

AUBURN UNIVERSITY MONTGOMERY

FACULTY HANDBOOK

August, 2002

NOTE

This *Handbook* is not a contract. It is a collection of Board of Trustees' and administrative policies that govern action pertaining to University faculty and a compilation of information about the University and current practices that will be of practical use to the faculty.

Policy statements printed herein are subject to change from time to time; information will be updated on a regular basis. Changes and updated material will be published and distributed to the faculty in a timely manner.

An up-to-date copy of the entire *Handbook* is available online.

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PART I

THE UNIVERSITY: GENERAL INFORMATION

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PART I

THE UNIVERSITY: GENERAL INFORMATION

A. HISTORY

Auburn University at Montgomery (AUM) was established in 1967 by Act 403 of the Alabama Legislature. This action resulted from the request of the citizens of the Montgomery area to establish a degree-granting institution to serve Montgomery and the surrounding counties. In March, 1968, Dr. H. Hanly Funderburk, Jr., was appointed vice president and chief administrator of the new institution called Auburn University Montgomery. The University offered its first classes in September, 1969. A 500-acre tract on the east side of Montgomery was purchased for the site of the new campus. The land, which was formerly part of the McLemore Plantation, is located approximately seven miles east of downtown Montgomery between Interstate 85 and Highway 80. Two architectural firms developed the master plans for the new campus and designed the original buildings, which were occupied in the fall of 1971.

Prior to the establishment of AUM, the University of Alabama operated an extension center on Bell Street in downtown Montgomery. When the decision was made to establish AUM, Auburn University purchased the Bell Street facilities owned by the University of Alabama. These facilities served as a temporary location for AUM from 1968 to 1971, while the campus was being developed.

In 1973 AUM was accredited by the Southern Association of Colleges and Schools as an operationally separate institution. In 1978, 1988, and most recently in 1998, accreditation was reaffirmed by the Southern Association.

A broad-based academic institution, AUM is organized into five academic schools, one extension division, the School of Continuing Education, and the Library. The academic schools are Business, Education, Liberal Arts, Nursing, and Sciences, all of which offer baccalaureate degrees. Masters degrees are offered by the Schools of Business, Education, Liberal Arts, and Sciences. The School of Education also offers the education specialist degree, and the School of Sciences offers a joint doctoral program in Public Administration with Auburn University.

In addition, AUM's Air University Graduate Program is set up in cooperation with the Air University at Maxwell Air Force Base, located in Montgomery. Through this cooperative effort, master's degree programs are offered in Political Science and Public Administration. These classes meet at Maxwell Air Force Base in facilities provided by the Air University.

Classes on the AUM campus are held Monday through Thursday, from 8 a.m. to 10 p.m. and on Friday, Saturday, and Sunday. Offering classes during the day and evening hours has been a standard practice at the University since its inception.

B. UNIVERSITY VISION STATEMENT

The vision for Auburn University Montgomery is deeply rooted in our focus on the needs of students. We honor this commitment by affirming three ideals which constitute our vision:

We will be student centered, committed to excellence in teaching, research, and service. We will provide quality education, and will hold ourselves to measurable standards in the finest tradition of a metropolitan campus of a land-grant institution.

We will be a learning community, supporting and inspiring learners of all kinds ... faculty, staff and students. We will incorporate research and service to enhance the learning process.

We will develop a learning environment that provides students and faculty the resources to learn and conduct research incorporating and using technology as appropriate.

Auburn University Montgomery is committed to this vision, and all persons connected with our university join together to ensure that this vision is represented in all planning and is the central focus of key decision-making. To better meet our obligation to society, we will incorporate the virtues of tolerance, civility, and personal and professional responsibility as we carry forward this vision.

C. MISSION OF THE UNIVERSITY

As the metropolitan campus of a land-grant institution, Auburn University Montgomery blends the traditional view of the university as a community of scholars with the contemporary view of the university as an integral part of the surrounding community, state, and region. Its mission is to foster and exemplify excellence in education through instruction, research, and service B to provide academic programs that are not only characteristic of the finest traditions of the liberal arts, business, the sciences, nursing, and education, but also consistent with the responsibility of the university to provide support for the functions of government, cultural enrichment through the arts, and regional economic growth.

As a center of learning dedicated to the examination of ideas and values influencing civilization, AUM is committed to:

1. Providing its students with an understanding of the issues, ideas, and values that have a significant impact on the development of society;
2. Developing in its students the methodological approaches essential to understanding contemporary society and its problems, and to fostering critical thinking;
3. Providing students with a broadly based education, as well as preparing them for the learned professions:

4. Conducting research that contributes to the advancement of knowledge;
5. Extending its knowledge, skills, and resources to the community, state, and region;
6. Providing opportunities for lifelong learning.

AUM encourages open and free inquiry and seeks to instill in its students ways of thinking, communicating, and learning that will be of enduring value.

D. UNIVERSITY STATEMENT OF PRINCIPLES AND ACTION COMMITMENTS

Preamble. Auburn University Montgomery is committed to higher education as a public trust. We seek to fulfill that trust through service to students, communities, and the state through teaching, research, and public service. Our stakeholders --students, faculty, staff, administrators, the board of trustees, friends of the university, and the citizens of Alabama-- consider the following principles to be guiding tenets as we move into the next century.

(I.) A Learning Community. We define ourselves as a learning community, one that fosters academic growth, whether through traditional classroom settings or the various alternative approaches to education. *Action Commitment: We will emphasize the quality of education offered, and take increased care to quickly assess and address the needs of our students.*

(II.) Institutional and Individual Responsibility. As an academic institution, we are charged with the development of intellectual pursuits. The very nature of what we do implies that its value and purpose are not always readily apparent. This highlights the need for mutual respect in the exchange of ideas. *Action Commitment: We value diversity of perspective, and will encourage the expression of ideas that do not match our own. As we examine varying perspectives, our goal will be to strengthen the University.*

(III.) An Education of Value. We will teach our students to think critically about life issues they face and to appreciate learning for its own sake. We will provide our students with an education that prepares them to participate in and contribute to the workplace of today and to continue their learning. *Action Commitment: We will strengthen the link between theory and practice by continuing the University's long tradition of interaction with its many constituencies.*

(IV.) Flexibility and Responsiveness. As we manage the university we will anticipate and respond to change and emerging needs while remaining true to our commitments to teaching, research, and service. *Action Commitment: We will respond to changes in the educational environment in a way that meets the legitimate needs of our stakeholders.*

(V.) Being Fully Engaged. It is imperative that a shared vision of our university be the foundation of all relationships and undertakings. Our alumni association, boards,

friendships, and partnerships must be established and guided by that vision. *Action Commitment: We will establish partnerships in the public and private sectors that are targeted to solving problems and creating opportunities for all parties throughout the community.*

E. UNIVERSITY-WIDE PRIORITY GOALS

For the five-year period from 1999 to 2004, AUM will pursue the university wide priorities and goals as outlined in the AUM Institutional Plan, October 1, 1999 - September 30, 2004 in Appendix A.

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PART II

POLICIES PERTAINING TO THE WORKPLACE

A. EQUAL EMPLOYMENT OPPORTUNITY POLICY

Auburn University Montgomery (AUM) recognizes its moral and legal obligation to provide a work environment in which employment opportunities are open to all qualified individuals without discrimination on the basis of race, color, sex, age, religion, national origin, disability, or disabled veteran/Vietnam Era veteran status. AUM affirms its commitment to this principle and to an affirmative action program which not only establishes the goal of achieving equal opportunity in employment, but which also detects and eliminates any elements of discrimination in employment which may be found to exist within the institution. The University also commits itself to maintaining on a nondiscriminatory basis the conditions for continuing employment and for individual advancement within the job structure of AUM.

AUM is committed to the following principles and procedures:

1. recruiting, hiring, training, retaining, and promoting individuals, in all job classifications, without regard to race, color, religion, sex, age, national origin, disability, or disabled veteran/Vietnam Era veteran status, except where sex, age, national origin, or disability are bona fide occupational qualifications;
2. making employment decisions so as to further the principle of equal employment opportunity;
3. ensuring that promotion decisions are in accordance with principles of equal employment opportunity by imposing only valid requirements for promotional opportunities;
4. ensuring that all personnel actions, such as compensation, benefits, transfers and leave policies are administered without regard to race, color, religion, sex, age, national origin, disability, or disabled veteran/Vietnam Era veteran status, and
5. ensuring that harassment of employees by other employees or nonemployees is not tolerated. This refers to any form of harassment related to an employee's race, color, sex, religion, national origin, age, physical or mental disability, or veteran status.

The Director of the Office of Human Resources, who is the Affirmative Action/Equal Employment Opportunity Officer for AUM, is responsible for supervision of AUM's equal opportunity program and for monitoring its effectiveness.

B. VERIFICATION OF EMPLOYMENT ELIGIBILITY

Effective with those hired after November 6, 1986, all employers are required by the Immigration Reform and Control Act of 1986 to verify the employment eligibility of all newly hired employees. In an effort to be nondiscriminatory in hiring practices, verification information will be asked of all employees. AUM is committed to the national mandate to control the employment of aliens in the United States and will adhere to specified employment verification procedures in a nondiscriminating manner.

C. HARASSMENT POLICY

Auburn University Montgomery will not tolerate harassment of its employees or students. Any form of harassment related to an employee's race, color, sex, religion, national origin, age, or physical or mental disability or veteran's status is a violation of this policy and will be treated as a disciplinary matter. For these purposes, the term "harassment" includes, but is not necessarily limited to:

Slurs, jokes, other verbal, graphic, or physical conduct relating to an individual's race, color, sex, religion, national origin, age, or physical or mental disability or veteran's status.

Harassment also includes unwelcome sexual advances, requests for sexual favors, and other verbal, graphic, or physical conduct of a sexual nature.

Sexual harassment in an academic setting and in the employment arena where students are involved is also defined as unwelcome sexual advances, requests for sexual favors, and other verbal, graphic, or physical conduct of a sexual nature when:

Submission to such conduct may be explicitly or implicitly a term or condition of a student's academic success or employment: or

Submission to or rejection of such conduct may be used as the basis for employment or academic decisions affecting the student and the student's total educational and/or work experience; or

Such conduct has the purpose or effect of substantially interfering with a student's employment or academic performance or creates an intimidating, hostile or offensive work or educational environment.

If a student is involved in an alleged harassment case, the procedure referenced in the student handbook (AUMANAC) should be followed.

Violation of this policy by an employee shall subject that employee to disciplinary action, up to and including discharge.

If an employee feels that he or she is being harassed by any other employee because of race, color, sex, religion, national origin, age, physical or mental disability, or veteran status, the employee should at once make this known to his or her immediate supervisor. The supervisor will promptly notify the Director of Human Resources/Equal Employment Opportunities (EEO) Officer at 244-3253, who will see that the matter is investigated, and that, where appropriate, disciplinary action is taken. If the employee does not feel the matter can be discussed with the supervisor, the employee should arrange for a conference with the Director of Human Resources/Equal Employment Opportunities (EEO) Officer to discuss the complaint.

Harassment of university employees in connection with their work by non-employees may also be a violation of this policy. Any employee who becomes aware of any harassment of any employee by a non-employee should report such harassment to his or her supervisor or to the Director of Human Resources/Equal Employment Opportunities (EEO) Officer, who is responsible for investigating all such incidents. Appropriate action shall be taken against violation of this policy by any non-employee.

D. EMPLOYMENT OF INDIVIDUALS WITH A DISABILITY

AUM is committed to preventing discrimination toward persons with disabilities by being proactive in complying with the Americans with Disabilities Act of 1990 (ADA) and the Rehabilitation Act of 1973, as amended. The chancellor has appointed the ADA Task Force with representation by appropriate units and/or positions on campus including persons with disabilities. The task force is responsible for surveying facilities to ensure compliance with the ADA, educating faculty and staff regarding various aspects of the law, and responding to needs or requests of those with disabilities. Concerns or questions about the ADA and its enforcement should be directed to the Director of the Office of Human Resources, Physical Plant, or Business Services.

It is the policy of Auburn University Montgomery (AUM) to take affirmative action to employ, to advance in employment and otherwise to treat qualified employees and applicants with a disability at all levels of employment, without discrimination based on physical or mental disability. Positive action shall be taken to ensure the fulfillment of this policy. This policy covers:

1. hiring, placing, upgrading, transferring and demoting employees;
2. recruiting, advertising and soliciting applicants for employment;
3. treatment of employees during employment;
4. rates of pay and all forms of compensation and employment benefits;
5. selection for training or promotion;
6. layoff and termination;
7. facilities; and

8. other terms, conditions, and privileges of employment.

AUM's policy is consistent with the requirements and objectives set forth by Sections 503 and 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. § 793 and the Americans With Disabilities Act of 1990, 42 U.S.C. § 1201 et seq.

AUM's objective is to obtain individuals qualified for or trainable for positions because of job related standards by education, training, experience and personal qualifications.

Responsibility for ensuring compliance and continued implementation of this policy on employing, advancing employment, and otherwise fairly treating qualified individuals with disabilities is assigned to the Director of the Office of Human Resources who is the Affirmative Action/Equal Employment Opportunity Officer for AUM.

Employees and applicants are protected from coercion, intimidation, interference or discrimination for filing a complaint of discrimination because of physical or mental disability.

E. INTERNAL COMPLAINT REVIEW PROCEDURE FOR APPLICANTS WITH DISABILITIES

An applicant with a disability who feels he or she has been discriminated against because of a disability should first discuss the complaint with the person responsible for processing the application. In the event the complaint is not resolved to the satisfaction of the complainant, then the complainant should request an appointment with the Director of Human Resources/Equal Employment Opportunity (EEO) Officer.

The Director of Human Resources/Equal Employment Opportunity (EEO) Officer will interview the complainant. The complaint will be thoroughly investigated. After making a determination, the Director of Human Resources/Equal Employment Opportunity (EEO) Officer will give the decision to the complainant. The Director of Human Resources/Equal Employment Opportunity (EEO) Officer will taken any necessary action to implement the decision.

F. INTERNAL COMPLAINT REVIEW PROCEDURE FOR EMPLOYEES WITH DISABILITIES

Any employee with a disability who feels he or she has been discriminated against because of the disability should first discuss the complaint with his or her immediate supervisor. In the event the complaint is not resolved to the satisfaction of the complainant, then the complainant should request to see the next higher level administrator.

That administrator will set aside time for an interview with the complainant. After the interview, the administrator will investigate the circumstances concerning the complaint. In the event the administrator is unable to resolve the complaint to the satisfaction of the complainant, then the complainant should notify the Director of the Human Resources/Equal Employment Opportunity (EEO) Officer.

The Director of the Human Resources/Equal Employment Opportunity (EEO) Officer will interview the complainant. The complaint will be thoroughly investigated. After making a determination, the Director of the Human Resources/Equal Employment Opportunity (EEO) Officer will give his or her decision to the complainant. The Director of the Human Resources/Equal Employment Opportunity (EEO) Officer will also take any action necessary to implement the decision.

All written records will be maintained for a period of three years.

G. EMPLOYMENT OF VETERANS

It is the policy of Auburn University Montgomery (AUM) to take affirmative action to employ, to advance in employment and otherwise to treat qualified disabled veterans and veterans of the Vietnam Era at all levels of employment without discrimination based on disability or Vietnam Era veteran status. Positive action shall be taken to ensure that the fulfillment of this policy covers:

1. hiring, placing, upgrading, transferring and demoting employees;
2. recruiting, advertising and soliciting for applicants;
3. treatment of employees during employment;
4. rates of pay and all forms of compensation or employment benefits;
5. selection for training;
6. layoff and termination; and
7. facilities.

AUM's policy is consistent with the requirements and objectives set forth by Section 402 of the Vietnam Era Veterans Readjustment Assistance Act of 1974, 38 U.S.C. ' 2012.

AUM's objective is to obtain individuals qualified for or trainable for positions because of job-related standards by education, training, experience and personal qualifications.

Responsibility for ensuring compliance and continued implementation of this policy on employing, advancing in employment, and otherwise treating disabled veterans and veterans of the Vietnam Era fairly is assigned to the Director of the Office of Human Resources who is the Affirmative Action/Equal Employment Opportunity Officer for AUM.

H. DRUG-FREE CAMPUS AND WORKPLACE POLICY

Auburn University and Auburn University Montgomery (hereinafter referred to as the "university") have the policy of providing students and employees a drug-free campus environment. Drug abuse affects all aspects of American life: it threatens the student's educational development and the workplace, as well as the community. In order to promote a safe and efficient educational and work environment, this policy has been adopted to supplement existing University policies, practices, and procedures. Implementation of this policy is subject to restrictions contained in all local, state, and federal laws.

"Workplace" means any office, building, classroom, or property (including parking lots) owned or operated by the university, or any other site at which an employee is to perform work for the employer. An "employee" of the university is any faculty, staff, or student receiving remuneration for services rendered. "Student" means any person registered at the university for any type of academic credit, except for continuing education units, regardless of the length of the student's program of study. "Possess" means to be contained either on a student's or employee's person, or in a student's or employee's motor vehicle, tools, briefcases, bookbags, or areas entrusted to the control of the student or employee. "Impaired" means under the influence of an illicit drug or alcohol such that the student or employee is unable to perform his or her assigned tasks properly.

Drug abuse creates problems for the entire university. It decreases the student's capacity to learn, thereby inhibiting one's educational development. It interferes with an employee's efficient and safe performance of work responsibilities and reduces the employee's dependability. Drug abuse can adversely affect health, safety, and productivity while destroying public confidence and trust. Therefore, it is the policy of the university that the unlawful manufacture, distribution, dispensation, possession, or use of illicit drugs or alcohol by students or employees is prohibited at any time on any university property or at any university activity. No employee will report for work, or work, or be present in the workplace who is impaired by an illegal drug or by alcohol. No student will attend classes or any university activity who is impaired by illegal drugs or alcohol. Employees or students who are so impaired or who unlawfully possess, use, manufacture, dispense, or distribute illicit drugs or alcohol in the workplace, on any university property or at any university activity are subject to the disciplinary procedures of the university, which may include dismissal, expulsion, and/or referral for prosecution.

All students and employees shall be provided a copy of the Drug-Free Campus and Workplace Policy for the university. As a condition of enrollment or employment, the student and employee will abide by the terms of this policy. At Auburn University Montgomery it is the responsibility of the Offices of Human Resources and Academic and Student Affairs to distribute this written policy statement to students and employees under their jurisdiction.

Any employee receiving a criminal drug statute conviction for a violation occurring in the workplace shall notify the Office of Human Resources or the Office of Academic and Student Affairs of such conviction not later than five days after such conviction, and such offices will immediately report this information to the Office of Contracts and Grants. If the employee reporting such a conviction is employed under a contract or grant, the Office of Contracts and Grants will notify the appropriate granting or contracting agencies within ten days after receiving such notice of a criminal drug statute conviction.

I. DRUG EDUCATION AND TREATMENT PROGRAMS

A full range of educational and treatment programs is available to students and employees of Auburn University Montgomery. Programs fall generally into three categories: (A) Information/Education/Referral; (B) Self-Help; (C) Professional Treatment.

AUM Counseling Center

Individual and group counseling, information and education, and referral to other treatment programs are available.

Location: 319 University Center Phone: 244-3469 Services: A, B, C

Employee Assistance Services

Information, educational programs, and referral to self-help and professional treatment programs are available in the Office of Human Resources.

Location: 7th Floor Library Phone: 244-3253 Services: A

Montgomery Area Mental Health Authority

Among the services available are individual and group counseling at the center's several clinic sites and inpatient treatment.

Location: Main Center, 101 Coliseum Blvd. Phone: 279-7830 Services: A,B,C

Private Alcohol and Drug Treatment Programs

A number of private programs are operated in proximity to Auburn University Montgomery, throughout Alabama, and in neighboring states. Those programs are too numerous to list, but information may be obtained from the above referral services.

Services: A,B,C

Alabama Department of Mental Health and Mental Retardation

A network of community mental health centers operated by regional mental health boards offers services in every county of the state. Programs and services related to alcohol and drugs are available through these centers, and may be located by consulting a telephone directory (Yellow Pages) or by calling a statewide toll-free number that is answered 24 hours a day, seven days a week.

Programs operated throughout the state are available to Auburn University Montgomery employees and students whose homes or work sites are distant from the campus.

Locations: Statewide Phone: 1-800-SOBER-90 Services: A,B,C

A committee, appointed by the President of Auburn University and with representation by three Auburn University Montgomery employees, will promote and further develop the university's drug prevention program. This committee will establish procedures to ensure an annual distribution, in writing, to each student and employee: a) a description of applicable legal sanctions under local, state, or federal law for the unlawful possession or distribution of illicit drugs and alcohol; b) a description of the health risks associated with the use of illicit drugs and the abuse of alcohol; and c) a description of any drug or alcohol counseling, treatment, or rehabilitation or re-entry programs that are available to employees or students. The committee will evaluate the university's drug prevention program biennially to determine its effectiveness and report to the President. The committee's report will include recommendations for changes that are needed in the program and identify any evidence that disciplinary sanctions are not consistently enforced for violations of this policy.

J. POLICY CONCERNING EMPLOYEES AND STUDENTS WITH LIFE THREATENING ILLNESSES

Auburn University Montgomery recognizes that students, faculty, and staff with life threatening illnesses (LTI), including but not limited to cancer, heart disease, diabetes, and AIDS, may wish to continue to engage in as many of their normal pursuits as their condition allows, including work. As long as the students, faculty, or staff members are able to meet the same performance standards as those persons without LTI, and medical evidence indicates that their conditions are not a threat to others, Deans, Directors, and Department Heads should be sensitive to their conditions and ensure that they are treated consistently with other students, faculty, and staff members.

POLICY GUIDELINES

1. AUM will not undertake programs of routine testing of either employees or students for the presence of indicators of LTI. For health status testing and/or counseling, students, faculty, and staff should be aware of appropriate community health agencies.
2. The existence of conditions related to LTI in an applicant for AUM admission or employment will not be considered in the initial admission or employment decision.
3. AUM students with LTI conditions, whether or not symptomatic, will be allowed regular classroom attendance in an unrestricted manner, so long as they are able to attend class.
4. AUM faculty and staff who have LTI-related conditions, whether or not symptomatic, will be allowed to continue their work in an unrestricted manner, so long as they are able to perform the duties of their jobs, in compliance with AUM employment policies and federal guidelines.
5. The access of AUM students or employees with LTI or LTI-related conditions to AUM public areas will not be restricted, in compliance with AUM and federal guidelines.
6. Students with LTI or LTI-related conditions will continue to be eligible for AUM housing. In some circumstances the Director of Housing and Residence Life should be notified, and those students will be assigned private rooms, if possible.
7. There will be an ongoing program to educate students, faculty, and staff in regard to LTI.
8. Information regarding a patient diagnosed as having an LTI or LTI-related condition will be maintained in the strictest confidence. Only people within the university with a legitimate need to know should be informed of the identity of students, faculty, or staff who have LTI or LTI-related condition; this number should be kept to an absolute minimum. Individuals should be aware that medical information cannot be released to anyone outside of the university without the specific written consent of the patient, except where required by law.
9. Any breach of the above guidelines will be handled as follows:

(a) Breaches of these guidelines involving students or faculty should be reported to the office of the Vice Chancellor for Academic and Student Affairs.

(b) Breaches of these guidelines involving staff members should be reported to the Director of the Office of Human Resources.

Complaints regarding such breaches should be made to the respective offices in writing within seven (7) days of their occurrence.

K. PROHIBITION AGAINST SMOKING IN UNIVERSITY BUILDINGS

The Surgeon General of the United States has concluded that smoking tobacco products and inhaling second-hand smoke from these products cause disease. The possession of lighted smoking materials in University buildings is a nuisance and hazardous to the health, safety, and comfort of staff, faculty, and students.

The separation of smokers and non-smokers within the same air space may reduce but does not eliminate the exposure of non-smokers to tobacco smoke. This being the case, it is necessary to prohibit smoking in all campus buildings. The only exception to this policy is the living quarters of the East Area and West Area residence halls. Smoking is allowed outdoors, and ash receptacles have been located at every major entrance for each building. The following regulations governing smoking will apply at AUM.

1. Definitions

- a. "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, or pipes.
- b. "All campus buildings" refers to all nonresidential structures on the AUM campus, including the classroom and office buildings, Library, Physical Education Facility, Physical Plant, and Liberal Arts Annex. The policy pertains, but is not limited, to all offices, classrooms, laboratories, clinics, multiple-occupancy work areas, storage areas, conference or meeting rooms, cafeterias or dining facilities, and public areas in these buildings.

2. Enforcement

The provisions of this policy will be enforced by the Auburn University Montgomery Campus Police Department.

3. Penalties

- a. Faculty, staff, and students of Auburn University Montgomery as well as visitors to the campus are subject to this policy.

- b. Failure to comply with this policy will constitute a violation of University Policy and may be dealt with accordingly through established, formal disciplinary procedures.

L. SAFETY AND SECURITY

GENERAL

There are specific evacuation and/or safety procedures that should be followed in the event of emergencies such as fire, natural disaster, and other threatening conditions. Supervisors of each department or work unit have information regarding evacuation and safety procedures. It is the responsibility of employees to acquaint themselves with the procedures in the event of an emergency.

Security measures should be taken by employees for personal belongings and AUM property. Personal valuables should be kept in a secured drawer, cabinet, or closet. AUM property should not be left unattended and doors to offices should be kept locked when not occupied.

There is an AUM campus safety committee with representation from each campus building. Employees should report any safety concerns or problems to the building representative or any member of the safety committee. Safety concerns can also be directed to the safety officer located in the Campus Police office.

Keys are issued to authorized individuals for access to buildings, offices, and/or work areas. Keys are not to be copied or loaned to others. Unauthorized use of keys can be grounds for disciplinary action. If keys are lost or stolen, that information should be immediately reported to the Physical Plant.

WEAPONS POLICY

Auburn University Montgomery prohibits possession, use, and transportation of any dangerous or potentially dangerous weapons on all university properties. They are: fixed blade knives concealed on the person or in vehicle (i.e., Bowie knife, knife, or instrument of like kind or description; shotgun or rifle or other shoulder gun; pistol or revolver; air gun (i.e., air or gas powered rifle or pistol); bow and arrow (i.e., archery equipment); slingshots (including throwing weapons); swords; crossbows; brass knuckles; and fireworks or explosive devices.

This policy shall apply to all faculty, staff, students of Auburn University Montgomery and to all visitors to the campus or AUM properties.

This policy shall not apply to duly authorized law enforcement officials in the lawful discharge of their duties. Temporary exclusions may be granted by written permit only by the Chief of Police or his authorized designee for job related, educational or demonstration purposes. Where applicable concerning these instruments, Department Heads and respective instructors may be granted a blanket authorization for organized activities by the Chief of the AUM Campus Police. Said organizations must guarantee qualified instruction, safety, and security for such activities. Where applicable, all federal, state, and local laws and ordinances will be strictly enforced by AUM Campus Police and respective mutual aid agencies and shall be separate from this administrative policy.

M. STRAY ANIMAL POLICY

It is the policy of Auburn University Montgomery to prohibit any unnecessary activity which brings, attracts, or retains stray animals on campus. Specifically, it shall be a violation of this policy to abandon any animal on or adjacent to this campus, provide food or water to any stray animal on campus for any purpose other than to facilitate its humane relocation, or hinder in any manner the humane relocation of stray animals or wildlife.

Exempt from this policy will be any animal trained for and engaged in the assistance of persons with disabilities, any animal brought on campus for approved instruction or other appropriate academic activities, any animal under owner control at all times while on campus, any vaccinated animal maintained or approved by the Physical Plant Division for campus rodent control, and water fowl maintained by the Physical Plant Division at campus ponds.

Violations of this policy by employees or students will be handled in accordance with the applicable faculty, staff, or student policies. Violations by campus visitors will be handled by Campus Police in accordance with applicable state and local laws. For further information regarding this policy, individuals should contact the AUM Safety Officer in Campus Police.

N. POLITICAL ACTIVITY

Auburn University Montgomery is a public institution and its employees are paid from public funds. The institution, therefore, cannot participate in partisan, political, controversial elections.

However, Auburn University Montgomery recognizes the constitutional rights of its employees to assume the responsibilities of citizenship in governmental affairs. These rights include that of seeking public office in local, county, state and federal governments, except when such activity would pose a conflict of time or of interest with the employee's University obligations.

Thus, under these conditions, full-time employees of Auburn University Montgomery may serve in elective, nominally remunerative local and county offices provided the responsibilities of such offices do not interfere with the proper performance of the duties of such employees to the institution. In such cases, it shall be the duty of the employee, before qualifying for such office, to receive the approval of Auburn University Montgomery. In no case shall such approval carry with it any obligation of Auburn University Montgomery to support any such candidate.

Any University employee wishing to qualify for full-time remunerative elective office, or for any elective office which would pose a conflict of time or of interest with the employee's University obligations, shall submit a resignation at the time of the request for qualification as a candidate for election is presented. Such resignations shall be upon the standard forms and shall be processed in the same manner as all other resignations, and shall be effective as of the date submitted.

Such persons, so resigning, shall do so without guarantee by Auburn University Montgomery that they may be re-employed in the event they fail of election; or, if elected, that they may be re-

employed while holding an elective office; or that they may be re-employed at the expiration of the term of office for which they have been elected.

The general conditions outlined above also will apply to appointive offices.

PART III

FACULTY PARTICIPATION IN UNIVERSITY GOVERNANCE

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PART III

FACULTY PARTICIPATION IN UNIVERSITY GOVERNANCE

A. INTRODUCTION

Faculty members at Auburn University Montgomery (AUM) are involved to a significant degree in the formulation and review of institutional policies which affect the academic and professional welfare of the University and the faculty. This involvement is achieved primarily through the organizations of the faculty council and of the faculty senate, which are described in the faculty council constitution. Faculty members, elected to faculty senate terms or appointed to a senate or university committee, have an opportunity to participate in university governance for the purpose of fulfilling the mission and goals of Auburn University Montgomery.

B. FACULTY COUNCIL CONSTITUTION

Article I

PURPOSE OF THE FACULTY COUNCIL

The Faculty Council is advisory to the Chancellor and shall be concerned with faculty welfare and general academic policies of the University, particularly the following areas: (1) standards for admission; (2) academic curriculum; (3) academic calendar and the effective utilization of the University's facilities in the academic programs, (4) scholastic standards; (5) policies governing the University Library, (6) research and extension; (7) composition of university committees; (8) student-faculty relations; (9) resource allocation; and, (10) the University athletic program.

The purpose of the Faculty Council is to receive information from any appropriate source and to act within the scope of this constitution on matters pertaining to the quality of education at AUM, welfare of faculty and staff, and the relationship between AUM and the external community.

Article II

FACULTY COUNCIL

Section 1. Membership: The Faculty Council will consist of all full-time AUM personnel on academic appointment who hold the rank of instructor or higher, or of Librarian I or higher.

Section 2. Officers of Faculty Council: The officers of the Faculty Council shall be the President, President Elect, Secretary, and Parliamentarian.

Section 3. Election of Officers: The President Elect, Secretary, and Parliamentarian shall be elected by secret ballot at the spring Faculty Council meeting.

- a. **Nominations:** The Rules Committee shall appoint a Nominating Committee of six members representing the five academic schools and the Library at least 60 days prior to the spring meeting. The Nominating Committee shall present one or more names for each of the offices of President Elect, Secretary, and Parliamentarian. The names of nominees shall be sent to the membership at least seven days prior to the spring meeting. Nominations may be made from the floor at the spring meeting if the consent of the nominee has been obtained.
- b. **Elections:** Election shall be by secret ballot with a majority of the votes required for election. Should no nominee receive a majority on the first ballot, there shall be at the same meeting a run-off election between the two nominees receiving the largest number of votes on the first ballot. All ballots shall be available for audit by any member of the Faculty Council.
- c. **Absentee Voting:** The Nominating Committee shall establish procedures to permit members of the Faculty Council who are unable to attend the Spring meeting to vote by absentee ballot in the election of officers of the Faculty Council. Members of the Faculty Council shall be notified in writing of these procedures at least seven days prior to the spring meeting.

Section 4: Terms of Office: The President Elect shall assume the office of President and the newly elected officers shall take office on June 1 for a term of one year.

Article III

FACULTY SENATE

Section 1. Description: The Faculty Senate is the executive body of the Faculty Council.

Section 2. Responsibilities of the Faculty Senate:

- a. The Faculty Senate is responsible for interpreting this constitution.
- b. It has the overall responsibility for preparation of ballots and management of the election of members of the Faculty Senate and Faculty Council.
- c. It is responsible for establishing and abolishing committees, for taking action on and disposing of committee reports, and for reporting to the committees and the Faculty Council. It will decide on policy matters pertinent to the operation of the Faculty Council.
- d. It is responsible for keeping records of its activities. Non-current records of the Faculty Council, the Faculty Senate and its committees shall be deposited in the University Archives, and shall be available for examination by any interested individual(s).

Section 3. Officers of the Senate: The officers of the Faculty Senate are President, President Elect, Secretary and Parliamentarian. The corresponding officers of the Faculty Council shall serve in these positions in the Faculty Senate.

Section 4. Duties of Officers:

a. President: The duties of the President include presiding over meetings of the Faculty Senate and meetings of the Faculty Council, announcing such meetings, calling for elections and reporting results, signing Faculty Senate and Faculty Council correspondence, and assuming overall responsibility for the effective implementation of this constitution to benefit the welfare of the Faculty Council and AUM.

b. President Elect: The duties of the President Elect include chairing the Faculty Welfare Committee, assisting the President in the performance of his/her duties and serving as a member of the Rules Committee. In the event the President cannot perform the duties of that office, the President Elect shall assume the duties of the President. If the office of President becomes vacant, the President Elect shall assume the office of President. At the end of his/her term of office, the President Elect will assume the office of President for one year.

c. Secretary: The duties of the Secretary include arranging for the keeping of accurate records of meetings, working sessions, and Faculty Senate and Faculty Council operations. The Secretary will keep a current roster of the Faculty Council, updated each semester.

d. Parliamentarian: The duty of the Parliamentarian is to ensure that all official business is conducted in accordance with *Robert's Rules of Order, Revised* and within the procedures delineated in this constitution.

Section 5. Members of the Senate:

a. Eligibility: All members of the Faculty Council are eligible for election to the Faculty Senate. The President of the Staff Advisory Council and the President of the Student Government Association will serve as non-voting, *ex officio* members of the Faculty Senate.

b. Election of Senators: Prior to the end of the seventh week of the spring semester of each year, the President of the Faculty Senate will call for the election of members to the next year's Faculty Senate by notifying the members of the Faculty Council in writing. Results will be announced by the President prior to the end of the spring semester.

c. Procedures: Election of members of the Faculty Senate will be by secret ballot. Each academic school and the Library will elect members of the Faculty Senate in accordance with the following formula: one member of the Faculty Senate for 1-10 Faculty Council members; two members of the Faculty Senate for 11-30 Faculty Council members, and three members of the Faculty Senate for more than 30 Faculty Council members. When any academic school or the Library becomes eligible for an additional member of the Faculty Senate, the President will call a special election to fill the additional position. The Faculty

Senate will determine and announce the additional Faculty Senate member's term of office, which will be the longest term possible consistent with the requirement that members of the Faculty Senate from any academic school or the Library should serve staggered terms. After the initial term, members of the Faculty Senate will be elected by simple majority for two-year terms. If the number of members of the Faculty Senate to which a unit is entitled must be decreased, such decrease will be accomplished by not filling an appropriate number of positions from that unit when they become vacant.

d. Length of Service: Members of the Faculty Senate will ordinarily serve for two years, with the term of service beginning June 1 and ending May 31. Members of the Faculty Senate may be reelected.

e. Vacancies: In the event of resignation or departure of members of the Faculty Senate and/or Faculty Senate Officers, the President will call a special election to fill vacancies. Members of the Faculty Senate elected to fill vacancies will serve the remainder of the original term. In the event the President resigns prior to January 1, the President Elect will assume the office and call a special election to fill the office of the President Elect. The new President Elect will assume the office of President the following June 1. In the event the President resigns on or after January 1, the President Elect will assume the office of President, his/her term of office shall extend through May 31 of the following year, the office of President Elect shall remain vacant, and the Senate shall elect one of its members to assume the remaining duties of the President Elect. In the event all officer positions are vacant, a special election will be called by the majority of the remaining members of the Faculty Senate.

f. Absences: All members of the Faculty Senate are expected to attend all meetings. Absence of any member of the Faculty Senate from three consecutive Faculty Senate meetings, whether or not a substitute has attended on his/her behalf, will constitute resignation. Absences during the summer term will not be included in applying this rule.

Article IV

COMMITTEES

Section 1. Standing Committees: The standing committees of the Faculty Senate shall include

- Academic Standards
- Administrator Evaluation
- Calendar, Scheduling and Registration
- Core Curriculum Oversight
- Faculty Handbook Review
- Faculty Welfare
- Grievance
- Honors
- Intercollegiate Athletics

Lectures
Library
Planning, Priorities, and Resource Allocation
Rules
Teaching Effectiveness

Section 2. Committee Composition And General Purpose: The committees of the Faculty Senate shall be constituted with a general purpose as follows:

Academic Standards Committee. This committee shall consist of the Vice Chancellor for Academic and Student Affairs, the Registrar, the Faculty Athletic Representative to the National Association of Intercollegiate Athletics, the Athletic Academic Advisor, and Faculty Representatives from the Academic Schools and the Library appointed by the Rules Committee. This committee shall recommend policies to govern scholastic standards for the University, including admission to the University, continuation in residence, and graduation.

Administrator Evaluation Committee. This committee shall consist of six members representing all academic schools and the Library. This committee shall conduct and oversee evaluations of university administrators. The committee shall also develop procedures by which the faculty can participate in these evaluations.

Calendar, Scheduling and Registration Committee. This committee shall consist of the Vice Chancellor for Academic and Student Affairs, or a person appointed by him/her, and one representative from each academic school and the Library. This committee shall submit a proposed university calendar for approval by the Faculty Senate. It will recommend policies concerning scheduling to obtain more effective use of the University's facilities and shall monitor and recommend policies for registration.

Core Curriculum Oversight Committee. The committee shall consist of the Vice Chancellor for Academic and Student Affairs, or a person appointed by him/her, as Co-Chair, the Registrar, and one representative from each academic school and the Library. The committee shall ensure that the approved core curriculum is implemented. In addition the committee shall have the responsibility of recommending admission of courses to the core, determining equivalencies, assessing and evaluating courses, and reviewing curriculum models from each academic area to ensure that core courses are appropriately incorporated.

Curriculum Committee. The committee shall consist of the Vice Chancellor for Academic and Student Affairs, or a person appointed by him/her, as Co-Chair, the Registrar, and one elected representative from each school and the Library. The committee shall review requests for curriculum changes in courses that may be taken for undergraduate credit, review and recommend approval of all proposals for new undergraduate programs and modifications to existing programs, review existing programs, recommend regulations and policies for the undergraduate programs, and assist the Vice Chancellor for Academic and Student Affairs in carrying out those regulations and policies.

Faculty Handbook Review Committee. The committee shall consist of six faculty members and the Vice Chancellor for Academic and Student Affairs. The committee shall solicit suggestions for changes and updating of the faculty handbook and recommend annually to the Faculty Senate such changes as it deems appropriate.

Faculty Welfare Committee. This committee shall consist of two representatives from each school and the Library to be appointed by the Rules Committee, and will be Chaired by the President Elect. The committee shall receive, originate, and consider suggestions concerning faculty welfare.

Grievance Committee. The Grievance Committee consists of one elected member from each of the academic schools and the Library. The committee shall evaluate grievances filed by faculty members and make recommendations to the Chancellor. The committee shall follow the faculty grievance procedure outlined in Chapter IV.

Honors Committee. The University Honors Committee consists of one faculty member from each academic school, one student, the Director of the Honors Committee, and the Chair of the Lectures Committee. In addition, the Vice Chancellor for Academic Student Affairs, the past director, and a representative from the University Curriculum Committee will serve as ex officio members. The Honors Committee works with the Honors Director to screen and invite students, to select and schedule courses, and to monitor classes.

Intercollegiate Athletics Committee. This committee shall consist of one representative from each school and the Library. This committee shall make recommendations to the Faculty Senate on issues regarding the intercollegiate athletic program of the University as cited by the National Association of Intercollegiate Athletics.

Lectures Committee. In addition to representation of the academic schools and the Library, the Lectures Committee shall consist of one representative from Staff Council, one representative from Continuing Education, and one student from Student Government Association. The committee shall augment the instructional programs of the University by supporting speakers of distinctive scholarship and accomplishment who would be of interest to students, faculty, and staff.

Library Committee. This committee shall consist of the Dean of the Library, ex officio, and faculty members from the academic schools to be appointed by the Rules Committee.. Each appointment shall be for a three-year term arranged so that approximately one-third of the committees replaced each year. The Rules Committee shall designate the member to serve as Committee Chair, for a period not to exceed two years. All appointments shall be confirmed by the Faculty Senate. The committee shall recommend policies concerning materials selection, Library services offered, Library schedules, and allocation of materials acquisitions funds.

Planning, Priorities, and Resource Allocation Committee. This committee shall be composed of the President of the Faculty Council, the President Elect of the Faculty Council; together with one representative from each school and from the Library. The past President of the Faculty Senate will serve as Chair. The committee shall be advisory to the Chancellor and report to the Faculty Senate on matters related to (1) faculty salary and compensation policies, (2) short range allocation of

resources in the University, (3) long range priorities of the University, and (4) circumstances of financial exigency. The members of this committee also serve on the University Planning and Budget Committee.

Rules Committee. This committee shall consist of the President of the Faculty Senate, as Chair, President Elect, the Secretary, The Parliamentarian, President of Staff Council, and six members elected by the Faculty Senate. The term of each elected member shall be for two years with three terms expiring each year. Election of members to two year terms shall be held at each May meeting of the Faculty Senate. All terms of committee members shall begin on June 1 and end on May 31 of designated years. Nominations shall be made from the floor and a vote taken by secret written ballot. A majority vote is required for election. All members of this committee must be members of the Faculty Senate at the time of their election. Election to fill the unexpired term of an elected member shall be held at the first meeting of the Faculty Senate after the vacancy occurs. No elected member can succeed himself/herself as an elected member except when he or she is filling an unexpired term. This committee shall serve as the Senate Committee on committees. All questions concerning Faculty Senate procedures shall be referred to this committee, and it shall recommend to the Faculty Senate the disposition to be made of any dispute concerning the operation of the Faculty Senate. It shall ensure that unit representatives are duly elected and that no unit of the University is denied the representation to which it is entitled under these articles. This committee should make periodic studies of the Faculty Senate with respect to its objectives and its role in faculty government and should recommend changes that should be made to enable the Faculty Senate to function more effectively.

Teaching Effectiveness Committee. The committee consists of one faculty member of each school and the Library. This committee shall focus on the evaluation and enhancement of teaching effectiveness.

Section 3. Other Standing or Temporary Committees. The Rules Committee shall appoint the appropriate members to other standing or temporary committees that may be created by the Faculty Senate. All appointments shall be confirmed by the Faculty Senate.

Section 4. Committee Membership. Except as otherwise described in Article IV, Section 2, all committees shall be constituted with a membership consisting of one representative from each academic school and the Library appointed by the Rules Committee. The Senate may expand the membership of any committee to include appropriate AUM personnel and/or students as non-voting ex-officio members.

Section 5. Committee Member Terms

- a. All terms of committee members will begin on August 1 and end on July 31, except that terms of members of the Rules Committee will begin on June 1 and end on May 31.
- b. Except as otherwise described in Section 2, the terms of committee members shall be for three years.

c. If a committee member is unable to fulfill his or her assigned responsibilities to the committee work, the committee chair will give the member ten days notice to remedy the situation. If there is no remedy, the chair can request the Rules Committee to remove the committee member and appoint a replacement.

Section 6. Committee Chairs

a. Except as otherwise described in Section 2, the chairs of committees shall be appointed from among the membership of the committee by the Rules Committee for two-year terms.

b. Except as otherwise described in Section 2, the terms of committee chairs shall not exceed two two-year terms.

c. In the event that a committee chair cannot or does not conduct the business of the committee according to the procedures of this constitution and the specific charge assigned by the Faculty Senate, the President of the Faculty Senate will give the committee chair a 10 day notice that action will be taken to remove the chair from that position. A committee chair can be removed from that position prior to the end of appointment term by a majority vote of the Rules Committee. Replacement of committee chairs to follow the procedures in Section 6a.

Article V

PROCEDURES

Section 1. Faculty Senate: The Faculty Senate will conduct all business according to *Robert's Rules of Order, Revised*. The Faculty Senate will make arrangements for and keep secure an accurate record of all proceedings including regular meetings, special meetings, working sessions, and committee reports. The Secretary of the Senate will deposit copies of the minutes and reports of the Senate in the University archives. The Faculty Senate will reply in writing to all committee recommendations by describing the disposition of such recommendations and any action taken. It will report on all such business at its regular meetings and at meetings of the Faculty Council.

Section 2. Meetings:

a. Faculty Senate Meetings: Faculty Senate meetings will be held at least monthly except in the month of December and August. Additional meetings may be called by the President. Meetings will be open to all AUM personnel, and they will be announced at least five full working days ahead of time with a copy of the specific agenda.

b. Faculty Council Meetings: Faculty Council meetings will be held at least once each academic semester except summer term. These meetings will be open to all AUM personnel and will be announced by the President in writing at least five full working days ahead of

time with a copy of the specific agenda. The Announcement of the meetings and agenda will be distributed to all Faculty Council members and other appropriate parties. The President will preside over these meetings.

c. Committee Meetings: Committee meetings will be held as needed. These meetings will be open to all AUM personnel.

Section 3. Quorum.

a. Faculty Senate: A quorum for Faculty Senate meetings will consist of a majority of the voting members of the Faculty Senate (including substitutes).

b. Faculty Council: A quorum for Faculty Council meetings will consist of those members present.

c. Faculty Senate Committees: A quorum for Faculty Senate Committee meetings will consist of those members present.

Section 4. Substitutes:

a. Faculty Senate: A member of the Faculty Senate may designate a member from his/her constituency as a substitute to attend a meeting in his/her place. However, a substitute may serve only two times in an academic year.

b. Faculty Senate Committees: A member of a standing committee may designate a member of his/her constituency as a substitute to attend a meeting in his/her place.

Section 5. Voting: All voting of the Faculty Council and Faculty Senate except for constitutional amendments and except for the election of officers will be based on a simple majority of those present and voting.

a. Faculty Senate: All members have one vote each, including officers.

b. Faculty Council: All members have one vote each.

c. Committees: All members have one vote each.

d. Proxy Vote: Except for the election of officers only members and designated substitutes present at the time a vote is taken may vote.

Section 6. Processing Recommendations: When a written recommendation has been received by the Faculty Senate or by an individual member of the Faculty Senate through one of the appointed committees or from an individual or group of members of the Faculty Council, the Faculty Senate will consider it at its next regular meeting, or at a special meeting, conference call and/or e-mail vote if the recommendation is one of urgency in the opinion of the President. The Faculty Senate will

discuss and vote on such recommendations subject to the restriction that motions of substance be carried over to and appear on the agenda of the next meeting. It may forward the recommendation to the appropriate party for action. The Faculty Senate will advise the committee, individual, or group initiating the recommendation as to its disposition, and it will report to the Faculty Council on this matter at the next meeting. The Faculty Senate will also report on any action taken by the Faculty Senate, its officers, and the University administration.

Article VI

ADOPTION

This constitution shall be ratified upon the affirmative vote of two-thirds of the members present at a regular meeting of the Faculty Council and the approval of the Board of Trustees of Auburn University. The notice of such meeting of the Faculty Council shall include a draft of the proposed constitution.

Article VII

AMENDMENTS

Proposed amendments to this constitution must be made in writing to the Faculty Senate, and the Faculty Senate will determine whether to submit the amendment to the Faculty Council. In the event that a proposed amendment receives the written endorsement of more than twenty-five percent of the faculty, however, the Faculty Senate is required to submit the amendment to the Faculty Council. These articles may be amended by a two-thirds vote of the members present at a Faculty Council meeting. Any amendment to this constitution, to be valid, must be consistent with laws governing the Board of Trustees of Auburn University and the State of Alabama and be approved by the Board of Trustees.

Adopted by the Faculty Council: April 16, 1982

Approved by the Board of Trustees of Auburn University: May 1, 1982

Amended: May 25, 1984

Approved: September 21, 1984

Amended: March 15, 1985

Approved: June 3, 1985

Amended: October 4, 1985

Approved: February 26, 1986

Amended: October 3, 1986

Approved: February 18, 1987

Amended: May 26, 1995

Approved: August 18, 1995

C. STANDING UNIVERSITY COMMITTEES

The following standing university committees report to the Chancellor of Auburn University Montgomery. Shown adjacent to the name of each standing committee is the individual currently designated by the Chancellor as the official responsible for the relevant committee.

Academic Affairs Council	Vice Chanc. A&S
Americans with Disabilities	Chancellor
AUM Advisory Board	Chancellor
AUMfest	Chancellor
Cooperative Education and Internship	Vice Chanc. A&S
Emergency Management	Chancellor
Facility Usage	Vice Chanc. F&A
Graduate Council	Vice Chanc. A&S
Information Technology Advisory Council	Chancellor
Mardi Gras	Chancellor
Marketing	Chancellor
Planning and Budget Committee	Vice Chanc. F&A and A&S
Research Council	Vice Chanc. A&S
Student Discipline	Vice Chanc. A&S
Traffic and Safety	Vice Chanc. F&A

A description of the responsibilities of the standing university committees identified above follows. Faculty and staff committee members shall serve three-year staggered terms unless otherwise specified. Students serve one-year terms.

Academic Affairs Council. The Academic Affairs Council fulfills two missions related to faculty excellence. Each spring semester, the Council reviews applications for professional improvement leave for the following academic year. Upon completion of the review, the Council forwards its recommendations to the Vice Chancellor for Academic and Student Affairs. The Council also reviews nominations for the University's Distinguished Teaching Award. Recipients of the award are announced at the end of the spring semester

Americans with Disabilities. To insure accessibility to all programs, services, employment, activities, telecommunication and transportation. This task force identifies all barriers to accessibility and promotes elimination of those barriers.

AUM Advisory Board. The purpose of the Advisory Board is to provide advice and support in the continual development of Auburn University Montgomery in maintaining programs of excellence and providing leadership in education and in the community.

AUMfest. To encourage informal, friendly interaction between the students and the faculty and staff and to foster a sense of community within the AUM family.

Emergency Management. To establish, implement and update clear guidelines detailing the appropriate response to disaster and crisis situations.

Facility Usage. To review facility requests to determine whether accommodations can be met, and to discuss risk factors and set fees for use of the facility.

Graduate Council. The Graduate Council, in close cooperation with the Director of Graduate Studies, will set policy for AUM graduate programs. Its responsibilities will include: approving AUM faculty for graduate teaching; approving additions, deletions, and alterations of graduate courses; approving admission standards to graduate programs; and reviewing and in general maintaining the quality of graduate programs in place at AUM as well as the development of new programs. The Graduate Council shall consist of the Director of Graduate Studies, the Assistant Director of Graduate Studies, and the director of the Library or his/her representative as non-voting, ex officio members (with the former as Chair and having a vote in the case of a tie) and representatives of each school. Schools with graduate programs will each supply two members, those without a graduate program will supply one faculty member. In cases where a school has two members, the dean shall appoint one member and the school's graduate faculty shall elect the other. Schools with one member will alternately elect and appoint their representative. Members of the Graduate Council shall serve two-year terms. All full members of the Graduate Council must belong to the graduate faculty.

Information Technology Advisory Council. The AUM Information Technology Advisory Council provides high-level oversight, coordination, and planning for technology on our campus. It is chaired by a faculty member and consists of at least one faculty member from each school appointed by the Faculty Senate, the deans, one representative each from the Library, Continuing Education, and the Centers for Business and Government, the Directors of the Computer Center and TRC, the Registrar, three administrative users appointed by the Staff Council, and three students (1 undergraduate, 1 graduate, and 1 evening student).

Mardi Gras. To enhance community awareness and relations for Auburn University Montgomery.

Marketing. To develop and refine an ongoing marketing plan that reflects the direction of the University as articulated by the Strategic Planning Committee.

Planning and Budget Committee. To advise the Chancellor on general budget priorities as they relate to the mission, goals, and objectives of Auburn University Montgomery. Such priorities will be considered within the constraints of the projected available new funds, existing commitments to currently establish programs, and budget guidelines approved by the AU Board of Trustees.

Research Council. To promote research and innovate program activity in the arts, sciences, humanities, business, nursing, and education, especially among junior faculty.

Student Discipline. The Discipline Committee consists of Vice Chancellor for Academic and Student Affairs, two faculty members and two students. In addition, the Chief Justice of the Student Government Association will serve as an ex officio member.

Traffic and Safety. To provide recommendations to the Chancellor regarding AUM safety issues.

D. SELECTED STANDING AUBURN UNIVERSITY COMMITTEES

The following standing Auburn University committees report to the President of Auburn University. Shown adjacent to the name of each standing committee is the individual currently designated by the President as the official responsible for the relevant committee.

<u>Advisory Committee for</u>	
Drug-free Campus and Workplace	Vice Pres. Res.
Benefits	Vice Pres. B&F
University Safety	Vice Pres. Adm.

A description of the responsibilities of the standing university committees identified above follows. Faculty and staff committee members shall serve three-year staggered terms unless otherwise specified. Students serve one-year terms.

Advisory Committee for a Drug-free Campus and Workplace: The Advisory Committee for a Drug-free Campus and Workplace shall consist of the following persons from Auburn University, Auburn Campus: three faculty members, one member of the staff, one student, and one representative each from the Alabama Cooperative Extension Service, University Health Center, University Police Department, the Office of Human Resources, Housing and Resident Life, Office of the Vice President for Student Affairs, Office of the Vice President for Research, all serving continuing appointments; and the following persons from AUM: two faculty members and one staff member serving three-year staggered terms; a student serving a one-year term; and a representative of the AUM Police Department. The committee shall promote the development of the University's Drug Prevention Program; establish procedures to ensure the annual distribution to each student and employee of descriptions of the legal and medical risks associated with drug and alcohol abuse and of any drug or alcohol counseling, treatment, rehabilitation or re-entry programs available to employees and students; and evaluate the University's Drug Prevention Program biennially to determine its effectiveness.

Benefits Committee: The Benefits Committee shall consist of the Director of Risk Management and Insurance, the Director of Payroll and Benefits, the Director of University Human Resources, one administrator from AUM, five faculty members, and two staff advisory council members, one from the AU and one from AUM. The committee shall communicate information about insurance matters to faculty and administration and consider and recommend improvements in insurance coverage.

University Safety Committee: The University Safety Committee shall consist of the University Safety Officer as Chair, the University Architect, the Director of Risk Management, the Director of Facilities, the Director of University Human Resources or Designee, the Police Chiefs of AUA and AUM or designees, the Associate Director of the Alabama Agricultural Experiment Station or designee, the Head of the Alabama Cooperative Extension Service Administrative Services or designee, and a representative from University Computing, two faculty members from AUA and two

faculty members from AUM, and a student nominated by the SGA President. The committee shall assist in establishing and maintaining a comprehensive safety program that shall help Auburn University achieve the goal of providing a safe and healthful environment for the faculty, staff, students and visitors on the Auburn campus, AUM, and throughout the broad networks of the Alabama Agricultural Experiment Station and the Alabama Cooperative Extension Service.

E. FACULTY PARTICIPATION IN SENATE AND UNIVERSITY STANDING COMMITTEES

Standing university committees are appointed by and are advisory to the Chancellor. These committees may be under the purview of a member of the University's Central Administration who shall be responsible for convening these committees at regular intervals and whenever the need for committee action arises. Each standing committee shall have a written statement of its operating procedures. A list of all members of all standing senate and university committees shall be distributed each fall by the Office of the Chancellor.

In the spring of each year, faculty members are given an opportunity to express interest in serving on Senate and university standing committees and to nominate others for those committees. Using this information, the Senate Rules Committee submits nominations for membership on senate committees to the Senate for approval and makes recommendations to the Chancellor for membership on university committees. When a university committee requires its members to have particular expertise, the Rules Committee may consult with administrative officers prior to submitting its list of nominations. For university committees for which three or fewer faculty positions come open, the Rules Committee shall provide a list of nominees exceeding the number of openings by one; for university committees for which four or more faculty positions come open, the Rules Committee shall provide a list of nominees exceeding the number of openings by two. In cases in which the Chancellor is unable to complete the staffing of a university committee from the list of nominees provided by the Rules Committee, the Chancellor may require the Rules Committee to make additional nominations, and may propose other individuals who would be more appropriate for the particular committee's needs.

Committee appointments shall become effective at the beginning of the fall semester and shall expire at the end of the summer term. Chairs of standing university committees are designated by the Chancellor.

In addition to the standing committees described in the senate constitution and those listed in this chapter, there are typically a number of ad hoc committees. This group includes search committees, review committees (e.g.: for the Alabama Commission on Higher Education [ACHE] and for the Southern Association of Colleges and Schools [SACS]), and committees to address specific short-term problems. Faculty members are appointed to these committees by administrators involved in the issue at hand, in consultation with the Senate Rules Committee, as appropriate.

F. FACULTY PARTICIPATION IN THE SELECTION AND EVALUATION OF UNIVERSITY-WIDE ADMINISTRATORS

1. Selection of University-wide Administrators

The Board of Trustees has established the following policies concerning the selection of administrators (board policies manual, b-1-2):

The Board of Trustees, in accordance with state of Alabama statutes, has the power and responsibility to . . . organize the institute by appointing a corps of instructors, who shall be styled the faculty of the University and such other instructors and officers as the interest of the University may require. . . ' to assist in that process, the board may delegate aspects of that responsibility to the President of the University.

Described in the two paragraphs below are procedures to be followed in the selection and appointment of key administrators of the University. The board has primary responsibility for appointment of the President, and relies upon the President's recommendations in the appointment of the provost, AUM Chancellor, Vice Presidents and director of intercollegiate athletics.

President: As identified in the bylaws of the Board of Trustees, the President of the University is elected by and serves at the pleasure of the Board of Trustees. The President is the Chief Executive Officer of the University, and terms of employment and areas of responsibility are outlined in the bylaws. 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, Auburn and AUM faculty and students, Alumni Association members, and others. Such advisory groups, if utilized, shall be appointed by the President Pro Tempore of the Board of Trustees, who shall serve as the Chair of each. Appointment to the Office of President is by the Board of Trustees, who fix the term and conditions of employment.

Provost and AUM Chancellor: Appointment to the positions of provost at Auburn University and Chancellor at AUM shall be by the President of Auburn University, upon prior approval by the Board of Trustees. Search committees assembled to identify candidates for these positions shall include at least one member of the Board of Trustees. The provost, as the University's second most senior administrator, shall have the responsibility, under the direction of the President, for coordination and oversight of the University's academic, research and extension programs. The Chancellor bears similar responsibility for overall administration of the Montgomery campus. Trustees shall participate in these searches on a rotating basis, so that involvement can be shared. (The procedure for obtaining Board approval will be determined jointly by the President, Board President Pro Tempore, and the trustees who serve on the search committee.)

2. Selection of Deans and Department Heads/Chairs

Deans: Deans are appointed by the Vice Chancellor for Academic and Student Affairs upon prior approval of the Chancellor 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 shall be selected so as to ensure broad representation of the programs in the school or college involved, as well as other interests within the University, and shall be selected in consultation with departmental faculty.

Department Heads/Chairs: Auburn University Montgomery adheres to the "joint statement on government of colleges and universities " adopted by the American Council on Education, the Association of Governing Boards of Universities and Colleges, and the American Association of University Professors regarding the selection of Department Heads/Chairs: "the Chair or head of a department should be selected either by departmental election or by appointment following consultation with members of the department and of related departments; appointments should normally be in conformity with the department members' judgment." Appointments of Department Heads/Chairs are made by the Dean, upon prior approval of the Vice Chancellor for Academic and Student Affairs and the Chancellor.

3. Evaluation of Administrators

Auburn University Montgomery adheres to the principle that there should be periodic review of the performance of the Chancellor and other academic administrators. The purpose of such periodic reviews should be the improvement of the performance of the administrator during his or her term of office. The University Senate's Administrator Evaluation Committee is charged with the responsibility of soliciting information from the faculty that may be used to achieve improved administration.

G. ACADEMIC ADMINISTRATIVE POSITION DESCRIPTIONS

Auburn University Montgomery maintains a position description notebook, which includes descriptions of administrative positions and an Auburn University Montgomery organizational chart.

Copies of this notebook are available from the office of the Chancellor. The following description of those administrative positions that most directly touch a faculty member's academic life are quoted from the position description notebook:

1. Chancellor

Reports to: President, Auburn University

Summary of major duties and responsibilities: The Chancellor is appointed by and serves at the pleasure of the President of Auburn University. As the Chief Executive Officer of the University, the Chancellor bears primary responsibility for the maintenance of existing resources and the creation of new resources. It is his or her duty to ensure that the standards and procedures in operational use within the University conform to the policies established by the Board of Trustees

and to the standards of sound academic practice. The Chancellor manages, directs, and has the responsibility for the conduct of all affairs of the University, except those, which by law or the Board of Trustees' by-laws are made the responsibility of others. Therefore, he or she has the power and responsibility in the name of the University, to make and execute, or to delegate the making and execution of, all contracts and written instruments involved in the ordinary course of the operation of the University, except those which must be specifically approved and authorized by the President of Auburn University and/or the Board of Trustees. The Chancellor is responsible for establishing the priorities of the University in all of its areas of operation, thus for ensuring the reasonable enforcement of existing policies, procedures, and regulations, as well as for initiating and facilitating policy, procedure, and program changes that will lead to the betterment of the University. The Chancellor has the ultimate responsibility for providing a safe and comfortable working and educational environment. He or she has responsibility for a large area of non-academic activities, especially in that as the Chief Executive Officer he or she represents the University to the public. In all areas the Chancellor's work is to direct, organize, and represent. The Chancellor immediately supervises the Vice Chancellor for Academic and Student Affairs, the Vice Chancellor for Finance and Administrative Services, the Executive Director of Advancement, the Executive Director of University Relations, the Executive Director of University Outreach, and the Assistant to the Chancellor.

2. Vice Chancellor for Academic and Student Affairs

Reports to: Chancellor

Summary of major duties and responsibilities: The Vice Chancellor for Academic and Student Affairs is appointed by and serves at the pleasure of the Chancellor. He or she is the chief academic officer of the University and represents the Chancellor during his or her absence from the campus. The Vice Chancellor for Academic and Student Affairs oversees the administration of all academic programs, both undergraduate and graduate, involving instruction, research, and continuing education and is responsible for advising the Chancellor on matters relating to overall planning, allocation of resources for academic purposes, and the development and continuing evaluation of academic programs. He or she serves as Director of Graduate Studies. The duties of the Vice Chancellor for Academic and Student Affairs include, but are not limited to, the following: maintaining a measurably high quality in teaching, research, and continuing education; providing for open communication that allows for an orderly sharing of views among Assistant Vice Chancellors, Deans, Department Heads, Directors, faculty, staff, and students; guiding decisions and ensuring reasonably consistent procedures affecting faculty in such areas as recruitment, employment, promotion, tenure, termination, salary and wage structure, and conditions of employment; facilitating faculty and staff efforts to acquire contracts and grants; supervising the allocation and expenditure of funds for adjunct and summer instruction; providing for adequate resources, time, and incentives to promote an environment conducive to effective faculty research; and ensuring the enforcement of the University's policies on academic integrity. In relation to these overall responsibilities, the Vice Chancellor for Academic and Student Affairs, or his or her designate, is specifically charged with providing for the following:

- a. A timely and orderly schedule for tenure and promotion review in accord with the procedures established in the faculty handbook and for the submission and review of applications for sabbatical leave and research grants-in-aid
- b. in those areas under his or her supervision, recruitment and employment procedures that are open and fair and in accord with equal employment opportunities.
- c. Annual review of Deans' performances.
- d. In accord with university policies, hearings for those students charged with academic or social violations.
- e. Academic freedom.
- f. Curriculum review at both the undergraduate and graduate levels.
- g. Administration of travel requests for academic purposes.

The Vice Chancellor for Academic and Student Affairs supervises the Assistant Vice Chancellor for Student Affairs, the Assistant Vice Chancellor for Academic and Graduate Affairs, the Academic Deans, the Dean of the Library, the Dean of Continuing Education, the Administrator and/or Director of Contracts and Grants, the Counseling Center, the Learning Center, the Technology Resource Center, and the Center for Special Services. He or she serves as the University's representative on the Alabama Commission on Higher Education's Council of Chief Academic Officers.

3. Vice Chancellor for Finance and Administrative Affairs

Reports to: Chancellor

Summary of major duties and responsibilities: The Vice Chancellor for Finance and Administrative Services is appointed by and serves at the pleasure of the Chancellor. He or she oversees the entire budgeting process, including the planning, preparation, management, control, and evaluation of the budget. Thus, he or she has as a primary responsibility advising the Chancellor on all matters relating to the fiscal health of the University. He or she serves as chair of the University Planning and Budget Committee. As the University's chief fiscal officer, the Vice Chancellor for Finance and Administrative Services oversees the overall financial reporting of the University, including a proper system of internal controls to ensure appropriate and accurate accounting for revenue, expenditures, assets, and liabilities. The Vice Chancellor for Finance and Administrative Services also oversees the University's auxiliary services and the intercollegiate and intramural athletic programs. The auxiliary services include the University bookstore, the cafeteria, the physical plant, campus police, and campus services. The primary responsibility for advising the Chancellor on construction of new buildings and the renovation of existing buildings resides with the Vice Chancellor for Finance and Administrative Services. He or she supervises the directors of the physical plant, cashier office, athletics, campus services, purchasing, institutional research, personnel, the controller, the chief of campus police and the manager of the University cafeteria.

4. Assistant Vice Chancellor for Academic and Graduate Affairs

Reports to: Vice Chancellor for Academic and Student Affairs

Summary of major duties and responsibilities: The Assistant Vice Chancellor for Academic and Graduate Affairs is appointed by and serves at the pleasure of the Vice Chancellor for Academic and Student Affairs. He or she serves as Dean of Graduate Studies and represents the Vice Chancellor for Academic and Student Affairs in the event of his or her absence from campus. The Assistant Vice Chancellor for Academic and Graduate Affairs chairs the Student Discipline Committee when charges involve the violation of academic policy. In addition, he or she serves as Vice Chancellor Designee Co-chair of the Curriculum Committee and the Graduate Council. In this capacity the Assistant Vice Chancellor works in concert with these committees to ensure maintenance of program quality and its improvement, including the review of programs and curricula and the coordination, planning, and development of undergraduate and graduate offerings in conjunction with academic departments and schools. He or she serves as the University's representative on the Alabama Commission on Higher Education's Council of Graduate Deans.

5. Assistant Vice Chancellor for Student Affairs

Reports to: Vice Chancellor for Academic and Student Affairs

Summary of major duties and Responsibilities: The Assistant Vice Chancellor for Academic and Student Affairs is appointed by and serves at the pleasure of the Vice Chancellor for Academic and Student Affairs. This person is administratively responsible for admissions, career development, financial aid, housing, registrar/records, and student development, thus is the immediate supervisor of the persons responsible for these areas. He or she chairs the Student Discipline Committee when charges involve violation of social policy. He or she develops the budget for student affairs for the approval of the Vice Chancellor for Academic and Student Affairs. Charged with representing student needs to the central administration, while implementing existing policy, this Assistant Vice Chancellor works in concert with the Vice Chancellor for Academic and Student Affairs to address both the educational and the social experiences of students as the latter relate to campus life.

6. Academic Deans and Dean of the Library

Reports to: Vice Chancellor for Academic and Student Affairs

Summary of major duties and responsibilities: The Academic/Library Dean is appointed by and serves at the pleasure of the Vice Chancellor for Academic and Student Affairs. The Academic/Library Dean bears responsibility for the conduct of all programs of instruction, research, and extension conducted by faculty in his or her school/library and for the development of external financial support for his or her school/library. Along with the academic Department Heads, the Dean coordinates instructional program development and maintenance of a measurably high quality in teaching, research, and community service. He or she is responsible for faculty recruitment and development and any special programs within the school. The Dean serves as the official representative of the school in relations with the central administration, other university units, alumni, other institutions, professional organizations, the public, private foundations, and governmental agencies. The Dean represents the school's interests at the central administration level and develops the school's budget annually. The Dean supervises allocation of funds in the school budget and oversees the consequent expenditures. He or she is responsible for conducting annual

evaluations of Department Heads. All Deans serve as members of the Deans Council chaired by the Vice Chancellor for Academic and Student Affairs.

7. Dean of the School of Continuing Education

Reports to: Vice Chancellor for Academic and Student Affairs

Summary of major duties and responsibilities: The Dean of the School of Continuing Education is appointed by and serves at the pleasure of the Vice Chancellor for Academic and Student Affairs. He or she has the primary responsibility to support the University's commitment to offer lifelong learning opportunities to individuals and organizations in the community, state, and beyond. The role of the Dean is to provide leadership for the University's outreach efforts and to facilitate and assist with programs and activities to that end. He or she oversees the administrative operations of the school, including staff selection, supervision, and evaluation, as well as budget preparation and management and unit planning. The Dean interacts with faculty, administration, and leaders in the Montgomery and surrounding communities in an effort to establish and maintain good public relations for the University and to assist with the promotion of programs and activities offered through the University's School of Continuing Education. The Dean of the School of Continuing Education serves as a member of the Dean's Council as well as a number of university committees.

8. Department Heads

Reports to: Academic/Library Dean

Summary of major duties and responsibilities: The Department Head serves as senior faculty member and administrator of the academic department. At the departmental level, this person is responsible for faculty recruitment and development, instructional program development, and quality enhancement, coordination of departmental research and service programs, and evaluation of personnel. Responsibilities for the administration of department personnel (faculty and staff) policies include annual performance reviews of all personnel, third year reviews for all probationary faculty, and the initiation of tenure consideration for probationary faculty at the appropriate time, whether or not an application for tenure has been submitted by the faculty member. Through the Dean, the Department Head represents the department's interest to units inside and outside the University. The Department Head also maintains relationships with students, other administrators, university committees, alumni, professional organizations, and various other public and private groups. In conjunction with the school Dean, the Department Head develops the department's annual budget request, and administers expenditure of the allocated funds, and other resources available to the department.

PART IV

FACULTY PERSONNEL POLICIES AND PROCEDURES

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PART IV

FACULTY PERSONNEL POLICIES AND PROCEDURES

A. KINDS OF APPOINTMENT

Each member of the faculty employed at Auburn University Montgomery is appointed in one of three classifications: Temporary, Probationary, or Tenured.

1. Temporary Appointments

Temporary appointments, as the term implies, are assigned to faculty whose services are required only for a specific period of time, usually one academic year or less, which is identified in the appointment documents. Temporary faculty are not eligible for tenure or promotion. Insurance, medical, sick leave, and other various fringe benefits are not available to faculty unless the employment period is for full time and at least a full year (nine or twelve months as appropriate to the appointment).

2. Probationary Appointments

Probationary appointments are tenure track positions assigned to faculty members who, because of professional achievement, have demonstrated their aptitude for becoming tenured members of the professional faculty.

3. Tenured Appointments

Tenured appointments normally are assigned to faculty who have completed an appropriate probationary period and who, following recommendation and review in accordance with University policy and approval by the President, have been awarded tenure. Only tenured faculty are eligible for professional improvement leave with pay. The University President may offer tenure status to a faculty member at the time of initial appointment to Auburn University Montgomery provided that:

- a. Tenure has been earned at another institution; and
- b. Such appointment is made at the rank of Professor; and
- c. The tenure status has received approval through the usual tenure review process as set forth in this handbook. (The time of this review process may be altered from the normal deliberations on tenure.)

B. APPOINTMENT TO THE FACULTY

Recommendations for faculty appointments shall be made by the Department Head or equivalent. (The term “or equivalent” will apply in this chapter whenever reference is made to Department Head.) When making a recommendation for a probationary or tenured appointment, the Department Head shall conduct a poll of all available members of the department holding professorial rank, seeking from each a written statement either supporting or not supporting a recommendation for

appointment. The written comments of the faculty, along with the recommendation of the Department Head, shall be transmitted to the Dean. If the Dean approves the recommendation, he/she forwards all materials to the Vice Chancellor for Academic and Student Affairs for review and approval. The Dean makes the appointment with the approval of the Vice Chancellor for Academic and Student Affairs and upon concurrence of the Chancellor.

Auburn University Montgomery recognizes that its success as an educational institution depends largely on its ability to attract and retain well-educated, talented, and dedicated faculty members. Thus, within available resources, it rewards individuals who demonstrate high-quality performance of academic duties by granting tenure, promotions, and salary increases.

C. ACADEMIC RANKS

The faculty shall consist of the ranks of Instructor, Assistant Professor, Associate Professor, Professor, and Librarian I, II, III, IV. (See IV. J., "Auburn University Montgomery Policies and Procedures for Appointment, Promotion, and Tenure of Librarians with Faculty Rank.") Academic administrators must have had significant non-administrative involvement in the instructional or research programs of a university to qualify for academic rank. Once tenure and academic rank are earned by a faculty member, both will be retained if he or she subsequently assumes a full-time administrative position. Tenure does not apply to the administrative appointment.

The following general considerations shall apply to appointment or promotion to academic ranks:

a. Instructor: Appointment to the rank of Instructor should be based on academic achievement and other appropriate indications of the candidate's ability to perform successfully the professional duties assigned. (See I.1., "Eligibility for Tenure.")

b. Assistant Professor: Appointment or promotion to the rank of Assistant Professor should be based upon demonstrated academic ability and potential for professional growth. The candidate should have completed a terminal degree appropriate for the discipline or have the equivalent in training and experience. ("Terminal degree" refers to the highest degree awarded in a discipline. The doctorate is the terminal degree for most disciplines represented at Auburn University Montgomery, although exceptions may be made.)

c. Associate Professor: Appointment or promotion to the rank of Associate Professor is based upon actual performance as well as demonstrated potential for further development. Above all, there must be objective evidence that the individual is growing professionally and is contributing to his/her field. Associate Professor is a high academic rank, and promotion to this rank, in and of itself, carries no presumption of future promotion. For a faculty member to reach the Associate Professor rank, he or she should have the terminal degree appropriate to the discipline. In exceptional cases, an Assistant Professor without a terminal degree who has gained distinction as a publishing scholar or creative artist may be promoted to the rank of Associate Professor.

d. Professor: Appointment or promotion to the rank of Professor implies recognition of the individual by associates and students as an accomplished teacher and by peers, within and outside the University, as a productive scholar or creative artist. The individual must have demonstrated, through scholarly papers, publications, applied research, and/or artistic work, the ability to communicate to professional peers the knowledge and insights gained from the exploration of his/her area of specialization. It is expected that he/she will have made important contributions on a state and national level in research, public and professional service, and/or administrative service to professional societies. To some extent, the modes of scholarly production will be determined by the nature of the individual's particular discipline and its relation to the several missions of the University. While peer review is crucial, it should be remembered that in some disciplines, peers may include fellow professionals outside the academic community. All candidates must have the appropriate terminal degree.

D. FACULTY WORKLOAD POLICY

The primary purpose of the workload policy for Auburn University Montgomery is to facilitate achievement of the University's mission.

Assumptions:

Since teaching is the primary mission of AUM, paramount in the assignment of workloads is furthering the education of our students.

Assignments are made with an understanding of mutual trust and in an effort to be fair and equitable.

The mission of the various schools and the departments within those schools are often unique and require flexibility in workload assignments.

A primary responsibility of Deans and Department Heads is to assign, monitor, and evaluate the workload.

Department Heads are in the best position to oversee the performance in their areas and have the primary responsibility for assigning the workloads.

A faculty appointment requires workload effort in all three areas - teaching, scholarship, and service.

Guidelines for Workload:

Due to the creative nature of university work, reasonable flexibility is anticipated in accomplishing the assigned workload. Expectations are such that the assigned workload could be accomplished in a forty-hour week during the academic year. Hours per week, however, are only a guideline for

expectations. Performance will be evaluated on contributions which assist in the accomplishment of our mission.

While AUM is primarily a teaching institution, faculty are expected to provide contributions in the areas of teaching, research and service. Since the proportional effort spent in these areas during any academic year is likely to shift, the assigned workload should reflect these shifts.

Joint appointment on the Auburn and Montgomery campuses of Auburn University cannot exceed 100 percent time.

At the start of each academic year all faculty members will submit a short plan to their Department Head, indicating what they expect to do during the coming year in teaching, research and service. The Department Head in consultation with the faculty member will approve a final plan for the expected workload for the individual. It is understood that plans are always subject to revisions.

The approved workload will serve as a major guideline in the performance evaluation of the faculty member for the year.

In shifting workloads Department Heads have the authority to reduce an individual faculty member's teaching load to 18 semester hours for the academic year. Reductions below this level will require approval of the Dean and Vice Chancellor of Academic Affairs.

The Deans and Department Heads are responsible for assuring that current programs will be offered with existing resources.

The Dean is responsible for review and final approval of the workload plans in the school.

E. CLASS SCHEDULING GUIDELINES

In the consideration that AUM's regular class schedules for each semester range from 8:00 a.m. to 10:00 p.m., the University, where practicable, should meet the following guidelines in scheduling courses for faculty: 1) Schedule faculty teaching assignments so that there should be no more than eight hours, including a lunch-break, between the beginning of the faculty member's first class of the day and the end of the last class of the day; 2) Avoid assigning faculty members who teach late class hours one evening to teach an early morning class schedule the next day; 3) Minimize, where possible, the need for a faculty member to teach more than two evenings per week; 4) Consider weekend teaching assignments for faculty members to be on a volunteer basis.

Notice of Scheduling

The University should normally notify the faculty members of their teaching assignments two weeks in advance of when the next semester's teaching schedules are due in the office of the Vice Chancellor for Academic and Student Affairs. This process will allow time for the faculty member to discuss with his or her supervisor any needed changes due to personal or professional considerations. Where practical, the University should attempt to meet the needs and considerations

of the faculty member consistent with University and student needs. To facilitate the notification process, the office of the Vice Chancellor Academic and Student Affairs should communicate the due date of the schedules to the University faculty on a timely basis.

F. PERIODIC PERFORMANCE REVIEW

It is the joint responsibility of a faculty member and the Department Head to review the faculty member's professional progress. The period of annual review for all faculty begins with the summer term and continues through the spring semester. As part of the evaluation process, the Department Head will meet with the faculty member to review the evaluation and the Department Head will give the faculty member his/her copy of the evaluation report. More frequent reviews may be conducted at the discretion of the faculty member or the Department Head. Department Heads will complete the evaluation process by June 30th.

These evaluations are intended to inform faculty members of any significant achievements or deficiencies in their performance that may enhance or impede their progress toward higher academic rank or tenure. In evaluating faculty members who have not achieved tenure or promotion to the rank of Professor, the Department Head should take care to relate the faculty member's performance to the promotion criteria and/or to factors affecting tenure. If the faculty member does not agree with the Department Head's written evaluation of his/her performance, he/she may write a separate statement that shall become part of the evaluation report. The official personnel files of the faculty will be kept in the faculty member's respective Dean's offices. These files in the Deans' Offices should include the initial letter of appointment, annual evaluations, and other documents that are pertinent to the faculty member's position with the University. The official transcripts of the faculty shall be kept in the Office of Human Resources along with other employment forms required by the University.

G. THIRD YEAR REVIEW FOR PROBATIONARY FACULTY

Each department shall conduct a third year review of all its probationary faculty members before June 30th of the faculty member's third year. For faculty who have received credit toward tenure for service at another institution, this review will take place at the end of the first year. The Department Head or equivalent will notify the faculty member of the deadlines for third year review. The faculty member will submit a package containing a current vita and any supporting documentation of the candidate's performance in teaching, research, and service.

The particular focus of this third year review is to evaluate and provide feedback to the faculty member concerning his/her progress toward achieving tenure. The review therefore must address the criteria for tenure set forth in this document. When practical, the review shall involve a meeting of the entire tenured faculty of the department to determine whether or not the candidate is making appropriate progress toward tenure. Subsequent to that meeting, each tenured faculty member will submit a letter to the Department Head or equivalent which provides suggestions for faculty development.

The Department Head or equivalent shall prepare a written report covering the findings of the review. The procedure should be the same as that for annual reviews (the faculty member will receive a written report), and the report is to remain confidential, to the extent permitted by law.

H. CRITERIA AND PROCEDURES FOR PROMOTION

PROMOTION: Promotion shall be based on demonstrated competence in teaching, research, and service and, additionally, on distinguished performance over a sustained period in either teaching, research, or service.

a. Criteria: The criteria of teaching, research, and service described below shall be considered in the evaluation of the faculty member's performance and achievement. The employment conditions and academic assignment will determine the relative application of the criteria.

1. Teaching - Since the principal reason for the University's existence is the instruction of students, excellence in teaching is expected. Hence, there is a need for systematic review of teaching competence and effort. Such competence may be indicated by the faculty member's:

a. Knowledge of subject demonstrated by maintaining current competence through a variety of activities. Examples of measures in this area may include:

- Continuing education
- Participation in professional development opportunities.

b. Professional growth in the field specialization. Examples of measures in this area may include:

- Faculty contribution to fieldwork.
- Faculty evaluation and assessment of curricula.
- Faculty development of new distance curricula.
- Faculty innovative teaching strategies.

c. Teaching effectiveness, which is in part indicated by appraisals of a candidate's teaching performance by his/her present and former students. Multiple measures should be used for these appraisals. Examples of measures in this area may include:

- Presentation of portfolio of syllabi & test design with revisions according to trends and assessment.
- Presentation of portfolio of student work.
- Evaluation of teachers by peers.
- Evaluation of teachers by students, including formal teaching evaluations and representative written comments that address the candidate's performance.

Additionally, consideration should be given to:

- The candidate's ability to organize material, keep it up to date, and present it with force and logic.

- The capacity to awaken in students an awareness of the relationship between the course subject(s) and other fields of knowledge.
- The ability to stimulate students to creative work as demonstrated by the work of a candidate's former or present students.

Other activities to be considered include:

- Direction of theses, dissertations, independent study courses, and special student projects.
- Involvement in interdisciplinary or scholars courses.
- Publication of a candidate's textbooks, manuals, or lecture notes.
- Adoption of a candidate's textbooks.
- Achievement of honors or other special recognitions as a result of teaching accomplishments are also relevant.

Finally, the candidate's contributions to the instructional programs of his/her department should be considered, including:

- Development of new courses or programs.
- Preparation of innovative teaching materials and techniques.
- Effective participation in academic advising.

2. Research and Creative Work - All University faculty have an obligation to contribute to the store of knowledge and skills in their respective disciplines. Greater requirements for scholarly or creative achievements will be placed on candidates who have been provided reduced instructional loads and/or special resources for research; but all are expected to demonstrate scholarly accomplishments.

a. Research and creative scholarship can ordinarily be documented through a candidate's publications. Examples of measures in this area may include:

- Books published by commercial firms and university presses.
- Refereed journal articles.
- Scholarly papers presented at professional meetings.
- Bulletins and reports.

Bulletins and reports that provide for a process of peer review as a condition for publication carry more weight than publications not subjected to such review. However, all forms of publications, including articles intended to inform persons outside the academic community, shall also be considered as indicative of a candidate's research and scholarly contributions provided that they are of a high quality consistent with their intended purpose and context.

a. Creative works such as art exhibits and musical or theatrical performances are appropriate expressions of productivity in some disciplines. Greater weight towards promotion will be given for creative works exhibited or performed on a national or regional basis and which are subject to peer evaluation.

b. Additionally, the work of a candidate's former or present students may be evaluated as well as the individual's own work in progress. Further, efforts of the faculty member in obtaining contracts and grants to help support university programs shall be positively considered for promotion.

c. Scholarship toward innovation in teaching will be considered as part of the creative effort.

3. Service - All university faculty are expected to make a contribution in the area of service to the University. Greater requirements for service will be placed on candidates who have been provided reduced instructional loads and/or special resources for service assignments. Faculty members should present tangible evidence of positive effects of their contribution to the University, the profession and the community.

a. Service to the Profession - Consideration should be given to a candidate's contributions to the advancement of his/her discipline through leadership of, and intellectual contributions to professional associations of persons representative of the field. Involvement in such associations results in greater professional knowledge and stature, and may bring to the institution fresh concepts and innovative program ideas for local application.

b. Public Service and Continuing Education Programs - Recognition shall be given to participation in continuing education and public service programs, on or off campus, that are extensions of the faculty member's teaching and/or profession and skills of his/her respective discipline. Also included are public service activities that are targeted to solving problems and creating opportunities for all parties through the community.

c. University Service - Consideration should be given to a candidate's contribution to the University. Examples of measures in this area may include:

- Serving as faculty council officers.
- Chairing university committees and task forces.
- Serving on university committees and task forces.
- Developing and assisting in the coordination of innovative academic programs.

d. School Service - Consideration should be given to a candidate's contribution to the School. Examples of measures in this area may include:

- Chairing School committees and task forces.
- Serving on School committees and task forces.
- Developing and assisting in the coordination of innovative academic programs.

e. Department Service - Consideration should be given to a candidate's contribution to the Department. Examples of measures in this area may include:

- Chairing Departmental committees and task forces.
- Serving on Departmental committees and task forces.
- Developing and assisting in the coordination of innovative departmental academic programs/courses.

f. Faculty Consulting - Such activities contribute to faculty knowledge of contemporary problems and enable the candidate to carry the benefits of such experience into the classroom.

Application for Promotion: Faculty members who believe they have met the criteria for promotion in rank shall submit a letter of request to their respective Department Head by **October 1st**. The candidate's package shall be presented by **November 1st** to the Department Head who will submit it to the department review committee composed of tenure track/tenured faculty holding academic rank higher than that of the candidate for promotion. No administrator in the direct supervisory chain (i.e. with recommending responsibilities at subsequent steps in the promotion process, such as the candidate's Department Head or Dean, or the Vice Chancellor for Academic and Student Affairs) shall be a member of the department review committee. Other tenure track/tenured faculty holding administrative positions and having a significant and continuing involvement in the instructional or research programs of the department shall be members of the department review committee. In cases where at least three faculty with the appropriate rank are not available in the department, the Dean of the school will establish a committee composed in whole or in part, as necessary, of faculty holding the appropriate rank in other departments.

A committee recommendation and the results of a vote conducted by secret ballot will be forwarded to the Department Head. The committee report will include reasons for the positive or negative recommendation. Additionally, any member of the departmental review committee may submit a letter to the Department Head relating the candidate's ability and performance to the criteria for promotion listed above. The letter will be included in the promotion dossier. The Department Head will forward all documents and letters, together with his/her evaluation and recommendation for action, to the Dean of the school by **December 15th**. The Dean will forward all materials, including his/her letter of recommendation for action, to the Vice Chancellor for Academic and Student Affairs. The Dean's letter will include reasons for the positive or negative recommendation.

The Vice Chancellor for Academic and Student Affairs shall transmit the materials to a university-wide committee. The University Committee on Promotion and Tenure shall consist of six academic Deans and three members of the tenured faculty. The Vice Chancellor for Academic and Student Affairs shall annually appoint the chair of the committee.

The three faculty will be appointed by the Chancellor from names submitted by the Faculty Senate. In order to encourage broad faculty representation, at least five names shall be submitted to the Chancellor for each faculty position. The faculty appointments will be for three-year terms arranged so that approximately one-third of the faculty are replaced each year.

If a University Committee on Promotion and Tenure member has already made a recommendation in the questions of promotion for a particular candidate during the current year, he/she shall not have a

vote on that candidate in the University Committee on Promotion and Tenure. All votes taken in the committee on the issue of granting promotion or tenure shall be by secret paper ballot; the vote must remain confidential to the extent permitted by law.

The University Committee will forward all materials including its letter of recommendation to the Vice Chancellor for Academic and Student Affairs and the Chancellor. The Committee's letter will include reasons for the positive or negative recommendations. The Vice Chancellor for Academic and Student Affairs recommends to the Chancellor, and the Chancellor is responsible for making recommendations on promotion and tenure to the President.

Candidates shall be notified in writing of the President's decision by March 15. When a nomination for promotion is not approved, the candidate will be notified promptly in writing by the Chancellor of the reasons for the denial.

I. CRITERIA AND PROCEDURES FOR TENURE

Auburn University Montgomery supports and defends the concept of academic tenure, which assures each faculty member freedom to criticize and advocate changes in existing theories, beliefs, programs policies and institutions; and guarantees faculty the right to support, without jeopardy, any colleague whose academic freedom is threatened. Moreover, Auburn University Montgomery (as previously noted in the February 20, 1971, Resolution of the Board of Trustees, revised 1985) subscribes to the principles of academic freedom and academic tenure as described in the 1940 Statement of Principles of the American Association of University Professors and the Standards of the Southern Association of Colleges and Schools:

ACADEMIC TENURE [From Policy Documents and Reports of the American Association of University Professors (Washington, D.C., September, 1969).]

1. After the expiration of a probationary period, teachers or investigators should have permanent or continuous tenure, and their service should be terminated only for adequate cause, except in the case of retirement for age, or under extraordinary circumstances because of financial exigencies.

In the interpretation of this principle it is understood that the following represent acceptable academic practice:

a. The precise terms and conditions of every appointment should be stated in writing and be in the possession of both institution and teacher before the appointment is consummated.

b. Beginning with appointment to the rank of full-time instructor or a higher rank, the probationary period should not exceed seven years, including within this period full-time service in all institutions of higher education; but subject to the proviso that when, after a term of probationary service of more than three years in one or more institutions, a teacher is called to another institution it may be agreed in writing that

his new appointment is for a probationary period of not more than four years, even though thereby the person's total probationary period in the academic profession is extended beyond the normal maximum of seven years. Notice should be given at least one year prior to the expiration of the probationary period if the teacher is not to be continued in service after the expiration of that period.

c. During the probationary period a teacher should have the academic freedom that all members of the faculty have.

d. Termination for cause of a continuous appointment, or the dismissal for cause of a teacher previous to the expiration of a term appointment, should, if possible, be considered by both a faculty committee and the governing board of the institution. In all cases where the facts are in dispute, the accused teacher should be informed before the hearing in writing of the charges against him and should have the opportunity to be heard in his own defense by all bodies that pass judgment upon his case. He should be permitted to have with him an adviser of his own choosing who may act as counsel. There should be a full stenographic record of the hearing available to the parties concerned. In the hearing of charges of incompetence the testimony should include that of teachers and other scholars, either from his own or from other institutions. Teachers on continuous appointment who are dismissed for reasons not involving moral turpitude should receive their salaries for at least a year from the date of notification of dismissal whether or not they are continued in their duties at the institution.

e. Termination of a continuous appointment because of financial exigency should be demonstrably bona fide.

While the Board of Trustees embraces the principles expressed by the American Association of University Professors, the specific details set forth in this chapter of the *AUM Faculty Handbook* as periodically revised, constitute the policies and procedures applicable to appointment, promotion, tenure, non-continuance, dismissal, and retirement at Auburn University Montgomery. Correlative with academic tenure is the responsibility of all faculty members for the fulfillment of their duties as assigned by the University so that the University can properly meet its responsibilities to its students and to society.

1. Eligibility for Tenure: The normal progression to tenured status of a faculty member is from a Probationary appointment. Faculty members on Probationary appointments with the rank of Instructor or higher become eligible for tenure consideration after a probationary period of meritorious performance: However, faculty holding the Instructor rank must be promoted or approved for promotion to Assistant Professor to be eligible for tenure.

The total length of the probationary period should not exceed seven years of full-time service, where one year equals two semesters or three quarters, excluding summers. Years of full-time Temporary appointment at Auburn University Montgomery, regardless of rank, count toward tenure eligibility just as do years of full-time Probationary appointment. Time spent away from the institution except

when the individual is on a special assignment for the benefit of the institution and paid by the institution shall not be counted toward fulfillment of eligibility for tenure.

In addition, a faculty member's previous full-time service in another institution of higher education may be a significant factor in determining the length of the probationary period at Auburn University Montgomery. Faculty members with more than three years of probationary or tenured service at one or more other institutions of higher education may receive credit for not more than three years of such service toward the probationary period at Auburn University Montgomery. Written notification of the policies set forth in this paragraph will be provided by the appropriate Dean to each candidate at the time an offer of employment is extended. Such notification shall include the credit allowed for prior service.

Although a minimum probationary period of four complete academic years should usually be observed prior to nomination for tenure consideration, a decision on the awarding of tenure must be made within three years if the faculty member has received credit for three years of experience at another institution. Faculty members without more than three years of full-time service at another institution normally should be considered for tenure during their fifth year of full-time service at Auburn University Montgomery.

Members of the faculty and academic staff who hold administrative positions can earn tenure only in their faculty classifications. For such administrators, eligibility for tenure requires a significant non-administrative involvement in the instructional or research programs of Auburn University Montgomery.

2. De Facto Tenure: Should a seven year period of full-time service in faculty rank, including prior service credited in the manner specified above, be exceeded in the case of a faculty member on Temporary or Probationary appointment, tenure shall be awarded by the President. A faculty member who contends that he/she has served full time in an academic rank for seven or more years may appeal through the normal administrative chain to achieve consideration of the claim. However, tenure gained in this way will be forfeited if it is established that the faculty member's not being recommended for tenure consideration was a deliberate attempt to avoid the formal tenure process by the faculty member and/or Department Head or unit head.

3. Joint Appointment and Tenure: If the faculty member is on appointment involving two or more departments, tenure may be held only in the department agreed upon at the time of the joint appointment.

4. Factors Affecting Tenure: Faculty and Department Heads should remember that decisions on tenure are different in kind from those on promotion. As with promotion the tenure nominee will be evaluated on (1) teaching, (2) research, and (3) service. Other important elements affecting tenure nominations and recommendations are those factors that are directly related to the prospect of the nominee's assuming what may well be an appointment of ten, twenty, or thirty years in the departmental unit. Such considerations may include the nominee's abilities to support the departmental mission and its long-term goals; the nominee's exhibited ability and willingness to engage in the shared tasks that a departmental group must often perform; and the nominee's

willingness to participate knowledgeably and reasonably in discussions germane to departmental policies and programs.

5. Application for Tenure: Faculty members who believe they have met the criteria for tenure consideration shall submit a letter of request for tenure consideration to their respective Department Head and Dean *by October 1st*. It is the joint responsibility of the faculty member and the department head to assure that the tenure review process occurs no later than in the sixth-year of full-time service or within three years if credit for previous service at another institution has been given. The candidate's package should be presented to the Department Head *by November 1st*. The credentials to be included in the package are a current vita and supporting documentation of the candidate's performance in teaching, research, and service.

After receiving the application for tenure consideration, the Department Head shall notify tenured members of the departmental faculty of their responsibility to review the candidate's credentials. In cases where there are fewer than three tenured faculty in the department, the Dean of the school will ask for participation of tenured faculty in other departments. The tenured members of the faculty shall not function as a committee; rather, each will submit to the Department Head (or appropriate Dean if the candidate is a Department Head) a written statement of his/her positive or negative vote on tenure, together with a justification of that vote. No administrator in the direct supervisory chain (i.e., with recommending responsibilities at subsequent steps in the tenure process, such as the candidate's Department Head or Dean, or the Vice Chancellor for Academic Affairs) shall be included in the departmental review process. Other eligible faculty holding administrative positions and having a significant and continuing involvement in the instructional or research programs of the department shall participate. These statements and the Department Head's written recommendation on tenure, including reasons for the positive or negative recommendations, will be sent forward with the candidate's resume and supporting material to the appropriate Dean *by December 15th*. The Dean will add his/her letter of recommendation, including reasons for the positive or negative recommendations, to the documents under review, which will then be submitted to the Vice Chancellor for Academic and Student Affairs.

The Vice Chancellor for Academic and Student Affairs shall transmit the materials to a university-wide committee. The University Committee on Promotion and Tenure shall consist of six academic Deans and three members of the tenured faculty. The Vice Chancellor for Academic and Student Affairs shall annually appoint the chair of the committee.

The three faculty will be appointed by the Chancellor from names submitted by the Faculty Senate. In order to encourage broad faculty representation, at least five names shall be submitted to the Chancellor for each faculty position. The faculty appointments will be for three-year terms arranged so that approximately one-third of the faculty are replaced each year.

If a University Committee on Promotion and Tenure member has already made a recommendation in the questions of tenure for a particular candidate during the current year, he/she shall not have a vote on that candidate in the University Committee on Promotion and Tenure. All votes taken in the committee on the issue of granting promotion or tenure shall be by secret paper ballot; the vote must remain confidential to the extent permitted by law.

The University Committee will forward all materials including its letter of recommendation to the Vice Chancellor for Academic and Student Affairs and the Chancellor. The Committee's letter will include reasons for the positive or negative recommendations. The Vice Chancellor for Academic and Student Affairs recommends to the Chancellor, and the Chancellor is responsible for making recommendations on promotion and tenure to the President.

Candidates shall be notified in writing of the President's decision by March 15. When a nomination for tenure is not approved, the candidate will be notified promptly by the Chancellor of the reasons for the denial.

Tenured faculty members who resign and leave the University and then are re-employed in a faculty position similar to the one they previously held may have their tenure reinstated on the recommendation of the tenured faculty of the affected department and on the approval of the Department Head, Dean, Vice Chancellor for Academic and Student Affairs, Chancellor, and the President. A tenured faculty member in a department at Auburn University who accepts a faculty appointment on the Auburn University Montgomery campus may be awarded tenure at the time of appointment only through the normal tenure process.

Confidentiality and the right of tenured faculty members to express their viewpoints openly without fear of retaliation should be hallmarks of the tenure decision process. All documents, letters, and other materials shall be held in strict confidence at all levels of the review process. Should confidential discussions, documents, notes and communications become the subject of legal discovery, those who participated in the review process may be guided by University Counsel.

J. POLICIES AND PROCEDURES FOR APPOINTMENT, TENURE, AND PROMOTION OF LIBRARIANS WITH FACULTY RANK

INTRODUCTION

The following document describes the criteria and procedures to be used by Library faculty in dealing with questions of appointment, tenure, promotion, and non-retention. This document was written to be consistent with University policy applicable to non-librarian faculty described in the Faculty Handbook. Professional effectiveness replaces the teaching criterion in the evaluation of Library faculty. Librarians, therefore will be judged on the basis of professional effectiveness, research/creative activity and service. In developing this document, librarians borrowed from tenure and promotion documents from several university libraries. (The University of Illinois at Chicago, University of Alabama Birmingham, Oklahoma State University, University of Mississippi, State University of New York at Buffalo, and Clemson University.)

CRITERIA FOR TENURE

The Auburn University Montgomery Library regards tenure as recognition of prior performance, accomplishments, and potential for continued growth. To that end the library shall recruit and retain the best qualified librarians available to fill the professional positions on its staff and shall provide for annual performance evaluations of each librarian.

1. Professional Effectiveness

Librarians support the University's mission through daily performance of professional activities. These activities result in a library system that meets the needs of graduate and undergraduate students and faculty. Excellence in professional activities is expected of each librarian, and is the most crucial factor to be considered in tenure and promotion decisions. Within the assigned area of responsibility, the librarian develops his or her unique contribution to the Library and University. Responsibilities fall within the categories of collection development, bibliographic control, information services, library administration and management, and knowledge of subject/academic achievement.

a. Collection Development

In consultation with the teaching faculty, librarians who develop the collection decide which books, journals, and other materials should be made part of the library's collections. They design effective programs of acquisitions, and they carefully plan and monitor expenditure of the acquisitions budget. They regularly evaluate the collection to ensure that the library has materials which support and further campus programs.

b. Bibliographic Control

Librarians involved in bibliographic control are responsible for the intellectual and physical organization of library books, journals, electronic resources, and other materials to optimize access. They develop policies and procedures to ensure efficient and equitable access to circulating materials and to preserve the integrity of the collection. They catalog library materials, as well as direct the assembly and transmission of bibliographic information to local and external computer systems. They create and manipulate a variety of indexes to that information. They also analyze, design and monitor systems to facilitate access to information about library materials, as well as to the actual library materials.

c. Information Services

Librarians who provide information services mediate between individuals with information needs and the sources which can satisfy those needs. To do so they must understand the process of information seeking and users needs, interpret information requests, formulate appropriate search strategies, and locate and evaluate information sources. They determine when they should teach user strategies for independent information seeking or when they should directly provide the information. Librarians also participate in bibliographic instruction programs by teaching, lecturing, and otherwise instructing students, staff and faculty so as to encourage full use of the Library and its resources.

d. Library Administration and Management

Librarians who provide administration and management in their units are responsible for effective training, supervision and evaluation of library personnel. They are responsible for coordinating the work of the unit; they identify goals, set priorities, and organize work to achieve the goals. They perform administrative assignments, e.g. special projects and reports. They also provide effective management for current and anticipated use of Library resources.

e. Knowledge of Subject/Academic Achievement

Academic achievement is determined by one's formal degrees and intellectual pursuits. Librarians also maintain current competence through course work, attendance at workshops, participation in professional development activities, advanced instruction beyond the position requirements, or conducting seminars for library faculty and staff.

2. Research/Creative Activity

In the traditional academic setting, scholarly ability is usually evidenced by refereed, published research, which serves to increase the body of knowledge in a given discipline. In the field of librarianship, those traditional modes of scholarship are most commonly exemplified by library school faculty who hold the doctoral degree and whose work situations parallel those of professorial faculty in other disciplines. Although practicing librarians normally have limited opportunities to engage in pure research, they can and do make significant scholarly contributions to librarianship through a wide variety of publications in any medium. In the field of librarianship research/creative activity may be demonstrated through:

- a. Publication (articles, book reviews, etc.) in professional journals or books
- b. Editing of published or unpublished works
- c. Classroom teaching (outside of the library)
- d. Serving of accreditation teams
- e. Special projects requiring substantive creative endeavor and awareness of current developments in librarianship or other fields of professional or academic interest
- f. Consulting
- g. Participation in grant-supported activities
- h. Development of scholarly applications of technology, e.g., laboratory devices, computer software packages or programs, videotapes, web page design, etc.
- i. Unpublished contributions to the profession, e.g., reviews, abstracts, special indexes and bibliographies, guides to using resources, handbooks for training personnel, manuals for departments within the Library
- j. Publication (literary works, artistic works, etc.) in other periodicals or books
- k. Papers and other presentations at conferences

3. Service

The three areas of service in which librarians participate are: service to the University and Library, service to the library profession, and service to the community. The following serve as examples of representative service activities.

- a. Serving on or chairing Library committees and working on special projects not necessarily related to the librarian's area of specialization.
- b. Serving on or chairing University committees, working on special projects for the University, or working with faculty and student organizations.
- c. Active participation in local, state, regional, national, or international professional or scholarly organizations. Pursuits may include:
 - Holding office.
 - Serving on committees.
 - Acting as a discussion leader.

- Organizing a conference or workshop.
 - Other professional activities.
- d. Membership and participation in local, state, regional, national, or international professional or scholarly organizations.
 - e. Participation in community activities as a private citizen or as a representative of the University and/or Library.
 - f. Honor, awards and special recognitions for service to the institution or the community.

FACTORS AFFECTING TENURE

In addition to the criteria stated above, Librarians should also consult the Faculty Handbook, Section I, 4 - Factors Affecting Tenure.

PROCEDURES FOR GRANTING TENURE

Where there are sufficient tenured library faculty (a minimum of three) to constitute a Tenure Review Committee within the Library, the procedures for granting tenure shall be those set forth in the Faculty Handbook. Until such time, the appointment of a Tenure Review committee shall be handled in the manner outlined in Section G, Criteria and Procedures for Promotion.

APPOINTMENT

The Dean of the Library recommends to the Vice Chancellor for Academic Affairs the appointment with appropriate rank.

1. Kinds Of Appointment

Each professional librarian at Auburn University Montgomery is appointed in one of three classifications: Probationary, Tenured, Temporary.

- a. Probationary appointments are assigned to librarians who, because of scholarly or professional achievement, have demonstrated their aptitude for becoming tenured members of the faculty.
- b. Tenured appointments are assigned to librarians who have completed an appropriate probationary period and who, following recommendation and review in accordance with University policy and approval by the President, have been awarded tenure. Only tenured librarians are eligible for professional improvement leave with pay.
- c. Temporary appointments, as the term implies, are assigned to librarians whose services are required only for a certain specified period of time, usually one year or less, which is identified on the appointment paper. Those on Temporary appointments are not eligible for tenure and promotion or for the insurance, medical, retirement, and various fringe benefits available to other librarians unless the employment period is for at least a full year (twelve months).

2. Definition Of Academic Ranks

Librarians shall be accorded faculty status with academic appointments in four ranks with titles equivalent to the standard academic ranks and titles. These ranks are:

a. Librarian I (equivalent to instructor)

A candidate for appointment as a Librarian I must have a master's degree from an American Library Association accredited library school or equivalent and appropriate skills. Appointment at this rank shall be predicated on the expectation of successful overall performance and the potential for a promising career in librarianship. Those holding this rank must be promoted to Librarian II to be eligible for tenure.

b. Librarian II (equivalent to Assistant Professor)

This is a professional level characterized by assignments with some degree of independent responsibility and action. Appointment or promotion to the rank of Librarian II should be based on demonstrated ability and potential for growth. The candidate should have a strong academic record and shall have completed a master's degree in library science from an American Library Association accredited library school or equivalent.

c. Librarian III (equivalent to Associate Professor)

This is an advanced professional level characterized by considerable independent responsibility and action. It should provide for depth in areas of librarianship and may include other subject fields as well. Promotion to this rank shall require evidence of substantial professional contributions to the library and to the University; attainment of a high level of professional effectiveness in research and other professional endeavors, and the ability to handle successfully increased responsibility, including supervision of library personnel. Librarian III is a high professional rank and requires the master's degree in library science from an American Library Association accredited school or equivalent. Promotion to this rank, in and of itself, carries no presumption of further promotion.

d. Librarian IV (equivalent to Professor)

This is the highest professional level and is characterized by administrative responsibility for general library operations at the divisional level or above and by demonstrated ability in a specialized field or fields of librarianship. A master's degree in library science from an American Library Association accredited school or equivalent and a doctoral degree in library services or in another discipline is a customary requirement. Exceptional and advanced training, research and publication, and/or evidence of exceptional ability in librarianship may be substituted for the doctorate. Demonstrated ability in providing leadership in professional and university organizations is required.

e. Candidates for appointment to the position of Dean of the Library must meet the requirements of Librarian III or IV.

PROMOTION

Because a librarian's mastery and effectiveness within an area of specialization contributes most directly to the academic community, the most important criterion for promotion shall be professional effectiveness. Only those librarians who have discharged their responsibilities with distinction and demonstrated continued growth in their other professional activities while employed by the Library will be promoted.

For some, promotion may not necessarily involve position change but will involve increased responsibility as well as growing competence and contributions in the same position.

1. Criteria

The following specific criteria shall be considered in the evaluation of the librarian's performance and achievement:

a. Professional Effectiveness and Quality of Service within the Library

The librarian's performance and potential will be evaluated within the assigned area of responsibility. These responsibilities may include:

- Collection Development.
- Bibliographic Control.
- Information Services.
- Library Administration and Management.
- Knowledge of Subject/Academic Achievement.

Additionally, librarians will be judged on consistency of performance, grasp of library methods, command of their subjects, continued growth in their fields, judgment, leadership, originality, ability to work effectively with others, and ability to relate their functions to the more general goals of the library and the University.

Evidence of effective service may include the opinions of professional colleagues, particularly those who work closely or continuously with the candidate; the opinions of other faculty members or other members of the University community as to the quality of a collection developed, or the technical or public service provided by the candidate; the opinions of librarians outside the University who function in the same specialty as the candidate; the effectiveness of the techniques applied or procedures developed by the candidate; and relevant additional educational achievement, including programs of advanced study or courses taken toward improvement of subject knowledge or foreign language.

b. Service

A candidate's professional commitment and contribution to the library profession should be evaluated by taking account of such activities as the following: membership and activity in professional and scholarly organizations; participation in library and other professional meetings and

conferences; consulting or similar service; outstanding achievement or promise as evidenced by awards, fellowships, grants; teaching and lecturing; and editorial activity.

Recognition should be given to those who participate in library-wide and university service (including service on campus or university-wide administrative or academic committees and advisement to students and student groups), and in services to the community, state, and nation.

c. Research/Creative Activity

Research by practicing librarians has a growing importance as library, bibliographical, and information management activities become more demanding and complex. It is, therefore, appropriate to take it into account in measuring a librarian's professional development. Examples of research/creative activity may be found under Section I., B., a-k in this document.

PROCEDURES FOR PROMOTION

1. Nominations for promotion will be initiated by the librarian's immediate supervisor.
2. The Dean of the Library shall appoint a Review Committee. The Committee shall consist of three librarians holding the appropriate rank. If there is an insufficient number of librarians holding the appropriate rank, the Dean of the Library will submit to the Vice Chancellor for Academic and Student Affairs a list of the names of six teaching faculty from throughout the University who are familiar with library techniques, procedures, functions, resources and personnel and who hold a rank higher than that of the candidate. The Vice Chancellor for Academic Affairs shall select three faculty from among those suggested and appoint them as the Promotion Review Committee.

Further procedures shall be in accordance with those outlined in the Faculty Handbook.

GRIEVANCE

All grievances shall be handled in accordance with the section on 'Faculty Grievance Committee.'

K. APPEALS PROCEDURES FOR PROMOTION AND TENURE DECISIONS

Grounds for appeal of a promotion or tenure decision exist when the candidate believes that:

- He/she can provide new evidence, not previously available, in support of tenure or promotion.
- There have been significant factual inaccuracies in the Chancellor's letter of denial.
- Significant procedural irregularities in annual performance reviews have occurred.
- Tenure or promotion procedures of the department, school, or University were not properly followed.

A faculty member who has been denied either promotion or tenure may choose to discuss the reasons for the denial and the appeal process with the Vice Chancellor for Academic Affairs and the Chancellor. If a faculty member chooses to appeal the denial, that intention should be expressed in writing to the Chancellor within 30 days of the notification of the negative decision and should be accompanied by all supporting evidence. The Chancellor shall respond to the faculty member's request for an appeal by appointing an appeals committee within fifteen days of receipt of the request.

The Appeals Committee shall consist of the Vice Chancellor for Academic and Student Affairs (non-voting chairperson), an academic Dean (other than the appellant's), and four members of the tenured faculty appointed by the Chancellor from eight names submitted by the Faculty Senate. This committee shall make its recommendation to the Chancellor within fifteen days.

L. NON-CONTINUATION OF EMPLOYMENT

1. University Responsibility

Notice of non-continuation or of non-reappointment is to be given in writing to full-time faculty members on Probationary appointment in accordance with the following schedule:

- By March 1 of the first academic year of service.
- By December 1 of the second academic year of service.
- At least twelve months before the expiration of an appointment for persons with two or more years of service at Auburn University Montgomery. In the event that a tenure review in the sixth year of service results in denial of tenure, the faculty member will be given notice in writing of non-continuation at least twelve months before the expiration of the appointment, and no tenure review, except that undertaken in response to an appeal, will be conducted in the seventh year of service.

If shorter notice is necessary because of major enrollment shifts, program changes, or budget stringency, the affected faculty member shall be informed as soon as possible and every effort shall be made to find another appropriate position in the University. It is anticipated that analyses of enrollment and decisions about moving of positions to meet changing enrollment pressures can be made each fall in time for affected faculty members to be notified by November 15.

2. Rights of Faculty in Case of Financial Exigency

In the event that financial exigency poses a threat to University programs or continuation of faculty employment, the nature and extent of the situation shall be demonstrated by appropriate documentation. An explanatory statement shall be issued by the Chancellor, after consultation with the leadership of the Faculty Senate, to University faculty and staff concerning the financial condition of the University and the relation of that condition to all units and programs. Faculty, staff, and administrators shall be involved in formulating plans that could result in discontinuation of programs and/or personnel. A review process will be implemented to guarantee the right of due process to those affected.

3. Faculty Responsibility

It is incumbent upon all faculty members to practice proper employment ethics. When evaluating the possibility of moving to another institution relatively late in the academic year, the faculty member should consider in a professional manner any unfavorable consequences that would accrue to Auburn University Montgomery, including commitments to the satisfactory completion or resolution of ongoing instructional, research, or extension/ public service projects which would be adversely affected by the faculty member's departure on short notice.

M. PROCEDURES FOR TENURED FACULTY DISMISSAL

Termination for cause of the employment of a tenured faculty member will be effected by the University only for adequate cause and according to the procedures set forth in this statement. Adequate cause shall include (a) demonstrated incompetence, (b) dishonesty in teaching, research, or institutional relationships or reports, (c) substantial neglect of duty and (d) conduct which substantially impairs the individual's fulfillment of institutional responsibilities. The procedure is not applicable to termination for other reasons, such as disability, financial exigency, or retirement.

1. Preliminary Proceedings

The Chancellor will request that an informal inquiry into the substantiality of cause for dismissal be made by a faculty inquiry committee and will advise the faculty member of such action. The Faculty Inquiry Committee will be composed of five (5) members appointed by the Chancellor from a list of ten (10) names of tenured faculty recommended to him/her by the Rules Committee of the Faculty Senate within ten (10) working days of the Chancellor's request. Throughout this procedure the phrase 'working day' shall refer to any day except Saturday and Sunday on which classes are held or examinations are given. A Friday shall be considered a work day if the preceding Thursday is a work day unless that Friday is designated as a University holiday. The Inquiry Committee will review the reasons submitted, their strength and validity, and will recommend to the Chancellor whether or not formal dismissal proceedings should be instituted. The faculty member who is the subject of the inquiry shall be given an opportunity to respond to the reasons submitted to the Inquiry Committee and to present evidence in rebuttal to the charges presented to the Inquiry Committee. The Inquiry Committee will elect its own chair by simple majority vote, and its business will be conducted in confidence. The Faculty Inquiry Committee's report to the Chancellor will be made within twenty (20) working days after the committee is appointed.

2. Initiation of Formal Proceedings

If the Chancellor decides to proceed, formal termination proceedings will be commenced by a written communication addressed to the faculty member by the Chancellor. This letter will contain the following information:

- A statement with reasonable particularity of the grounds proposed for dismissal of the faculty member.

- Information that the faculty member has a right to a hearing before an impartial faculty committee.
- A copy of this statement of procedures.

3. Suspension

Suspension of the faculty member during the proceedings is justified only if immediate harm is threatened by the continuance of the faculty member. A primary concern in suspension is the effect of the alleged offense upon the well being of the faculty, students, and the University. In such cases, salary will be continued during the period of suspension.

4. Request For Hearing, Notice And Answer

If the faculty member desires a hearing, his/her written request for a hearing must be delivered to the Chancellor within ten (10) days of receipt of the Chancellor's letter. If a hearing is so requested, the faculty member will be given written notice of the place and time of hearing, which shall be no less than twenty (20) days from the date of notice of the hearing, and of the names of known witnesses and the general nature of expected available evidence. The faculty member wishing to participate in the hearing will deliver any response he/she wishes to make to the proposed grounds for dismissal, the names of known witnesses, and the general nature of expected available evidence to the Chancellor within fifteen (15) working days of the date of notice of hearing. The names of any witnesses and/or the general nature of any evidence discovered after these responses are made will be delivered in writing to the other party promptly.

5. The Hearing Committee

The Hearing Committee shall be composed of five (5) faculty members. To constitute a committee, the Chancellor shall request the Faculty Senate to submit within ten (10) working days from the date of the Chancellor's report a list containing the names of ten (10) tenured faculty members without administrative status above the level of Department Head who have no personal involvement in the case to be heard or other just reason to be excused. The following shall pertain in the selection of the five members of the Hearing Committee:

- a. If the faculty member intends to participate in the hearing, the faculty member and the University administration may strike up to two names each from the list without stated cause. The strikes will be in alternate order, with the faculty member allowed the first. Whatever further reduction is necessary to arrive at five (5) will be accomplished by lot. Of those persons not included on the list of five, one will, as determined by lot, if necessary, serve as an alternate. However, no person whose name has been struck by either party will be allowed to serve as an alternate.

The alternate to the Hearing Committee shall observe, but not participate in, all proceedings through the formal hearing; but unless the alternate has replaced a sitting member of the Hearing Committee, the alternate shall neither vote on any matter before the Hearing Committee nor participate in the post-hearing deliberations of the committee.

b. If the faculty member does not request a hearing or does not intend to participate in the hearing, the Chancellor will appoint the five (5) members of the Hearing Committee plus one alternate.

The Hearing Committee, by simple majority vote, elects its own chair.

6. Procedure

a. If the faculty member has not requested a hearing, the committee shall meet and consider the case on the basis of available information and submit its findings to the Chancellor with a recommendation for or against dismissal.

b. When the faculty member has requested a hearing, the committee shall proceed by considering the statement of grounds for dismissal already formulated, any written answers submitted by the faculty member before the time of the hearing, and evidence received at the hearing.

The committee hearing shall be governed by the following rules and regulations:

- All proceedings will be private and closed to all persons save those officially involved.
- The Chancellor will direct the presentation of reasons for discharge by such representatives as he/she may select.
- The faculty member has the right to be accompanied and represented by counsel, employed by the faculty member, and an academic advisor.
- A verbatim record of all proceedings will be taken and a copy made available to the faculty member if requested.
- The Hearing Committee will not be bound by strict rules of legal evidence; however, it will make every effort to obtain the most complete and reliable evidence available that bears upon the charges. Determination concerning consideration of evidence will be made by the Chair.
- The Hearing Committee will grant adjournments to either party to enable investigation of evidence to which a valid claim of surprise is made.
- The faculty member will be afforded a reasonable opportunity to obtain necessary witnesses and documentary evidence, and the administration of the University will cooperate with the Hearing Committee in securing witnesses and making available pertinent documentary and other evidence.

- The faculty member and the administration will have the right, within reasonable limits, to confront and examine all witnesses and to present oral and/or written argument to the Hearing Committee.
- Where a witness cannot or will not appear, but the interests of justice require admission of written statements, the committee shall identify the witnesses, disclose the statement, and if possible, provide for interrogation.
- The burden of proof that adequate cause exists rests with the University and will be satisfied by clear and convincing evidence in the record considered as a whole.
- Public statements and publicity about the case by either the faculty member or the University administration should be avoided.
- By majority vote, the Hearing Committee will decide all procedural matters not covered by this statement of procedures.

7. Committee Report

After all pertinent evidence has been presented, the Hearing Committee will conduct its deliberation in closed and confidential session. The committee's report shall be forwarded to the Chancellor and the faculty member within ten (10) working days after the close of the hearing. The committee, by majority vote of its five members, will provide written findings on the facts of each ground proposed for dismissal and will make specific recommendations as to each ground and as to the grounds as a whole. The Committee's written report and recommendation for or against dismissal will be based solely on the hearing record. Any committee member in disagreement with the committee report may submit a minority report.

At his/her discretion, the Chancellor may review all evidence introduced into the hearing. However, the chair of the Hearing Committee will retain custody of all records of the hearing until all procedures provided for in this document have been exhausted. At such time, the records will be placed in the confidential administrative files of the Chancellor's Office.

8. Chancellor's Decision and Appeal

The Chancellor's decision shall be rendered within thirty (30) working days after receipt of the Hearing Committee's report. A copy of the decision shall be forwarded to the chair of the Hearing Committee and the faculty member. If the Hearing Committee recommends dismissal and the Chancellor sustains this recommendation, the faculty member may, by written request to the Chancellor submitted within five (5) working days of the date of notice of the Chancellor's action, appeal the decision to the Board of Trustees. The Chancellor on receipt of the appeal will transmit to the Board through the President of Auburn University, the record of the case. If no such request is received from the faculty member, and the Chancellor sustains the Hearing Committee's recommendation, he/she will so notify the Committee and faculty member, and the case will be considered closed. If the Hearing Committee concludes that adequate cause for dismissal has not

been established, and the Chancellor does not sustain the report, he/she will state his/her reasons, in writing, to the Committee and to the faculty member. The faculty member may appeal through the President to the Board of Trustees by written request submitted to the Chancellor within five (5) working days of the date of notice of the Chancellor's action.

Review by the Board or a designated committee thereof will be based on the record of the Committee hearing and it will provide opportunity for argument, oral or written or both, by the principals or their representatives at the hearing. The Board's decision will be final.

9. Termination

A tenured faculty member dismissed for cause is not entitled to further notice of termination.

N. APPOINTMENT AND TENURE OF MORE THAN ONE MEMBER OF THE SAME FAMILY

Members of the same family may be appointed to the faculty of Auburn University Montgomery except that they are not to be in positions where one exercises direct administrative supervision over the other. Members of the same family may be given Probationary appointments and thus be eligible for tenure in keeping with university criteria.

O. CONTINUATION OF APPOINTMENT OR REAPPOINTMENT OF FACULTY

It has been the custom at Auburn University Montgomery for faculty appointments to be continued by mutual commitment and understanding rather than by the execution of formal annual contracts. The following principles are set forth to clarify the policy on continuation of appointment or reappointment of faculty members:

- A faculty member who has been awarded tenure is considered to have an ongoing contract.
- A faculty member who has a probationary appointment and who has not been given a notice of non-continuation of appointment in keeping with the published schedule in this chapter is considered to have an ongoing contract.
- A faculty member who holds an appointment for a specified period of time does not have a commitment for continuation of appointment or reappointment beyond that period unless such commitment is set forth in writing to the faculty member.
- Academic and administrative staff on continuing appointments are considered to have ongoing contracts until written notice of appointment termination is given.

P. FACULTY GRIEVANCE PROCEDURE

PURPOSE

This procedure provides members of the Faculty Council a means of presenting grievances (as defined in Section 8) to other members of the Faculty Council for evaluation and for recommendation to the Chancellor.

DEFINITION OF A GRIEVANCE

A grievance is a complaint of alleged

- violation of academic freedom;
- unfair or wrong use of procedures in matters concerning nonrenewal of appointments or concerning nomination or review for tenure or promotion, the point of the complaint being not whether tenure or promotion was granted, but whether correct procedures were followed;
- administrative mishandling in such matters as performance evaluation, departmental assignments, or other working conditions; or
- improper or unethical activities such as failure to honor commitments, harassment, or discrimination.

A complaint may be filed by one or more faculty members affected. It may be directed against the action of one or more administrators or any member of the faculty council.

FACULTY GRIEVANCE COMMITTEE

1. Composition and Election of Members

The Faculty Grievance Committee shall be composed of one member from each school and one member from the Library. The election of the members of the Faculty Grievance Committee shall be conducted in the Faculty Senate, following procedures approved by the Faculty Senate. To be eligible for election to the Faculty Grievance Committee, an individual must be a member of the Faculty Council and must have been a member of that organization for at least two years. In addition, the individual must hold a tenured appointment at AUM.

Elections to the Faculty Grievance Committee shall occur before the end of classes in the Spring Semester of each academic year. Candidates must receive a majority of the votes cast to be elected to the Faculty Grievance Committee. If vacancies occur on the committee, the Faculty Senate shall be responsible for calling an election within fifteen work days to choose a replacement. Throughout this procedure the phrase Awork day@ shall refer to any day except Saturday and Sunday on which classes are held or examinations are given. A Friday shall be considered a work day if the preceding Thursday is a work day unless that Friday is designated as a University holiday. All members shall serve three-year terms that will begin on June 10. The terms shall be staggered to ensure that approximately one-third of the membership is elected annually.

2. Meetings of the Faculty Grievance Committee

a. Election of Chair

By July 1 of each year, the President of the Faculty Council shall convene the Faculty Grievance Committee for the purpose of electing a chair from its membership. The term of the Chair shall begin at the time of election and shall run until June 9 of the following calendar year. If the person elected to this position vacates the position before the end of the term, the President of the Faculty Council shall convene the Faculty Grievance Committee within twenty work days to elect a replacement.

b. Selection of Hearing Panel

By August 30, the Faculty Grievance Committee shall select a Hearing Panel. The membership of the Hearing Panel should be chosen in such a way as to reflect the number of elected representatives from the academic schools and library on the Faculty Senate. Membership on the Hearing Panel shall be limited to those members of the Faculty Council who have been members of that organization for at least two years and who hold tenured positions at AUM. Before including an individual on the Hearing Panel, the Faculty Grievance Committee shall consult with that individual and secure the individual's agreement to serve on the Hearing Panel. The names of the members of the Hearing Panel shall be arranged in random order for the purpose of selecting members of hearing committees, according to procedures outlined in Grievance Procedures 2c.

c. Other Meetings

The Faculty Grievance Committee shall meet on call of the Chair. If the Chair fails to call meetings as specified by Duties of the Chair (see below), the President of the Faculty Council shall convene the committee and preside over its functions. A quorum shall consist of two-thirds of the elected membership.

3. Duties of the Chair

The duties of the Chair of the Faculty Grievance Committee shall include, but not be limited to, the following:

- Receiving statements of complaints under this procedure.
- Calling meetings of the Faculty Grievance Committee as necessary to review all statements of complaints.
- Clarifying for the concerned parties any questions relating to the procedures per se.
- Maintaining any necessary records and ensuring the confidentiality of these records.

- Supervising the selection of the Hearing Panel from which hearing committees will be chosen.
- Polling potential members of a Hearing Committee to determine whether these individuals have a personal involvement in the case to be heard.
- Informing all parties to the complaint of the names of Faculty Council members available to serve on a Hearing Committee.
- Attending all formal hearings held by a Hearing Committee, being responsible for recording such hearings, and maintaining the records of those hearings.
- Receiving a copy of the written recommendations of the Hearing Committee.
- Receiving a copy of the written decision of the Chancellor.

GRIEVANCE PROCEDURES

1. Filing a Complaint

Before filing a complaint with the Faculty Grievance Committee the complainant(s) should make reasonable efforts to resolve the complaint with the persons involved. If feasible, the complaint should also be discussed with the person's immediate superior before the complaint is brought to the Faculty Grievance Committee. A faculty member who alleges unfair or wrong use of procedures in matters concerning nomination or review for tenure or promotion must make use of the provision for appeal in the tenure or promotion procedure before filing a complaint with the Faculty Grievance Committee. In such cases the limitation of Section I must be carefully observed.

To file a complaint with the Faculty Grievance Committee a member of the Faculty Council must provide a written statement of the complaint to the Chair within three months of the date by which the complainant could reasonably have become aware of the occurrence giving rise to the complaint. A complaint alleging unfair or wrong use of procedures in matters concerning non renewal of appointment or concerning nomination or review for tenure or promotion must be filed within three months of the date the faculty member is notified of the decision resulting from the appeals procedure.

The written statement of the complaint must contain:

- The date of the complaint.
- The name(s) of the person(s) filing the complaint.
- The name(s) of the administrators against whom the complaint is filed.

- The nature of the complaint in relation to section, Definition of a Grievance, of this procedure.
- The date of the occurrence giving rise to the complaint (in a complaint alleging unfair or wrong use of procedures in matters concerning nonrenewable of appointment or concerning nomination or review for tenure or promotion, this date shall be the date on which the complainant(s) was/were notified of the decision resulting from the appeals procedure).
- A brief account of the events leading to the complaint,
- A description of the efforts taken to resolve the complaint, and
- A statement of the action sought to redress the complaint.

2. Response by the Faculty Grievance Committee to a Complaint

a. Investigation

Within seven work days of receiving a complaint, the Chair shall convene a meeting of the Faculty Grievance Committee for the purpose of initiating an investigation of the complaint. The investigation must be completed within twenty work days from the first meeting.

b. Dismissal

The Faculty Grievance Committee shall dismiss a complaint if its investigation shows that:

- The persons involved are not subject to the Faculty Grievance Procedure; or
- The complaint is not a grievance as defined in Definition of a Grievance (Section N); or
- The complainant(s) has/have not fully complied with the conditions of Grievance Procedures Section I; or
- The complaint is frivolous or unsubstantiated and hence does not merit a formal hearing.

If the Faculty Grievance Committee dismisses a complaint, it shall report its action in writing, with reasons for the dismissal, to all persons involved. The Faculty Grievance Committee shall have the final authority to determine if further action under this procedure is in order.

c. Referral to a Formal Hearing

The Faculty Grievance Committee shall refer a complaint to a formal hearing if its efforts to resolve the issue are not successful and if no ground for dismissal, as described in the preceding section, is found. When a complaint is referred to a formal hearing, the Faculty Grievance Committee shall supply to each party involved a written statement of the specific grievances to be heard.

The Chair of the Faculty Grievance Committee shall poll, in order, individuals in the Hearing Panel until nine have been found who have no personal involvement in the case to be heard. If nine such individuals cannot be found on the Hearing Panel, the Faculty Grievance Committee shall increase the membership of the Hearing Panel until it contains nine individuals who have no personal involvement in the case to be heard. The Chair shall supply a copy of the list of names of these nine individuals to each party to the grievance. Within seven work days of receipt of this list each of the opposing parties may strike two names from the list. Of those names remaining on the list the first three shall comprise the Hearing Committee for the grievance, and the Faculty Grievance Committee shall designate one of these individuals Chair of the Hearing Committee. The next two persons listed shall be alternates and will serve on the Hearing Committee if any of its members becomes unable to serve.

The order of the names of individuals in the Hearing Panel shall not be altered, except that the names of the members of the Hearing Committee and the alternates shall be placed, in their original order, at the bottom of the list.

The chair of the Faculty Grievance Committee shall serve the Hearing Committee as an aid on procedural matters. A University secretary designated by the Chair of the Hearing Committee may be asked to assist the Committee in its clerical functions

3. Hearing Committee Responsibilities and Procedures

The Chair of the Hearing Committee shall call meetings of that committee, and these meetings shall be private. The Hearing Committee shall determine by majority vote the procedures to be followed at the hearing and procedures to be followed prior to the hearing. Within fifteen work days of receipt of the grievance, the Chair of the Hearing Committee shall supply a written statement of these procedures to each party to the grievance and shall notify them of the date of the hearing. This hearing date shall be no later than thirty calendar days after such notification. Personal contact concerning the grievance between the Hearing Committee and participants in the hearing prior to the formal hearing shall be limited to procedural matters only.

There shall be no formal rules of evidence, but the party who filed the grievance must present substantive evidence to support the complaint. Each party to the grievance may present its own witnesses, and if it so desires, the Hearing Committee may also call witnesses of its own. A list of witnesses to be heard shall be submitted to all parties to the grievance at least five work days prior to the hearing. The presence of a witness at the hearing is the responsibility of the party calling the

witness. University employees shall be excused from their normal duties to participate in the hearing. Each witness may be questioned by the parties to the grievance and by members of the Hearing Committee in accordance with established procedures. The 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 Chancellor that the information sought is confidential and not subject to release. Tenure and promotion records and records specified in the Family Educational and Privacy Act shall be considered as confidential and not subject to release. Questions of procedure shall be resolved by the Chair of the Hearing Committee; a ruling of the Chair may be overruled by majority vote of the Hearing Committee.

The proceedings of the hearing shall be recorded on audio tape by the Chair of the Faculty Grievance Committee. This tape shall be kept in the confidential files of the Faculty Grievance Committee. All participants in the hearing shall keep matters of the grievance confidential.

Alternates to the Hearing Committee shall observe, but not participate in, all proceedings through the formal hearing; but unless an alternate has replaced a member of the Hearing Committee, the alternate shall neither vote on any matter before the Hearing Committee nor participate in the post hearing deliberations of the Committee.

4. Recommendations to the Chancellor and Disposition

The decision of the Hearing Committee shall be based exclusively on evidence presented at the hearing. A decision in favor of the grievant shall require a preponderance of evidence to support the grievance. In other words, there must be a greater weight of evidence in support of the grievance than there is against it. A majority vote of the Committee shall determine its decision.

Within ten work days of the hearing, the Chair of the Hearing Committee shall submit the written recommendations of the Committee to the Chancellor, with copies sent to all parties to the grievance and to the Chair of the Faculty Grievance Committee. By mutual agreement of the Faculty Grievance Committee and the Chair of the Hearing Committee the deadline for this report may be extended an additional ten work days.

Within twenty work days of the receipt of the recommendations of the Hearing Committee, the Chancellor, giving due weight to these recommendations, shall render a decision and so notify in writing all parties to the grievance, the Chair of the Hearing Committee, and the Chair of the Faculty Grievance Committee. In unusual instances in which a decision cannot be reached within twenty work days, the Chancellor shall give written notification to the persons noted above and indicate a date on which a decision can be expected. If the decision of the Chancellor is inconsistent with the recommendations of the Hearing Committee, the Chancellor shall provide reasons for the decision. The decision of the Chancellor is final.

RIGHT TO COUNSEL

In this procedure each party involved in the hearing may be accompanied by another person of its choosing. The opposing party shall be given prior notification of the decision to bring such a representative at least ten work days prior to the hearing in order to have a representative present if desired.

WITHDRAWAL OF COMPLAINT

The member(s) of the Faculty Council who filed the complaint may withdraw the complaint at any time. Such withdrawal shall be without prejudice.

INTERPRETATION OF THIS PROCEDURE

The Faculty Grievance Committee shall have the final authority to interpret this procedure except where this procedure places such authority on the Hearing Committee.

MAINTENANCE AND DESTRUCTION OF RECORDS

All tapes, exhibits, documents, and records pertinent to a hearing shall become a part of the confidential files of the Faculty Grievance Committee. These files shall be retained for a period of five years and then destroyed in accordance with established procedures.

REPRISALS

No reprisal is to be brought against any person for participating in any way under this procedure. Such reprisal would be grounds for instituting another grievance.

PROCEDURAL REVIEW

Every three years the Faculty Senate shall appoint an ad hoc committee to review the Faculty Grievance Procedure and to make recommendations of any changes that are needed.

Q. SALARY AND FRINGE BENEFIT RELATED POLICIES

The following are summaries of the salary and fringe benefit related policies. Specific detailed information is available from the Office of Human Resources.

1. Compensation

The large majority of faculty at Auburn University Montgomery, especially those involved primarily in the instructional program, are employed on a nine-month basis, i.e., for the fall and spring semesters of the academic year.

Nine-month faculty pay periods run from August 16 in the calendar year through May 15 of the next calendar year. Faculty paychecks are issued on the last working day of the pay period. Faculty members will receive 1/18 of their nine-month salary for the period of August 16 through August 31.

The period September 1 through April 30 is paid at the rate of 1/9 of the nine-month salary for each of the eight months. The period May 1 through May 15 is paid at the rate of 1/18 of the nine-month salary.

A faculty member appointed to teach full-time during the summer term is paid 20% of his/her nine-month salary. Summer salaries are paid at 1/6 of the summer rate for the pay period May 16 through May 31, 1/3 of the summer rate for June and July, and 1/6 of the summer rate for the pay period August 1 through August 15.

2. Teachers' Retirement System

Faculty with at least nine-month appointments of 50% or greater time are required to participate in the Teachers Retirement System (TRS). There is a requirement of a mandatory contribution of 5% of one's salary through payroll deduction. Contributions are exempt from federal income tax. An individual is vested upon ten (10) years of full-time equivalent service. Additional information about the TRS is available in the Office of Human Resources.

3. Insurance Programs

Full-time faculty with an appointment of 9-months(academic year) or more are eligible to participate in the University's insurance programs including health insurance, dental insurance, life insurance, and long-term disability. Employees are eligible for health, dental, and life insurance upon date of hire. Eligibility of faculty for salary continuation and long-term disability is upon completion of one academic year of continuous employment.

a. Health Insurance

Eligible full-time employees may participate in the University's health insurance program. Employees may also elect family coverage. For single or family coverage, the employee and the University each pays a portion of the cost. Details of coverage, enrollment forms, and current rates are available in the Office of Human Resources.

b. Dental Insurance

A dental program for diagnostic and preventive services is available to eligible, full-time employees. Employees may also elect family coverage. Details of coverage, enrollment forms, and current rates are available in the Office of Human Resources.

c. Life Insurance

Full-time faculty have university-paid life insurance coverage equal to one times the employee's salary to a maximum of \$35,000. Additional coverage for self and/or dependents is available through payroll deduction. Participants in the Teachers' Retirement System(TRS) have group term life insurance coverage of \$15,000 after 90 days of participation in the TRS. After one year of participation in the TRS, employees have an additional pre-retirement death benefit of one times the individual's annual salary.

Additional information about life insurance coverage is available in the Office of Human Resources

d. Long-term Disability Insurance

Faculty who are not able to return to work at the end of the six-month salary continuation period may apply for coverage through the University's long-term disability insurance. Individuals should contact the Office of Human Resources at least 30 days in advance to allow ample time for completing the application process. Additional information regarding the long-term disability insurance program is available in the Office of Human Resources.

e. Flexible Spending Account Plan

The Flexible Spending Account Plan allows eligible full-time faculty to set aside pre-tax earnings through payroll deduction to reimburse themselves for medical insurance premiums, medical expenses not reimbursed by an insurance carrier, and dependent care expenses. Annually, during the open enrollment period, individuals must complete an election form for the next calendar year to continue participation. If no election form is received by mid-November, faculty should contact the Office of Human Resources to obtain one. Additional information is available in the Office of Human Resources.

f. On-the-job-injuries Program

On January 1, 1991, the Board of Trustees of Auburn University approved the On-the-Job-Injuries (OJI) Program. Because the University is not subject to the Workers Compensation laws of Alabama, the OJI Program was implemented to provide benefits to employees for job-related injuries. An incident/accident must be reported immediately to the individual's Department Head who will provide a form to be completed and submitted to the Office of Human Resources. Failure to report an incident promptly or to seek medical treatment within five(5) working days of the incident may jeopardize receiving any OJI benefits. Individuals must file all medical expenses with his/her health insurance carrier. The OJI program will reimburse the employee for expenses not covered by health insurance.

Employees may choose the physician and/or medical facility for treatment of job-related injuries. However, if employees have the University's Blue Cross/Blue Shield health insurance, the physician must be a PMD provider. If the employees have the University's HMO plan, the physician must be an authorized provider. Hospitalization (except in emergencies) outside the PMD or HMO systems requires a certification from Auburn University Risk Management Office before such hospital costs will be considered for reimbursement through the OJI program.

Time lost from work because of an on-the-job injury may be charged to accrued sick and/or annual leave or may be paid through the OJI program at the rate of 66 2/3% of one's regular rate of pay. A physician's statement certifying time lost from the job must be submitted before payments for lost wages are approved. The OJI program will pay eligible medical and wage benefits for a maximum of 180 calendar days. Additional information is available in the Office of Human Resources.

g. Liability Insurance

Auburn University Montgomery, as an instrumentality of the State of Alabama, may not be a defendant in any State court. This constitutional immunity of the institution may not prohibit suit against a faculty member or employee for acts causing injury or damage to third parties.

Even though claims may be made against the University through the State Board of Adjustment and settlements may be made on behalf of the institution in this way, an injured party may also elect to file suit against the faculty member or employee individually.

In order to protect trustees, officers, faculty, and staff from potential liability suits, Auburn University Montgomery has implemented a Comprehensive General Liability Insurance Plan. This Plan provides insurance protection against third party claims for which the University is legally obligated resulting from events occurring during the course of an employee's performing his or her assigned duties for the University. Educators Legal Liability Coverage is provided for trustees, officers, faculty, and staff. This Coverage will pay in accord with the terms and conditions of the policy any claims that an employee may become legally obligated to pay as damages resulting from claims arising from a wrongful act, error, and/or omission of the employee in the performance of his or her assigned duties for the University.

The University also carries Automobile Liability Coverage that extends to trustees, employees, students, and volunteers while driving a University-owned vehicle on University business. There is also non-owned coverage for individuals when driving personal vehicles on University business.

The University's policy also provides liability coverage when an individual rents a vehicle for University business. The University's automobile policy provides physical damage coverage on rental vehicles subject to a \$500 deductible. Therefore, an individual need not buy a collision damage waiver when renting a vehicle to be used for University business.

All insurance coverages are subject to the existence, exclusions, limitations, provisions and conditions of the Plan and related insurance policies, and faculty members should consider acquiring individual liability policies, including those offered through various professional associations.

Auburn University Montgomery's Office of Risk Management can supply further information.

Individual faculty members who operate state vehicles or vehicles owned by others may wish to carry a rider on their personal automobile insurance policy to include coverage for such operations. If a faculty member will be driving a state-owned vehicle on a frequent basis, attending the University-provided drivers education class is required. To enroll in a class, contact the Office of Human Resources.

4. Voluntary Tax-sheltered Annuity Program

Full-time faculty on a nine-month or twelve-month appointment are eligible to participate in the tax-sheltered annuity program. The University will match a percentage of gross salary up to a maximum covered salary. Individuals enrolling in one of the available companies will not be vested in the University's matching portion until completion of five years of continuous service. Eligible faculty may enroll at anytime.

Individual contributions are through payroll deduction and are exempt from federal and state income taxes according to Section 403b of the Internal Revenue Code. Employees may contribute additional dollars within the guidelines of Section 403b. There are several companies which offer investment opportunities including TIAA-CREF, VALIC, and Fidelity. Additional information is available in the Office of Human Resources.

5. Salary Continuation - Medical Reasons

Full-time faculty who have been employed for at least one year are eligible for salary continuation for medical reasons documented by a physician. Individuals must first use accrued sick leave before the 60% salary continuation benefits can begin. If they wish, twelve-month faculty who earn annual leave may use that after using any accrued sick leave.

The six-month period begins as of the first day that the physician indicated that the person is unable to be at work. Salary continuation occurs during the six-month elimination period of the University's long-term disability insurance program. The time on salary continuation is counted as part of the 12-week entitlement as defined in the Family Medical Leave Act (FMLA) policy.

To qualify for salary continuation, an employee must complete a salary continuation application form (available in the Office of Human Resources) which includes a portion to be completed by the attending physician. An application should be completed at the time the sick leave begins if it is anticipated that time may be needed beyond exhaustion of one's accrued sick leave. No sick or annual leave will accrue during the period employees are receiving 60% salary continuation benefits.

6. Conversion of Twelve-month to Nine-month Appointments

Full-time faculty and other exempt personnel on twelve-month appointments shall be compensated for accrued annual leave at the time of separation from University employment to a maximum of one additional month's compensation. Personnel converting from twelve-month to nine-month appointments shall not be permitted to carry forward any accrued annual leave at the time of conversion. Twelve-month to nine-month conversions shall be communicated in writing to respective employees at least three months in advance of the scheduled conversion date to allow ample time for employees to use their accrued annual leave. If the minimum of a three-month notice is not or cannot be communicated to an employee prior to the change, and/or the employee cannot use all of the unused annual leave prior to the scheduled separation or conversion, any unused annual leave--not to exceed the accrual for one month--will be reimbursed to the employee at the time of the scheduled

separation or conversion to a nine-month appointment. It is the responsibility of Deans and Department Heads to properly inform affected personnel in a timely manner.

7. Leave Policies

a. Holidays

Faculty on nine-month and twelve-month appointments receive the usual holidays observed by the University.

The following are official holidays: New Year's Day, Martin Luther King, Jr./Robert E. Lee Birthdays, Independence Day, Labor Day, Thanksgiving, Friday following Thanksgiving, and Christmas. If a holiday falls on a Saturday, the preceding Friday will typically be recognized as the holiday. If a holiday falls on a Sunday, the following Monday will typically be recognized as the holiday. Additional holidays may be announced by the Chancellor. Typically, additional days recognized as holidays are in conjunction with Christmas and New Year's Day.

b. Annual (Vacation) Leave

The intervals between semesters offer opportunity to nine-month faculty for vacation or the development of scholarly and professional work. However, faculty are expected to be available during this time for final registration duties.

Faculty on a twelve-month appointment sign a statement at the time of hire or conversion to the twelve-month appointment to accrue, request, and report annual(vacation) leave usage as other 12-month employees, or to be treated as nine-month faculty who are not scheduled to work eight hours per day, Monday through Friday exclusive of University holidays and, thus, do not earn annual(vacation) leave.

Academic administrators are on twelve-month appointments and earn 13.34 hours of annual (vacation) leave per month. Leave is to be requested and approved for time away from the normal work schedule of eight hours per day, Monday through Friday exclusive of holidays.

Intervals between semesters are considered part of one's schedule for 12-month employees who earn annual leave, and any annual leave taken during those periods must be requested and reported. Leave is cumulative to a maximum of 320 hours. Terminal leave may be granted for unused annual leave to a maximum of one month's salary.

c. Sick Leave

Full-time faculty earn sick leave at the rate of eight hours for each full month of employment with no maximum accumulation. Sick leave is not assessed against the teaching faculty for classes missed because of illness when their classes have been met by others as scheduled

without additional cost to the University. However, such periods would normally not be expected to extend beyond the semester following that in which the faculty member's colleagues began meeting his/her classes because of the undue burden that would be placed on other faculty in the department. Unused sick leave at the time of a faculty member's retirement may be used as service credit in the Teachers' Retirement System.

d. Military Leave

Full-time faculty who are active members of the National Guard, Naval Militia or the reserve components of the Army, Navy, Marine Corps, Air Force, or Coast Guard are entitled to a military leave of absence for training or other service upon submitting a request for such leave with copies of their orders through their Department Head to the Director of the Office of Human Resources. Such leave, if for 21 working days or less per calendar year, will be with full pay. Full-time faculty who serve in the military may be entitled to reemployment in accordance with the Uniformed Services Employment and Reemployment Act of 1994. Additional information is available in the Office of Human Resources.

e. Funeral Leave

Leave with pay may be granted for a death in the immediate family. Approval for funeral leave may be granted for a period of time ranging from a few hours to five (5) days based upon factors such as: distance, family relationship, and/or responsibility for funeral arrangements. Typically, three (3) days is the maximum for a funeral within driving distance (approximately 50-mile radius of Montgomery). An additional day or two of funeral leave may be approved for greater traveling distances requiring overnight stays en route and/or at the destination.

f. Jury or Court Duty Leave

Full-time faculty will be granted a leave with pay when subpoenaed to court duty as a juror or witness. A copy of the court summons must be provided to the Department Head. Twelve-month faculty who earn annual(vacation) leave and administrators called upon as expert or professional witnesses and receiving pay in excess of the amount paid by regular court must use annual leave for this service.

g. FMLA Leave

In compliance with the Family Medical Leave Act (FMLA), leaves of absence for up to 12 weeks during any 12-month period will be provided for the following reasons: birth, adoption, or placement of a foster child in an employee's home; the serious health condition of a child, parent, or spouse; or serious health condition of the employee. The 12-month period used by the University is the "rolling" 12-month method which measures backward from the date an employee uses any FMLA leave. A serious health condition is an illness, injury, impairment or physical or mental condition that involves (1) inpatient care in a

hospital, hospice, or residential medical care facility; or (2) continuing treatment by a health care provider.

Individuals who have been employed at least 12 months and who have worked for at least 1250 hours during the previous 12 months are eligible for FMLA leave. Accrued sick leave must be applied to the annual 12-week entitlement as defined in the FMLA and if otherwise covered by the University's sick leave policy. Employees must apply time on salary continuation or the on-the-job injuries program toward the 12 weeks' entitlement. Twelve-month faculty who earn annual(vacation) leave may choose to substitute accrued annual leave as part of the 12-week limitation for FMLA leave not covered by sick leave or after exhaustion of accrued sick leave.

An individual on FMLA leave will continue health insurance coverage at the same level and under the same conditions as if working. Additionally, the individual is entitled to return to the same or equivalent job upon returning from FMLA leave. Intermittent leave or a reduced work schedule is allowed in the case of a serious health condition as defined in the FMLA and if medically necessary. Documentation from the attending health care provider is required. Intermittent leave or a reduced work schedule is not allowed in the case of a birth, adoption, or foster care placement. No sick or annual leave will accrue during a FMLA leave **without** pay. Additional information regarding the FMLA policy is available in the Office of Human Resources.

h. Professional Improvement Leave - Without Pay

Leave without pay may be granted for appropriate professional improvement. Such leave is approved for a maximum of one year and generally may not be extended for more than one additional year. Faculty members on leave without pay have no formal obligations to return to Auburn University Montgomery, but are expected to give adequate notice (generally at least six months) if they decide not to return. On formal request by the faculty member, the University will continue in force his/her group life insurance and hospital/medical insurance programs, making the institution's regular contributions. If the faculty member does not return to Auburn University Montgomery for at least one academic year after such leave, he/she is obligated to reimburse the University for its contributions to his/her insurance programs.

i. Professional Improvement Leave - with Pay

Within the resources available, the University grants leave with pay to tenured faculty for approved professional improvement activities according to the following conditions:

1. One semester at full salary or two semesters at half salary may be granted after 5 years of full-time service. Such leave may be cumulative, but in no case extends beyond two semesters, whether on full or half salary.

2. The application must be accompanied by a proposed program which gives reasonable promise of contributing to the improvement of the applicant's professional services to Auburn University Montgomery. The application must be submitted through the Department Head and Dean to the Vice Chancellor for Academic and Student Affairs by March 1 preceding the academic year in which the proposed leave would begin. The Vice Chancellor for Academic and Student Affairs forwards the applications to the Academic Affairs Council for review and recommendation to him/her and makes a recommendation to the Chancellor.

3. Faculty members on leave with partial compensation may receive fellowship support or part-time teaching or research appointments which do not interfere with their programs provided that in no instance is the compensation for the period of the leave to be greater than the University salary would have been during that period.

8. Miscellaneous Benefits

a. Identification Cards

Identification (I.D.) cards are issued by Student Service Center to full-time employees. In order to share in library privileges and certain campus activities, presentation of I.D. cards is required.

b. Mail Service

Mail Service is supplied by Physical Plant; pickup and delivery are provided daily. Auburn University Montgomery postage is processed through a meter machine for outgoing mail, and each piece should be identified as first class, third class, etc. Each envelope should have a chargeable departmental return address on it. Only that mail proper to the conduct of the University and the professional work of the faculty should be sent through this service. Personal or private business mail should be sent and received elsewhere.

c. Telephone Service

The University provides its own telephone system for faculty and staff. Long distance calls are to be made on the ATTNNet line, whether within or out of state, and are for university business only. Long distance calls for personal business are at the individual's expense. The University telephone service is not to be used for conducting private business.

d. Credit Union

The Auburn University Federal Credit Union provides Auburn University Montgomery with savings and loan services. The Directors of the credit union are elected annually from the faculty and staff of Auburn University and Auburn University Montgomery. Enrollment forms and information are available in the Office of Human Resources.

e. Educational Assistance

A tuition waiver of up to five(5) hours of credit per academic term at either Auburn University or Auburn University Montgomery will be granted to eligible employees if registration takes place on the first day of class and on a space available basis. Only the part-time registration fee is waived if the employee preregisters for any course.

Full-time employees who have at least 12 months (9 months for faculty) of continuous employment at Auburn University and/or Auburn University Montgomery are eligible for the tuition waiver as described above. Benefit will begin with the academic term following the completion of 12 months (9 months for faculty) employment. Full-time employees are eligible immediately for a waiver of the part-time registration fee and/or the fee for auditing a class.

A tuition waver benefit is available for dependents. Call the Office of Human Resources for details.

f. Personnel Records

Payroll and benefit related information, initial appointment letters, and official transcripts for faculty are maintained in the Office of Human Resources. Employees have the right to examine and review any of the contents of their personnel files. Reviews must be made during normal business hours and in the presence of a representative of the Office of Human Resources.

Information in employee personnel files will be disclosed to someone outside AUM only with the signed consent of employees or former employees who specifically authorize the release of the information. Exceptions to this nondisclosure policy are responses to subpoenas of court orders and official written requests from law enforcement, medical, or government agency officials who need to ascertain limited, specific information about individuals. The Office of Human Resources will verify salary information to the Auburn University Federal Credit Union for credit union members.

It is the responsibility of employees to ensure that their official personnel records contain up-to-date information relative to name, address, and other personal data. Employees should contact the Office of Human Resources as soon as there is a change in any personal data.

g. Bookstore

The AUM bookstore offers employees and their dependents a 10% discount on all supplies and books for purchases over \$1.00. Proper identification is required.

h. Speech and Hearing Clinic

A 20% discount on regular fees is available to employees for hearing, speech and language evaluations as well as speech and language therapy. Dependents of full-time employees are also eligible for these services.

i. Nursing Care Center

The School of Nursing through its Nursing Care Center provides the following services to AUM employees: health screening, outside referrals, health maintenance, pregnancy tests, flu shots, nutrition, and weight counseling. There is a nominal cost for most services.

j. Physical Fitness

The weight room, indoor walking track, and tennis courts are available to employees and their dependents with proper identification and during limited hours. Information about these facilities can be obtained by contacting the Athletics or Physical Education Office.

k. Early Childhood Center

The Early Childhood Center is available to a limited number of children of AUM employees, students and the general community. It is located on the first floor in the School of Education.

l. Parking

Regular faculty and staff employees may purchase parking decals from the Campus Police office to park in the faculty/staff reserved sections of the various parking lots on campus. All other parking is for general use and requires no registration or parking fee. The Campus Police office is located on the lower level of the University Center.

m. Medical Emergencies

In the event of a medical emergency on the AUM campus, the following procedures are to be followed:

1. A person witnessing a medical emergency on campus will immediately call the Campus Police at x3424 or 271-2400. In addition to calling Campus Police, a person may call the 911 service by dialing an outside line (9) and then dialing 911. Those who request assistance from 911 should be prepared to furnish the following information: person calling, type of emergency, location including building name and room number, and call-back telephone number if possible.

2. Upon notification, the Campus Police dispatcher will obtain from the caller the location, time, and nature of the incident and dispatch a patrol to the location.
3. The responding patrol will assess the situation and contact paramedics if needed, interview all witnesses, prepare an appropriate report, and forward a copy of the report to the Risk Management office.
4. Injured parties will be responsible for all fees associated with injury including the ambulance transport fee and emergency room fees. An injured party may refuse treatment at any time. The responding patrol must document the refusal of treatment on the report.
5. The University is responsible for the payment of charges for injuries received if, after investigation, it is determined that the University is negligent. In the case of negligence, the University will pay most charges not covered by the individual's insurance company. If an individual does not have insurance coverage, then the University will pay the medical expenses.

9. Secretarial and Clerical Assistance

Secretarial assistance is customarily provided faculty members within their departments. Such assistance is usually limited to handling university-related correspondence or preparation of classroom materials. Use of the secretarial staff by faculty to assist in preparation of items such as professional articles, papers, and reviews normally is available within the department framework. Such work, of course, should not be permitted to interfere with or retard the handling of official university or departmental work. In the case of a textbook, laboratory manual, syllabus, or other publication for which the faculty member may receive financial compensation, the cost of preparation is to be borne by the faculty member.

PART V

RESPONSIBILITIES AND POLICIES PERTAINING TO INSTRUCTION

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PART V

RESPONSIBILITIES AND POLICIES PERTAINING TO INSTRUCTION

A. THE UNIVERSITY'S EMPHASIS ON EFFECTIVE TEACHING

Auburn University Montgomery recognizes that the classroom experience represents something of a partnership between students and professors. For the partnership to be successful, each has a right to expect certain things of the other just as professors may expect students to meet their responsibilities which they have made explicit on such matters as instructional objectives and evaluation procedures, so students should expect professors to meet their obligations also. The University believes that faculty members conducting classes should exhibit high standards of professional behavior through their scholarship, personal integrity, and teaching.

More specifically, professors have a responsibility to themselves and to their students:

1. To state, in writing, and distribute at an early meeting of the class, specific course objectives and the manner in which they are to be attained.
2. To exercise care in the organization and presentation of all materials toward the end of achieving the stated instructional objectives.
3. To state, in writing, and distribute at an early meeting of the class, grading and evaluation procedures, including:
 - a. the grading system and method of determining the final grade;
 - b. the relative importance of assigned papers, quizzes, examinations, class preparation, and participation;
 - c. the approximate schedule for examinations (other than the final exam); and the policy on unannounced quizzes.
4. To state, in writing, and distribute at an early meeting of the class, the University provision of services to students with special needs.
5. To arrive promptly at all scheduled classes. If absence is anticipated, the class should be informed in advance of contingency arrangement. If an unanticipated absence occurs, the Department Head or Dean should be notified as soon as possible.
6. To maintain regular, posted office hours each week for conferences with students.
7. To grade and return examinations within a reasonable period of time.

The University's concern for good teaching is spelled out in the Board of Trustees Policies Manual. The following excerpt (pp. C-1-2), "Position on Quality Instruction," was adopted in 1989.

“The Board of Trustees views the instruction of students as the foremost activity of Auburn University [and Auburn University Montgomery]. It is proud of the outstanding levels of quality achieved throughout the institution in preparing graduates to enter the professions, graduate programs and leadership positions in all walks of life. To underscore and support this process, the Board identifies those characteristics that it views to be central to the teaching/learning process.”

1. Class sizes, particularly at the freshman and sophomore levels, should be sufficiently small to provide for individual student attention and opportunity for free exchange of ideas.
2. Faculty teaching loads should not be so burdensome as to preclude the availability of faculty for individual or small-group counseling, advising, and informal discussion with students.
3. Early in their Auburn University Montgomery career, all students should have opportunity for exposure to the University's best scholars. Senior faculty should have some teaching responsibility at the lower division level.
4. Particular care should be exercised to assure that those who have classroom instructional responsibility possess strong communication skills.
5. Innovative teaching approaches should be encouraged. To foster creativity in the instructional arena, a "learning center" should be organized to assist any faculty member who may desire its use. Junior faculty should be supervised carefully to assure that support is provided as needed.
6. The curriculum should reflect a desire that graduates be effective in communication and reasoning skills, as well as being well founded in the major discipline.
7. There should be an honors program and other similar opportunities for the exceptionally talented and curious student.
8. Outstanding teaching will be recognized and rewarded.
9. The Board supports a regular, validated, and effective faculty evaluation system that relies upon student, peer, and administrator input. Such a program should have performance improvement as its primary goal.
10. The Board will strive to provide adequate operating budgets, so that support materials are available to enhance the teaching/learning process.

Teaching is a dynamic and complex activity, and learning is an individual process. The Board of Trustees recognizes that a wide variety of teaching methods are available, that no singular approach is superior to others, and that circumstances dictate the style most appropriate. The Board recognizes and congratulates the faculty and administration on their ability to attract to Auburn [and Auburn University Montgomery] high quality students. By endorsing this statement, the Board desires that faculty, Department Heads, and Deans be aware of its interest in and support of their dedicated efforts to offer Auburn [and Auburn University Montgomery] students the highest possible quality of instruction.

B. TEACHING LOADS

Auburn University Montgomery recognizes that a high level of teaching effectiveness both in and out of the classroom is directly related to the formal workload assigned to the individual faculty member and to the nature of the academic tasks of instruction, research, and extension he/she is expected to perform. Accordingly, the University recognizes the impossibility of creating a "teaching load" formula that would be applicable to the complex academic program embraced by the various schools.

Considerable flexibility is accorded the individual Dean to assign faculty workloads that meet the instruction, research, and administrative commitments of the school and ultimately, the University.

Although there is no set teaching load formula at the university level, normally every attempt is made to give appropriate reduction in the classroom assignments of those faculty significantly engaged in research, graduate teaching, the direction of graduate student theses, or university service. Such reduction should be applied equitably to all eligible faculty.

C. RESOURCES FOR IMPROVED TEACHING EFFECTIVENESS

1. Lectures Programs

a. The University Lectures Program

The Lectures Program provides funds to attract prominent speakers or to promote special events which enhance learning of students and faculty. One-half of the budget is designated for one "prominent" speaker/event. The remainder of the monies is for a series of events of lower cost. Faculty are requested to submit a proposal to the Lectures Committee who then approves and publishes the schedule.

b. Durr Lectures Series

The Clifford Judkins Durr spring lectures feature nationally known speakers on issues in constitutional protection of civil liberties. Jeffersonian in this courage, Clifford Durr dedicated his efforts to the protection of civil liberties for all persons. He often said, "The danger to our liberties lies not in evil men, for they are few." Rather, it lies "with the normally decent men" who are silent when they ought to say, "These things which are being done are wrong, and I will stand against them." Auburn University Montgomery is pleased to dedicate, in memory of Clifford J. Durr, lectures devoted to these principles.

c. Robert Ingram Lecture Series

The Robert Ingram Lecture Series in Mass Communication honors one of Alabama's distinguished political analysts and journalists. As editorial director and political analyst for WNCN-TV and syndicated columnist for numerous Alabama Newspapers, Bob Ingram has brought insight and understanding to Alabama politics through nearly half a century of political turbulence and rapid change. This lecture series, through the Ingram Endowment, enables Auburn University Montgomery to bring to central Alabama nationally acclaimed mass communication professionals and scholars.

d. Distinguished Speakers in Business Series

This lecture series, sponsored by the School of Business, invites outstanding leaders in business to make presentations to the faculty, staff, students and the community.

2. Teaching Related Committees

To further confirm the University's concern for quality instruction and instructional programs, the Teaching Effectiveness Committee, the Curriculum Committee, the Graduate Council, the Core Curriculum Oversight Committee and the Academic Standards Committee have been established. These committees are charged with carrying out a process of continuing evaluation and enhancement of instructional programs and evaluation of proposed changes in the curriculum.

3. Faculty Development Institute

The Faculty Development Institute releases faculty from part of their teaching assignments and returns them to the classroom as students in peer-led instruction on technology-based and technology-supported pedagogy. Participants are selected by a faculty committee in a competitive process, and are engaged in a semester-long series of hands-on workshops, seminars, and training programs.

4. Professional Improvement Leave may be granted for appropriate professional improvement.

D. EVALUATION OF TEACHING

The University views the evaluation of teaching as an on-going process which relies on multiple assessment measures for the purpose of self improvement or for the purpose of promotion, tenure, and or merit raise decisions. One such measure is the University's computerized Course Evaluation Report (CER) for gathering student perceptions. Each tenured faculty member is required to administer this standardized instrument one semester per year; probation and adjunct faculty may be required to administer it more frequently.

Administration procedures for the survey are explicit. Each school, department or faculty member may include "optional questions" or evaluation materials in addition to, but not in lieu of, the University's survey. Departments send completed surveys to the Office of Institutional Studies for

analysis. The class data from the scan sheets and any additional comments from the students are reported to the faculty member; the Department Head, the Dean, and the vice chancellor for academic and student affairs also receive the data on each class and each faculty member evaluated.

These data along with other assessments of teaching will be used in the yearly review of each faculty member by his/her Department Head and in review for promotion and/or tenure by the department and by the school and university-level committees.

Faculty and the various departments are urged to employ additional measures of teaching effectiveness. An important method of assessment is evaluation by professional colleagues. Possibilities include alumni assessments, employer assessment of matriculated students, evaluations from persons or organizations external to the University for which the faculty member consults or provides instructional services of some kind, and administrator assessment of performance.

E. TEACHING AWARDS

1. University Distinguished Teaching Award

The University awards stipends, as salary supplements, to three university faculty who have made distinguished contributions to teaching. The stipends are for three years. All full-time faculty who have served at least two continuous years as a faculty member immediately prior to the nomination and who have not received the Distinguished Teaching Award in the past three years are eligible. Members of the Academic Affairs Council are not eligible for the award.

2. School Level Awards

Information about teaching awards given at school level can be obtained by contacting the appropriate Dean's office.

F. UNIVERSITY ACADEMIC REGULATIONS

1. Classroom Attendance

Communication in the classroom between instructor and student is of significant value in the learning process. The following principles define student and faculty responsibilities on class attendance:

1. Each student, by act of registration, is obligated to conform to all policies and regulations of the University. Students are expected to conduct themselves according to the standards of good citizenship by obeying the laws of the United States, the State of Alabama, and City and County of Montgomery.
2. Students must be officially enrolled to attend class.
3. Each student is responsible for knowing and meeting course pre-requisite and co-requisite requirements. Any waiver must be approved by instructor and/or Dean.

4. Students are expected to attend all classes and to be on time.
5. All classes are to begin promptly at the scheduled time. If the instructor does not appear within 20 minutes after the scheduled starting time, students may leave the classroom without penalty. Faculty members must notify their Department Heads of any class that they are unable to meet. Classes shall be dismissed promptly at the end of the scheduled period.
6. Each instructor shall determine the class attendance policy for his/her course. This policy, along with the instructor's requirements for announced examination attendance, should be presented to the class, in writing, at the beginning of the semester.
7. Instructors are expected to recognize and honor official university excuses and to make reasonable allowance for student absences caused by illness or personal emergency.
8. Excuses for student absences of a non university or extracurricular nature will be granted only at the discretion of the individual instructor.
9. Arrangements to make up work missed because of absence must be initiated by the student.

2. Student Discipline

a. Violations of Honesty and Integrity

Auburn University Montgomery expects students to pursue their academic work with honesty and integrity. Violations of academic integrity are enumerated in the AUMANAC. Briefly, violations include:

- (1) The possession, receipt, or use of any material or assistance not authorized in the preparation of an assignment or during tests.
- (2) Giving assistance to another in such practices
- (3) Furnishing in any way material containing future examination questions or answers.
- (4) Plagiarism (submission of work that is not one's own without proper acknowledgment).
- (5) Attempting to alter an assigned grade.
- (6) Other actions delineated by the instructor.
- (7) Students are also expected to behave with appropriate decorum and civility in the classroom. Intentional disruption of, or interference with, university academic or administration activities is a violation of the Student Discipline Code.

A student may be referred to the Committee on Discipline for possible disciplinary action of any of the above conduct.

b. Sanctions

- (1) The instructor of a course in which a violation of academic integrity occurs shall assign the student committing the violation a course grade of "F". The instructor shall notify the student in writing of the "F" grade and the alleged violation which prompted it. This notification must be made within ten days of the violation, and a copy delivered to the instructor's Dean and chair of the Committee on Discipline.
- (2) The instructor may also elect to take less stringent action, following his or her school's procedures.
- (3) The instructor may seek a more severe sanction through the Committee on Discipline. (See the AUMANAC for the procedure.)
- (4) Students may appeal a grade penalty to the Committee on Discipline through the Dean of the school in which the course is taught. (See the AUMANAC for the appeals procedure.)

3. Examinations

- a. Announced examinations in any undergraduate course will be administered at a regularly scheduled meeting of the class. Any departure from this procedure must be approved by the Dean of the school in which the course is offered.
- b. A final examination will be given in each undergraduate course. All final examinations, whether in undergraduate or graduate courses, will be administered during the hours specified in the published examination schedule. Any departure from the schedule must be approved in advance by the Dean of the appropriate school.
- c. A student absent from an examination for any reason other than personal illness must obtain the permission of the instructor in order to take the examination at a later time.

4. Reporting of Grades

Final grades are assigned as follows: A,B,C,D,F,FA,S,U,CR,NC,P,I,IP,W,AU, and NR. The following explanations and grade points apply:

- | | | |
|----|---|--|
| A | = | passing and 4 quality points per hour attempted |
| B | = | passing and 3 quality points per hour attempted |
| C | = | passing and 2 quality points per hour attempted |
| D | = | passing and 1 quality point per hour attempted |
| F | = | failure and 0 quality points per hour attempted |
| FA | = | failure due to absence and 0 quality points per hour attempted |

S	=	passing and 0 quality points, but the hours attempted are not included in grade point average determinations
U	=	failure and 0 quality points, but the hours attempted are not included in grade point average determinations
CR	=	passing for developmental course work and 0 quality points, but the hours attempted are not included in grade point determinations
NC	=	failure for developmental course work and 0 quality points, but the hours attempted are not included in grade point determinations
P	=	passing for nontraditional course work and 0 quality points, but the hours attempted are not included in grade point determination
I	=	incomplete and 0 quality points per hour attempted until resolution and a final grade is assigned. A one-year statute of limitations exists for grade changes.
IP	=	in progress and 0 quality points, but the hours attempted are not included in grade point determinations. This grade is used only for AUM courses currently in progress, courses for which the student has preregistered, and for students who have cross-enrolled at another institution but the final grades have not yet been received.
W	=	withdrawal and 0 quality points, but the hours attempted are not included in grade point average determinations
AU	=	audit with 0 quality points and 0 hours attempted
NR	=	no grade reported (administrative procedure) and also used for audit students not meeting the attendance requirement

5. Grade Adjustment/Course Repeat Policy

Auburn University Montgomery implemented the following grade adjustment/course repeat policy effective for all currently enrolled, regularly admitted undergraduate students beginning fall 2000 and thereafter.

Undergraduate students enrolled at either Auburn University or Auburn University Montgomery may delete a maximum of three course grades of D or F (including FA or U) associated with their undergraduate degree program from the computation of their cumulative grade point average. Grades and credit considered as transfer credit at either Auburn or AUM, grades earned in a previously awarded baccalaureate degree, or grades that have been assigned as a result of academic misconduct are excluded from this policy.

This policy does not offer exemption from academic requirements for AUM degrees; adjustment only applies to grades from individual courses. All core and major requirements must be met for graduation. Students should be aware that D or F/FA/U grades in required courses may be deleted from the computation of the cumulative grade point average prior to a repeat, but must be repeated at AUM before graduation. Where a specific course is required for the core or major, that course must be repeated to replace the deleted grade. Courses covered by this policy and needed to meet core area requirements or elective courses within a major may, subject to approval of the academic dean, be replaced by any course accepted for that requirement, where applicable.

All courses for which a grade is awarded will remain on the transcript. Courses for which a grade has been deleted from the cumulative grade point average will have the grade recorded and a notation that the grade has been excluded from the earned hours and the cumulative grade point average. Students may submit a written request for a grade deletion to their academic dean's office at any time prior to graduation. Once a request for deletion of a grade has been granted and that grade has been removed from the calculation of the cumulative grade point average, the grade and the credit cannot be restored.

Deletion of grades is only available to currently enrolled, regularly admitted undergraduate students and is not available to former students. Students should follow AUM guidelines for the repeat of the courses in which grades of A, B, or C have been awarded. However, all grades will be used for determining academic honors.

All AUM transcripts will include two grade point averages: a semester grade point average and a cumulative grade point average. The transcript will carry an appropriate notation that these grade point averages may not include all courses attempted.

6. Faculty Records of Student Assessment.

Grade books or equivalent documentation for each course should be kept for a minimum of one year following completion of the course.

G. GRADUATE TEACHING POLICY

1. Criteria and Policy for Approval to Teach Graduate Courses

Approval of faculty members to teach graduate level courses is awarded by the AUM Graduate Council upon recommendation of the various academic schools. To qualify for teaching at the graduate level, the faculty member should normally meet the following minimum criteria:

- Hold the highest degree awarded in the appropriate field of specialization. In some cases, where the professor has demonstrated outstanding academic/professional achievement, approval may be given without the individual's holding a terminal degree.
- Have made scholarly or creative contributions as appropriate to his/her field through publication, exhibitions, or performance or have demonstrated high potential for making such scholarly or creative contributions. In the professional schools, contributions to the improved practice of the profession will be considered. In all fields, the currency of the relevant work-whether publications, creative contributions, or practical contributions to the profession- will be considered.
- Have demonstrated ability to teach effectively or shown high potential for effective teaching.

Normally, the length of approval for full-time faculty members who meet the above criteria is three years. Adjuncts are approved for no more than one year. (Approved by the Graduate Council, May 18, 1984)

2. Eligibility to Serve on the Graduate Council

Only persons who have been approved for graduate teaching by the Graduate Council are considered eligible to serve on the Graduate Council. (Approved by the Graduate Council, November 21, 1986)

3. Mechanism for Emergency Approval

For those individuals previously approved by the Graduate Council to teach graduate level courses, but who by virtue of a scheduling emergency are required to teach a course for which they have not specifically been previously approved in advance and who are qualified to teach the course, the following procedure will be followed: the Department Head with the counter-signature of the Dean, may send the Vice Chancellor for Academic Affairs a memorandum requesting approval of that individual to teach the specific course and outlining the circumstances. If approval is given by the Vice Chancellor of Academic & Student Affairs, the action will become a matter of record at the next meeting of the Graduate Council. (Approved by the Graduate Council, March, 26, 1982)

4. Acceptance of Agenda Items

The Graduate Council will not accept agenda items submitted past the publicized deadline for acceptance of agenda requests except in the case of requests necessitated by scheduling emergencies. (Approved by the Graduate Council, December 4, 1987)

5. New Program Proposals

The Graduate Council decided that on new program proposals it would hear the presentation of the proposal one meeting and conduct the vote on the proposal no earlier than the next regular meeting of the Council. (Approved by the Graduate Council, April 29, 1988)

6. Five-Year Approvals

After a minimum of two three-year approvals by the Graduate Council, faculty who show clear evidence of productivity may apply for a five-year length of approval. For those faculty on fully approved graduate status at Auburn University whose credentials come before the AUM Graduate Council, they may be granted the five-year length of approval. For those faculty on provisional graduate status at Auburn University whose credentials come before the AUM Graduate Council, they may be granted the three-year length of approval. (Approved by the Graduate Council, October 21, 1988)

7. Lack of Graduate Status at the Beginning of a Semester

Effective Summer Quarter, 1992, an AUM faculty member lacking graduate teaching status at the beginning of the term shall not participate in graduate instruction in any capacity excluding single guest lectures. Graduate teaching status shall be determined solely by the Graduate Council. (Approved by the Graduate Council, April 24, 1992)

8. Voting on Length of Approval Originally Sought

The Graduate Council will vote on the length of approval originally requested on the Transmittal Form for Request to Teach Graduate Courses. If the original length of approval is not approved, the Graduate Council may consider a shorter length of approval for a candidate, should a motion be forthcoming from the Council. (Approved by the Graduate Council, February 16, 1996)

H. UNIVERSITY HONORS PROGRAM

1. Honors Studies Course

Honors Studies Courses provide faculty with opportunities to teach in areas of personal and professional interest and to interact with a group of the University's most able, challenging, and receptive students. Honors Studies Courses carry three semester hours credit and are considered part of a faculty member's regular teaching load.

An Honors Studies Course may be a treatment in greater detail of material in an existing course, an examination of an area in the faculty member's discipline that is not covered in an existing course, or an interdisciplinary course that is team taught and covers an area of special interest and expertise that crosses department lines. Generally Honors Courses require writing assignments and oral presentations or a related project. Honors Studies Courses need not require regular term or final examinations. Guidelines for submitting an Honors Studies Course proposal can be obtained from the Director of the University Honors Program.

2. Honors Colloquium

The Honors Colloquium is a one-hour course offered through the University Honors Program which gives full and part-time faculty the opportunity to make a one-hour presentation on a topic of interest to the best and brightest students at the University. Faculty members who would like to make a presentation are asked to submit a proposal to the Director of the University Honors Program. The proposal should include the title of the presentation, a brief advertisement of the topic and the semester and times available for making the presentation.

I. INSTRUCTIONAL SUPPORT

1. Secretarial and Clerical Assistance (see Part IV.Q.9)

2. Technology Resource Center

Technology Resource Center (TRC) maintains a variety of instructional equipment and provides faculty support of audio/visual services to the instructional program. Services offered by the TRC include:

- Equipment support and checkout.
- Delivery and pick-up system across campus for instructional support.
- Duplication of video and audio materials.
- Technical support to faculty in web page design, digitizing videotapes and 35 millimeter slides.
- Technical support in creation of CD-ROMS, streaming audio and video.
- Administration and technical support for WebCT.
- Software support for Flash, Adobe Premiere, FrontPage 2000, Hot Metal Pro, Microsoft Office Suites, Photo Impact, and Dub-It.
- Full-time professional technology trainer to provide group and individual technology training support.
- Technical support in individual or departmental hardware and software purchases.
- Support of ADA/Center for Special Services with appropriate special needs equipment.
- Media support to non-academic units and off-campus agencies using AUM facilities.
- Equipment and technical support for Weekend College.

3. Guidelines for Instructing Students with Special Needs

- a. **Center for Special Services.** The Center for Special Services is responsible for providing academic support services to students, faculty and visitors to Auburn University Montgomery with disabilities through peer counseling, individualized planning, tutoring, test proctoring, note taking, textbooks on tape, interpreting, computer technology, Braille and large print materials, amplifying devices, registration assistance, faculty support regarding classroom accommodations, information about the University and community resources and other accommodations designed to meet individual needs. CSS serves as the liaison for faculty and students with disabilities in academic and campus life activities through the provision of support services.
- b. **Computer Centers (Business, Library, Sciences).** These computer centers assist the faculty, staff and student in all aspects of computing. These centers provide for the university's growing administrative computing needs, expanding telecommunication service and academic computing lab.

- c. **Learning Center.** The AUM Learning Center offers a program to assist student in achieving their academic ambitions and goals. The program provides extra academic support in the form of tutorial assistance and specialized individual instruction in specific course-related problems. Assistance is provided in English composition, grammar, English as a second language and mathematics. Academic specialists and student tutors perform these services, and tutors coordinate by written communication with the student's instructor in the specified course.
- d. **Nursing Care Center.** The main mission of the university Nursing Care Center is to provide quality primary care to currently enrolled Auburn University Montgomery students. The Center also welcomes faculty, staff and members of the surrounding community. The Center also provides preventative services, such as physical exams, immunizations, and family planning.
- e. **AUM Counseling Center.** The Counseling Center services include individual counseling, group counseling, personal growth courses, workshops and education about mental health topics. The Counseling Center is staffed by representatives from different professional disciplines including licensed professional counselors, licensed psychologists, licensed certified social workers and graduate students completing internships in helping professions.

J. LIBRARY POLICIES RELATED TO INSTRUCTIONAL ACTIVITIES

Bibliographic Instruction Policy

1. Goals

The primary goals of the Bibliographic Instruction (BI) program are to gain a working knowledge of AUM Library, to become skilled in research techniques that will enable the student to use the Library more effectively, and to develop a systematic method of research that can then be applied to the writing of term papers and reports in his/her chosen field. BI is provided **only** for members of the AUM community.

2. Objectives

The following objectives have been established for each BI session:

- Identify and utilize basic library services and equipment
- Distinguish among several library formats, e.g., books, serials, microforms, etc.
- Recognize the Library's various classification systems
- Choose reference materials appropriate to particular research
- Identify and utilize databases most appropriate to research needs

3. Types of Bibliographic Instruction

Provided by Librarians

(a) Subject Orientations. Subject orientations (as outlined below) are designed for upper-level or graduate courses, but may include lower-level courses in certain disciplines on request.

1. Resources are displayed and explained
2. Copies of an index may be distributed for hands-on training
3. Library instructional handouts are provided
4. Databases are demonstrated
5. A tour may be conducted
6. Length of session is generally one hour

(b) Workshops. Developed with the assistance of the professor, workshops (as outlined below) are intensive, subject-specific sessions with in-class exercises and possible out-of-class assignments.

1. Resources are displayed and explained
2. Databases are demonstrated
3. Hands-on training and/or handouts may be included
4. Session may last up to two hours

Provided by Professors

(a) General Orientations. These sessions are conducted by professors of lower-level courses, e.g. EH 090, EH 101, & EH 102. Various resources, as determined by the professor, are provided bases on subject content. Professors may demonstrate a database* and/or conduct a tour of the Library. Handouts and/or library assignments will be provided on request. [Note: *As needed, BI librarians will demonstrate a database during a general orientation session if the professor is unfamiliar or uncomfortable with its operation.]

(b) Tours. Professors who wish to arrange a tour for a class must call the BI Coordinator a week in advance to ensure that another class is not already scheduled. If requested, professors may meet with the BI librarian and be taken on a detailed tour. The class tour will then be conducted by the professor (or the BI librarian) at a prearranged time. Library instructional handouts or library assignments will be provided on request.

4. Guidelines for Faculty

(a) Advance Notice

1. Notice for previously taught BI classes. A minimum notice of six working days is necessary for a BI class that has been taught previously. A BI class **will not** be scheduled during the week that the request is made.
2. Notice for new BI classes. A minimum notice of eleven working day is required for new (not previously taught) BI classes. The longer notice

provides the BI librarians with sufficient time to prepare an outline and instructional materials for the session.

(b) Faculty Involvement

1. Professor's Conference with the Librarian. Professors must plan the content of the BI session with the BI librarians, either in person or by phone, in accordance with the notice requirements listed above. The professor requesting Bibliographic Instruction must have certain objectives in mind for his/her students. The professor must also provide the BI librarian with specific topics relating to his/her students' research. The professor should have a follow-up activity for students enabling them to utilize what they have learned in the BI session.
2. Attendance. The professor **must** attend the BI session with his/her class! He/she will be able to offer valuable input during the session, and his/her presence will emphasize the necessity and value of mastering basic research skills.

PART VI

RESPONSIBILITIES AND POLICIES PERTAINING TO RESEARCH

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- A. University-wide Research Priority Goals
- B. The University's Formal Research Program
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- D. Research Grant-in-aid Program
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 - 2. Research Involving Animal Subjects
 - 3. Violations of Integrity in Scholarship/research: Scientific Misconduct
- F. Research Awards
- G. Library Policies Related to Faculty Research Activities

PART VI

RESPONSIBILITIES AND POLICIES PERTAINING TO RESEARCH

A. UNIVERSITY-WIDE RESEARCH PRIORITY GOALS

The following university-wide and unit-specific research goals have been established:

- Fund collaborative research efforts with Auburn University faculty colleagues.
- Fund collaborative faculty/student research projects to extend learning beyond the classroom.
- Increase the number of proposals submitted by faculty for extra-mural funds.

B. THE UNIVERSITY'S FORMAL RESEARCH PROGRAM

Research is essential to the mission and vitality of a comprehensive educational institution. The University's purpose of developing the human resources of the State through instruction is aided and augmented by the institution's program of research. The university research program is coordinated through the office of the Vice Chancellor for Academic and Student Affairs.

Research is conducted in academic schools and departments as well as in the centers and divisions of the university. Centers which are involved in research include the Center for Business and Economic Development, the Center for Demographic and Cultural Research, the Center for Government and Public Affairs, and the Center for Special Services. Research carried out in the centers is supported from state and federal appropriations as well as research contracts, grants, and agreement funds. University research in the academic departments is also funded through these sources as well as internal sources.

C. RESEARCH DEVELOPMENT

The Office of the Vice-Chancellor for Academic and Student Affairs through the Office of Contracts and Grants offers assistance to members of the faculty in identifying sources of extramural funding and developing and submitting research proposals. Applications for extramural contract and grant support must be processed through the Office of Contracts and Grants. University authorization to submit extramural proposals is given by the office of the Chancellor, and all contract and grant awards for sponsored activities are made through this office.

D. RESEARCH COUNCIL

Resources exist on campus to assist faculty and student in their research endeavors. In addition to extramural funding, faculty research may be funded through AUM Research Council. This program is administered by an eleven members committee, which is composed of faculty from each academic school as well as professional staff, and facilitated by the Office of Contracts and Grants Administration. The purpose of the Research council is to promote research and innovative activity

in the arts, sciences, humanities, business, nursing, and education. Proposals, which have the potential to attract extramural funding, are encouraged.

The Council will engage in three major areas of campus research support:

1. The formulation of recommended policies in research-related areas; e.g., at-risk human subject projects, animal welfare, patent/copyright policies.
2. The recommendation to the Vice Chancellor for Academic and Student Affairs of eligible recipients of campus research funds including regular faculty grant-in-aid, new faculty grant-in-aid, AU/AUM joint research proposal, and student research fellowship.
3. The recommendation to the Vice Chancellor for Academic and Student Affairs of recipients of the Distinguished Research Professor Award.

To compete for the Research Council proposals for faculty, the application form should be submitted along with a one-page abstract of the proposed work, a completed "Outline for a Research Proposal" (p.3 of "Policies and Procedures Governing the Auburn University Montgomery Research Grant-in-Aid program"), and a two page faculty vita. The application packet should be submitted with approval signature of the Department Head, to the office of the Dean or equivalent unit head. Following peer review by a panel appointed by the Dean of unit head, the applications are forwarded to the Research council. The Research council makes recommendations for funding to the Vice Chancellor for Academic Affairs. The Awards will be announced prior to fall term.

E. UNIVERSITY POLICIES RELATED TO RESEARCH

1. Research Involving Human Subjects

The University established the Institutional Review Board for the Use of Human Subjects in Research (IRB) to evaluate research for compliance with guidelines and regulations established by the U.S. Department of Health and Human Services and the U.S. Food and Drug Administration. All research in which human subjects are used, whether by faculty, staff, or students, must be approved in advance by the IRB, no matter the source of funding, lack of funding, or any other consideration. All modifications to approved human subject protocols must be submitted to and approved by the IRB in advance of implementation. Information may be obtained from the Office of Contracts and Grants.

2. Research Involving Animal Subjects

The use of animals in research, teaching, production, and demonstration activities, whether by faculty, staff, or students and whether funded or unfunded, must be approved in advance by the Animal Welfare Committee. Furthermore, all modifications to approved animal subjects protocols must be submitted to and approved by the Animal Welfare Committee in advance of implementation. Information may be obtained from the Office of Contracts and Grants.

3. Violations of Integrity in Scholarship and Research: Scientific Misconduct

The University's policy on Scientific Misconduct was developed to effect compliance with the requirements of the Public Health Service Final Rule on "Responsibilities of Awarded and Applicant Institutions for Dealing with and Reporting Possible Misconduct in Science" (42 CFR Part 50). Allegations of scientific misconduct made against any faculty, staff, or student of the University involved in research or research training, application for support of research or research training, or related research activities shall be handled according to the policies and procedures included in the policy statement of Scientific Misconduct. A copy of the policies on Scientific Misconduct may be obtained from the Office of Contracts and Grants.

F. RESEARCH AWARDS

The Distinguished Research Professor Award is another component of the Research Council. Anyone who holds faculty rank at AUM and who has completed three years of continuous service immediately prior to the nomination is eligible. The award will recognize those who have established ongoing research programs of distinction. The award bears an annual stipend of \$2,500 for a three-year term. This award is also intended to recognize career accomplishments. Consequently, a curriculum vitae and selected evidence (three to five examples of one's research, including books, monographs, awards for refereed or juried work, grants, contracts and the like) that supports a productive research career will serve as criteria.

G. LIBRARY POLICIES RELATED TO FACULTY RESEARCH ACTIVITIES

Circulation Regulations: AUM & Auburn Faculty/Staff

1. Faculty and staff must have a barcoded, AUM or AU photo ID card in order to check out materials. The Personnel Office will issue annual validation stickers to place on the ID cards for full-time, continuing faculty and staff. Adjunct faculty will have borrowing privileges for the current semester in which they are teaching. Part-time and/or temporary AUM employees will have a stop date issued by the Personnel Office printed on their ID card. Borrowing privileges will not extend past this stop date.
2. Faculty and staff are responsible for materials charged to their names. A lost ID card should be reported to Circulation immediately to ensure that unauthorized borrowing may be blocked.
3. Faculty and staff may borrow up to 100 items for a period of 90 days. **Materials not returned will create a block when fines accrued reach \$5.00.** Temporary AUM employees may borrow up to 10 items for a period of 28 days. Materials not returned by Temporary AUM employees will create a block when fines accrued reach \$.01.
4. Spouses and children of AUM faculty and staff **may not** check out materials on the faculty/staff member's card. Cards valid for 12 months are available to the spouse of

a faculty/staff member, and the spouse will be responsible for materials checked out on their own card, not the faculty member.

5. Periodicals, newspapers, maps, reference materials, and microforms may not be checked out except with special permission from the Head of Reference and/or the Dean of the Library.
6. If materials are returned late, faculty and staff are responsible for overdue fines. If materials are lost, faculty and staff are responsible for replacement costs and processing fees. Overdue fines accrue as follows:

\$.25 per day per item to a maximum of \$7.50 per item.

\$.50 per day per day for recalled items to a maximum of \$7.50 per item.

\$.50 per day for seven-day reserves and two-day reserves to a maximum of \$10.00 per item.

\$.25 per hour for special permission items, ten-hour (overnight) reserves, one-hour reserves, two-hour reserves, and four-hour reserves to a maximum of \$10.00.
7. After the maximum fine per item has been reached, the faculty or staff member will be billed for the item. If the material is not returned, the faculty or staff member must pay the replacement costs and a \$15.00 non-refundable processing fee.
8. Overdue notices will be sent to faculty and staff fourteen days after material is due. No overdue fines will be assessed if items are returned up to four days after the due date. However, on the fifth day the faculty/staff member must pay the accumulated fines for all five days. Notices will be sent to the faculty or staff member's campus address. Because the due date for all materials is clearly stamped and since mailed notices are a courtesy, the Library is not responsible if the notices do not reach the borrower.
9. Items in circulation for at least seven days may be recalled; the user has seven days in which to return the item before fines begin to accrue.
10. Faculty and staff who leave the employment of the University must pay all financial obligations and obtain written library clearance before receiving their final paycheck. If accounts are not cleared, ex-faculty/staff accounts will be turned over to a collection agency.
11. Questions about overdue fines or other charges should be discussed with a member of the Circulation staff or the Circulation Supervisor.

Interlibrary Loan

General Information:

1. Interlibrary Loan is available only to AUM faculty, staff, and students. It is not available to guest cardholders, consortium members, AUM alumni, or to Auburn University faculty, students, or alumni. Nor is it available to the general public.
2. Request will only be made for items that are NOT held by AUM. Check the online catalog of AUM's holdings and online full-text databases to be sure AUM doesn't hold a title. AUM will not fill request for books held by this library, even if the book is currently checked out to another patron. AUM will not order photocopies from journal or newspaper titles that are already in the holdings, unless the pages needed are missing or destroyed.
3. Fill out all request forms as completely as possible, to expedite the Interlibrary Loan department's ordering of the request. Be sure to sign the request forms, indicate what costs you are willing to pay to obtain a loan or photocopy, and **USE ONE FORM PER REQUEST**.
4. It usually takes five to ten days for a request to come into the Interlibrary Loan department, and longer for hard to locate items. There is no guarantee about how long it might take to get any particular item. If a copy or loan is ordered five days or less before it is needed, the item probably won't arrive in time for use. Always fill in the "Not Needed After" area on request forms; student forms that do not have this information will be sent back to the requestors. This "Not Needed After" date is especially important if the requestor has indicated willingness to pay for the Interlibrary Loan item in the "Cost" area of the request form.
5. If you are submitting more than five request, please indicate in what order you would like the request to be processed. Do this by numbering the forms.
6. Requestors are notified when Interlibrary Loan item arrives. Books and photocopies may be picked up at the Circulation Desk on the first floor of the library. Book loans are to be returned to the same place. Charges on Interlibrary Loan material, and fines for overdue Interlibrary Loan book loans are to be paid at the Circulation Desk.
7. Any charges owed are paid when the Interlibrary Loan item is picked up, not when the order is placed. **NOTE:** Students are responsible for any charges incurred in ordering through Interlibrary Loan, whether or not they pick up the item(s) ordered. If the charges are not paid, a hold will be placed on the student's records until all charges are paid.

Photocopy Requests

1. AUM assumes costs up to \$20.00 on each faculty and staff photocopy request.
2. Students and Graduate Students should indicate on request forms, under "Cost," the amount that they are willing to pay to obtain a photocopy. The Interlibrary Loan department will attempt to get the photocopy for no charge. If we cannot get the copy free of charge, then we will order it at the lowest possible charge, up to the amount indicated by the requestor on the form.
3. Writing a \$5.00 minimum cost on the request form is suggested, since most libraries that do charge for photocopies, will charge \$5.00 or more. If we cannot find a library to fill the request, at the cost specified by requestor, the form will be returned.
4. Read the "Warning concerning Copyright Restrictions" on the Photocopy Request form. Copyright Law limits the number request the AUM Library can make form periodicals published within the last five years. Fees are paid to the Copyright Clearinghouse Center by the AUM Library for the request over their limits. Please keep request from any one journal title to a maximum of two. The Interlibrary Loan department will refuse to accept any copying order that, in the department's judgement, would violate Copyright Law.

Book Request

1. Usually, there will be no charge for a book loan request. If there is a charge, the Interlibrary Loan department will order the item at the lowest possible cost. The Library will pay up to \$5.00 of any ordering costs for all student requestors and up to \$20.00 for Faculty/Staff. If a student is willing to pay some of the cost of getting a loan item, this should be indicated on the request form. For example, if a student is willing to pay up to four dollars to obtain a loan, then the student should write in \$9.00 in the "Costs" area of the request form. The Library pays \$5.00, the student pays \$4.00 -- provided the loan cannot be obtained for free or for less than \$9.00. If the costs of getting a loan exceed the \$5.00 Library subsidy limit, or exceed the amount specified under "Costs" on the request form, the request form will be returned to the student.
2. If you want to renew a loan item, contact the Interlibrary Loan department at least three days before the book is due back into the Interlibrary Loan department. Make renewal request during weekdays, between 8:000 a.m. and 5:00 p.m. Renewals will not be granted on overdue books. AUM normally allows two weeks renewals on Interlibrary Loan books, and final approval for a renewal (and time allowed for the renewal) rest with the lending library.

3. There is a fine of \$1.00 per day, for overdue Interlibrary Loan books (not to exceed \$10.00 per book). If a fine is not paid, a hold will be placed on the student's records until fine is paid. Interlibrary Loan privileges will be suspended, if these privileges are abused.

Theses and Dissertations

Dissertation and theses are difficult or even impossible to obtain through normal Interlibrary Loan processes. Also, they can cost up to \$20.00 for a brief loan period. AUM Library subscribes to Dissertation Express, a document delivery service from which many at times theses and dissertations can be purchased for discontinued price of \$24.50. If you are interested in purchasing dissertations, discuss this option with the Interlibrary Loan staff in Room 219 of the Library.

AUBIExpress

AUBIExpress is a service provided free of charge to the AUM Faculty and Staff by the Auburn Library, allowing you to order books, book chapters, and journal articles held at the Auburn Library directly from your PC, wherever you have access to the World Wide Web. While this is not meant to replace regular interlibrary loan, it is being offered as an alternative.

These items will come directly to an address or fax number that you specify, circumventing the AUM Library. In addition, rather than the four weeks use associated with borrowing books from Auburn using the AUM Interlibrary Loan department, you get the items for 90 days.

To take advantage of this service, point your browser to:

<http://www.lib.auburn.edu>

Once there, click on the link to Delivery Services. Next, click on the link to AUBIExpress. This brings up the AUBIExpress Document Delivery Request Form; here you provide your first and last name and your AUM I.D. card number, found on the back of your AUM I.D. card. Please note: do not click on the interlibrary loan form; it is not the AUM Interlibrary Loan department. If you do so, your request will not be filled.

Once this information is submitted, you will be presented with the online form to fill out requesting material. Fill in the appropriate fields, as completely as you can. For books, the Auburn University Library needs a minimum of call number, library location (location in the library), and book title to fill your request. Please note: this service is free, so the section labeled APayment Method@ should not be used. Ignore it.

Do include information about where you would like to receive the materials. You may have books or articles sent to your office, department, or home; similarly, you can have articles delivered by fax to you home, department or office or as an e-mail if available. Remember, though, that you as the borrower assume all responsibility to return books to the Auburn

University Library, whether through departmental mail, the U.S. Postal System, or some other method of return. The AUM Library is not involved in this transaction, but you can return the items using campus mail.

Finally, the field labeled “Additional Information” you must type in your AUM status (AUM Faculty, AUM Staff), your AUM I.D. card number, and, in the case of books, the phrase “book loan” as follows: ***AUM Faculty/AUM I.D. card number/book loan***

For requesting a copy of an article, you must give your status and I.D. card number in the same manner as for books, leaving out the phrase Abook loan.® This information is extremely important; it allows the Auburn University Library personnel to give your request top priority. If it is not filled in, you may experience delays in getting your materials or even possibly the rejection of your request.

Once the form is completed, including the additional information mentioned above, click the Submit button and your request is on its way! The next screen that appears will be a confirmation of your request. If there are problems in filling your request the staff at the Auburn University Library will contact you using the information you provided with your request.

Remember, the materials that are borrowed from the Auburn University Library using this method come directly to you; you, as borrower, assume responsibility for returning the items, just as if you drove down to Auburn and checked them out directly.

Also, please note that AUBIExpress is for requesting items that are held at Auburn. For materials that are not at Auburn, you must come into the AUM Library and complete an Interlibrary Loan request form. If you have any question about this, feel free contact the AUM Interlibrary Loan office.

PART VII

**RESPONSIBILITIES AND POLICIES PERTAINING TO
SERVICE EXTENSION AND OUTREACH**

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- A. University-Wide Service Priority Goals
- B. Compensation and Benefit Information for Extension/Outreach Activity
- C. Concurrent Appointments

PART VII

RESPONSIBILITIES AND POLICIES PERTAINING TO SERVICE EXTENSION AND OUTREACH

A. UNIVERSITY-WIDE SERVICE PRIORITY GOALS

The following university-wide and unit-specific goals have been established:

- Continue our community-outreach activities (subject to funding constraints).
- Support faculty and professional staff service to their professional associations.
- Support faculty efforts to serve their scholarly journals.

B. COMPENSATION & BENEFIT INFORMATION FOR EXTENSION / OUTREACH ACTIVITY

The following University policies will apply to external consulting by faculty and to participation in University activities as an addition to their normal responsibilities.

Participants must document that external consulting and participation in continuing education and public service for extra compensation do not interfere with classroom teaching or other university responsibilities. Faculty participation in programs and projects administered or conducted by the University and supported by contracts, grants, fees, or other types of agreements shall be considered, under usual circumstances, a part of the faculty member's responsibilities to the University. During the time a faculty member is under contract to the University, whether on a nine-month or twelve-month appointment, the individual is expected to fulfill his or her total responsibilities. Therefore, if a faculty member is participating in an organized program or project of the University, whether it is administered in his or her own or a different department or division of the University, an appropriate part of the faculty member's salary shall be provided by the program or project budget. Under these circumstances, no increase in the faculty member's base compensation shall be permitted. Consulting for extra compensation on projects or activities internal to the University generally will be limited to short-term engagements for which release from normal duties is not feasible. All such requests must be approved in advance by appropriate administrators (see General Regulations).

1. Consulting

Consulting for outside clients is encouraged when it provides a service to business, industry, government, or other organizations and allows faculty members to keep abreast of current practices and problems in their academic fields. Faculty members involved in consulting should adhere to the highest professional standards. The name of the institution should not be used for advertising or promotional purposes or in any report or statement that implies approval by Auburn University. In keeping with this position, University letterheads should not be used for correspondence related to such outside activities. Also, faculty members should not commit specialized University facilities and equipment or other resources to external consulting projects

unless such use is specifically approved in advance by the Department Head or other appropriate administrator. Faculty members will be expected to reimburse the University for the use of specialized equipment and facilities as well as materials. Use of University computer facilities for consulting will also require prior approval and will be reimbursed at the external user rate. Approval or reimbursement will not be required for the use of the library or office space for consulting activities.

2. Extra Compensation for Continuing Education and Public Service Activities

Faculty members are encouraged to participate in university-operated continuing education and public service programs which are important to the mission of the institution. Many of these activities, however, are of short duration, of occasional frequency, and lack forewarning; they cannot be budgeted in advance and therefore must be handled on an exceptional basis. In such cases, the University policy shall be to recognize the situation and permit extra compensation to be paid to faculty and staff who are asked to perform services over and above their regular responsibilities.

Generally, the following conditions must apply:

- a. The work to be done is in addition to the faculty member's normal full load.
- b. No qualified person is available to perform the task as part of his or her normal load.
- c. The project or program budget includes sufficient funds to cover the cost of the extra compensation.
- d. The additional duties are not so heavy as to interfere with the performance of regular duties.
- e. Approval is obtained in advance.

The maximum hourly rate for extra compensation by faculty and academic staff who participate in continuing education or public service projects will be determined by multiplying the faculty member's twelve-month salary by the factor .0012. In the case of faculty on nine-month appointments, the factor .00156 shall be used. It should be understood that this is the maximum rate allowable; the actual rate of extra compensation will be determined by the complexity of the assignment and the availability of funds, as negotiated between the faculty member and the program administrator.

3. General Regulations

Full-time faculty members may be allowed to consult and/or be involved in appropriate continuing education and public service activities for extra compensation so long as it does not interfere with the faculty member's assigned duties.

The Department Head will have the primary responsibility for administering this policy because he or she is in the best position to assess the effect of these activities on the faculty member's assigned responsibilities and to measure his or her contribution to the goals of the department. All requests for continuing education and public service activities within the university for extra compensation and for consulting to outside agencies must be approved by the appropriate Department Head, the Dean or Director and the Vice Chancellor for Academic and Student Affairs using a UPO-10 form.

C. CONCURRENT APPOINTMENTS

The University's policy permits a faculty member to be employed full-time and to accept an appointment in another institution to teach not more than one class, which may include a lab, per academic term under the following conditions designed to protect the University's academic programs and the welfare of the faculty:

1. Each case is to be considered on its individual merits and must be approved in advance by the Auburn University Montgomery Vice Chancellor for Academic and Student Affairs.
2. The conditions of the concurrent appointment must be set forth in a memorandum of understanding stating explicitly the responsibilities of the individual to each employer. This document must be signed by the individual's immediate supervisors in each institution or organization; in the case of educational institutions, both Department Head and Dean, or equivalent, are to sign.
3. The nature and requirements of the work assignments must be such as to permit the full-time Auburn University Montgomery faculty member who holds a concurrent appointment with another institution to discharge his/her responsibilities to Auburn University Montgomery at the same high standards of quality expected of all other faculty members, not only with respect to classroom performance, but also the other professional and academic activities (including informal assistance to students) traditionally associated with University faculty appointments. Since joint appointments for teaching and research are inherently very demanding on a person's time and energy, faculty members on such appointments generally will not be approved for concurrent appointment with another institution or organization.
4. Since a person employed full-time by another institution or organization and concurrently teaching a course for Auburn University Montgomery cannot devote the necessary time to the many professional and academic activities traditionally associated with University faculty appointment, the salary for the part-time appointment will be less than the proportionate amount calculated on the basis of the fractional load represented by the number of hours taught. Generally, the compensation will be a specified amount based on the number of hours for the course.
5. Since continued overload appointments for long periods inherently endanger the welfare of the faculty member or affect unfavorably the quality or quantity of his/her work, such appointments should be discouraged.

6. Fringe benefits for full-time Auburn University Montgomery faculty will be based on the University salary only. Part-time employees will not be eligible to participate in the University's fringe benefits.

PART VIII

**UNIVERSITY BUSINESS PROCEDURES AND POLICIES
AFFECTING FACULTY**

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- A. Travel
- B. Purchasing
- C. Employment and Supervision of Students

PART VIII

UNIVERSITY BUSINESS PROCEDURES AND POLICIES AFFECTING FACULTY

The Finance Office of Auburn University Montgomery provides a number of services to the University that are directly related to the professional welfare of the faculty and to their academic activities. It is most important that faculty understand and follow at all times certain procedures which have been developed to allow an orderly transaction of business between faculty and institution.

No individual faculty member or department is authorized to accept gifts, donations, or consigned merchandise and equipment until institutional permission has been granted by the Chancellor. Once the gift has been received, the Vice Chancellor for Finance should be advised so that proper recording and inventory may be made.

A. TRAVEL

Reimbursement for travel on official University business is in keeping with formal policies and procedures set forth in the University's travel regulations which are available in each departmental office. Each faculty member planning official travel should familiarize himself/herself with the travel regulations and should be sure that his/her travel is made and the request for reimbursement is submitted in keeping with the institution's policies and procedures. It is particularly important that a Request for Authority to Travel (forms available in the departmental office) be approved prior to the proposed trip.

B. PURCHASING

The Finance Office has the responsibility for procuring all items, supplies, equipment; repairing of equipment and buildings; awarding all construction contracts; and providing services needed by the various departments and schools of Auburn University Montgomery. No member of the faculty or staff is authorized to commit the University on purchases. All requests for services and supplies are prepared on the standard purchase order form which originates in the department office. When completed, approved, and signed by the appropriate director or Dean, purchase requests are submitted to the Finance Office. The Finance Office is required to obtain competitive bids and sealed bids in accordance with state law, ACT No. 217.

Upon delivery of any order and receipt of the itemized invoice, a voucher should be prepared for payment immediately in order that the Finance Office may take advantage of any time discounts which may be offered.

Additional detailed information may be secured by referring to the purchasing procedures available in each departmental office.

C. EMPLOYMENT AND SUPERVISION OF STUDENTS

The Human Resource Office maintains a file of student employment applications and will refer, upon request, applicants to departments holding authorized positions. In addition, the Office of Student Financial Aid maintains a file of students eligible for work study.

Prior to the employment of any student, a Personnel Action Form (PAF) must be prepared and forwarded through the appropriate department and the office of the director or Dean to the Human Resource Office. An undergraduate and graduate student wage scale is available in each departmental office. The Department Head, Dean, or director is responsible for insuring that adequate funds are available to employ the student and for determining that job title and rate of pay are consistent with the approved compensation plan.

In addition to supervision and assignment of duties, faculty members must insure that a student carrying a full course load (15 hours or more) does not spend more than twenty hours a week in part-time work. Supervisors hiring a graduate student should determine that he/she is not on a budgeted graduate assistantship before putting him/her on the labor payroll. In compliance with the Fair Labor Standards Act, a time sheet must be posted and work hours recorded daily by each student employee and be available for inspection upon request.

Questions regarding payment for student labor or any non-budgeted personnel may be answered by reading Payroll Procedures, copies of which are available in the Human Resource Office.