly books, presentations at scientific/ professional meetings, competitively funded research projects, juried creative works, and other activities related to high performance in one's discipline. Evidence of peer-review editorial policy for each of the papers must be provided. If the works are creative, evidence is required to demonstrate a juried process and high significance in the field of endeavor. Must evidence significant progress toward meeting the criteria; and
- H. Evidence of having made a contribution to the University through service as outlined in Section 4.2.1.3. This may include but is not limited to serving as a member or as chair of various committees or in any administrative role at the University, chairing of graduate thesis/dissertation committees, and serving on student advisory committees or as a mentor for student research.

The pre-tenure review committee will evaluate the faculty members' performance in the areas of teaching effectiveness, professional activities, research and service in keeping with the specific quantitative criteria established by the department or college. Once the committee completes its assessment a report is generated. The pre-tenure review process will conclude at the dean's level and the deans will process a report to the Provost. There will be a written response to the faculty of the findings by the dean and any further recommendations will be prepared by the dean in conference with the department chair. There is no appeal process for pre-tenure review.

#### ***4.8 POST-TENURE REVIEW***

The purpose of the post-tenure review (PTR) process is to ensure continuous professional enhancement of the tenured faculty in teaching, research, and service, as well as aid those faculty members with unsatisfactory performance. PTR is mandatory whenever a tenured faculty member receives an annual evaluation of unsatisfactory performance, to include professional competence, or contributions to the department, college, and University mission and/or priorities. PTR will be applicable to all tenured faculty members with the exception of senior administrators (dean and above), who hold tenured faculty positions in addition to their administrative rank. PTR is a natural extension of the university's process of annual faculty evaluation as specified in section 4.1. PTR requires tenured faculty to undergo a more comprehensive review. The Provost and Vice President for Academic Affairs and Research in consultation with the deans and chairpersons will monitor and implement the comprehensive review mechanism. Comprehensive post-tenure review evaluates the quantity and quality of a tenured faculty member's performance in teaching, research, and service at Alabama Agricultural and Mechanical University for the preceding three years. The criteria for appraisal should reflect the overall mission of the department, college and University, applied in a manner that protects first-amendment rights and guarantees academic freedom of the tenured faculty. The academic discipline in calibration with the respective college set the criteria for the comprehensive PTR.

## Process

1. Immediately after the annual evaluation of unsatisfactory performance, it is the department chair's responsibility, in consultation with the dean of the respective college, to notify in writing the faculty member and the Office of the Provost and Vice President of Academic Affairs and Research that a comprehensive review is required. Failure to provide this notification does not negate the requirement for comprehensive PTR.
2. Upon receipt of this notification, the Office of the Provost and Vice President of Academic Affairs and Research must inform the tenured faculty member by May 15th to prepare a review packet for the University's PTR Committee. The PTR Committee is composed of the same individuals that serve on the University's Promotion and Tenure Appeals Committee. The timeline will follow the Promotion and Tenure Timeline as seen in Section 4.4.1.
3. The PTR portfolio prepared by the tenured faculty must include the following items:
  - a. Annual evaluation by the department chair for the previous three (3) years.
  - b. A current *curriculum vitae*.
  - c. A summary of specified plans, teaching, research and service goals and objectives, and accomplishments during the faculty member's past three years at Alabama Agricultural and Mechanical University.
  - d. A letter of evaluation from the department chair that describes the teaching, research, and service assignments of the faculty member during the review period and evaluates the satisfactoriness of the faculty member's overall performance of the assigned work. The letter should consider and reflect the viewpoints of all tenured faculty of the department. Prior to the preparation of this letter, the department chair is to make available to all tenured faculty members in the department for their review items 1 through 3, to inspect these documents.
4. The members vote by secret ballot whether or not the faculty member under review is discharging satisfactorily his/her academic responsibilities. The faculty member under review is to be informed of the results of the vote. The quantified outcome should be included in the department chair's letter
5. The post tenure review portfolio will contain the following materials:
  - A. Evaluation or comments, from department chair and dean
  - B. The weights given to each of the three areas of faculty responsibility (teaching, research and service);
  - C. A current *curriculum vitae*;
  - D. Documentation of continuous membership in a professional learned society to include the last three years at a minimum;
    1. Teaching/Advisement Portfolio Containing; 1. Course syllabi reflecting student learning outcomes and course objectives, faculty evaluations, and student evaluations for all courses taught from the last three years;
    2. Demonstration of the use of innovative pedagogical methods and materials such as development of new courses, infusion of technology into the instructional program, major revision and updating of courses to reflect changes in the field;
    3. Proof of attendance at professional development activities designed to improve teaching effectiveness;
    4. Proof of successful student advisement and mentoring practices; and
    5. Assessment of student learning and efforts to modify courses based on these results.

E. Research: A minimum of two (2) scholarly products (refereed, juried and/or peer reviewed), where the applicant is Primary Author or Primary Investigator is required since the last promotion. Scholarly products include: publications in professional and refereed journals/proceedings, scholarly books, chapters in scholarly books, presentations at scientific/professional meetings, competitively funded research projects, juried creative works, and other activities related to high performance in one's discipline. Evidence of peer-review editorial policy for each of the papers must be provided. If the works are creative, evidence is required to demonstrate a juried process and high significance in the field of endeavor;

F. Service: Evidence of having made a contribution to the University through service as a member or as chair of various committees or in any administrative role at the University, chairing of graduate thesis/dissertation committees, and serving on student advisory committees or as a mentor for student research. Evidence of service to one's profession, the public or the community; and

G. Professional Goals: The faculty member's professional goals for the next five years, including but not limited to, goals in the areas of teaching, research and service.

### **Outcomes**

1. The University PTR Committee (University Promotion and Tenure Appeals Committee) shall provide the faculty member with a written report of its review stating whether his/her achievement is deemed to be adequate. The report must also be provided to the Provost and Vice President of Academic Affairs and Research, dean and department chair.
2. The faculty member whose performance is assessed to be inadequate by the University PTR committee must create a twelve-month development plan by the start of the second year. The plan must be approved by the department chair and dean and implemented immediately. The development plan must have specific, quantifiable goals and objectives that can be reasonably achieved during that period. Progress will be reviewed and assessed after twelve months using the procedure described in item 3 below.
3. The faculty member will prepare a report summarizing his/her progress on achieving the goals specified in item 2 above and forward it to the Provost by April 30<sup>th</sup>, through the department chair and dean. The department chair and dean will jointly review and prepare a report that is also submitted to the Provost. If the Provost decides that sufficient progress has been made, the faculty member shall be deemed to have completed the post-tenure review process.
4. If measureable and acceptable progress is not met by the end of the second year, applicants will be placed in a non-tenure track position and subject to University policies and procedures as applicable to non-tenure track members. The faculty has the opportunity to appeal this decision using the University appeals process or grievance process.

## **SECTION 5. FACULTY RIGHTS AND RESPONSIBILITIES**

### **5.1 PROFESSIONAL ETHICS**

The University has adopted the following statement of professional ethics as published and adopted by the American Association of University Professors (AAUP) in paraphrased and updated form.

- a. Faculty, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities of their position. The primary responsibility is to seek and to state the truth as they see it, and develop and improve scholarly competence. Faculty accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge, always practicing intellectual honesty. Although faculty may follow subsidiary interests, these interests must never seriously hamper or compromise freedom of inquiry.
- b. As teachers, faculty encourage the free pursuit of learning in the students, holding before them the best scholarly standards of the discipline. This includes demonstrating respect for the student as an individual and adhering to the proper role as intellectual guide and counselor. Faculty make every reasonable effort to foster honest academic conduct and to assure that the evaluation of students reflects their true merit. They must respect the confidential nature of the relationship between professor and student which is mandated by the Family Educational Rights and Privacy Act (FERPA) (20 USC s. 1232G). Any violation of FERPA will result in disciplinary action. Faculty must avoid any exploitation of the students.
- c. As colleagues, faculty have obligations that derive from common membership in the community of scholars and respect and defend the free inquiry of associates. In the exchange of criticism and ideas, faculty show due respect for the opinions of others, acknowledge academic debts, and strive to be objective in professional judgment of colleagues. Academicians accept their share of responsibilities for the governance of the institution through active participation.
- d. As members of the institution, faculty seek above all to be effective teachers and scholars, observing the stated regulations of the institution as articulated in this handbook, provided they do not contravene academic freedom. Faculty determine the amount and character of the work done outside the institution with regard to the paramount responsibilities within it. When considering the interruption or termination of services, the effect upon the program of the institution will be recognized and due notice of intentions will be given. In addition, the University recognizes that the faculty member's conduct off the campus may impact or reflect upon the reputation, integrity and mission of the University and expects the faculty member to pursue conduct at all times with honesty and integrity and with due regard for the impact of such conduct upon the institution.
- e. As members of the community, faculty have the rights and obligations of any citizen, measuring the urgency of these obligations in the light of responsibilities to subject, students, the profession, and the institution. As private persons, faculty avoid the impression of speaking or acting for the University. As citizens engaged in a profession that depends upon freedom for its health and integrity, this including a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

### **5.2 SALARY SCALES AND INCREASES**

The University will remunerate its employees adequately and competitively within the limitation

of State appropriations and other financial resources. The University's policy is to maintain a salary scale reflecting ranges for each rank and tier, see Appendix. The salary scale takes into consideration factors including, but not limited to educational training, discipline, market factors, expertise, productivity and performance. The University strives to provide competitive compensation with other comparable universities in the region. The salary scale is a reference tool only.

Compensation and policies must be reconciled with budgetary constraints, availability of funds, financial status of the University, and budgetary action of the Board of Trustees. Initial salaries established within each range of the scale will consider overall evaluation of credentials, nature of assignment, and prevailing demand for the specialty.

Cost-of-living increases may be implemented at the beginning of each academic year, based upon the availability of funds. Salary increases are based upon promotion, merit, additional responsibilities and/or years of service in that particular rank. If an employee is given duties additional to those of an assigned position on an interim basis, a salary supplement may be given, if approved by the Provost and Vice President for Academic Affairs and Research.

**Doctorate Degree:** Upon receipt of the doctorate or terminal degree in the teaching discipline at an accredited Carnegie ranked doctoral degree granting institution, faculty salary will be reviewed to ensure competitiveness and will be adjusted accordingly. International degree granting institutional degrees will be verified by the Office of the Provost and Vice President for Academic Affairs and Research for validity and specifications.

**Faculty Promotions:** Employees receiving promotions will receive an increase in salary at the beginning of the next academic year following the actual receipt of the promotion and such salary increase shall not be applied retroactively. The increase by rank will be in accordance with the prevailing basic salary scale. The promotion scale is a reference tool only. Nevertheless, the following minimum adjustments will apply:

Instructor—Assistant Professor	\$1,500.00
Assistant Professor—Associate Professor	\$3,000.00
Associate Professor—Professor	\$5,000.00

### ***5.2.1 MERIT OR INCENTIVE PAY***

Merit or incentive pay may be granted to a faculty when the performance of the faculty is clearly demonstrated and documented to warrant such pay. The faculty's evaluation forms and supporting documentation shall be the basis for merit/incentive increases.

The University will establish the lower and upper ranges for merit/incentive increases. The determination and recommendation of appropriate increases for each faculty for merit/incentive pay will be determined by a University wide committee. A process to guide the determination of merit pay increases will be established and will be implemented after approval by the President.



### **5.2.2 FACULTY RESEARCH INCENTIVE PROGRAM**

**Program Overview:** The proposed Faculty Research Incentive Program is proposed to enhance and increase proposal writing and external funding at Alabama Agricultural and Mechanical University.

**Rationale:** Substantial increases in extramural funding have been reported in several Universities that adopted a "Faculty Incentive Pay" program. The incentive motivates faculty members to apply for additional extramural funding to supplement their base salary. In turn, more funding in the area of indirect costs are received by the University, faculty educate more students, generate more publications, and elevate the overall grant productivity of the institution.

**Purpose and eligibility:** This program is the mechanism by which the University may provide incentive payments to faculty who are effective in securing extramural funding. All full-time faculty with rank and status as defined in the Faculty Handbook (sections 3.2 and 3.3) are eligible for the program. The program is in addition to and complements existing summer salary policies and procedures for nine (9) months faculty. The salary support must be derived from grants/contracts for research and scholarly activities that have been routed and approved by the official University processes established by the Office of Research and Sponsored Programs.

**Provisions:** Incentive payments are contingent upon the faculty member meeting the eligibility requirements and complying with the terms and conditions of the program. Incentive payments, cumulatively, shall not exceed one-third (33.3%) of the faculty member's institutional base salary per calendar year and shall not exceed ten (10%) of the indirect cost from a single grant/contract. Payments shall be subject to applicable withholding and issued in adherence to all prevailing laws and policies.

**Terms and Conditions:** Participants must comply with the following terms and conditions in order to receive incentive payments:

- The faculty member must exhibit satisfactory performance in all assigned duties as determined by his or her chair and dean, including good fiscal and administrative management of all extramural funds for which he/she is principal investigator or co-principal investigator and completion of necessary reports in a timely manner.
- The program funding applies only to grants/contracts for research and scholarly activities that allocate funding for indirect costs.
- Incentive payments shall not modify the faculty member's institutional base salary.
- Participation in the program is voluntary and is not mandated upon either the faculty member or the University. Participation is not an entitlement but may be made available to eligible faculty members when both the University and the faculty member determine that it is in their mutual best interests to do so. Availability of any payments under the program is subject to the Federal laws, regulations or policies.

**Incentive pay calculation:** Incentive pay is calculated to be not in excess of 33.3% of a faculty member's calendar salary. The incentive pay salary is up to 10% indirect costs from a single

grant/contract. If there are CO-Primary investigators, the distribution of incentive pay shall be recommended by the Primary Investigators and approved by the chair.

Example: Two faculty members (PI and Co-PI) are awarded an external grant of \$500,000 for a three-year period. The indirect costs were calculated at 30% (e.g. \$150,000 total or \$50,000 per year). Ten percent (10%) of the indirect cost per year is \$5,000, thus the total potential incentive pay is \$5,000. Each faculty member earns \$100,000 for his/her nine (9) months academic contract, subsequently he/she could earn up to \$133,000 for his/her nine (9) months period. If the PI and Co-PI divided the incentive equally, the \$2,500 each would be well below the 33% cap (in this case \$33,000) in incentive, supplemental and/or overload pay he or she is eligible to earn.

Disbursement of incentive payments: At least two weeks before the start of the anticipated initiation of the grant, the faculty member shall inform the chair on his/her intentions to initiate the incentive pay program (Appendix 1). The department chair confirms the eligibility requirements, approves of the request, and recommends approval to the dean and the Provost and Vice President for Academic Affairs and Research.

### **5.3 OUTSIDE BUSINESS AND EMPLOYMENT**

The faculty's responsibility to the University includes not only assigned duties, but also such activities as student counseling and advising, committee work, performance of scholarly activities, and continued professional development; therefore, business or employment that infringes upon the faculty's ability to carry out the terms of his/her employment and/or constitute a conflict of interest with the University is prohibited. Faculty are required at the beginning of the academic year or as changes occur in external employment are required to submit University forms regarding external employment.

The University recognizes that outside services of a professional nature are generally strengthening and enhancing to the faculty and contribute to the University's obligation of providing service to the public. The University, therefore, approves of reasonable involvement of its faculty's activities paid or unpaid, which are consistent with their primary responsibilities to the institution. In reference to outside employment, faculty must abide by the following guidelines:

- A. Such business or employment shall in no way conflict with teaching assignments or other duties and responsibilities of the faculty member.
- B. Faculty members shall not manipulate their normal work schedules, assignments or duties to accommodate outside business, employment or consulting;
- C. Faculty members may not utilize any University resources, equipment, and/or personnel in the performance in the operation of their outside business or employment;
- D. Faculty members may engage in consulting activities, up to five (5) working days per academic semester; and
- E. All members of the faculty including administrative faculty are required to disclose all outside business, employment and consulting activities, and must provide basic information concerning the identity of the employer, nature of business or employment, and hours worked. Failure to disclose all outside business or employment or consulting activities will

result in disciplinary action.

#### ***5.4 APPOINTMENT WITH FEDERAL, STATE AND LOCAL GOVERNMENT***

Faculty of Alabama Agricultural and Mechanical University may hold office or position with agencies, boards, commissions, and other entities of the State of Alabama, including its political subdivisions and the United States, provided the holding of such offices or positions is not in conflict with the faculty's position with the University. The President should be notified through channels of the appointment or election. It is expected that these positions will require minimum time away from University assignments.

#### ***5.5 POLITICAL ACTIVITIES***

Faculty of the University are eligible to hold political office. No prior approval is necessary for holding public office. Reasonable arrangements may be made in the faculty's work schedule to accommodate participation in political office-holding.

Faculty are authorized to engage in political activity subject to the following conditions:

- A. No University faculty may seek or hold public office and remain in the employment of the University if such activities would or could result in a conflict of interest, or interfere with the proper performance of a faculty's duties to the University;
- B. No University faculty may publicly support any political candidate, entity, campaign, program, or action unless it is clearly indicated that such actions represent a personal standpoint and not the University;
- C. No University faculty may use any property of the institution, such as transportation, stationery, telephone, etc., in support of a political candidate;
- D. Political activity on the part of University faculty must comply with all state and federal laws, including the Hatch Act, and all other policies of Alabama Agricultural and Mechanical University; and
- E. University faculty desiring to seek election to public office while retaining their faculty status with the University must make their intentions known to their supervisor or department head and gain appropriate approval where such activity will require absences from their duty during the normal work hours.

#### ***5.6 TEACHERS' RETIREMENT***

At the present, all University faculty are required by law to become members of the Teachers' Retirement System of Alabama. For retirement purposes, faculty may accumulate and count toward their retirement up to 225 days of sick leave. Employees are required to contribute a percentage of their total annual salary to the Retirement System as determined by the State of Alabama. The Legislature appropriates from the Alabama Special Education Trust Fund an amount equal to a certain percent of the members' total salary received. This amount is based on an actuarial determination of the amount necessary to provide benefits granted by law for members.

All contributions are invested. Investment income helps pay a major part of the cost of providing benefits. The funds are invested in such classes as bonds, mortgages, common stocks, or other investments as approved by the Board of the Retirement System of Alabama (RSA).

## **5.7 SOCIAL SECURITY**

The Federal Social Security System enables a retiring faculty to supplement the payments which come from the State Retirement System. Presently, each faculty contributes a portion of his or her salary in the form of Social Security Tax.

## **5.8 INSURANCE**

- A. Group Health Care Plan: The University provides group health care with faculty paying a percentage of the cost. The University pays a percentage of the faculty cost. Faculty are responsible for coverage of dependents.
- B. IMPORTANT NOTE: All nine-month faculty are responsible for payment of the premium during the months of unemployment by the University. The required premium will be escrowed from the last month's check.
- C. Life Insurance: Alabama Agricultural and Mechanical University affords to all its full-time employees, at no cost to the employee, a group life insurance policy. Additional coverage may be purchased by the employee.
- D. Other Benefits such as Accidental Death and Dismemberment (AD&D), dependent life insurance, dental and vision coverage may be purchased by the employee.

## **5.9 TUITION ASSISTANCE AND EDUCATIONAL BENEFITS**

**A. General Policy:** It is the policy of Alabama Agricultural and Mechanical University to offer educational benefits, special training opportunities, and tuition grants to all full-time employees for the fall and spring terms.

**B. Tuition Grants:** Full-time employees (to include members of the Reserve Officer Training Corps (ROTC) professional and instructional staff and administrators and full-time staff of the 1890 Cooperative Extension Program are eligible for tuition grants equaling 100% of the current rate of tuition for courses taken at the University up to a maximum of four (4) hours per semester. Their spouses and dependent children are eligible for tuition grants equaling 50% of the usual tuition for all courses taken or audited, providing the faculty/staff member: (a) is a permanent, full-time employee; (b) has completed one year of full-time service with Alabama Agricultural and Mechanical University; and (c) the spouse or dependent child meets the academic prerequisites for enrollment as a student. As it relates to spouses and dependent children, tuition grants are valid for eight (8) semesters.

Laboratory fees and other specific course related fees are not covered by this policy and must be paid fully by the employee, spouse or dependent child enrolled as a student at Alabama Agricultural and Mechanical University. For the purpose of administering this policy, a dependent child is defined as being an unmarried child and who is under the age of twenty-six

(26) at the beginning of the semester for which a tuition grant is awarded.

**C. Procedures:** Eligible faculty who want to apply for tuition grants for themselves and/or their dependents must complete and submit the Application for Tuition Assistance for each semester to the Human Resources Office before the last day of each semester. A faculty member and/or his/her dependents who becomes eligible for this benefit after the first day of class for that particular semester, may first receive a grant the following semester.

**D. Class Attendance for Credit Courses during Working Hours:** In order for faculty to attend a class during working hours, approval by the appropriate administrative official must be given. Such approval is limited to four (4) hours per week with the understanding that the time off will be made up within each pay period.

## 5.10 HOLIDAYS

A. **General Policy:** Normal business operations of Alabama Agricultural and Mechanical University will be suspended in observation of regular holidays and other holidays as determined by the President, announced through the Human Resources Office. Permanent employees and full-time temporary employees who are not required to work will be excused on such days without charge to leave or loss of pay.

B. **Regular Holidays:** The following holidays are observed by the University: Labor Day, Thanksgiving Day, the day after Thanksgiving, Christmas Eve, Christmas Day, the day after Christmas, New Year's Day, Martin Luther King's Birthday, Spring Vacation, Memorial Day, Independence Day and other days so declared by the University President. Since dates of the holidays vary from year to year, the Human Resources Office will post the yearly schedule of holidays. This posting will be available on the Alabama Agricultural and Mechanical University Website.

C. **Annual Leave during Holidays:** Faculty members who qualify for annual leave (certain administrators) who are on Annual Leave during declared holidays shall receive holiday time *in lieu* of Annual Leave on a day-for-day basis. These days shall be reported as "holiday" and not charged against accrued Annual Leave.

D. **Sick Leave will not be charged on holidays:** Faculty members who are on authorized Sick Leave when a holiday occurs shall be granted holiday time *in lieu* of Sick Leave on a day-for-day basis.

## 5.11 LEAVE OF ABSENCE

### A. Annual Leave

1. **General Policy:** Regular twelve (12) month employees and full-time temporary employees are entitled to time off with pay for vacation or other personal reasons.
2. **Eligibility for Annual Leave:** Certain faculty members who may hold twelve-month administrative assignments begin to accrue Annual Leave immediately, but cannot use such leave until accrued. Regular full-time faculty members on nine-month contracts are not eligible to accrue Annual Leave. **Accrual Rate:** Eligible employees with less than sixty (60) months of continuous service earn annual leave at the rate of twelve (12) days or ninety-six (96) hours per year. On completion of sixty (60) months or more of continuous service with

the University, eligible employees earn annual leave in accordance with the following schedule:

<b>Months of Continuous Service</b>	<b>Days of Annual Leave Accrued Per Year</b>
60-119	15
120-239	18
240-Over	24

3. **Leave Accrual for Partial Months of Employment:** Eligible faculty shall earn Annual Leave at the full monthly rate when in a pay status for fifteen (15) or more calendar days. When in a pay status of less than fifteen (15) days, no Annual Leave shall be earned.
4. **Recording of Leave:** All absences are to be recorded on monthly service reports. Each department is responsible for maintaining leave records for its employees. Monthly service reports noting employee leave records/balances are housed in the Payroll Office.
5. **Reimbursement for Leave upon Termination:** Any faculty who terminates employment after completion of the three-month probationary period will be reimbursed for unused Annual Leave up to thirty (30) working days.

**B. Scheduling and Approval of Annual Leave.** Deans, chairs and supervisors are responsible for scheduling and approving Annual Leave of their faculty prior to actual absences. The signature of the dean, chair or supervisor on the Leave Form constitutes approval of Annual Leave. The minimum time charged to Annual Leave is one hour.

### **C. Sick Leave**

1. **General Policy:** Regular employees and full-time temporary employees are granted protection from loss of pay due to absences as a result of personal illness or injury, or serious illness within their immediate households, to the extent of available accrued Sick Leave. "Immediate family/household" includes any relative residing in the employee's home. Employees have the responsibility to report to their supervisors prior to an absence due to sickness or injury, or at their earliest opportunity, giving the reason for absence and the expected date of return.
2. **Accrual of Sick Leave:** Full-time employees accumulate Sick Leave at the rate of one workday for each full month worked. For retirement purposes, faculty may accumulate and count toward their retirement up to 150 days (or whatever is state policy at the time of retirement). Regular part-time employees are entitled to accrue Sick Leave prorated on the basis of their FTE (full-time equivalency). Sick Leave entitlements accrue during all periods of paid leave.
3. **Use of Sick Leave:** Eligible employees may be granted Sick Leave when they are unable to perform their duties because of personal illness or injury or due to serious illness within their immediate households, or because they must be absent from work for the purpose of obtaining health-related professional services which cannot be obtained after regular working hours. Sick Leave is a privilege, as opposed to an earned right, and must be accrued before it can be used. For extended medical disabilities, see Section 4 B on Extended Leaves of Absence.
4. **Recording of Sick Leave:** Departments and administrative offices will maintain a record of

Sick Leave accrued and used by each employee. Absences due to Sick Leave should be recorded on the Monthly Service Report by department heads or supervisors. The minimum time to be recorded for part of any workday as Sick Leave is thirty (30) minutes. Department chairs will only record sick leave upon consultation with the faculty member. Department/Unit must submit monthly service reports to the Payroll Office.

5. **Abuse of Sick Leave:** Supervisors who have reason to believe that Sick Leave is being abused or claimed under false pretense may require evidence of illness or injury in the form of medical certificates or statements from a physician. In such cases, the chair or supervisor has the option to grant tentative approval of Sick Leave pending receipt of evidence or to enter "Leave without Pay" on the time sheet until satisfied that the absence was due to illness or injury. Submission of a Personnel Transaction Form to the Office of Human Resources is also required to affect the status of "Leave without Pay". Evidence of abuse of Sick Leave is grounds for disciplinary action, including dismissal. If an employee claims sick or annual leave for the purpose of working a second job, such action will be regarded as misconduct and/or dishonest behavior and appropriate disciplinary action taken, including dismissal.
6. **Payment for Sick Leave upon Termination:** Employees who were employed by the University prior to November 1, 1993, separating from employment with the University (including retirement) without being terminated for cause, may be paid one-half pay for each day of accrued/unused Sick Leave at their current rate of pay for each such day accrued prior to November 1, 1993. Employees who are retiring under Teachers' Retirement have the option of applying such unused sick leave toward retirement service credit. There shall be no payment for accrued/unused Sick Leave accrued after November 1, 1993.

#### **D. Family Medical Leave**

##### **GENERAL POLICY**

***Requirements for Eligibility:*** The University offers leaves of absence in accordance with the Family and Medical Leave Act of 1993 ("FMLA") and the FMLA expansion under The Support for Injured Service Members Act of 2007. To be eligible for such leave, employees must meet the following requirements:

- A. Employed by the University for at least 12 months and have at least 1,250 hours during the 12 months immediately preceding the start of FMLA leave.
- B. Except when leave is unforeseeable, the employee must provide the University at least 30 days advance notice of requested leave by obtaining and completing the Employee Request for FMLA Leave and Certification of Health Care Provider (available from Human Resources). In cases where 30 days notice is not possible, notice must be given as soon as practical.
- C. For leave involving the serious illness of the employee, spouse, child or parent, medical certification is required. Failure to provide advance notice and medical certification when required can result in leave being delayed for up to 30 days or being denied.

***Reasons Qualifying for FMLA Leave:*** An eligible employee may take up to 12 weeks of FMLA leave in a 12-month period for the following family and medical reasons:

- A. Birth of a child and to care for the newborn;

- B. Placement of a child through adoption or foster care and to care for the newly placed child;
- C. To care for an employee's seriously ill parent, spouse, or child under the age of 18. (A parent may also request time for the serious medical illness of a child who is older than 18 and "incapable of self-care because of a mental or physical condition.");
- D. When the employee's own serious health condition makes the employee unable to work;
- E. A covered family member's active duty or call to active duty in the Armed Forces (spouse, son, daughter or parent); or
- F. An employee is also eligible for a leave up to 26 weeks in a 12-month period to care for a service member who is injured or ill, with the injury or illness being sustained while on active military duty.

The 12-month period during which the employee may take 12 weeks of FMLA leave is a rolling 12-month period starting with the date the employee first uses medical leave. Each time an employee takes leave, the University will compute the amount of leave the employee has taken under this policy in the last 12 months and subtract it from the 12 weeks (or 26 weeks for the care of an injured or ill service member) of available leave, with the balance remaining being the amount the employee is entitled to take at that time.

An employee must use any accrued Annual and Sick Leave during an approved FMLA leave. If an employee's accrued Annual and Sick Leave is exhausted but the employee is still eligible for additional leave under the FMLA, the remainder of the employee's FMLA leave will be unpaid. All leave time runs concurrently, with only a total of 12 weeks allowed under FMLA (or 26 weeks for the care of an injured or ill service member).

***Continuation of Benefits:*** Unless otherwise notified, the University will continue the employee's applicable group benefits (i.e., health, dental, vision, life insurance, disability insurance) as though the employee was actively at work. Any portion of benefits the employee paid while at work must continue to be paid while on FMLA leave. If the employee does not return to work following FMLA leave, he/she may be required to reimburse the University for its share of health insurance premiums paid on the employee's behalf during his/her FMLA leave. For retirement purposes, the employee's hire date will not be adjusted while on FMLA leave.

***Employee Status after Leave:*** An employee who takes leave under this policy will be able to return from leave to the same position or a position with equivalent status, pay, benefits and other employment terms. The position will be the same or virtually identical in terms of pay, benefits and working conditions.

The University may choose to exempt certain key employees from this requirement and not return them to the same or similar conditions.

#### **E. Military Leave**

**General Policy:** All faculty members are entitled to Military Leave of Absence when



ordered to active duty for training as members of the Alabama National Guard or any component of the U.S. Armed Forces. Temporary full-time employees whose term of employment extends beyond the time of completion of any required military duty are also eligible for Military Leave up to twenty-one (21) days in a calendar year. Faculty members who volunteer or are drafted, or ordered to extended active duty with any component of the U.S. Armed Forces shall be entitled to reinstatement of their former positions or comparable positions. Faculty members placed on extended Military Leave of Absence will not receive pay from the University nor accrue annual or sick leave. Nevertheless, the needs of the University and the applicant's qualifications must be evaluated.

1. **Military Leave for Training or Short Term Duty:** Eligible faculty who are required to attend annual summer training or special active duty for training, shall not suffer any loss of their regular salary or pay during the first twenty-one (21) days of absence in any calendar year. Faculty who are ordered to annual or special active duty for training will provide one copy of their orders, or appropriate certificates from their commanders in lieu of orders, to the Personnel Office via their chair or supervisor. Such employees will not suffer loss of longevity or accrual of annual or sick leave.
2. **Military Call-Up:** The application procedures and pay policies outlined above will also apply in the case of Alabama National Guardsmen or members of reserve components of the Armed Forces when they are called to serve during local, state, or national emergencies or general mobilization.
3. **Reinstatement to Positions after Extended Duty:** Faculty members who volunteer, are drafted, or are called to active duty for extended periods will be placed on "Military Leave of Absence" and be entitled to reinstatement to their former or comparable positions upon their return under the following conditions: (1) they must not have remained on active duty beyond their first opportunity for honorable release; (2) they must report to claim reinstatement within ninety (90) days after completion of military service or thirty-one (31) days in the case of certain individuals in the Ready Reserve, who undergo only six (6) months' active training or less; (3) reinstated faculty will receive the benefit of pay range upgrading and other benefits which may have accrued to the departed position; (4) the needs of the University and the employee's qualifications must be considered.

#### **F. Administrative Leave**

**General Policy:** Regular employees and full-time temporary faculty will be placed on Administrative Leave and excused without loss of pay under the following conditions:

1. **Jury Duty--**Employees who are selected for terms as jury members will be given Administrative Leave. Prospective jurors should furnish to the appropriate official a statement from the court which indicates the day(s) of service. Payments received for services as jury members are the property of employees serving on the jury, and their regular pay is not affected.
2. **Witness Summons--**Employees who are subpoenaed as witnesses in court cases may be granted Administrative Leave upon presentation of a copy of the subpoena to their supervisors. Employees who appear as witnesses on their own behalf, either as

plaintiffs or defendants, are not entitled to Administrative Leave. They may request Annual Leave for this purpose.

3. Voting-Employees may be granted up to two hours of Administrative Leave if conditions are such that it would create a hardship for an employee to vote before or after working hours. Permission to use Administrative Leave for this purpose must be given by supervisors.
4. Emergency Closing--If prolonged power or utility failure or any other emergency condition should prohibit the performance of regular duties, employees may be granted Administrative Leave by a dean or administrative officer.
5. Severe Weather--In the event that the University closes due to severe weather, Administrative Leave will be granted. If, however, it is the judgment of the University to remain open, employees will be expected to report to work as usual. When the University remains open, an employee who has an extreme problem in reporting to work, such as a roads being closed, may request that Administrative Leave be given. Such a request will be considered on an individual basis.
6. Death in the Immediate Family (Bereavement Leave): Faculty members are entitled to a maximum of three (3) workdays of Administrative Leave (bereavement leave) upon the death of immediate family members, as defined below. These workdays must be consecutive, and the period of time off must encompass the day of the funeral. For purposes of administering this policy, "immediate family" of the employee includes the following relationships: spouse, spousal equivalent, children, step-children, children-in-law, parents, step-parents, parents-in-law, brothers, brothers-in-law, sisters, sisters-in-law, grandparents, grandparents-in-law, and grandchildren, aunts, uncles, nieces, nephews, and first and second cousins. Other relationships are excluded unless there is a guardian relationship. If additional days of absences are necessary, employees may request sick leave, indicating the extenuating circumstances.
7. Other: Administrative Leave may be used to temporarily address a particular situation. An employee is only placed on Administrative Leave, by the President, when the University determines that the employee cannot be allowed to remain in the workplace. The most common reasons for placing an employee on Administrative Leave are: (1) As a prudent business practice to secure particularly sensitive information or resources when warranted by the circumstances; (2) To facilitate the investigation of allegations of misconduct, which if true, could place persons or University resources in jeopardy; or (3) To remove an individual from the workplace who is behaving disruptively pending assessment of the situation.

## **G. Sabbatical Leave**

1. Eligibility: A tenured and ranked faculty member is eligible to receive a sabbatical leave after six consecutive academic years of full-time uninterrupted employment at Alabama Agricultural and Mechanical University, based on availability of funds. A tenured and ranked faculty member is eligible to receive a subsequent sabbatical leave after six academic years of full-time uninterrupted employment at Alabama Agricultural and Mechanical University following completion of a sabbatical leave. Under very special circumstances, if prior

approval is recommended by the department chairperson or dean and is granted by the Provost and Vice President for Academic Affairs and Research, a year spent on an exchange or a visiting professorship or a voluntary leave may count as service in determining eligibility for a sabbatical leave. A faculty member does not accumulate time to apply to sabbatical leave by additional full-time service beyond six years. For example, a faculty member who provides twelve years of continuous, full-time service is eligible to apply for only one sabbatical leave. Consideration must be given to all eligible faculty members within a given department before a second sabbatical leave is granted. At no point should more than ten percent (10%) of the faculty of any given department be on sabbatical and voluntary leave (in case of a department with fewer than ten (10) faculty members, the limit is one person). Under extraordinary circumstances, individual faculty members or department chairpersons may petition for exceptions to this policy; the petition will be reviewed by the dean of the college and the Provost and Vice President for Academic Affairs and Research before it is referred to the President for decision. If the individual making the request is deemed critical in meeting the needs of the unit at the time of the request, a sabbatical may be denied. Recipients of sabbatical leaves must return to the service of Alabama Agricultural and Mechanical University for at least one academic year after the completion of such leaves. Applicants for sabbatical leave who, because of pending retirement, would be able to render less than one year of service after return from sabbatical leave will be expected to offer particularly cogent reasons in support of their applications.

2. **Term of Leave and Compensation:** A sabbatical leave may consist of either a one- semester or two-semester leave according to the following schedule: (a) One semester with full-time salary including all applicable raises and fringe benefits for that academic year, or (b) two semesters with half-time salary including all applicable raises and fringe benefits for that academic year. In some situations, however, departmental or college needs may permit only a one-semester leave. For individuals on a nine-month appointment, a sabbatical leave may consist of either a one-semester leave with full pay and fringe benefits or two semesters with one-half pay and fringe benefits. Faculty members on twelve-month appointments may apply for a sabbatical leave of four and one-half months with full pay or of nine months with one-half pay. In some situations, however, departmental or divisional needs may permit only a one semester, four and one-half-month leave. An applicant for sabbatical leave should consult with the supervisor before submitting an application. A sabbatical leave is approved for a specific period of time. An individual with an approved sabbatical leave who finds that it will be impossible to take the leave should notify the department chairperson immediately. Any subsequent request for sabbatical leave will be treated as a new application and will be judged accordingly.
3. **Application and Approval Process:** Applications for sabbatical leave should be obtained from Academic Affairs and addressed to the department chairperson responsible for the applicant's area, describing in detail proposals/projects to be undertaken during the sabbatical leave period. The department should establish written procedures for (a) reviewing and approving requests, and (b) judging the merits of the sabbatical leave. In

case of a tie, the full-time faculty member with the longest uninterrupted service will be given priority. These procedures should be on file in the office of the deans of the colleges and the Provost and Vice President for Academic Affairs and Research. An application form requesting a detailed description of a proposed project is available from the Provost and Vice President for Academic Affairs and Research. This application should be submitted along with current *curriculum vitae* and the names of two references who can supply informed judgments about the applicant's proposed project. Sabbatical leaves must be spent in planned programs related to the professional work of the recipient and designed to match the duration of the sabbatical leave. Applicants for sabbatical leaves are required to describe what they plan to do while on leave, where they plan to spend the leave, and how their plans relate to their professional development. The leave application must include appropriate plans for travel or residence that can be expected to afford opportunities for professional growth which are not available at the University. Department chairpersons will transmit approved applications, together with their recommendations, to their deans. Any faculty member whose application is not approved has the right of appeal up through the Provost and Vice President for Academic Affairs and Research. When approval is recommended, an explanation shall be furnished as to what arrangements are contemplated and what budgetary adjustments, if any, will be required to maintain the departmental program during the applicant's absence. After the departmental recommendation has been reviewed by the dean, the application together with appropriate recommendations and remarks of the dean will be forwarded to the Provost and Vice President for Academic Affairs and Research. The Provost and Vice President for Academic Affairs and Research will submit recommendations to the President affirming that the applicants are representative of each college. Final approval of sabbatical leave is granted by the President of the University.

4. Administration: As far as possible, departmental programs and schedules should be planned to enable faculty members to propose sabbatical leaves when eligible to apply; however, continuity of departmental programs may require leaves to be scheduled in other than a seventh year of service. A faculty member whose application for leave is refused solely because of needs of the department or division should be encouraged to submit an application for the following year; in such cases, efforts will be made to arrange to make leave possible. Under the aforementioned circumstances, the applicant would gain favor over the longest uninterrupted service provision. The sabbatical leave program normally will be financed through departmental and college budgets. If adequate funds are not available within departmental/college budgets, deans may request funds through the regular budget allocation process. Applications for sabbatical leave during a given academic year must be submitted to the department chairpersons by November 15, forwarded by the chairpersons to their colleges' deans by December 15th, and forwarded by the colleges' deans to the Provost and Vice President for Academic Affairs and Research by February 1 of the academic year preceding the sabbatical. The decision of notification will be given each applicant by April 1 of the preceding academic year.
5. Reporting: The recipient of a sabbatical leave must submit a report which describes in reasonable detail the extent to which achievements during the leave met the objectives

stated in the approved plan for leave. This report is due no later than three months after the end of the leave and forwarded through the same channels as the original application for leave.

#### **H. Leave without Pay**

In some circumstances (e.g., service at a funding agency, etc.), faculty members will be granted extended leave without pay. This type of leave must be requested at least one semester in advance. It must be approved by the chair (who must explain how the departmental duties of the faculty member will be replaced), the dean and the Provost and Vice President for Academic Affairs and Research. The faculty member can assume his/her duties when he/she returns. There will be no extension of the tenure probationary period as a result of taking a leave. The maximum length of the leave request is two (2) years.

### ***5.12 AMERICANS WITH DISABILITIES ACT***

The University is committed to ensuring equal opportunity and access to all members of the campus community in accordance with Section 503 and 504 of the Rehabilitation Act of 1973 and the Americans with Disabilities Act of 1990 (ADA). The University prohibits discrimination against any employee or applicant on the basis of physical or mental disability or perceived disability. The University will provide reasonable and appropriate accommodations to enable employees to participate in the life of the campus community. Individuals with disabilities are responsible for reporting and supplying documentation verifying their disability. Requests for accommodations must be initiated through the Office of Human Resources by submission of the ADA Accommodation Request Form that is posted on the Human Resources Website.

#### ***5.12.1 DEFINITION***

The ADA's protection applies primarily, but not exclusively, to "disabled" individuals. An individual is "disabled" if he or she meets at least any one of the following tests:

- A. He or she has a physical or mental impairment that substantially limits one or more of his/her major life activities;
- B. He or she has a record of such an impairment; or
- He or she is regarded as having such impairment.

Employees with disabilities at the University are encouraged to confer with the Office of Human Resources to identify suitable accommodations and services after submission of the required ADA Accommodation Request Form. Any questions, difficulties, or concerns should be referred to the Office of Human Resources as soon as possible.

#### ***5.12.2 NOTIFICATION REQUIREMENTS AND SERVICE CRITERIA***

1. **Self-Disclosure:** All employees seeking accommodation under section 504 of the Rehabilitation Act of 1973 *et seq.* or the Americans with Disabilities Act must self-identify with the Office of Human Resources. For accommodations, a written

requisition must be submitted to this Office.

2. **Documentation:** It is the responsibility of employees to submit documentation of physical or learning disabilities from qualified and licensed medical or testing personnel. Expenses incurred in obtaining the professional verification are the individual's responsibility. The following documentation criteria and the ADA Accommodation Request Form should be used in forwarding assessments to the Office of Human Resources for disabilities verification:

**A. Physical, Sensory, and Health-Related Disabilities**

- 1) Verification of the disabling condition must be obtained from a licensed health care professional that is qualified and currently or recently associated with the individual
- 2) The diagnosis must reflect the present level of functioning of the major life activity affected by the disability.

**B. Psychological Disorders or Attention Disorders**

- 1) Verification of diagnosis and severity of disabling condition from a qualified professional (e.g., psychiatrist for ADD/ADHD, psychologist or psychiatrist for other psychological disorders).
- 2) A detailed description of how this impairment significantly limits a major life activity should be provided.

**C. Learning Disabilities**

- a) A professional qualified to diagnose a learning disability (e.g., a licensed psychologist, learning disabilities specialist, neuropsychologist) must prepare the evaluation. Collaboration with speech and language clinicians, reading specialists and other educational professionals may be appropriate and necessary for a comprehensive assessment.
- b) Results of a clinical interview with the individual and descriptions of testing procedures, instruments used, test and sub-test results reported in standard scores should be included.
- c) Evaluations must be comprehensive and include test results in the following areas, where applicable; intelligence, reading, mathematics, spelling, written language, language processing and cognitive processing skills. Testing should carefully examine areas of concern/weakness as well as areas of strengths.
- d) A clear diagnostic statement based on test results and personal history must be included.
- e) An evaluation should be no more than three (3) years old. This requirement may be waived if deemed not medically necessary.

- D. Employee Responsibilities:** Employees with disabilities are obligated to utilize all adjustments and/or accommodations properly and responsibly.

### ***5.12.3 REASONABLE ACCOMMODATIONS***

The University has adopted the following as established by the U.S. Equal Employment

Opportunity Commission (EEOC):

A qualified employee or applicant with a disability is an individual who, with or without reasonable accommodation, can perform the essential functions of the job in question. Reasonable accommodation may include, but is not limited to:

- a) Making existing facilities used by employees readily accessible to and usable by persons with disabilities;
- b) Job restructuring, modifying work schedules, reassignment to a vacant position; and
- c) Acquiring or modifying equipment or devices, adjusting/modifying examinations, training materials, or policies, and providing qualified readers or interpreters.

The University is required to make an accommodation for the known disability of a qualified applicant or employee if it would not impose an "undue hardship" on the operation of the University's business. Undue hardship is defined as an action requiring significant difficulty or expense when considered in light of factors such as an employer's size, financial resources and the nature and structure of its operation.

The University is not required to lower quality or production standards to make an accommodation, nor is it obligated to provide personal use items such as glasses or hearing aids.

The University will not ask job applicants about the existence, nature or severity of a disability. Applicants may be asked about their ability to perform specific job functions. A job offer may be conditioned on the results of a medical examination, but only if the examination is required for all entering employees in similar jobs. Medical examinations of employees must be job related and consistent with the University's business needs.

Employees and applicants currently engaging in the illegal use of drugs are not covered by the ADA, when the University acts on the basis of such use. Tests for illegal drugs are not subject to the ADA's restrictions on medical examinations. The University will hold illegal drug users to the same performance standards as other employees.

#### ***5.12.4 UNDUE HARDSHIP***

For the purposes of this document, The University applies the ADA definition of "undue hardship" as an action requiring significant difficulty or expense. Factors to be considered in determining undue hardship may include, but are not limited to:

- the cost of the accommodation required under ADA;
- the financial resources of the facility involved in the provision of the reasonable accommodation;
- the number of students and/or employers involved;
- the financial impact on the facility; or
- the impact on the operation and geographic, physical, administrative, or fiscal relationship of the facility in question.

### ***5.12.5 PROVISION OF ADA ACCOMMODATIONS***

If an employee is a qualified individual with a disability as defined by the ADA, then the Director of Human Resources or his/her designee shall consult with the employee's immediate supervisor to determine necessary reasonable accommodations, if any, that will be granted to the employee. The provision of an ADA accommodation shall be based on the employee's submission of required forms and documentation and consideration of the essential functions of his/her position as well as consideration of whether the accommodation will pose an undue hardship on the department.

The Office of Human Resources shall send a written ADA Accommodation Plan to the employee and his/her immediate supervisor. Documentation regarding the ADA Accommodation request and the accommodation plan, if any, shall be retained in a separate confidential file in the Office of Human Resources.

### ***5.12.6 ADA COMPLAINTS***

All ADA complaints are considered to be allegations of discrimination and therefore must be filed with the Director of Human Resources.

## ***5.13 PERSONAL APPEARANCE***

The University dress code policy is an effort to establish broad parameters that will be applied to faculty on campus. For official university business, business or business casual attire is required. It is recognized that some offices/departments/units have uniqueness in terms of operation or research and thus public expectations and safety are considered on an individual basis. Faculty dress will be managed at the office/departmental/unit level. Offices/departments/units may establish more stringent requirements, but may not allow standards less than those set forth herein. The University dress code policy is in no way intended to abridge rights at law relating to non-discrimination or hinder the advancement of diversity. Flexibility in the freedom of choice will be allowed in relation to religious or ethnic attire.

Flagrant violation of commonly accepted standards of appearance and/or hygiene, particularly where such violations have a tendency to produce adverse job related effects, may be grounds for disciplinary action.

## ***5.14 ALCOHOL AND OTHER EQUALLY CONTROLLED SUBSTANCES***

The use or possession of alcoholic beverages or illegal drugs not prescribed by a doctor is prohibited on University properties. Employees presenting themselves for duty under the influence, or in possession of alcohol, illegal drugs, or other illegally controlled substances are subject to stern disciplinary action and referral to appropriate authorities.

The cooperation of all employees is necessary to control alcohol, narcotics and other illegal drugs on University properties and to protect the image of the University. Employees are asked to



promptly report to appropriate administrative personnel any activity which appears not to be in conformity with the interest of this policy.

### ***5.15 SAFETY AND SECURITY***

- A. **General Policy:** Safety must be a constant and integral part of any job assignment. The University seeks to provide for the safety of employees through continuous efforts to maintain buildings, grounds, and equipment and by encouraging safe operating practices. Employees should also contribute to safety by performing their jobs in the safest manner possible and by reporting to the supervisor any unsafe or dangerous conditions observed. Typical examples of unsafe conditions include slippery floors, mold growth, improper or defective electrical wiring, broken windows, careless handling of equipment, defective or broken equipment, and equipment left in such a manner as to be or create a health, safety, chemical or biosafety hazard. A background check may be required depending upon the position and will be conducted by the Department of Human Resources.
- B. **Security:** The role of the Alabama Agricultural and Mechanical University Police Department is to ensure the safety, protection, and security of University students, personnel, property, and to enforce laws and University regulations. Deputized by the City of Huntsville, officers are authorized to make arrests and perform other functions as stipulated under the laws of the State of Alabama. Herein the Alabama Agricultural and Mechanical University Police will be referred to as University Security.
- C. **Fire Prevention:** The importance of fire prevention on campus cannot be over emphasized. In case of fire the following steps should be taken:
  - a). Pull handle on nearest fire alarm box, if available;
  - b). Call University Security at 256-372-5555 or the Huntsville Fire Department at 911 and report the exact location and extent of the fire;
  - c). Check for and inform others in the building area, and
  - d). Close windows, doors, and other sources of draft.
- D. **Lost, Stolen, or Found Property:** Articles found on campus should be turned in to University Security. Information regarding lost or stolen items should also be reported to University Security at 256-372-5555.
- E. **Emergency:** In the event of any emergency or general security problem the employee should contact University Security. The employee must identify him or herself by name, describe the nature of the emergency, and give the exact location. The matter must also be promptly reported to the employee's supervisor.
- F. **Safeguarding University Equipment:** All employees who handle University equipment are not permitted to use it for personal reasons. Unauthorized use or removal of University equipment or property may be cause for immediate dismissal. Careless, malicious, or willful damage to or destruction of University equipment will result in the responsible individual having to pay for the repair or replacement of such property. In addition, such conduct may be considered as grounds for termination.
- G. **Occupational Safety:** Safe working conditions are of primary importance throughout the

University. Each employee is asked to report any unsafe condition. Some examples of unsafe conditions are wet or slippery floors, mold growth, unattended or improperly stored equipment and chemicals, defective electrical wiring, accumulation of trash, and cluttered exits. Employees should become familiar with the fire prevention procedures in their department.

- H. **Firearms:** Firearms or other weapons (including explosives) are not to be brought onto or kept on University property by anyone, whether holding a firearms license or not, except police officers and other law enforcement officials in the exercise of their lawful duties or faculty/students in ROTC. Faculty are not permitted to have firearms on campus. Employees who violate this regulation are subject to disciplinary action, up to and including dismissal, and/or arrest and prosecution, as appropriate. Although security measures are in force, the University must depend on the cooperation of all employees in order to maintain a safe and harmonious environment in which to work. Employees are asked to report promptly any unusual activity to the supervisor and/or chair or to University Security.
- I. **Inclement Weather:** Whenever the City of Huntsville or northeast Madison County is under a severe weather alert, University Security will sound the alarm and take immediate action to alert all concerned. In case of a tornado warning, everyone should proceed to the safest interior hall or basement area. While under the alert, regularly scheduled events, including classes, may be delayed or canceled as necessary.

## ***5.16 SMOKING POLICY***

### ***5.16.1 REASON FOR POLICY***

Alabama Agricultural and Mechanical University has an obligation to maintain a healthy and safe environment for its faculty, staff, students, and community at large while respecting individual rights. Therefore, consistent with the following ordinance regarding smoking, **The City of Huntsville Article IV Chapter 14 section 14-91 smoking in public places, and The Alabama Code Title 22 Chapter 15a known as the “Alabama Clean Indoor Air Act,”** Alabama Agricultural and Mechanical University will enhance its smoking policy. The following policy (click to [follow link](#)) has been established to restrict smoking in all but designated areas.

### ***5.16.2 POLICY***

#### **I. PURPOSE**

The City of Huntsville, in accordance with Article IV, Section 14-95 of the Code of Ordinances, City of Huntsville, Alabama, prohibits smoking in libraries, schools, public and private educational institutions, and in general, any place used by the general public. Alabama Agricultural and Mechanical University, in compliance with said ordinance, prohibits smoking in all University buildings and University-owned or controlled vehicles. This procedure applies to faculty, staff, students and visitors on the campus of Alabama Agricultural and Mechanical University. This procedure is in compliance with local and state laws, which will take precedence if there is a conflict.

#### **II. DEFINITIONS**

1. "University buildings" means any building under the care, custody and control of Alabama Agricultural and Mechanical University, which includes Normal Hills Apartments, the Agribition Center and the Winfred Thomas Agricultural Research Station in Hazel Green.
2. "Smoking or Smoke" includes the carrying, holding, or possession of lighted smoking materials in any form, including but not limited to, the possession of lighted cigarettes, cigars, pipes, or any other tobacco products.

### **III. GENERAL RULES**

#### **1. Prohibited Smoking Areas**

Smoking is prohibited in all University buildings. All buildings are designated as non-smoking areas. Individuals are also prohibited from smoking or carrying lighted cigars, cigarettes, or pipes in any indoor facility, enclosed bus stops and university-owned or controlled vehicles.

#### **2. Areas in which Smoking is Permitted**

Smoking is permitted only in designated areas outside of University buildings provided that these areas are located at least thirty (30) feet from doorways, windows and ventilations systems to prevent smoke from entering buildings and facilities, and have been clearly designated as "smoking areas." The Facilities Department will determine the number and location of designated smoking areas and will provide receptacles for disposal of smoking materials. Smokers are reminded that improper disposal of smoking materials is a fire hazard and considered littering, which may subject the offender to a fine.

#### **3. Signage**

No smoking signs will be posted conspicuously at the entrance of every building. Designated smoking areas will be identified by signage and the location stated on the campus map.

### **IV. ENFORCEMENT**

This policy shall be enforced by any supervisor, department chair, dean, vice-president and the University police.

### **V. PENALTY**

In accordance with Section 14-92 of the Code of Ordinances for the City of Huntsville, "any person who willfully smokes in an area where smoking is prohibited . . . shall be guilty of an offense and shall be subject to punishment by a fine of not less than \$1.00 nor more than \$500.00 for each such offense."

**AUTHORITY:** Code of Ordinances, City of Huntsville, Alabama, Article IV, Chapter 14.

#### ***5.16.3 COMPLIANCE OF POLICY***

This policy is based on the cooperation and consideration of respect for one another smokers and non-smokers to work together for a successful implementation. All members of the University are

responsible for observing the provisions of this smoking policy. Persons found in violation of policy will be subject to the penalty provided by law or reprimand by verbal warning by the appropriate supervisor. Repeated violations will result in progressive disciplinary measures.

Cleaning of litter from cigarettes or any tobacco products can create a tremendous financial strain on Facilities Management. The eye sore of cigarettes on campus reduces its appeal to visitors and prospective students as well as the University faculty, staff, and students. The litter will not be tolerated and a fine for littering may be imposed and enforced by the University Police.

Questions or concerns regarding this Policy and the implementation thereof should be referred to the Department of Administrative Services for Facilities / Environmental Health and Safety. All area managers and their representatives are responsible for seeing that individuals in the departments comply with this policy. Enforcement regarding smoking in non-smoking areas and or littering is the responsibility of the University Police.

### ***5.17 ELECTRONIC MEDIA (E-mail, Voicemail, and the Internet)***

All electronic media systems including voicemail, e-mail, the Internet, fax machines, hardware, software, local area networks, files, and all information composed, transmitted, accessed, received or stored in these systems are the property of Alabama Agricultural and Mechanical University. The electronic media systems are to be used for conducting University business only and the use of this equipment for personal commercial purposes or for personal financial or other gain is strictly prohibited.

These systems are not to be used for soliciting outside business ventures or for non-University related purposes. Personal use of University computer resources is permitted only when such use is limited, does not consume a significant amount of computing resources, does not interfere with the performance of the user's job or other university responsibilities, with the work of other employees, does not interfere with the computing activity of other users, and does not violate applicable laws, rules, policies, contracts or licenses. Certain uses of University computer resources are never permitted.

These include the following:

- Interfering with or otherwise inappropriately or illegally intruding on the operation of the University's computer and telecommunications systems, including but not limited to, "hacking" or "cracking";
- Altering or damaging computer hardware or software;
- Transmitting obscene communications;
- Using unauthorized passwords or circumventing systems security;
- Broadcasting unsolicited messages ("spamming");
- Invading the privacy of another person;
- Using University resources for personal, commercial or financial purposes, including the sales of lecture notes or the intellectual property of others; and
- Intentionally viewing, downloading, printing or sending unlawful material, including but not limited to, pornography, threats, or harassing communication.

Employees should never use another employee's password to access a file to retrieve any stored

communication unless authorized to do so. The University may exercise the right to review, audit, intercept, access and disclose all matters on its systems at any time, with or without employee notice, which occur during or after working hours. Employees should have no expectation of privacy in connection with the use of these systems. Further limits including an absolute prohibition of all personal uses of University-provided computing resources may be imposed upon personal use in accordance with normal departmental supervisory procedures. Abuse of any aspect or part of the electric media systems may be grounds for disciplinary action, up to and including termination. More definitive guidelines and details on the Electronic Media Policy are described in **Procedure 5.1, “Acceptable Use of Computing Resources,”** found on the University’s website at [IT policies - Acceptable Use Policy](#).

### ***5.18 BACKGROUND CHECK***

The University is committed to maintaining a safe and secure campus community. The University may best maintain security by obtaining information via background checks. Federal, state, and local regulations may require background checks for specific positions. A potential University employee, during the hiring process, and a University employee, during the course of employment, may be requested to submit to a background check.

### ***5.19 CONFIDENTIALITY***

A University employee, in the course of his/her employment, may have access to “Confidential Information.” “Confidential Information” includes records (in whatever form, including electronic or email) of students, faculty, or staff. This would include, without limitation, grades, exams, financial information, health records, disciplinary records, employee background records, or other private information protected by law or University policy. All of these types of information, and other information not intended for dissemination to the general public, protected by law, and/or protected by policy, are considered “Confidential Information.”

Confidential Information must not be disclosed, absent specific (usually written) consent or due, legal authorization. Employees are not permitted to access any Confidential Information unless there is a specific, legitimate reason to do so and the employee has been authorized by appropriate officials. **Employees should maintain the confidentiality and privacy of Confidential Information and shall not, directly or indirectly, communicate any Confidential Information to any unauthorized person.**

Any breach of this agreement, release of Confidential Information, or any abuse of the employee’s position, including but not limited to unauthorized access to records, disclosure of information from student records, alteration of records, and/or destruction of records or other similar acts, may constitute a basis for disciplinary action, up to and including termination of employment.

## SECTION 6. FACULTY SEPARATION

### 6.1 GENERAL SEPARATION

**General Resignation:** Faculty members who resign from Alabama Agricultural and Mechanical University should give at least thirty (30) days notice of the intention to resign, except as provided by contract. Faculty should endeavor not to tender a resignation except at such times and with such notice as shall render their leaving least prejudicial to the welfare of the University.

**General Retirement:** A member of the Teachers' Retirement System (TRS) of Alabama is eligible for full retirement benefits in accordance with the rules of the TRS of Alabama as they may be changed from time to time. Members of the TRS of Alabama should follow the policies and procedures of TRS of Alabama in regard to the withdrawal of TRS of Alabama funds.

**General Termination:** In any University community, reasonable guidelines and rules are necessary to insure orderly and efficient operation as well as a work environment that is safe. As such, listed below are examples of requirements placed upon faculty as a condition of their employment. The roles involving disciplinary action and discharge include, but are not limited to, those examples listed below. In addition to the examples listed, common sense will dictate in other instances whether or not offenses have been committed that would warrant disciplinary action. In the event that a faculty member is accused of violating University-wide policies or procedures; procedures of a college or department (or equivalent unit); commonly accepted norms of professional conduct, and/or the establishment of cause and imposition of discipline will normally proceed within the unit whose policies or procedures are alleged to have been violated. Faculty who fail to meet the requirements of faculty conduct will be subject to disciplinary action up to and including termination. In such cases of misconduct or unsatisfactory performance, the appropriate disciplinary action will be determined on the basis of the particular facts and circumstances which may include, but are not limited to, the frequency, severity and seriousness of the misconduct.

Terminated faculty are invited for an exit interview with the Director of Human Resources. During this interview, the Director or designee will elicit suggestions from the terminated faculty as to how the employment relationship might have been improved.

Members of the TRS of Alabama should follow the policies and procedures of TRS of Alabama in regard to the withdrawal of TRS of Alabama funds due to termination. Specific questions regarding insurance and other benefits should be directed to the Office of Human Resources.

### 6.2 FACULTY SEPARATION

#### 6.2.1 NON-TENURED FACULTY

The University has no obligation to reappoint a non-tenured faculty member to any position or to continue that person's employment when the term of appointment expires. A term is defined as one

semester, unless otherwise specified in writing. The decision whether to reappoint a non-tenured faculty member when the term of appointment expires may be based on any factor considered relevant to the total institutional interests. The University may employ a member of the faculty at the beginning of a term without commitment to employment or payment throughout the semester in question or for the entire academic year.

### **6.2.2 TENURED FACULTY**

A tenured faculty member shall not be terminated without cause, except as otherwise provided herein or applicable law. Cause for termination is defined as gross professional misconduct or serious failure of a faculty member to discharge his or her obligations to the University. Adequate cause may include but is not limited to:

1. Professional incompetence—defined as demonstrated inability to perform, at an acceptable level, the duties required of a position;
2. Neglect of professional responsibilities—defined as failure to comply with official directives and established university policies; neglect of departmental and university duties; failure to keep current and maintain competency in one's field; general inaccuracy, ineffectiveness and dishonesty in performance of teaching and/or research duties; or failure to comply with such reasonable requirements as the University may prescribe for achieving professional improvement and growth; or insubordination;
3. Moral turpitude—defined as any personal misconduct which impairs fulfillment of institutional responsibilities. While the ultimate interpretation of this provision rests with the University administration, in its discretion, moral turpitude is considered to include, but is not limited to immorality, conviction of a felony, illegal use of a controlled substance, plea of guilty or of *nolo contendere* with regard to any such offense;
4. Sexual, racial, or other unlawful discrimination, including harassment, or conduct below minimum standards of professional integrity;
5. Conviction or admission of guilty in a court proceeding of a felony drug offense including, but not limited to: unlawful manufacture, distribution, sale, use or possession of a controlled substance, or other illegal or dangerous drugs as defined by Alabama law;
6. Repeated convictions or admissions of guilt in court proceedings of substantive misdemeanors;
7. Intentional false swearing or misrepresentations on official documents filed with the institution; or
8. Significant or repeated violation of substantive University policy, rules or regulations, other than violations of professional ethics.

Cause for termination may also include declared financial exigency or *bona fide* discontinuance or substantial modification of an academic program resulting in significantly diminished personnel requirements. Termination of a tenured faculty member must be authorized by the President.

#### **6.2.2.1 TENURED FACULTY TERMINATION**

##### **A. Initiation of Proceedings**

The Provost shall send an Intent to Terminate letter containing a statement of the charge(s) and stating the intent to terminate based on those charges to the faculty member by certified mail service with signed return receipt requested. A tenured faculty member may grieve his/her termination for cause. The faculty member shall send a letter containing a detailed statement of the specific basis for the grievance to the Director of Human Resources and follow the procedures for grievances as outlined in section 6.5. Such letter shall not include any cursory, non-descript or summary allegations or contentions. Any specific grounds for a faculty member's grievance of his or her termination not included or set forth in this letter or not stated with sufficient specificity or clarity shall be deemed to have been waived by the faculty member. The grievance termination hearing provided pursuant to this section shall supersede and shall make moot any separate grievance hearing on the same issue.

#### B. Response

Within thirty (30) days of receipt of the Intent to Terminate, the charged faculty member must provide a written response to the Provost and Director of Human Resources which must contain the following: (1) a response to the charge(s) stated in the Provost's letter, (2) a decision about whether he or she selects to have a formal hearing of the charge(s) before the Grievance Committee, (3) the names of the witnesses who may be called on behalf of the charged faculty member, (4) a brief statement of the nature of the testimony of each witness, and (5) a summary of other evidence believed to have relevance to the charge(s) to be heard within 30 calendar days after the letter of Intent to Terminate is received from the Provost. The Provost may recommend termination to the President without further hearing or proceeding if the faculty member does not respond as required above within 30 calendar days or elects not to have a formal hearing of the charge(s) before the Grievance Committee. The decision of the President is final.

#### C. The Grievance Termination Hearing Committee

The terminated faculty member may submit a grievant notice, as presented in 6.5, to the Director of Human Resources. Grievance Termination Hearing Procedures shall follow those outlined in 6.5.

#### D. Procedure

The Hearing Committee shall consider only the official charge(s), as stated in the "Intent to Terminate" letter. The administration shall have the burden of offering, by the preponderance of evidence and witnesses, to the Hearing Committee support for termination for cause.

##### 1. Committee Decision

After the hearing is conducted, the Hearing Committee shall meet to reach a decision. Within 30 calendar days after the hearing is concluded, the Hearing Committee must report in writing to the Provost whether or not the charge(s) were supported by the preponderance of the evidence in the record and shall recommend termination or retention. Within 30 calendar days of receiving the Hearing Committee's report, the Provost must forward to the President the committee's recommendation along with the committee's report and the Provost's recommendation. The report from the committee shall remain confidential, except as required by law.

##### 2. President's Decision

The President may consider the Provost's recommendation, evidence that was presented during the hearing, and the recommendation of the committee. The President must notify the faculty member, with copies to the Provost and the members of the Hearing Committee, of his or her decision within 30 calendar days of receiving the committee's report and recommendation as forwarded by the Provost. If the President does not implement the recommendations of the Hearing Committee, the reasons for not



doing so must be included in the letter of notification. The decision of the President is final.

## **6.3 ADMINISTRATIVE/PROFESSIONAL PERSONNEL SEPARATION**

Administrative/professional personnel serve the University as employees-at-will. Tenure is reserved for faculty positions. Administrative/professional personnel not holding faculty positions are not eligible for tenure. Members of the faculty may not obtain tenure in or relating to administrative positions and shall serve in such administrative positions as at-will-employees. Members of the faculty appointed to administrative positions shall do so at the pleasure of the President.

### **6.3.1 DISCIPLINARY PROCEDURES**

The following procedures are permissive and discretionary. Any listed procedure may be adopted in any order deemed appropriate under the circumstances in question, and none of the listed procedures is a prerequisite to termination **or** dismissal, nor is it required or necessary that the procedures be followed in a specific sequence or order.

**Reprimand:** Either verbal or written reprimand may be made by supervisors for substandard performance, minor offenses, or other work-related unacceptable behavior. Reprimands may or may not be preceded by counseling. Written reprimands and rebuttals may become a part of the official personnel file, provided that the employee is provided with a copy of such documentation prior to its submission to the Office of Human Resources. Written notification of such actions shall be sent to the employee by certified mail with return receipt and/or hand delivery with signed receipt by employee or 3<sup>rd</sup> party witness.

**Disciplinary probation:** Faculty who fail to respond satisfactorily to counseling concerning job related deficiencies, inappropriate behavior or conduct, may be placed on probation for an appropriately designated period of time at the discretion of the supervisor. This action, along with rebuttal, must be reported in writing to the Office of Human Resources where it will be filed in the employee's personnel file. Employees who fail to improve satisfactorily during the period of probation are subject to termination.

**Suspension:** Faculty who commit or participate in acts of misconduct or who represent a potential serious danger to others, the University or themselves, may be suspended from active duty (with or without pay, depending upon the circumstances) for periods varying from one day to indefinitely. Some examples of situations that may be grounds for suspension are as follows:

1. A serious breach in personal discipline on the job;
2. An investigation of a serious offense is in progress, when final action could be dismissal; or
3. An employee is arrested and/or charged with a felony, until final disposition of the case.

Suspensions become a part of the employee's personnel file. No employee benefits will be paid nor accrued while an employee is on suspension without pay. Supervisors may recommend suspension citing justification in writing, but actual suspension must be recommended by the appropriate Vice President and approved by the President.

**Demotion:** Faculty may be demoted to a lower position and pay when they fail to satisfactorily perform at the higher level. Such actions must be recommended by the appropriate Vice President and approved by the President. Employees may also be assigned to a lower position and pay at the sole

discretion of the University.

**Dismissal:** Faculty, including tenured faculty, may be terminated after other disciplinary measures fail or when first time incidents occur that are of a nature that the University, in its sole discretion, deems necessary for immediate termination. Cause for immediate termination is defined as gross professional misconduct or serious failure of a faculty member to discharge his or her obligations to the University. Adequate cause may include but is not limited to any of the grounds set forth in section 6.2.2; professional incompetence; continued neglect of professional duties after oral and written warnings; insubordination; conviction of a felony or any offense involving moral turpitude or a plea of guilty or of *nolo contendere* with regard to a felony or any such offense; sexual, racial or other unlawful discrimination (including harassment) or conduct below minimum standards of professional integrity; misuse of the University Internet or network; threatening or use of physical violence; refusal to comply with or violation of reasonable rules, regulations, policies and law; or other good and adequate just causes. Cause for termination may also include a declared financial exigency and *bona fide* discontinuance or substantial modification of an academic program resulting in significantly diminished personnel requirements.

**Notice:** Faculty will be notified in writing, informing them of the grounds or reasons disciplinary action is taken. Employees will be given an opportunity to submit any information which they wish to be considered in reaching a determination concerning whether disciplinary action should be taken and, if so, which disciplinary procedure will be exercised.

#### **6.4 REDUCTION IN FORCE (RIF)**

Regardless of the provisions of any other section of this Handbook or of any other University policy, the employment of any employee may be terminated by Alabama Agricultural and Mechanical University because of (1) *bona fide* institutional financial exigency, or (2) major curtailment or elimination of teaching, research or public service programs recommended by the President and approved by the Board of Trustees in accordance with this section. Financial exigency is defined as a significant decline in the financial resources of the institution that is brought about by a decline in institutional enrollment or by other actions or events that compel a reduction in the institution's current operation budget. The determination of whether a condition of financial exigency exists or whether there shall be a major curtailment or elimination of teaching, research, or public service programs shall be made by the President after consulting with appropriate University officials. This determination is subject to concurrence and approval by the Board of Trustees. If the financial exigency, curtailment, or elimination of a program is such that the institution's contractual obligations to employees cannot be met, employment of tenured faculty may be terminated or compensation reduced in accordance with the institutional procedures set out below.

The University has the responsibility to decide which academic and non-academic programs or services are required and the number of positions, personnel, and funding necessary to carry out the programs. The purpose of this policy is to prescribe circumstances under which employees of the University are to be reassigned, transferred, laid off, and recalled in the event that reduction in force becomes necessary. This policy will be enforced without regard to the affected employees' race, creed, color, religion, sex, age, national origin, disability or veteran status. Reductions may not require involuntary layoffs if the required reduction in force may be accomplished through reorganization,

reassignments, transfers, attrition or reduction in compensation.

#### **A. Provisions for a Plan**

A reduction in force plan (RIF Plan) shall be developed by the President before applying this policy. The process for implementing the RIF Plan is as follows:

1. The President shall authorize the implementation of a reduction in force plan that shall include special definitions and procedures for the reduction.
2. The Plan shall contain:
  - a. A statement of circumstances requiring the implementation of the Plan;
  - b. The identification of areas to be affected by the Plan—the affected area may encompass all the operations of the University or may be limited to divisions, departments, programs, projects or budgets;
  - c. Specific communications to affected employees by the department head or other appropriate official concerning actions taken to effect a transfer, layoff or recall, and
  - d. A minimum period of notice in writing to any employee being laid off.

#### **B. Termination Procedure**

1. **Consideration in Determining Whose Employment is to be Terminated:** In determining which employee is to be terminated for the reasons set forth in Section 6.4, primary consideration shall be given to the educational needs of the University, the maintenance of a sound and balanced program, mission critical faculty, performance evaluation, necessary qualifications, and seniority.
2. **Timely Notice of Termination:** When an employee's employment is to be terminated because of major curtailment or elimination of teaching, research, or public service programs whether or not founded upon financial exigency, the employee shall be given as much advance notice as possible, and within the limits of available financial resources.
3. **Type of Notice to be Given:** The President or designee will send the employee a written statement by certified mail, return receipt requested, stating the employee's final date of employment and other pertinent financial information, if any.
4. **Check-Out Procedures:** Faculty members who are leaving employment with the University must be cleared by the Department of Public Safety, the Business Office, the Learning Resources Center, Property Management, Computer Services/EITS, Research & Development (Faculty & Research Professors only), Cafeteria Plan, Supervisors/Chairperson/Dean/Director/VP, Registrar's Office, the Office of Human Resources, and any other office from which they may have borrowed equipment and/or owe charges. All University equipment and proprietary information must be returned, and all outstanding balances must be settled. The Office of Human Resources will notify the faculty member of this requirement, provide the necessary Faculty Clearance & Exit Forms and any delinquencies, prior to his or her departure from the University.

#### **C. Rights of the University**

Nothing contained in this section is intended to limit or restrict the President's or a subordinate administrator's absolute discretion to eliminate a position or positions based upon budgetary or other considerations without application of the Reduction in Force principle stated in this section.

In addition to termination of faculty, the President and the Board expressly reserve their right to

make uniform reductions in compensation for all or specific categories of employees of the University as justified by a declared condition of financial exigency, major curtailment or elimination of programs or significant reduction in funding, or based upon any other reasons or purposes as it may in its sole discretion determine to be appropriate.

## **6.5 GRIEVANCE PROCEDURES**

**A. Purpose:** The University is committed to protecting the rights of faculty. Current policies are in place to protect these rights in an attempt to increase harmony in faculty-to-staff, faculty-to-faculty and faculty-to-administrator relationships. The purpose of the grievance process is for situations that must be presented to a neutral body for a recommendation to be presented to the Provost who will decree a resolution to the situation. Furthermore, whenever possible and reasonable, attempts to resolve situations should be undertaken at the level at which they arise.

**B. Eligibility:** Eligibility to participate in the grievance process is limited to University faculty or those who were faculty when the situation arose. If a faculty member is employed by both a related foundation, an institute or an entity associated with Alabama Agricultural and Mechanical University for which Alabama Agricultural and Mechanical University serves as the fiscal agent (**THIRD PARTY**) for payroll or an entity outside of the University (e.g. Alabama Cooperative Extension System, USDA) for which the faculty member has a split-appointment, he/she is required first to follow the procedures as outlined by the other entity before beginning the grievance process at the University. Even then, the faculty member can only enter into the University grievance process if the situation concerns the faculty portion of his/her appointment and then only to the extent and only for those issues related to the faculty assignment may be considered in this grievance process.

**C. Grievance:** A grievance is a situation where allegedly one of the following has occurred:

1. A violation of institutional policy (outlined in the Alabama Agricultural and Mechanical University Faculty Handbook or an official Alabama Agricultural and Mechanical University Procedure or Policy) has occurred;
2. Unfair or wrong use of procedures in matters concerning renewal of appointments or nomination for tenure or promotion--the point of the alleged grievance being not whether tenure or promotion was granted, but whether correct procedures were followed;
3. An individual's employment rights (as understood from Alabama law or federal law) were affected; or
4. There was administrative mishandling, such as performance evaluations, departmental assignments or other working conditions.

Situations not aforementioned may be submitted and the decision to allow inclusion to the process will be decided by the Screening Committee. The grievance process may be undertaken by one or more faculty affected and may address a single situation regarding one or more administrators and/or other members of the faculty. A non-tenured faculty, or other employee without tenure, or an employment contract for an unexpired term, is not entitled to grieve a no cause termination.

### **D. Grievance Process:**

1. Before any formal grievance is filed, when applicable, safe and reasonable, there shall be an informal discussion between the individual(s) considering undertaking the

grievance process and those who allegedly committed a grievance. The informal discussion or attempted request of such must be formally documented (certified letter, email, etc.). Where applicable, the immediate supervisor should be provided with pertinent documentation and participate in the informal discussion. A minimum of ten (10) working days following the formal request with no response or a denial to the request must be allowed prior to beginning the formal grievance process.

2. A grievance notice shall be submitted after the initial 10 days or after a resolution at the level where the situation arose cannot be agreed upon.
3. The grievance notice must be signed, dated and filed within thirty (30) working days of the initial formal request for an informal discussion as outlined above and must contain the following:
  - a. a brief account of individuals and events leading to the alleged grievance situation
  - b. an account of how the grievant was affected by the situation;
  - c. a concise listing with dates (timeline) of steps taken to resolve the situation at the level at which the situation occurred;
  - d. results of required attempts for resolution;
  - e. a brief specification of the redress sought.

The grievance notice must be filed with the Director of Human Resources. As stated previously, resolution to the situation prior to initiating the University's grievance process should be undertaken and documentation is required for the grievance notice.

When a grievant notice is submitted to the Director of Human Resources via a faculty member, the Director of Human Resources and the Faculty Senate President will meet and utilize a computer generated random selection process for three (3) faculty to serve on a Screening Committee. The Director of Human Resources, or designee, will schedule a meeting for the Screening Committee to review the grievant notice. The Screening Committee will review the grievant notice, deliberate and submit a decision as to whether the grievant notice meets the requirements and the offence merits a grievance. If the Screening Committee decides the former in the affirmative, the Director of Human Resources and the Faculty Senate President will meet and utilize a computer generated random selection process for seven (7) faculty to serve on a Hearing Committee. Each of the parties named in the grievant notice may strike one (1) member of the committee so that the committee will have a minimum of five (5) faculty. The Hearing Committee members will elect a Grievance Hearing chair. Those serving on the Screening Committee for a particular grievant notice will not be allowed to serve on the Hearing Committee for that grievant notice.

To serve on the Grievance Committee, a faculty must be classified as full time with status and rank. No member serving on a Grievance Screening Committee or the Grievance Committee shall have personal involvement in the grievant notice or, at a minimum, be an individual who (1) is related to one of the parties by blood or marriage; (2) is a faculty member in the same department as one of the parties; (3) is a member of the same household as one of the parties; (4) has been a teacher, student, advisor, advisee, mentor, or mentee of one of the parties. Any faculty member who has a conflict which will permit his or her impartial involvement must inform the Grievance Committee chair of that fact and

recuse himself/herself from the proceedings.

The Grievance Hearing Committee shall meet on call by the chair as set forth in Section 4.b. The quorum for the Grievance Committee shall consist of a majority of the elected membership.

**E. Functions of the Chair of the Grievance Committee:** The duties of the chair shall be as follows:

- 1) to call meetings of the Grievance Hearing Committee, as necessary, to gather and review information, conduct the hearing, deliberate, and form a written decision to submit to the Provost, Director of Human Resources, and all involved parties;
- 2) to be the point of contact for the grievant and those named in the grievant notice;
- 3) to schedule, preside and maintain order at the hearing;
- 4) to provide rulings relative to procedural issues in dispute;
- 5) to maintain committee records, documents, and evidence pertaining to the grievance.

The chair must submit the original copy of all records, documents, and evidence pertaining to the grievance to the Office of Human Resources with his or her transmission of a copy of the Committee's recommendation to the Office of the Provost. The Office of Human Resources must have a complete copy of the entire grievance file within thirty (30) days of the close of the official hearing.

**F. Grievance Procedure:**

- a. A hearing may be requested only after the alleged grievance has been clearly identified with the person(s) against whom it is being directed and after reasonable efforts to resolve it, including appeal to immediate superiors, have failed. 2. A statement of an alleged grievance from the grievant shall be made in writing to the Office of Human Resources, P.O. Box 305, Normal, AL 35762 within thirty (30) days of the occurrence giving rise to the alleged grievance.
2. The grievant must send the grievance petition by certified mail to the Alabama Agricultural and Mechanical University, Office of Human Resources, P.O. Box 305, Normal, AL 35762, with return receipt. Grievance petitions sent by third parties will not be accepted. Grievances sent via hand delivery by a third party courier service will not be accepted.
3. Upon receipt of a grievant notice, the Faculty Grievance Screening Committee is to determine the following:
  - i. whether the persons involved are subject to this procedure;
  - ii. whether the issue under consideration constitutes a grievance; and
  - iii. whether the faculty members filing the grievance have complied with the conditions of Section E.1. and E.2.
4. If the above conditions are met, the Faculty Grievance Screening Committee shall, within ten (10) business days of receiving the grievant notice, request the Director of Human Resources to form a Faculty Grievance Hearing Committee. If the above conditions are not met, the Faculty Grievance Screening Committee shall, within ten (10) business days of receiving the grievant notice, request the Director of Human Resources to inform the grievant that the conditions were not met and that a hearing will not held regarding this grievant notice.
5. 4. Upon receipt of the grievant notice, the Faculty Grievance Hearing Committee must

follow the procedures listed below:

- a. elect a Faculty Grievance Hearing Committee chair;
  - b. notify all parties named in the grievant notice, the Office of General Counsel and the
    - i. Director of Human Resources that the grievant notice has been approved for a hearing
    - ii. from the Screening Committee;
  - c. schedule a hearing (date, time and place) to be held within thirty (30) business days of
    - i. the date upon which the determination is made that all conditions precedent to a grievance committee were satisfied.
6. A University secretary designated by the chair of the Grievance Hearing Committee may be asked to assist the Committee in its clerical functions.
  7. There shall be no formal rules of evidence. Questions of procedure shall be resolved by the Grievance Hearing Committee chair. Personal contact concerning the grievance between the Grievance Hearing Committee chair and participants in the hearing prior to the official meeting shall be limited to procedural matters only. With the exception of the chair, members of the Grievance Committee are not permitted to have any contact concerning the grievance with any hearing participants (i.e., including, but not limited to the grievant, witnesses, representatives of the grievant) prior to the hearing.
  8. Each party may present its own witnesses. A list of witnesses to be heard shall be submitted to all parties at least ten (10) days in advance of the hearing. The presence of witnesses at the hearing is the responsibility of the party calling the witnesses. University employees shall be excused from their regular duties to participate in the hearing. Each witness shall be questioned by the parties and by members of the Committee in accordance with procedures established by the Grievance Hearing Committee chair prior to the beginning of the hearing. Witness participation is limited to a brief specification of the event regarding the grievant notice and direct and concise responses to questions asked of them by the parties or committee members. A written statement of testimony in the form of a sworn and notarized affidavit from a witness may be permitted, subject to the agreement of all parties. The party offering testimony through an affidavit must be submitted to the opposing party and the committee at least ten (10) days prior to the hearing.
  9. Each party may present evidence. A list of all evidence to be presented and copies of all evidence shall be provided to all parties at least ten (10) days in advance of the hearing.
  10. The Grievance Hearing Committee shall have access to all information from University sources which it considers necessary to reach a decision in the case unless it is determined by the Office of General Counsel or the Office of the President that the information sought is confidential and not subject to release.
  11. The Grievance Hearing Committee may hold pre-hearing meetings with or without the parties present to simplify the issues and determine the rules of procedure and evidence to be used.
  12. The decision of the Committee shall be based exclusively on evidence presented at the hearing.

A majority vote of the Committee shall determine the decision. All participants in the hearing must keep grievance matters confidential.

13. The following hearing procedure is intended to be used in grievance proceedings:
  - (a) **Opening statement by the grievant**
  - (b) **Opening statement by the respondent (i.e., accused party)**
  - (c) **Grievant's Case in Chief (i.e., presentation of evidence and witnesses)**
  - (d) **Respondent's Case in Chief (i.e., presentation of evidence and witnesses)**
  - (e) **Closing statement by the grievant**
  - (f) **Closing statement by the respondent**

During the proceedings, the grievant, respondent, and the administration may each have one advisor present; however, the advisors may not take an active role in the proceedings. The Director of Human Resources may attend all grievance proceedings, including, but not limited to the Grievance Screening Committee meetings and pre-hearing meetings. As the chair provides rulings relative to disputed procedural issues, any ruling by the chair may be appealed by any party to the whole committee, which shall have, by majority vote, final authority in the matter.

14. The close of the official hearing shall take place no later than thirty (30) days following its opening. A recommendation to the Provost with copies sent to all parties to the grievance, to the Grievance Committee, and the Office of Human Resources shall be made in writing by the Grievance Hearing Committee chair within thirty (30) days of the close of the official hearing.
15. The final disposition of the case, including a summary of all actions to be taken shall be made known in writing to all parties to the grievance and the chair of the Grievance Committee by the Provost within thirty (30) days of the filing of the Grievance Hearing Committee's recommendation report to the Provost. In unusual instances in which a decision cannot be reached within thirty (30) days, the Provost shall give written notification to the persons noted above and indicate a date on which a decision can be expected.
15. Either party may file a written appeal of the Provost's disposition of the case to the President within ten (10) days of the date of the Provost's written disposition letter to all parties. The President's decision shall be final.
16. Exhibits, and other documents pertinent to the hearing (i.e., Grievance Hearing File) shall be retained in the Office of Human Resources confidential files following the close of the case. The Grievance Hearing file shall be treated in the same manner as all institutional personnel files.
17. When the grievance is filed for termination, the format in E.12. will reverse with the administration being required to present their case for termination first and the grievant responding.

**G. Right to Representation:** In this procedure each party involved in the hearing may be accompanied by no more than one (1) other person (e.g., an advisor) of his or her choosing. The opposing party shall be given prior notification of representation at least ten (10) days prior to the hearing in order to have a representative present if desired. The person (i.e., the advisor) may not participate in the hearing and may not replace or stand in for the grievant or respondent.

**H. Withdrawal of Grievance:** The grievant(s) may withdraw from the grievance procedure at any stage



of the process but may not reinstate once withdrawn. The request to withdraw must be made following the same procedure as the initial filing of the grievance.

**I. Administrative Closure:** When the issue of a grievance is resolved or becomes moot for any reason (including the grievant's filing of a lawsuit, administrative complaint with the Equal Employment Opportunity Commission or other outside agency, or such) prior to the official hearing on the matter, the grievance will be considered as administratively closed.

**J. Reprisals/Retaliation:** No reprisal/retaliation shall be brought against any person participating in any way under this procedure. Such reprisal may be grounds for instituting another grievance or disciplinary action.

### **6.5.1 GENERAL PROVISIONS**

The filing or pendency of any grievances under the provisions of this Article shall not prevent the University from taking the action complained of, subject however, to the final decision on the grievance. Failure at any step of this procedure to communicate the decision on the grievance within the specific time limits, or such additional period of time as shall be mutually agreed upon in writing, shall permit the grievant to proceed to the next step. Failure at any step of this procedure to appeal a grievance to the next step within the specified time limits, or such additional period of time as may be mutually agreed upon in writing, shall be deemed to be acceptance of the decision rendered at that step by either party and by either of the committees. Extensions of time will normally be granted for good and sufficient reasons by mutual agreement. Moreover, all processes and timelines will be monitored by Human Resources. Corrective measures may be implemented as needed by Human Resources which may include committee changes if the grievance is not processed in a timely manner or in accordance with the grievance policy.

### **6.6 FACULTY/STUDENT ALTERCATION**

An altercation, as the term is used in the context of this section, means that there has been a mild, noisy or angry confrontation between a student and a member of the faculty, and the student has accused the faculty member of some improper behavior. Should such an incident occur, the matter will be processed in the following manner:

A. The faculty member who has been accused of some impropriety (orally or in writing), pursuant to the procedures for handling and resolving student complaints as cited on page 22 of *Life on the Hill: A Guide to Student Life*, may challenge the accusation by filing a request for a hearing in order to respond to and/or challenge and dispute his or her accuser. This request must also give a brief written statement explaining the nature of the altercation, the parties involved, and the date that the incident occurred.

B. The request must be filed with the Provost and Vice President for Academic Affairs and Research within 20 days following the altercation. If the request is not filed within this time period, it will be precluded from future consideration by the University.

C. Both parties will be notified by the Provost and Vice President for Academic Affairs and Research that an informal hearing will be convened before an impartial panel consisting of five (5) persons. The composition will be two (2) faculty members, two (2) staff members and one (1) student selected from the student government association or other recognized student organization. Since this is an administrative hearing, neither party can be represented by an attorney.

D. Once the hearing process is initiated, all parties to the process agree to observe strict rules of confidentiality. The student accuser will be required to give an oral presentation of his/her accusations regarding the altercation before the panel. Both parties will also be able to present other evidence that is relevant and in support of their claims. The accused faculty member will be able to respond to and dispute the student's version of the events and any other evidence presented by the student. If witnesses are brought in to testify, both parties will be allowed to cross-examine the opposing parties and witnesses.

E. At the hearing, the burden of proof will be on the student accuser who will have to present clear and convincing evidence that the accused faculty member engaged in improper and/or illegal behavior during the altercation. The panel will ask the parties questions regarding the validity of the accusation and other evidence presented by the parties.

F. The panel will review and weigh the evidence relative to the accusations and make a determination as to how compelling it is based on the parties' claims.

The panel will report its findings and any recommendations to the Provost and Vice President for Academic Affairs and Research. Supervisors may recommend suspension, citing justification in writing, but actual suspension must be approved by the President.

## **SECTION 7. POLICY ON INTELLECTUAL PROPERTY**

### **7.1 INTRODUCTION**

Alabama Agricultural and Mechanical University faculty, staff, and student personnel are regularly involved in a wide range of scholarly activities that stem from the core teaching, learning, research, and service missions of the University. While the primary focus of such efforts is the advancement of the central purposes of the University, the products of scholarship often have implications for wider and differing applications. These products or intellectual properties thus may be of benefit to the individuals involved, to the University, and to the larger society in which one lives. By establishing this policy on Intellectual Property, Alabama Agricultural and Mechanical University seeks to support faculty, staff, and students in identifying, protecting, and administering Intellectual Property matters and defining the rights and responsibilities of all involved.

The purpose of this policy is to provide the overarching policy framework under which Alabama Agricultural and Mechanical University will manage the Intellectual Property resources of the University community consistent with the University's mission. This policy shall apply to all persons in the employ of Alabama Agricultural and Mechanical University in any capacity and to all students enrolled in Alabama Agricultural and Mechanical University. Furthermore, this policy applies to all Intellectual Property created by Alabama Agricultural and Mechanical University employees and students. The President delegates administrative oversight of the Intellectual Property policy to the Provost and Vice President for Academic Affairs and Research. The President delegates the day-to-day administrative responsibility to the Vice President for Research, Economic Development, and the Associate Vice President for Research and Sponsored Programs. In spite of this delegation, the President along with the Board of Trustees retains the authority to deviate from the policies set forth in this section.

### **7.2 GENERAL PRINCIPLES**

Any member of the University faculty, staff, or student body that discovers, invents, conceives, or reduces to practice an invention or creative work must cooperate with the University in defining and establishing the rights to such. This obligation extends to any invention or creative work regardless of whether made on University time or with utilization of the University facilities. When an invention, or creative work is discovered or created, the individual shall promptly provide the Provost and Vice President for Academic Affairs and Research and the Associate Vice President for Research and Sponsored Programs or his/her designee, with a statement which contains a description of the invention or creative work and the circumstances under which the intellectual property was conceived and reduced to practice, the sponsor of the project or program, whether the invention is within the activities and/or responsibilities of the inventor's University employment, the extent of use by the inventor of University equipment or physical facilities, and whether the discovery was under the terms of any consulting agreement

### **7.3 PATENTS**

A patent is a grant by the government, acting through the Patent Office, of exclusive right to an invention or discovery of a process, machine, manufacture or composition of matter for a limited time. Generally, three conditions should be met for the granting of a patent: the invention or discovery should be new, useful, and unobvious.

Patents require specific actions to provide legal protection for Intellectual Property while being evaluated for patenting as an Invention. All persons subject to this policy are obligated to disclose their Inventions in the prescribed form to the Office of Research and Sponsored Programs and execute assignments and other appropriate documents as may be requested by the Office of Institutional Research and Planning.

The Office of Research and Sponsored Programs has the responsibility for determining whether the University should seek patent protection for an invention. No creator shall have a right to have an invention patented by the University without the University's consent. If the University decides not to seek patent protection for an invention, ownership of the invention shall be reassigned to the creator upon request, subject to any sponsor restrictions.

Agreements with outside entities that grant rights to commercially develop inventions are encouraged. The Office of Research and Sponsored Programs is responsible for negotiating patent licenses or other contractual arrangements, on behalf of the University, and in close coordination with the creator and the Office of General Counsel. Inventors shall, whenever practicable, be advised and consulted on the progress of license negotiations, but in no event shall they have a right of approval to the legal or payment terms of any agreement.

### **7.4 COPYRIGHTS**

The University encourages the preparation and publication of copyrightable works that result from teaching, research, scholarly work, and artistic endeavors by members of the faculty, staff, and student body. Because the sharing of knowledge is central to the success of the University, the University also desires that copyright policies enhance, not inhibit, cooperative productive work. Copyright protection never extends to any idea, procedure, process system, concept, principle or discovery. A copyright protects the forms of expression and not the ideas that are expressed. The University does not claim ownership to a wide range of traditional types of copyrightable works (Traditional Academic Rights). Notwithstanding, the influence of new technologies on teaching, learning, research, and creative activity will continue to impact higher education and copyright law is difficult to predict. Consequently, Individual Project Agreements should be used when there is a concern regarding non-traditional issues in the copyright arena. All creators shall be responsible for securing permissions or licenses from owners before reproducing, distributing, making a derivative work, or displaying copyrighted works. It should be assumed that any material being used is copyrighted unless permission is expressly granted within the material or it is clearly in the public domain. Whether a particular use constitutes "fair use" is determined by the standards of U.S. Copyright Law.

## 7.5 OWNERSHIP

The application of these ownership principles shall be consistent with the use of University resources, shall always protect its legal status as a nonprofit institution, and shall never violate any federal or state laws. The ownership principles are focused on the way the property is created not on the nature of the property. If, based on the policies below, it is determined by the Intellectual Property Rights Review Committee (IPRRC) that the University has rights in an invention, the inventor shall assign all rights, title, and interest in and to said invention to the University in consideration of his/her employment remuneration and the compensation provided by this policy.

As a general matter, the University shall be the owner of Intellectual Property when its ownership is not governed by any of the previous items and when aforesaid Intellectual Property was created within the normal scope of employment and/or study or a direct result thereof, and shall share any revenues from it as prescribed in this policy. The creator of any Intellectual Property that is or might be owned by the University under this policy is required to make reasonably prompt written disclosure of the work to the University.

### A. Patents

**1. Inventions Resulting Without Use of University Funds or Facilities:** Inventions resulting from research conducted wholly at the expense of the individual, without use of University laboratory facilities, equipment, or materials and outside the scope of the individual's normal field of University activities and employment responsibilities, are considered independent projects and thus are the property of the individual. The University undertakes no responsibility with respect to such inventions. In all such cases, the President or his designee will agree in writing that the invention belongs in its entirety to the inventor to dispose of as the inventor sees fit. At the sole option of the inventor and with the University's prior consent, such inventions may be conveyed by assignment to the University. Inventions so assigned will be treated as outlined in this section.

When a student creates Intellectual Property independently, using only resources available in common to all students such Intellectual Property is owned by the student. Nonetheless, Intellectual Property created by a student(s) when working for pay or academic credit, or voluntarily working on faculty projects or University Sponsored Projects is subject to the other six ownership principles.

**2. Inventions Resulting With Use of University Funds or Facilities:** Inventions resulting from research financed with funds administered by the University or which have involved the use of University facilities, equipment, or materials and in which the University and the inventor are parties in interest are the property of the University. Such inventions shall be promptly evaluated by the Intellectual Property Rights Review Committee for novelty and patentability released to the inventor, referred to the Office of the General Counsel or referred to a developmental agency for assessment of commercial potential.

**3. Research Financed wholly or in Part by Government Funds:** Inventions or discoveries resulting from research financed wholly or in part by government funds will be treated in accordance with the Bayh Dole Act. The Act provides that the University may retain full title, rights and interest in inventions made under contract with or grants from the federal government, with certain exceptions for

unusual circumstances, and requires that the University act in a timely fashion to execute the following:

- a. disclose inventions to the government;
- b. elect to retain title to inventions; and
- c. file patent applications on such inventions.

**4. Research Financed, Wholly or in Part, by Industrial, Philanthropic Organizations or by Individuals under Contract or Written Agreement with the University:** Rights with respect to inventions in this category are governed by the terms of the individual contracts or agreements, and the principal investigator is responsible for informing co-workers of their rights and obligations under such contracts or agreements before initiation of the research. Inventions which are not required to be assigned by contractual terms shall be processed and disposed of by the University under the procedures of the IP Review Committee.

**5. Consulting Agreements:** University personnel may not use University facilities for work related to consulting agreements without prior written approval from the appropriate dean or Vice-President. Upon approval of the appropriate dean or Vice-President, the University personnel shall advise potential consultation clients of their University obligations prior to entering into consulting agreements and shall ensure that such parties are provided with a current copy of this policy and any supplemental material, if necessary. Student employment with external entities will be considered as consulting under this policy, and externally employed students will be responsible for respecting the Intellectual Property policies of both University and their employers.

## **B. Copyrights**

**1. Traditional Academic Rights:** In keeping with academic traditions at the University, the creator shall retain ownership to the following types of Intellectual Property, without limitation unless part of an agreement dictates otherwise: books (fiction, nonfiction, poetry, textbooks etc.), “articles,” “poems,” “published standardized tests,” student papers (theses, term papers, reports, exams, etc.), “musical works,” dramatic works including any accompanying music, pantomimes and “choreographic works,” pictorial, graphic and sculptural works, “motion pictures,” “video recordings,” and “sound recordings.” This provision does not automatically include computer software, databases, and other electronic media because no academic tradition exists for them. Until standard practices emerge, creators of any innovative Intellectual Property shall pursue Individual Project Agreements with the University. .3In all cases, the student shall own the copyright to his/her doctoral dissertation. Consequently, dissertation advisors must take responsibility to ensure that the contents of dissertations do not fall under Intellectual Property agreements precluding the student owning the copyright to any portion of a doctoral dissertation. Intellectual Property, other than the copyright of the doctoral dissertation created during research toward a doctoral degree, is subject to all the other terms of this policy.

**2. Works Resulting from Activities Funded Within the University:** Where there are incremental costs to the University associated with the production of creative works by a member of the University community, the author/creator shall reimburse the University for such out-of-pocket costs if he/she is to own the copyright. Under these circumstances the University will not ordinarily charge rental on University facilities, including equipment or space, when their use does not interfere with other uses

except as described in this policy.

The University provides support facilities to assist faculty and staff in strengthening existing educational programs or in creating new ones. Unless specifically covered by an agreement, assignment, contract, or grant entered into before initiation of the work, title to such materials remains with the author; however, in recognition of the services provided, the author must grant the University, including its faculty and staff, a royalty-free right to reproduce and use such works within the University and outside the University in connection with any use in furtherance of the University's educational and research purposes.

In the case of works that result in very substantial income to the author/creator, it is the custom of some universities that the author make a gift to the university in recognition of the contribution to the work made by the availability of university facilities. It is hoped that this custom shall be followed at this University, but this decision is left to the judgment and good will of the author and is not stated as a requirement or even an expectation of the University.

**3. Works Resulting from Activities Sponsored by the University:** Works in this include funding from the University resources and funding from outside sources that are administered by the University. When materials are developed with partial University funding, and the author does not reimburse the University for out-of-pocket costs, rights to ownership and disposition of these materials and sharing of any royalty will be determined by the Intellectual Property Rights Review Committee (IPRRC). When materials are developed using University resources, in the course of University duties or as the result of an assigned project with total funding by the University, rights of ownership abide with the University, although title to such materials may be assigned to the University and the author jointly at the sole option of the University with sharing of any royalty income providing for the University's equity interest as provided in the policy. Where title to the copyrighted creation rests with the University, the University will provide to the author/creator, upon written request, a copy of the material and the right of duplication for the creator/author's use.

## **7.6 INTELLECTUAL PROPERTY RIGHTS REVIEW COMMITTEE (IPRRC)**

The Provost and Vice President for Academic Affairs and Research shall appoint two faculty representatives from each college that are not currently serving in administrative appointments, to serve on this committee. In addition, an at-large representative with full voting rights will be elected by the Faculty Senate to serve on this committee. The terms will be staggered for two (2) years. Each college must have two (2) representatives on the committee at all times. Only tenured faculty with the rank of Associate Professor or above may serve. Ex-officio members of the committee will include the Provost and Vice President for Academic Affairs and Research, or designee, and a representative from the Office of the General Counsel.

The representatives will elect the chairperson of the Intellectual Property Rights Review Committee (IPRRC) every two years. A quorum consists of eight (8) or more present. At least seventy-five percent (75%) of members present must approve any resolution for it to be implemented.

The IPRRC's decisions are recommendations to the Provost and Vice President for Academic Affairs

and Research through the Associate Vice President for Research and Sponsored Programs. The recommendations are reviewed by the Provost and Vice President for Academic Affairs and Research with a recommendation for final disposition by the President.

At the beginning of each academic year, the Associate Vice President for Research and Sponsored Programs, Vice President for Business and Finance, and the dean of each college will provide to the Provost and Vice President for Academic Affairs and Research a summary statement of accounting of income and disbursements of funds generated from Intellectual Property. The Provost and Vice President for Academic Affairs and Research will submit this information, disclosing all activities in which the University has been involved in the preceding year in a written report to the IPRRC.

The IPRRC shall review and monitor University activities on matters relating to the administration of this policy, be consulted in advance concerning any changes to this policy and will participate fully in the future development of the same. The Committee shall also administer a review process for the allocation of the University's income and disbursements related to intellectual property. In cases where the IPRRC is unable to resolve disagreements to the satisfaction of interested parties, then it shall submit a written recommendation for resolution of the dispute to the University President for a final administrative decision.

## **7.7 REVENUE DISTRIBUTION**

All monetary proceeds from the transfer or commercialization of applicable intellectual property shall be distributed as set forth below, unless legal requirements or contractual agreements require otherwise. The net revenue is the amount of proceeds remaining after deducting all direct expenses necessary for obtaining protection for, and licensing of applicable intellectual property plus fifteen (15%) for overhead costs.

### **A. Of the First \$100,000 of Net Revenue**

1. The Creator(s), or Creator's heirs, successors, and assigns shall receive fifty percent (50%) of the net revenue arising from applicable intellectual property.
2. The Department/College(s) responsible for the applicable intellectual property shall receive twenty-five percent (25%) of the revenue arising from the applicable intellectual property to support research or other activities, as appropriate.
3. The University shall receive twenty-five percent (25%) of the net revenue arising from the applicable intellectual property to support research and technology transfer activities.

### **B. Of the next Net Revenue in excess of \$500,000**

1. The Creator(s), or Creator's heirs, successors, and assigns shall receive forty percent (40%) of the net revenue arising from applicable intellectual property.
2. The Department/College(s) responsible for the applicable intellectual property shall receive twenty-five percent (25%) of the revenue arising from the applicable intellectual property to support research or other activities, as appropriate.
3. The University shall receive thirty-five percent (35%) of the net revenue arising from the applicable intellectual property to support research and technology transfer activities.



Whenever an invention or other intellectual property is released to the inventor pursuant to this policy, the University may claim a share in any income received by the originator after the deduction of his/her expenses as a condition of such release.

### **7.8 *USE OF UNIVERSITY NAME***

Whenever the University determines that it has no proprietary interest in an invention or intellectual property, or whenever the University releases an invention to an inventor, the inventor agrees to not use the University or the University's name in the promotion of such inventions without prior written approval of the University.

### **7.9 *SHARING OF RESEARCH MATERIALS***

There is a long tradition in some fields of sharing research materials such as reagents, cell lines, and purification media, and the University encourages this type of cooperation and team work amongst scientists and scholars. Nonetheless, due to recent conflicts over such issues as commercialization rights and personal and product liabilities, any terms of such sharing must be spelled out in a written agreement among the parties. Moreover, no materials or inventions shall be transmitted outside the University without the express written consent of the Vice President for Research, Economic Development and 1890 Programs or department chairperson of the involved researcher's. Also, when significant costs to the University are involved in producing the material, provision for recovery of those costs not covered by sponsor support shall be included in any sharing agreement. A copy of any such agreement shall be maintained by the faculty member and in the offices of the Vice President for Research, Economic Development and Sponsored Programs and the Provost and Vice President for Academic Affairs and Research.

## SECTION 8. COMMITTEES

### 8.1 **PURPOSE**

A primary vehicle for faculty involvement in the University governance process is through active participation in the committee structure. These committees provide input into the policy making processes affecting the health and well-being of the University and as such the role of the faculty in this is preeminent. In keeping with democratic principles of shared governance, faculty participation on University committees should reflect proportional representation consistent with the faculty's representation within the University. All disciplines, colleges, and levels (undergraduate and graduate) should be visibly represented in the committee structure.

### 8.2 **STRUCTURE AND RESPONSIBILITY**

In order to ensure that the goal of proportional representation is achieved, election of representatives for committee service should emanate from colleges and departments. In addition, the Faculty Senate will elect representatives from among those duly elected Senators to serve as members of these committees. All such representatives shall have full voting authority in carrying out the charge of the committees. Elections of the committee members should be conducted in the manner developed by the dean in consultation with the Faculty Senators from that academic unit. All elections are to be done during colleges meetings after the fall Faculty/Staff Conference. Students shall also serve as elected voting members of committees as appropriate. Students will be elected or appointed by the respective Student Government Association. Representatives from the administration and staff shall serve as either voting or ex-officio members of these committees depending on the scope and responsibility of the committee.

At the beginning of each academic year, the Provost will charge all University committees to convene for the purpose of reviewing and electing membership, organizing and establishing the goals and objectives to be accomplished, ensuring a process is in place for recording proceedings and disseminating to its respective constituents the actions of the committee. The chair of the committee will provide to the Office of Academic Affairs the current membership of the committee, the annual goals and objectives, and a meeting schedule for the year.

To ensure compliance with regional accrediting body requirements and standards relative to governance and conflict of interest, administration and board of trustee members (to include faculty and student representatives) are not eligible to serve in committee roles that have an institutional governance responsibilities and/or influence. This is in accordance with the rationale for the Comprehensive Standard 3.2.3 in the Resource Manual for the Principles of Accreditation of the Southern Association of Colleges and School, which states:

*“to maintain the integrity of educational enterprise, those responsible for establishing broad institutional policies should be free of inappropriate influence and avoid even the appearance of any conflict of interest as they carry out their duties”.*

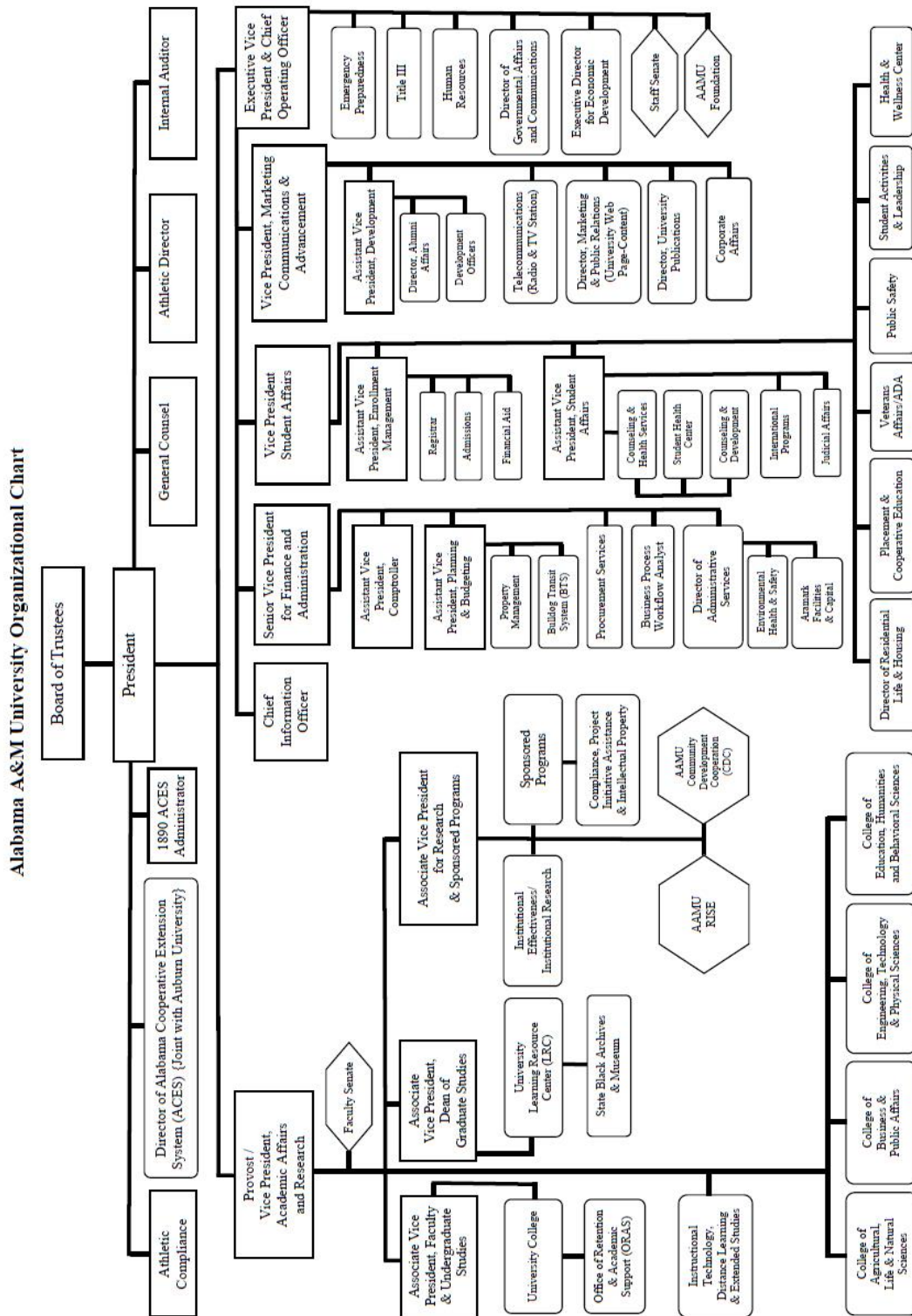
The Alabama Agricultural and Mechanical University Committees List is maintained in the Office of the Provost and Vice President of Academic Affairs and Research.

Alabama Agricultural and Mechanical University is accredited by the Southern Association of Colleges and Schools' Commission on Colleges to award baccalaureate, master's, educational specialist, and doctoral degrees. Contact the Commission on Colleges at 1866 Southern Lane, Decatur, Georgia 30033-4097 or call (404) 679-4500 for questions about the accreditation of Alabama Agricultural and Mechanical University.

## APPENDICES

## APPENDIX A

University's Organizational Chart



## APPENDIX B

### Guidelines for Faculty Workload Equivalencies

Activity	Credits
<b>A</b> Undergraduate Courses 100/200 level. Minimum class size: 15 300/400 level. Minimum class size: 10	The lecture contact hour value of the course. A course listed as 3 hours lecture, 0 hours laboratory, yields three (3) teaching credits per faculty.
<b>B</b> Cross-listed undergraduate/graduate level classes (400/500 level). Minimum class size: 8	The number of credits will be computed as the number of credit hours times 1.5 and should be counted only once (e.g. a 400/500 course and 3 credits, yields a teaching credit of 4.5).
<b>C</b> Graduate Courses 500 level. Minimum class size: 8	The number of credits will be computed as the number of credit hours times 1.33 (e.g. a course listed as 3 hours lecture, 0 hours laboratory, yields a teaching credit of 4).
<b>D</b> Graduate Courses 600 level. Minimum class size: 5 700 level. Minimum class size: 3	The number of credits will be computed as the number of credit hours times 1.5 (e.g. a course listed as 3 hours lecture, 0 hours laboratory, yields a teaching credit of 4.5).
<b>E</b> Laboratories	Credit hours for graduate and undergraduate laboratories are computed as the laboratory contact hours per week multiplied by 0.67 up to a maximum of three (3) teaching credits per laboratory. (e.g., a laboratory that meets once a week from 2 to 4:50pm yields a teaching credit of 2; i.e. $3 \times 0.67$ ).
<b>F</b> Internships, Externships, Field Experience (Defined as a faculty effort of less than 50 hours of student contact and assessment per semester. The effort is determined by the department's chair).	All internships, Externships and Field Experience yield a teaching credit of 1, even though the student may have registered for more credit hours.

<p><b>I</b> Music individual instruction/ applied music/Junior-Senior recital courses</p>	<p>Credit hours are computed as 0.67 for each enrolled student in each course (each student taught individually); up to a maximum of six (6) teaching credits per faculty.</p>
<p><b>J</b> Mega classes (&gt; 65 students) with extensive grading or evaluation of student's work (Determined by the department's chair).</p>	<p>1.5 credits per course credit hour (e.g., a 3 credit course yields a teaching credit of 4.5)</p>
<p><b>K</b> Small section (enrollment below minimum levels)</p>	<p>To be prorated based on the number of students enrolled in the class as follows (3 CH courses):</p> <p>100/200 level  1-4 students: 1.5 teaching credits  5-9 students: 2 teaching credit  10-14 students: 2.5 teaching credits</p> <p>300/400  1-4 students: 2 teaching credits  5-9 students: 2.5 teaching credits</p> <p>400/500 level and 500 level  1-3 students: 2 teaching credits  4-7 students: 2.5 teaching credits</p> <p>600 level  1-2 students: 2 teaching credits  3-4 students: 2.5 teaching credits</p> <p>700 level  &lt;3 students: 2 teaching credits</p> <p>A factor of 0.33 and 0.67 will be used to prorate teaching credits in courses with 1 and 2 CH (respectively). For instance a 400 level course (1CH) with 6 students will receive 0.87 teaching credits (i.e. <math>2.5 \times 0.33</math>)</p>
<p><b>L</b> Undergraduate Academic Advisees (number of advisees for each faculty to be determined by department's chair)</p>	<p>1-5 students = 0.5 credits  6-10 students = 1 credit  11-20 students = 1.5 credits  21-30 students = 2 credits  31-40 students = 2.5 credits  &gt;40 students = 3 credits</p>

<b><i>M</i></b> Master Advisees (Thesis and non-thesis option).	1-5 students = 1 credits 6-10 students = 1.5 credits 11-15 students = 2 credit 15-20 students = 2.5 credits >20 students = 3.0 credits
<b><i>N</i></b> Member, Master's thesis committee or equivalent (number of advisees for each faculty to be determined by department's chair).	Credit hours are computed as 0.33 for each student; up to a maximum of one (1) teaching credits per faculty
<b><i>O</i></b> PhD Advisees	1 students = 1 credit 2 students = 1.5 credits 3 students = 2 credits 4 students = 2.5 credits >4 students = 3 credits
<b><i>P</i></b> Member, PhD dissertation committee or equivalent (number of advisees for each faculty to be determined by department's chair).	Credit hours are computed as 0.33 for each student; up to a maximum of one (1) teaching credits per faculty
<b><i>Q</i></b> Academic Coordinator (To be determined by department's chair).	3 teaching credits (release time)
<b><i>R</i></b> Newly hired tenure-track Faculty (as an Assistant Professor; to be determined by department's chair).	Up to 6 teaching credits/semester, within first two years of appointment.



## APPENDIX C

## OFFICE OF ACADEMIC AFFAIRS

## FACULTY EVALUATION FORM

Faculty Member: \_\_\_\_\_

Last	First	Middle

Rank and/or Position \_\_\_\_\_  
Title: \_\_\_\_\_

Tenure Status: \_\_\_\_\_ Tenured \_\_\_\_\_ Non-Tenured

College: \_\_\_\_\_

Department/Unit: \_\_\_\_\_

Faculty Member Load Assignment (Percent for each category)

Teaching \_\_\_\_\_ Research \_\_\_\_\_ Service \_\_\_\_\_ Other \_\_\_\_\_  
Other, explain: \_\_\_\_\_

Length of Time Teaching/Research in Discipline at AAMU: \_\_\_\_\_

Length of Time at University: \_\_\_\_\_

Dates Covered by this Evaluation: \_\_\_\_\_

Primary Evaluator and Position Title: \_\_\_\_\_

Instructions: This instrument is to be used for evaluation of faculty members.

The rating scale is:

- 5 - Exceptional: Performance which is consistently carried out in an exceptional manner. "Exceptional" ratings must be accompanied by a written justification from the supervisor which clearly shows extraordinary accomplishment.
- 4 - Excellent: Performance is frequently carried out in an extraordinary manner above what is expected for "Good."
- 3 - Good: Performance which is usually carried out well. This level of performance exceeds expectations for "Acceptable" performance.
- 2 - Acceptable: Performance in which the faculty member competently fulfills the general expectations for the position. Performance above this level should result in an "Above Average" rating.
- 1 - Needs Improvement: Performance fails to meet the "Acceptable" standard, with identifiable weakness. Performance at this absolute minimal level will require the faculty member and supervisor to develop and complete a Plan of Work which will raise performance to "Acceptable" by the next rating period. "Needs Improvement" ratings must be accompanied by a written explanation.
- 0 - Not Acceptable: A "Not Acceptable" rating will be noted on the faculty member's record and requires remedial action. It may be the basis for disciplinary action up to and including dismissal. "Not Acceptable" ratings must be accompanied by a written explanation from the supervisor.
- X - Not Applicable: Place an "X" in the N/A column.

1	Teaching Performance: 0	Rating (0-5)	N/A (X)
1.1	<b>Presentations</b>		
	A. Encourages independent thinking, problem solving, critical thinking		
	B. Accommodates various levels of development		
	C. Arouses enthusiasm		
	D. Explains concepts skillfully		
	E. Encourages class participation		
	F. Is prepared for the class		
	G. Is punctual for class		
	H. Use of technology in instruction		
	I. Communicates clearly		
	J. Attends class sessions		
1.2	<b>Assessment measures</b>		
	A. Evaluates fairly with clear rubrics		
	B. Uses teaching/assessment instruments which are relevant to the goals and expected outcomes of course		
	C. Returns students' work promptly		
	D. Keeps students abreast of progress in class		
1.3	<b>Course design</b>		
	A. Sets appropriate course objectives and outcomes		
	B. Uses effective teaching methods		
	C. Develops new courses		
	D. Requires students to conduct research		
	E. Covers appropriate subject matter		
	F. Requires students to complete reading/writing assignment		
1.4	<b>Course management</b>		
	A. Syllabi are available to student on the first day of the course		
	B. Syllabus follows university format		
	C. Maintains proper records of students' performance		
	D. Ethical behavior in teaching		
1.5	<b>Availability to students</b>		
	A. Maintains office hours		
	B. Efforts in placement		
	C. Effective academic consultation		
	D. Maintains an inviting and comfortable environment		
1.6	<b>Other</b>		
	A. Participates in structured learning that strengthens teaching skills		
	Sum of Input	0	0
	TEACHING RATING = $\frac{0}{29} - \frac{0}{0} = \frac{0}{29} = 0.000$		

Comments (required for "Exceptional" (5), "Needs Improvement" (1), and "Not Acceptable" (0) ratings):

2	Scholarly Activity and Research: 0	Rating (0 - 5)		N/A (X)
2.1	Scholarship and research			
	A. Presents lectures, workshops, seminars, creative works			
	B. Makes presentations at professional meetings			
	C. Has non-refereed publications or creative works			
	D. Has refereed publications or creative works			
	E. Has published books or book chapters			
2.2	Funded research/scholarly activity			
	A. Participates in proposal writing			
	B. Secure non-competitive grants			
	C. Secure competitive grants			
	D. Manages funded research in a timely manner			
	E. Manages research budgets effectively			
	F. Obtain significant results from activities			
	G. Submit reports timely			
2.3	Professional organization activity and service			
	A. Serves on review committees for conference proceedings and			
	B. Serves on review committees for competitive grants and proposals			
	C. Serves on review committees/panels of creative work for			
	D. Received awards or honors from professional organizations for			
	E. Membership in professional societies			
	F. Serves on editorial board for scholarly journals			
	G. Chairs panels for session at professional meeting			
	H. Serves as responder for panel or session at professional meetings			
	I. Reviews scholarly work (articles, book reviews, etc.)			
	J. Other scholarly activity (explain below)			
	K. Ethical behavior in research and scholarly activities			
	Sum of Input	0		0

$$\text{SCHOLARLY ACTIVITY RATING} = \frac{0}{23 - 0} = \frac{0}{23} = 0.000$$

Comments (required for "Exceptional" (5), "Needs Improvement"(1), and "Not Acceptable" (0) ratings):

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3	Service: 0	Rating (0 - 5)	N/A (X)
<b>3.1 Student activities</b>			
A. Advises students toward their academic progress			
B. Sponsors or advises student organizations			
C. Acts as mentor or counselor to students			
D. Works with students outside of classes			
E. Serves on graduate supervisory committees			
<b>3.2 Department</b>			
A. Participates in activities and committees			
B. Acts as a leader in the departmental technology			
C. Complies with departmental requirements			
D. Effectively completes assigned services			
E. Acts as a leader in department activities			
<b>3.3 College/ University</b>			
A. Participates in activities and committees			
B. Effectively completes assignments			
C. Acts as a leader in school activities			
D. Participates in voluntary university activities			
E. Serves on university committees			
F. Complies with university regulations			
G. Acts as a leader in university activities			
<b>3.4 Community</b>			
A. Participates in professionally-related community activities			
B. Submits reports as agreed upon			
C. Educational programs for non AAMU students			
<b>3.5 Other professional activities</b>			
A. Participates actively in local professional organizations			
B. Attends in state, regional or national professional organizations			
C. Participates actively in state, regional or national professional organizations			
Sum of Input		0	0

$$\text{SERVICE RATING} = \frac{0}{23 - 0} = \frac{0}{23} = 0.000$$

Comments (required for "Exceptional" (5), "Needs Improvement"(1), and "Not Acceptable" (0) ratings):

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### PERFORMANCE ASSESSMENT

Instructions: Each faculty member will be rated in the three areas of teaching, scholarly activity and research, and service, according to a percentage related to load assignment as documented on the faculty activity/load forms each semester and averaged for the two or three semesters of assignment. Since service is expected of all faculty, at least 10% of the faculty member's performance score should be based on service. The remaining percentage should be allocated between scholarship and teaching, based on the faculty member's load assignment. Since scholarly activity is a requirement of all faculty, at least 10% must be based on scholarly activity and research. The total must add up to 100%.

For example, if a faculty member is assigned 1/2 time to research and 1/2 time to teaching, the percentage weighting could be: teaching 40%, scholarly activity 40%, and service 20%.

% Weighting Related to Assignment Score			% Weighting x Score
	Column 1	Column 2	Col 1 x Col 2
Teaching		0.000 (from end of Section 1)	0.000
Scholarly Activity (at least 10%)		0.000 (from end of Section 2)	0.000
Service (at least 10%)		0.000 (from end of Section 3)	0.000
<b>Total</b>	<b>0</b>	<b>0.000</b>	<b>Total</b>
			<b>Overall Performance Rating</b>
			<b>0.00</b>
<b>Exceptional</b>			<b>5.00</b>
<b>Excellent</b>			<b>4.00-4.99</b>
<b>Good</b>			<b>3.00-3.99</b>
<b>Acceptable</b>			<b>2.00-2.99</b>
<b>Needs Improvement</b>			<b>1.00-1.99</b>
<b>Not Acceptable</b>			<b>0.00-0.99</b>

Other Evaluations

B. STUDENTS

Signature of

Evaluator:

Date:

Conference and Comments:

Signature of

Faculty Member:

Date:

Response:

**Faculty Member's Comments:**

[illegible]

**Signature of Faculty Member:** \_\_\_\_\_ **Date:** \_\_\_\_\_

Your signature does not necessarily indicate that you are in agreement with the evaluation. Your signature only indicates that you have had the opportunity to review the evaluation and that you have discussed the content with your supervisor. Your failure to sign does not negate this as an evaluation of record.

**Supervisors' / Chairs' Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Comments:**

[illegible]

## APPENDIX D

### Guidelines for Summer Teaching Loads and Compensation

Maximum pay for all courses, 22.22222% of full-time nine-month salary (100% of summer compensation)

Guidelines for faculty loads and compensation for summer:

- Compensation for graduate and undergraduate courses to be calculated separately
- Compensation for under enrolled courses to be calculated by taking enrollment as a percent of the minimum compensation
- Enrollment for one to four under enrolled undergraduate courses to be combined with enrollment in courses with above minimum enrollment or the total for the four courses to determine compensation. For example: Undergraduate enrollments of 25, 12, 10 giving a total of 47 (greater than 15X3) students to be compensated as a full undergraduate load.
- Enrollment for one to three under enrolled graduate courses to be combined with enrollment in courses with above minimum enrollment or the total for the three courses to determine compensation. For example: Graduate enrollments of 10, 4, and 6, giving a total of 20 (greater than 9X2) students to be compensated as a full graduate load.
- Compensation for a 1-credit-hour course to be 1/3 of compensation for a 3-credit-hour course at the same level—graduate or undergraduate
- Compensation for a 2-credit-hour course to be 2/3 of compensation for a 3-credit-hour course at the same level—graduate or undergraduate

Full Load (22.22222%) of nine-month salary

- 2 fully enrolled 3-credit-hour graduate courses (9 or more students in each course)

Or

- 3 fully enrolled 3-credit-hour undergraduate courses (15 or more students in each course)
- Faculty with 12-month contracts will teach summer courses as allowed for in their contracts without additional compensation. Teaching beyond that obligation will be compensated as adjuncts
- Adjunct faculty will be compensated in summer for fully subscribed courses at the same rate they are compensated during a regular term. Compensation for under enrolled courses will be prorated according to enrollment
- Employment of coordinators will be justified by the department chair and approved by the dean. They will be paid as faculty according to the number and size of courses taught plus \$1000/month for two months.
- Department chairs will be paid as faculty according to the number and size of courses taught plus the usual \$1200/month for administrative duties.

Compensation for internship courses

- Internships will be monitored by the department chair as a part of his/her administrative duties.
- Under specific circumstances, faculty will be assigned to supervise internships. These assignments will be justified by evidence of direct and significant involvement by that faculty



including site visits. Maximum compensation will be that for one fully subscribed 3-credit hour graduate or undergraduate course.

#### Compensation as a percent of full load

- 1 fully subscribed 3-credit-hour graduate course to 50%
- 1 fully subscribed 3-credit hour undergraduate course to 33.33333%
- Compensation for undersubscribed courses (1-8 students for graduate and 1-14 students for undergraduate courses) to be calculated taking enrollment as a percent of the minimum for fully subscribed courses.

#### Compensation for combination of graduate and undergraduate courses

- The total number of courses may not exceed four (4) (graduate and undergraduate) and compensation may not exceed 22.22222% of full-time 9-month salary

#### Graduate compensation for undersubscribed courses

- Maximum number of graduate courses: 3 (if one or more courses is undersubscribed).
- Compensation for undersubscribed courses (1-8 graduate students) to be calculated as enrollment as a percent of nine, the minimum required enrollment.
- If the compensation calculated above exceed either of the above criteria, compensation will be limited to the 33.33333% of the full load or the tuition generated for the course whichever is lower

#### Undergraduate compensation for undersubscribed courses

- Maximum number of undergraduate courses: 4 (if one or more courses is undersubscribed).
- Compensation for undersubscribed courses (1-14 graduate students) to be calculated as enrollment as a percent of 15, the minimum required enrollment.

## APPENDIX E

### Alabama A&M University Faculty Salary Ranges

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**Core Tier (Tiers 1 & 2):**

Rank	Minimum	Maximum
Instructor	\$45,700	\$73,100
Assistant Professor	\$52,500	\$84,000
Associate Professor	\$60,400	\$108,700
Professor	\$69,500	\$125,100

**Tier 3**

Rank	Minimum	Maximum
Instructor	\$48,000	\$76,800
Assistant Professor	\$55,100	\$88,200
Associate Professor	\$63,400	\$114,100
Professor	\$73,000	\$131,400

**Tier 4**

Rank	Minimum	Maximum
Instructor	\$50,300	\$80,400
Assistant Professor	\$57,800	\$92,400
Associate Professor	\$66,400	\$119,600
Professor	\$76,500	\$137,600

## APPENDIX F

**ALABAMA A & M UNIVERSITY  
FACULTY PROMOTION AND/OR  
TENURE REQUEST FORM**

**INSTRUCTIONS:** The applicant should consult the Faculty/Administrative Handbook (Revised 2003) before completing this form. Do not submit curriculum vita or other documents in lieu of completing this form.

Name \_\_\_\_\_  
(Last) (First) (MI) Date

School/Department \_\_\_\_\_

Signature of Applicant \_\_\_\_\_

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### Request for Promotion

Request for Tenure

Current Rank

Date Current Rank Received

Rank Requested

Date Tenure Granted

Discipline

Date Employed at AAMU

## APPENDIX G

Alabama A&M University Electronic Personnel Action Form (ePAF) Link

<http://www.aamu.edu/about/administrative-offices/human-resources/epaf.html>

Alabama A&M University Human Recourses Policies and Procedures Link

<http://www.aamu.edu/about/policies-procedures/index.html>